

GENDER AND SOCIAL EXCLUSION ASSESSMENT 2011
SECTORAL SERIES: MONOGRAPH 6

Sectoral Perspectives on Gender and Social Inclusion



RURAL INFRASTRUCTURE

GENDER AND SOCIAL EXCLUSION ASSESSMENT 2011
SECTORAL SERIES: MONOGRAPH 6

Sectoral Perspectives on Gender and Social Inclusion

RURAL INFRASTRUCTURE

A co-publication of the Asian Development Bank, Department for International Development,
UK, and The World Bank

© 2012, the Asian Development Bank, Department for International Development, UK,
and The World Bank

ISBN 978 9937 8592 7 1

The findings, interpretations, and conclusions expressed in this work do not necessarily reflect the views of the Asian Development Bank or its Board of Governors or the governments they represent; the Department for International Development, UK; or The World Bank, its Board of Executive Directors, or the governments they represent.

The Asian Development Bank, the Department for International Development, UK, and The World Bank do not guarantee the accuracy of the data included in this publication and accept no responsibility for any consequence of their use.

Rights and Permissions

The material in this work is subject to copyright. Because the Asian Development Bank, the Department for International Development, UK, and The World Bank encourage dissemination of their knowledge, this work may be reproduced, in whole or in part, for non-commercial purposes as long as full attribution to this work is given.

Any queries on rights and licenses, including subsidiary rights, should be addressed to Stefania Abakerli, The World Bank, 1818 H Street NW, Washington, DC 20433, USA
e-mail: sabakerli@worldbank.org

The Asian Development Bank
Srikunj Kamaladi, Ward No. 31
GPO Box 5017, Kathmandu, Nepal

The UK Government Department for International Development
GPO Box 106
Ekantakuna, Lalitpur, Nepal

The World Bank
Yak and Yeti Hotel Complex
Durbar Marg, Kathmandu, Nepal

Printed in Nepal

Contents

Preface	v
Executive Summary	ix
Abbreviations/Acronyms	xiii
1. Introduction and Overview	1
2. Gender Equality and Social Inclusion: Making It Happen in Rural Infrastructure	33
3. Checklist for Mainstreaming Gender Equality and Social Inclusion	71
Annexes	83
Bibliography	98
List of Tables	
1.1 Inclusive, Pro-poor, and Gender-responsive Percentages of Annual Budget of the Government of Nepal, 2009-2010	16
1.2 Summary Gender Equality and Social Inclusion Budget Analysis of Seven Sectors (Total of Program Budget), Including Direct and Indirect Contributions	17
1.3 Gender Equality and Social Inclusion Budget Analysis of Annual Programs, Kavre and Morang (%)	18
2.1 Programs and Their Gender Equality and Social Inclusion Provisions	47
2.2 Gender Equality and Social Inclusion Analysis of Five Programs	57
2.3 Infrastructure as Share of Total District Development Committee Budget, Morang and Kavre (%)	58
3.1 Analysis of Barriers	75
3.2 Responses to Exclusion	76
3.3 Monitoring and Evaluation	78
3.4 Roles and Timing in Monitoring	80
List of Figures	
1.1 Excluded Groups	4
1.2 Steps for Mainstreaming Gender Equality and Social Inclusion	5
1.3 Domains of Change	6
1.4 Diversity Profile of Civil Service Personnel in Seven Sectors	14
1.5 Diversity Profile of Civil Service Personnel by Level, Sex, Caste and Ethnicity	15
2.1 Diversity Profile of Civil Personnel in Department of Local Infrastructure Development and Agricultural Roads/Ministry of Local Development	54
2.2 Diversity of Civil Personnel in Department of Local Infrastructure Development and Agricultural Roads (Sex, Caste/Ethnicity and Level)	55

List of Boxes

1.1	What is a REFLECT circle?	20
2.1	Challenges Experienced by Infrastructure Task Teams	53

List of Annexes

1.1	Definitions of Socially Excluded Groups	83
1.2	Step 1 Gender Equality and Social Inclusion Framework: Analysis of Policy, Institutional, Program, and Monitoring and Evaluation Barriers	85
1.3	List of Budgets Reviewed, FY 2009-2010, for Gender Equality and Social Inclusion Budgeting Covering 22 Programs and Annual Plans of Two Ministries	86
2.1	Overview of Programmes	87
2.2	GRB Sub-Indicators	89
2.3	Logical Framework of Selected Programmes/Projects on Rural Infrastructure	90
3.1	Policy Analysis Format	97
3.2	Format for Disaggregated Diversity Profile	97
3.3	Program and Budget Analysis Format	97

Preface

Background and Objectives of GSEA 2011/ Sectoral Series: Monograph 6

Gender equality and social inclusion (GESI) have been recognized by the Government of Nepal and its development partners as critical to equitable development. Particularly following the Second People's Movement (or Jana Andolan II) of April 2006, the efforts of the government, with the support of development partners, have been aimed at transforming the country into an inclusive and just state, with an eye to restructuring existing power relations to ensure the rights of all citizens, regardless of caste, ethnicity, religion, gender, region, age, or class. The Interim Constitution (2007) guarantees social justice and affirmative action for women, Dalits, Adivasi Janajatis, Muslims, Madhesis, and other excluded or disadvantaged groups. It also proposes the future restructuring of the state to institutionalize an inclusive, democratic and progressive governance system, maximizing people's participation based on devolution of power, and the equitable distribution of resources.

The Gender and Social Exclusion Assessment (GSEA), which was jointly produced by the World Bank (WB) and the UK Department of International Development (DFID), was delivered to the National Planning Commission (NPC) in June of 2005 and published in summary version in early 2006 as *Unequal Citizens: Gender, Caste and Ethnic Exclusion in Nepal*.

As a complement to the Gender and Social Exclusion Assessment, DFID, WB and ADB have collaborated to produce a series of mono-

graphs with practical guidance on how to mainstream gender equality and social inclusion in seven key service-delivery sectors: agriculture, education, forestry, health, irrigation, rural infrastructure (with an emphasis on roads), and rural and urban water supply and sanitation—to which additional sectors may be added in the future.

The current process of political transition provides a very significant opportunity for greater inclusion and equitable development. The Interim Constitution (2007) and the Three-Year Interim Plan (2008-2010) reflect commitments made for the social, political and economic transformation of Nepal. For the country's development partners, including DFID, WB and ADB, mainstreaming gender equality and social inclusion in their overall work is mandated by global and national agency directives.¹ For instance, in its country partnership strategy (2010-2014), ADB recognizes the need to “address gender, ethnic, and caste discrimination through policy reform, targeted investments, and the mainstreaming of equal opportunity measures in key sector investments”, and aims to guide and ensure that in all ADB operations and sectoral assistance, gender and social inclusion concerns are adequately addressed (ADB 2009). DFID's country business plan for Nepal states that, “Gender is at the heart of our work ... all our work considers impacts on women and girls.”² Efforts to promote gender equality and social inclusion are likewise an integral part of the World Bank's current interim strategy for

Nepal (World Bank, 2009) and the new strategy being developed.

In Nepal over the last few years there has been a growing practice of developing gender- and inclusion-sensitive interventions, especially in the government's sector-wide programs supported by multiple donors (e.g., Local Governance and Community Development Program [LGCDP], health, education and rural transport SWAs [sector-wide approach]). Various sectors have also developed their own GESI strategies (e.g., forestry, agriculture, health and local development). This Series attempts to provide coherence to GESI mainstreaming done by the government, donor agencies and other development actors, and to introduce a tool that can be commonly applied across sectors for mainstreaming in policies, programming, budgeting, monitoring, and reporting. The aim of the Series is to help make the Government of Nepal's goal of universal access to key public services and resources a reality for all Nepali citizens. A major focus has thus been on identifying the specific barriers faced by different groups and the resultant impact of those barriers; assessing policies, program modalities, and project mechanisms that have worked best to overcome these barriers; and identifying the measures that work best to mainstream GESI in sectoral programming.

Process of Developing GSEA 2011/Sectoral Series Monographs

Each of the sectoral assessments consisted of document review, meetings with sector specialists and stakeholders, diversity and budget analysis, some fieldwork, wider consultative workshops, and follow-up meetings. Meetings and interactions were held with more than 100 people from government, civil society, commissions, representative associations/organizations of excluded groups, and projects/programs. Sectoral consultation workshops with approxi-

mately 30 participants in each were organized with key stakeholders, namely, government, project/program staff, donor agencies, and representative organizations. Literature review was a major source of information for the development of these monographs; however, some fieldwork was also done by team members in selected districts.

Draft versions prepared by Greg Whiteside (health), Elvira Graner (education), Bijaya Bajracharya (agriculture/forests/irrigation), Jennifer Appave (water supply and sanitation), and Shuva Sharma (rural infrastructure/roads) were used as background information and built upon where possible. As the GESI framework began to emerge as an important way forward, ADB, DFID and the World Bank decided that the sectoral assessments should be structured around this framework so that practitioners using the monographs would become familiar with the approach. Due to its previous experience in the development and application of the GESI framework, the Human Resource Development Centre (HURDEC), a private management consultancy firm of Nepal, was commissioned by WB/DFID to lead the development of the sectoral series. Jennifer Appave was commissioned by ADB to work with the HURDEC team from January to June 2010 to prepare the drafts. The Swiss Agency for Development and Cooperation (SDC) provided technical support through two advisers.

The team members who prepared the different sectoral monographs in this series are as follows: 1) agriculture—Jennifer Appave and Chhaya Jha, with inputs from Yadab Chapagain and Yamuna Ghale (SDC); 2) education—Jaya Sharma and Chhaya Jha, with inputs from Yadab Chapagain (HURDEC); 3) forestry—Bimala Rai-Paudyal (SDC) and Chhaya Jha; 4) health—Chhaya Jha; 5) irrigation—Chhaya Jha and Jennifer Appave, with inputs from Pranita Bhushan and Yadab

Chapagain; 6) rural infrastructure—Chhaya Jha, with inputs from Kumar Updhayay (HURDEC) and Shuva Sharma; and 7) water supply and sanitation—Jennifer Appave and Chhaya Jha. Deepa Shakya and Sara Subba did the research for the sectoral monographs while Dharmendra Shakya and Ram Bhusal worked on the budget analysis and staff diversity analysis. Sitaram Prasai and Birbhadra Acharya (HURDEC) did the gender-responsive budget (GRB) assessment in Kavre and Morang districts. Carey Biron edited all the monographs except forestry, which was done by Mary Hobley. Chhaya Jha guided the entire process, and was responsible for the final writing of all the monographs under the guidance of Lynn Bennett, the lead researcher for GSEA.

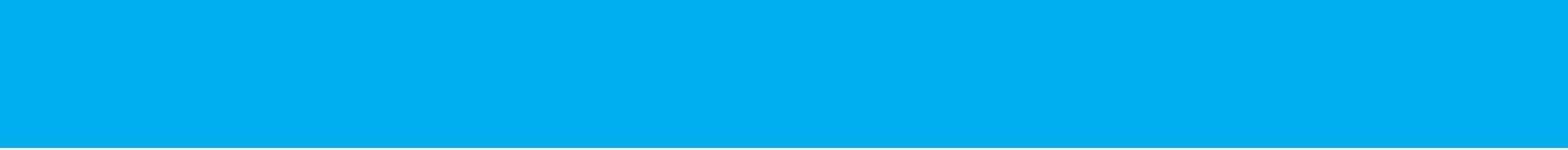
The Sectoral Series Monograph would not have made it to their current published form without the diligence and creativity of the Himal

Books team responsible for the final editorial and design support. Led by Deepak Thapa, the team included Amrita Limbu (editorial assistance) and Chiran Ghimire (layout and design).

The monographs in this series should be considered as learning documents that will allow for sectoral data and analysis to be updated and improved based on sectoral experiences and sharing of good practices. The monographs in this series all have a common introduction and a common final chapter outlining the generic steps in the GESI mainstreaming process which is intended as a handy reference guide for practitioners. The sectoral monographs have been published in alphabetical order, covering agriculture, education, forest, health, irrigation, rural infrastructure (roads), and rural and urban water supply and sanitation. Additional sectors will be included over time.

Notes

- 1 For the World Bank, the gender-mainstreaming strategy (2001) and operational policy and Bank procedures statement (2003) provide the policy framework for promoting gender issues as part of strategically focused analytical work, policy dialogue and country assistance (World Bank 2006). The policy on gender and development (1998), Strategy 2020, and ADB results framework articulate ADB's commitment to gender, and require that gender inequalities be addressed in all aspects of ADB work (ADB 2010). The principal elements of DFID's gender policy and strategy are contained in DFID (2000, 2002). A "twin-track" approach based on mainstreaming of gender issues in all areas and sectors, while maintaining a focus on the empowerment of women as a disadvantaged group, has been adopted (Jensen et al, 2006).
- 2 The UK government's program of work to fight poverty in Nepal, 2009-2012.



Executive Summary

The purpose of this monograph is twofold. First, it assesses the current situation of gender equality and social inclusion (GESI) in Nepal's rural infrastructure sector, and identifies the barriers faced by different groups in accessing resources and other benefits of such infrastructure. It also considers the policy, legislative and social barriers that some social groups face in accessing these benefits, and how the various policies, processes and programs have worked to address these. Second, it provides practical guidance on how to improve existing responses and take further action for more equitable access to rural infrastructure resources, services and benefits. The chapter specifically focuses on rural transport infrastructure.

Rural infrastructure has the potential to bring about significant changes in the lives of women, the poor and the excluded. But the impacts of these vary significantly due to differing social, cultural, institutional, physical and economic constraints, many of which are rooted in systemic bias. These differences have significant implications for how men, women and different social groups use infrastructure services, what infrastructure is most useful for them, and the extent to which this can ultimately provide livelihood opportunities, save time and reduce geographic exclusion.

Through its programs and policies the government has made efforts to ensure women, the poor and the excluded get benefits of the rural infrastructure. There is increased diversity in groups and committees. Short-term employ-

ment opportunities during construction periods give average earnings of Rs 260/day. Technical/construction skills learned on the job are a source of future income. There is decreased dependency on moneylenders and increased savings when a labor-based, environment-friendly and participatory (LEP) approach is used. When infrastructure-plus activities are implemented, social benefits also occur. But there are several broad dimensions of exclusion faced by women, the poor, excluded groups and remote areas in accessing and utilizing rural infrastructure. Exclusion in these sectors exists particularly due to the fact that the exact location of the infrastructure facility or the alignment of roads or irrigation canals tend to ignore the specific needs and problems of women, the poor and excluded groups. In general, remote areas are often ignored, even as accessible areas are prioritized for local infrastructure, leaving population groups (often Janajatis and Dalits) settled in remote areas with a high chance of being left out from the very beginning of project planning. Further, the formation of user or construction committees and the election of their executives tend to ignore the representation and interests of women, Dalits, Janajatis and other disadvantaged groups though there has been a recent shift in this due to strong policy provisions for representation. Still, there is risk of poor families losing their lands and homes to make way for infrastructure without adequate financial compensation. Financial and labor contribution rules are not always equitable, sometimes forcing the worse off to bear higher

burdens in relation to their overall income and asset base. Likewise, when infrastructure is constructed through contractors, local laborers are sometimes not employed since contractors often prefer to bring in labor from outside the area. In addition, a key barrier for inclusion remains poor governance, lack of accountability of the process, and corruption in the sector, which inevitably tends to reinforce exclusion and lack of transparency. Because women, the poor and excluded groups can miss out in representation in operation and maintenance committees, they can lose opportunities to be trained as maintenance workers—and again, because contributions for maintenance are not equitable, the worse-off are typically forced to share more of the burden relative to their income.

A number of policy guidelines to regulate work by building groups and user committees do exist, including stipulating that these local groups have priority in construction jobs while limiting the use of contractors to technically demanding and complex work. Yet, a key gap is the lack of any policy directive for a disaggregated analysis and identification of transport needs and travel patterns of women and men of different social identities. The District Transport Management Plan Approach Manual directs that requests for transport linkages be prioritized against 19 indicators; but while the process does require consultation, the depth of inclusiveness might not be sufficient to ensure that the genuine priorities of women, the poor and the excluded are identified based on their work burden. Significant effort has been made to increase representation of the excluded in relevant committees, but decision-makers have little incentive to respond to issues raised by diverse communities. For the moment representation of different social groups remains largely at the community level, while their presence within higher-level coordination structures is minimal. Further, no mechanism exists to

allow the excluded to influence decisions at the level of village/district development committees.

There is a lack of clear GESI-related responsibilities in the terms of reference of the Department of Local Infrastructure Development and Agriculture Roads, district technical offices, and the various committees; nor have efforts been made to build their capacity to work on such issues. More generally, diversity within the civil personnel in the sector is also low. Out of 990 personnel in the department only 49 are women, with just seven in gazetted positions. Compared to the national population, there is over-representation of Hill Brahmins, Chhetris and Newars in gazetted positions, and of Madhesi Other Castes/Other Backward Classes (OBC) in non-gazetted positions, with all the other groups under-represented. While government initiatives to make budgeting and monitoring more inclusive are to be appreciated, much remains to be done. For instance, gender-responsive budgeting practices have been initiated but insufficient guidance and clarity on how to carry it out has created confusion. The case is similar with pro-poor and inclusive development budgeting for which figures are cited in the government's annual budget speech even though concerned sector staff are not engaged in developing them.

Various good practices, such as a labor-intensive approach, mandated representation of women (including the poor and excluded) in committees, affirmative action, equal pay for equal work and REFLECT-type classes to build capacity of road-building group members, are contributing to the empowerment of excluded groups. But sectoral learning demonstrates that the opportunity to work on the construction of rural roads seems to benefit the poor and excluded primarily in the short term. In the medium term, some communities do also gain from better access to other areas and to public and private services as well as reduced costs for

transporting goods and people. However, there is little evidence of the long-term impact of such improvements on the economic status of women, the poor and the excluded. The major beneficiaries are perceived as being the middle or higher social groups, the contractors and others who are better positioned and equipped to take advantage of the changes and improved accessibility afforded by new roads. The longer-term benefits from roads require time—and often access to information and capital—to be realized and are unlikely to reach women, the poor and the excluded without complementary interventions to build voice and capacity after the infrastructure is completed, e.g., by follow-on economic programs.

Gender inequality and social exclusion in rural infrastructure are inextricably linked to the wider socio-cultural and politico-economic context. Often the “barriers” we need to remove or work around in order to provide more equal access are part of interconnected formal and informal institutions that structure Nepali society. The process of identifying “formal” and “informal” barriers to benefits of the sector will have to be followed by a commitment to develop, budget for and implement mechanisms to overcome these. There are a number of key general steps that need to be ensured during the design and implementation stage, many of which have become established practice now in donor-funded programs: formation of inclusive user committees, with women, the poor and the excluded in decision-making positions, and at least one as a signatory of bank checks; registration of inclusive committees, with certification and brief constitution, at district and village development committees and line agencies; an account opened at the nearest bank; and capacity building of committees, including creating a gender- and inclusion-sensitive environment for women, the poor and the excluded to be able to voice their views.

As the key planning document for the rural transport infrastructure (RTI), the District Transport Management Plan (DTMP) has to be very carefully formulated, with disaggregated evidence and the participation of people from different social groups, and its scope widened beyond roads and trail bridges to include other forms of RTI. Disaggregated information must be the basis for plan preparation or revision, while existing RTI structures, the public’s priorities (including those of women, the poor and the excluded), and their transport tasks must be the basis for all planning. At the moment, the committees and offices responsible for district transport management planning are not very representative, and thus mechanisms for representation (of the excluded) on the different district-level coordination committees and GESI implementation committees must be established. Targeted gender and inclusion activities will be very important as will capacity building to increase the ability of these groups to influence decisions and to acquire the skills they need to become contractors and bid for jobs themselves. Provision of REFLECT-type classes, childcare facilities and establishing GESI-sensitive qualification criteria for contractors, etc, can also help. The technical design must involve beneficiaries and stakeholders, including women, the poor and the excluded, in surveying, collection of local rates and availability of local materials. Budget allocations have to be specified, especially for targeted activities.

As a general rule, the use of heavy machines, which take the place of labor, must not be promoted even though, as the RTI sector-wide approach has directed, a labor-based technology approach that encourages the optimum mix of labor and machinery on a case-by-case basis is acceptable. At the moment, two implementation modalities are in practice: one through community-level groups and the other with contractors.

In each case, the decision on which modality to follow is to be made in a transparent manner by representative committees. Criteria and guidelines must be prepared for such decisions and mechanisms established and followed so that accountability is increased and opportunities for malpractice lessened. Operation and maintenance arrangements that enable user groups and committees to repair and maintain RTI with local support have proven successful and need to be promoted. The practice of keeping a certain percentage of budget costs for operation and maintenance is also well established and has been useful though the underlying issue of long-term funding is yet to be addressed.

Since the National Planning Commission (NPC) monitoring guidelines and formats are not fully disaggregated and do not ask for qualitative information, GESI-sensitive monitoring is difficult. Policy advocacy with the commission is thus necessary for future revisions such as: public and social audits of projects after each installment, and final audit at project end for a review of financial, technical and social progress; regular periodic reporting of project progress against targets, with disaggregation; standard formats for disaggregated information; periodic monitoring by technical teams and representatives of coordination committees, including women and representatives of excluded groups; consultations with labor groups, coordination committees and stakeholders as part of the participatory evaluation of progress and for feedback; and database and management information systems at district development committees for better reporting on disaggregated information.

All monitoring and reporting formats must have disaggregation by poverty, sex, caste, ethnicity and location. GESI-related issues require monitoring and reporting in three areas/domains: changes in assets/services; changes in voice and ability to influence; and changes in informal and formal policies and behavior. As explained earlier, budget monitoring from a GESI perspective has to be established, i.e., how much allocated budget is being spent on directly supportive, indirectly supportive or neutral activities in relation to women and other excluded groups. While these are essential from a GESI perspective, the effort to develop, establish and maintain such systems and mechanisms needs sustained effort. Some of the more progressive programs also need to pilot a monitoring and evaluation system that is GESI responsive, after which the subsector can work to mainstream such a system.

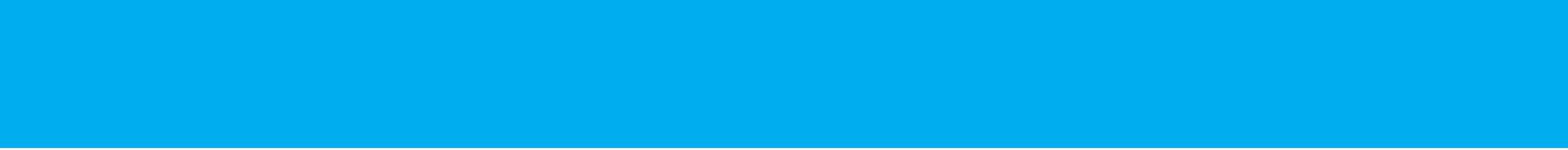
Well-designed, appropriately located and affordably priced infrastructure can be a powerful tool for gender equality and social inclusion. Mainstreaming GESI will require greater emphasis on the analysis of social relations, infrastructure needs of different groups, and how the sector can respond to the issues of women, the poor and the excluded. Interventions to address these barriers need to be designed and adequately funded, while disaggregated monitoring of inputs, outputs and outcomes will help to ensure a more systematic and inclusive rural infrastructure. In addition, policy directives, along with mechanisms/tools and organizational and human capacity, are all essential for effective GESI mainstreaming.

Abbreviations/Acronyms

ADB	Asian Development Bank
ADB	Asian Development Bank
ADDCN	Association of District Development Committees of Nepal
BGs	Building Groups
COPE/PLA	Client Oriented Provider Efficient/Participatory Learning and Action
CSOs	Civil-Society Organizations
DDC	District Development Committee
DDG	Deputy Director General
DFID	Department for International Development
DG	Director General
DHS	Demographic and Health Survey
DICC	District Implementation Coordination Committee
DIDCs	District Information and Documentation Centres
DoLIDAR	Department of Local Infrastructure Development and Agriculture Roads
DPMAS	District Poverty Monitoring and Analysis System
DRCC	District Road Coordination Committee
DRILP	Decentralized Rural Infrastructure and Livelihood Project
DRSP	District Road Support Programme
DTCO	District Treasury Controller's Office
DTICC	District Transport Infrastructure Coordination Committee
DTMP	District Transport Management Plan
DTO	District Technical Office
EmPLED	Employment Creation and Peace-building through Local Economic Development
FSRP	Food Security and Rehabilitation Support
FY	Fiscal Year
GESI	Gender Equality and Social Inclusion
GMCC	Gender Mainstreaming Coordination Committee
GoN	Government of Nepal
GRB	Gender-Responsive Budget
GRB	Gender-Responsive Budget
GSEA	Gender and Social Exclusion Assessment
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
HURDEC	Human Resource Development Centre

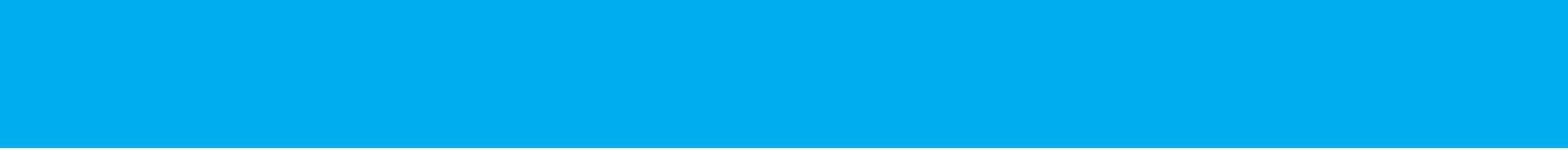
IGAs	Income Generating Activities
ILO	International Labour Organisation
IPC	Integrated Planning Committee
IRAP	Integrated Rural Accessibility Planning
LBT	Labour-Based Technology
LED	Local Economic Development
LEP	Labour-based, Environment-friendly and Participatory
LFP	Livelihoods and Forestry Program
LGCDP	Local Governance and Community Development Program
LIDP	Local Infrastructure Development Policy
LSGA	Local Self-Governance Act
M&E	Monitoring and Evaluation
MIS	Management Information Systems
MLD	Ministry of Local Development
MOAC	Ministry of Agriculture and Cooperatives
MOF	Ministry of Finance
MOFSC	Ministry of Forest and Soil Conservation
MOHP	Ministry of Health and Population
MUAN	Municipal Association of Nepal
MWCSW	Ministry of Women, Children, and Social Welfare
NAVIN	Nepal Association of Village Development Committees
NGOs	Non Governmental Organizations
NHSP-IP 2	Nepal Health Sector Program- Implementation Plan 2
NLFS	National Labor Force Survey
NLSS	National Living Standards Survey
NPC	National Planning Commission
NSCFP	Nepal Swiss Community Forest Project
O&M	Organisation and Management
OBC	Other Backward Classes
PIU	Programme/Project Implementation Unit
PLC	Participatory Learning Centers
PMAS	Poverty Monitoring and Analysis System
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Paper
RAIDP	Rural Access Improvement and Decentralization Programme
RAP	Rural Access Programme
RBG	Road Building Groups
RBN	Roads Board Nepal
RCIW	Rural Community Infrastructure Works
REFLECT	Regenerated Frerian Literacy through Empowering Community Techniques
ReRe	Reintegration and Rehabilitation Programme
RI	Rural Infrastructure

RRN	Rural Road Network
RRRSDP	Rural Reconstruction and Rehabilitation Sector Development Program
RTI	Rural Transport Infrastructure
RTMIS	Rural Transport Management Information System
RWSS	Rural Water Supply and Sanitation
SDC	Swiss Agency for Development and Cooperation
SSRP	School Sector Reform Program
SWAp	Sector-Wide Approach
TBBSP	Trail Bridge Building Support Programme
ToR	Terms of Reference
UCs	User Committees
UGs	User Groups
UN	United Nations
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
VCDP	Vulnerable Communities Development Plan
VDC	Village Development Committee
VICCC	Village Infrastructure Construction Coordination Committee
VRCC	Village Road Coordination Committee
VTICC	Village Transport Infrastructure Coordination Committee
WB	World Bank
WCF	Ward Citizens' Fora
WDO	Women's Development Officer
WFP	World Food Programme
WSS	Water Supply and Sanitation



CHAPTER I

Introduction and Overview



1.1 Introduction

This introduction and overview chapter defines the dimensions of exclusion and presents the framework for gender equality and social inclusion (GESI) mainstreaming that has been used for all the sectoral monographs. It presents an outline of the current situation of gender equality and social inclusion in Nepal, and summarizes the findings of the seven sectoral monographs. It presents the barriers that have been identified for women, the poor and the excluded, and discusses the national, international and sectoral policy mandates for GESI, the institutional structures and mechanisms established by the government for women and excluded groups, the sectoral findings regarding institutional arrangements for GESI, the diversity of civil personnel in the various sectors, and the working environment. It summarizes the findings regarding the existing practice of gender-responsive budgeting (GRB), the results of GESI budgeting that was applied in the seven sectors, and the monitoring and evaluation (M&E) system in use. The good practices, lessons learned and way forward for the sectoral monographs are also summarized.

1.2 Gender Equality and Social Inclusion Framework and Defining the Excluded

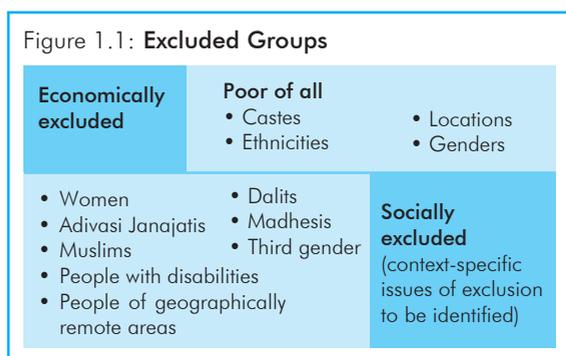
For the last 60 years, since the 1951 overthrow of the Rana regime, Nepal has been struggling to transform its feudal economic and political system, and to leave behind the ingrained hierarchies of gender and caste. But these deep-seated systems for organizing the world and structuring power relations do not change easily. Despite formal laws that guarantee equal treatment to men and women as well as to Dalits, Tharus and Brahmins, to Madhesis and Paharis, and to Hindus, Muslims and Christians, many of the old habits of thought and daily behavior endure. The vulnerability and dependency of women are

persistent in a patriarchal culture where, despite the fact that their labor was critical to the subsistence agricultural economy, women were little valued, and did not inherit family land.

Persistent too is the chronic poverty of groups such as the Dalits at the bottom of the caste hierarchy, who, in addition to the humiliation of being considered “impure” and therefore “untouchable,” have faced structural barriers to education and economic opportunities for generations. The Adivasi Janajatis, or indigenous groups in Nepal, most of whom were subdued some 250 years ago during the Gorkha conquests, have also found themselves placed within the Hindu caste hierarchy. Because of their numbers (37% of the population) and their military and cultural prowess, Adivasi Janajatis were given a place in the middle of the hierarchy rather than at the bottom, as they were in India. Ironically, even though it was a system imposed on them by outsiders, to preserve their own status in the hierarchy many Janajati groups adopted the same discriminatory behavior towards Dalits as that practiced by the “high-caste” rulers. Similarly, even the caste Hindus in the plains, or Madhes, of Nepal were looked down upon and treated as foreigners when they visited Kathmandu, the capital of their own country.

The list of grievances is long and groups that have been historically excluded are many in Nepal. As development practitioners and sectoral specialists, we need to know at least something of this historical and cultural context, so that we can design sectoral interventions in ways that are sensitive to the dense systems of exclusion that often still prevail in the communities where we hope to deliver services, infrastructure and livelihood opportunities. Our goal in this publication is to show how it is possible to design and implement the interventions we support in ways that bring equal benefit to men and women from all these groups.

This monograph is concerned with two major dimensions of exclusion: economic and social. As shown in Figure 1.1, when it comes to poverty, or economic exclusion, we are concerned with the poor of *all* castes, ethnicities, locations and sexes. The socially excluded¹ groups include women, Dalits, Adivasi Janajatis, Madhesis, Muslims, people with disabilities and people from geographically remote areas. What we also need to



keep in mind is that the dimensions of exclusion are cross-cutting and cumulative. Some of our clients suffer some dimensions of exclusion but not others—for example, a poor Brahmin woman from Gorkha Bazaar is privileged in terms of her caste and her fairly well-connected location, but excluded by her poverty and gender. Other clients suffer from exclusion in almost all dimensions: for example, a poor Dalit woman in Jumla must contend with four dimensions—poverty, caste, gender and remoteness—of exclusion. The fact that these dimensions all interact with each other in different ways to frame the life chances of the different individuals we are trying to reach is why we need to look at exclusion in a holistic way. This is particularly true for gender, as prior efforts have taught us that it is far less effective to target gender and social inclusion separately. Further, looking at men’s and women’s realities is not enough—it is also necessary to ask “which women” and “which men.”

As will be elaborated in greater detail throughout this series, it is essential for each sector to define

who the excluded in that sector are and the cause of their exclusion. The GESI framework² that is used for the sectoral monographs recognizes that both *formal* institutions (the legal framework, the policies of the sectoral ministry or even the specific procedures and components laid out in the formal project document) and *informal* institutions (the traditional norms of behavior for women and Dalits or the networks of political patronage) can present barriers to inclusion. Therefore, we keep an eye out for both of these dimensions throughout the GESI process.

The framework follows five key steps required to mainstream GESI in sectoral programming (visualized in Figure 1.2):

- i. identifying the excluded and the reason for their exclusion from access to services and opportunities in the sector;
- ii. designing policy and/or program-level responses that attempt to address the barriers in the program cycle;
- iii. implementation;
- iv. monitoring and evaluation to check whether planned resources and actions have reached women, the poor and the excluded; and (if M&E findings show the need)
- v. adjustment/redesign and continued M&E.

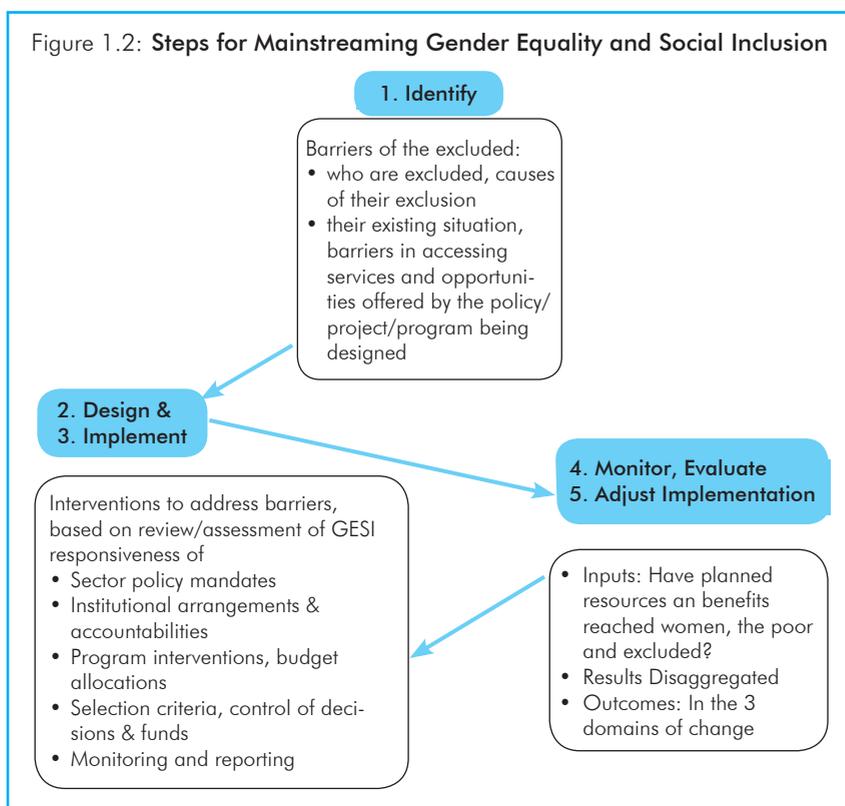
First step: Identification. This requires mapping the existing status of women, the poor, and the socially excluded in the sector, based on disaggregated qualitative and quantitative data and assessment of the available evidence. Analysis of existing policies (in the sector and beyond since policies in other sectors may also be blocking access), formal institutional structures and processes, and informal institutions (kinship, gender, caste systems and business and party networks) is necessary to understand exactly how social inequities based on gender, caste, religion, eth-

nicity and location have been created and/or maintained. The key actors in these existing structures also need to be critically assessed in terms of their ability (and incentives) to change their behavior and values, and to transform processes and mechanisms.

In addition to assessing the barriers constraining each group from enjoying their rights, we need to map existing policy and program responses (if any), and assess whether these are addressing, reducing or reinforcing these barriers (see Annex 1.2 for details). As we begin the design process, the situation prevailing in the sector—the set of policies and formal and informal institutions in place—will almost certainly be benefiting some

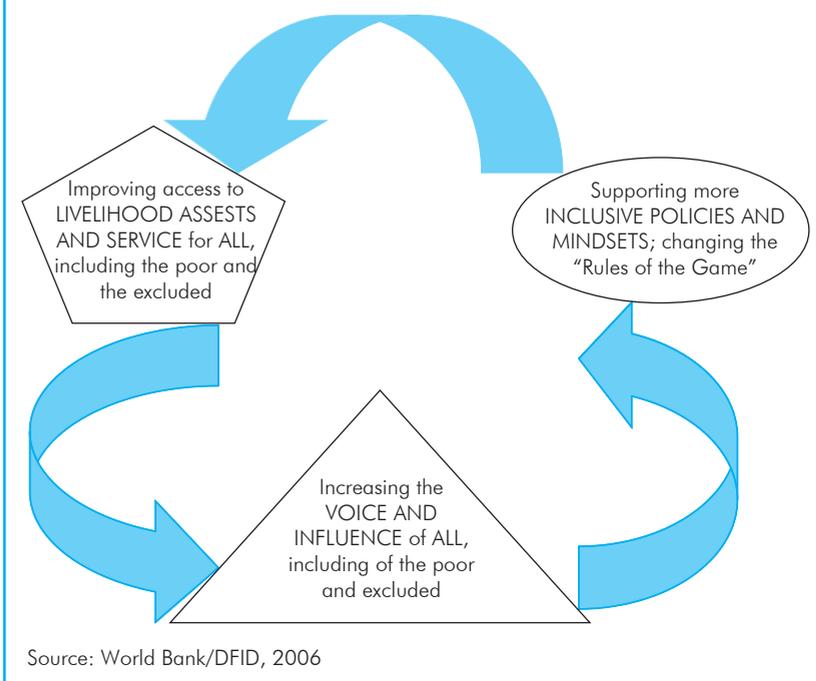
individuals and groups more than others. Thus, we need to understand the political economy of the sector or subsector both nationally and locally in the sites³ where our projects or programs will be implemented. The stated intention of policies and procedures will always be positive and aimed at delivering services and benefits to all, but how do the policies work out on the ground for different groups? Do they deliver as intended; if not, what is intervening to prevent or change the intended outcomes? Usually, it is merely gaps in the delivery or communications systems that have been set up, or failure to understand the real needs of certain kinds of consumers, or other economic or social constraints that are preventing them from accessing the sector services. Either way, this is the detective work that needs to be done during the first step of the GESI process.

Second and third steps: Design and implementation. Once the sociocultural barriers and



weaknesses in the policy framework or delivery system are understood, the job is to find ways to address these through interventions. This may require changes in policies, program activities, resource allocations, institutional arrangements and staff incentives as well as in the monitoring and reporting systems. Some things are easier to change than others and a single operation might not be able to make all the changes needed to respond to the diagnosis provided by Step 1. But even the larger, more intractable issues should be fed into the policy dialogue with government and other donors and be part of the longer-term sector strategy. At a minimum, *policies* need to be put in place that provide for the budget, processes (including stakeholder participation in the design) and systems needed to incorporate GESI mainstreaming into the operation under design. *Institutional arrangements* must also establish structures and mechanisms for routine work on gender and inclusion by technically competent

Figure 1.3: Domains of Change



individuals; promote diversity in staff composition; and adopt sensitive human resources policies for recruitment, promotion, transfer and performance evaluation.

To design a project or program so that it will be able to deliver real change and lasting progress for women, the poor and the excluded, it is useful to consider the content presented in Figure 1.3, which lays out three domains where change can happen. These are also domains that define exclusion and inclusion, and most projects and programs include activities in one or all of these areas. One important domain is access to assets and services (i.e., health, education, and employment opportunities), which almost all of our interventions seek to increase. What does your intervention need to do to make sure that access is open to excluded groups, and that you can track it?

The second domain has to do with *voice and influence*. In Nepal, group-based projects and what the World Bank calls community-driven

development approaches place a great deal of emphasis on organizing communities to manage resources, deliver services and construct infrastructure themselves. The way groups are formed, the depth of the social mobilization process and the level of effort to bring in people from excluded groups and give them genuine voice and influence over the group processes constitute another area where good design and careful implementation and monitoring can make a major difference. The final domain where our sector operations can make a difference is through *changing policies, institutional structures, and norms* (i.e., the “rules of the game”), when intentionally or unintentionally these work against the interests of excluded

groups. As noted above, not every operation can do this at the national policy level; but if our analysis has revealed that certain policies are perpetuating the exclusion of certain groups from the benefits our sector operation intends to deliver, then we need to be on the lookout for opportunities to get such policy changes on the agenda, and to push for their adoption. Often, even smaller project-level policies and procedures that are easier to influence can bring about important changes.

Nepal’s weak implementation capacity means that even positive policy provisions are often not implemented effectively. Meanwhile, informal norms, social practices, values and biases of officials and service providers from dominant groups continue to hamper the implementation of measures that seek to transform power relations. Thus, implementation processes need to be designed in such a way as to provide space for service providers, local leaders, men and others who hold power to reflect on and internalize the

need for such shifts. This long-term design-and-implementation commitment to gender equality and inclusion-related activities is an essential element of mainstreaming GESI, and it requires a clear commitment from the management level to this way of doing business.

Final steps: Monitoring, evaluation, and reporting. M&E systems need to be designed to collect disaggregated data on outputs, outcomes and development results, and to be linked into management decision-making in such a way that data on inclusion failures automatically trigger project actions to understand and remedy the situation. At the output level, management should be able to ensure that the planned project resources and actions have reached women, the poor and the excluded. Yet, disaggregated intermediate outcomes also need to be tracked, such as the socioeconomic profile of user groups and executive committees, labor groups, pregnant women receiving antenatal visits, school attendance, new teachers hired, the placement of water taps, etc. Finally, disaggregated data on development results need to be collected and analyzed. This may be done by the project, but in some cases with the right coordination it can also be done by periodic national-level sample surveys such as the National Living Standards Survey (NLSS), the Nepal Demographic and Health Survey (NDHS), or the National Labor Force Survey (NLFS), or through the decennial census. Indicators of results at this level include, for instance, the time required to reach an improved water source or motorable road, primary-school completion rates, child mortality, increase in agricultural-based income, etc. In all of this, reporting formats need to capture disaggregated information about outputs, outcomes and results for different social groups, and the processes that linked them. Refer to Chapter 3 for a checklist for mainstreaming GESI.

1.3 Current Situation of Gender Equality and Social Inclusion in Nepal

Gender issues have been addressed during the past few decades of Nepal's planned development. Yet, it is only more recently that social inclusion has entered the development discourse, leading to recognition of other dimensions of exclusion in addition to gender.

1.3.1 Sector-wide barriers for women, the poor and the excluded

Each of the sectoral monographs in this series demonstrates that economic, political and socio-cultural institutional barriers exist for women, the poor and excluded groups, restricting their access to assets, services and opportunities to exercise their voice and influence. Women's access to assets and resources has improved considerably through many targeted programs while affirmative action strategies have helped to increase their representation in user groups and committees in all sectors. Forest and water supply and sanitation have been the most commendable sectors in promoting women's membership and participation, yet the operational space for women to voice their issues and exercise their agency remains strongly restricted by societal rules/norms/beliefs that continue to define how women are valued and what they can or cannot do (World Bank/DFID 2006). The sectoral monographs all show that women's ability to make decisions and benefit from accessing resources and services (e.g., to take care-seeking decisions when ill, to allocate time for attending community meetings, and to engage in livelihood activities) is often shaped by gendered norms and practices. Thus, along with changing discriminatory formal laws and policies, change must also take place in the home and family sphere in order to effectively address the barriers women face.

Government initiatives to promote an inclusive

public sector through, for example, free education and healthcare services have helped to increase access for the poor. However, the need to meet their daily subsistence needs, low literacy skills, and poor access to information about services and available resources limit the poor from benefiting fully from these programs. Further, self-exclusion of the very poor from group-based community development activities is common due to lack of time to contribute as well as lack of agency to influence decisions. Since so many services and opportunities flow through groups, this self-exclusion further reduces the access to resources and livelihood opportunities of those most in need. Similarly, the high opportunity costs incurred in the initial stages of group formation, with benefits uncertain and only coming later, also restrict the membership and participation of the very poor in user groups and committees.

Geographic location is a key determinant of exclusion across all sectors, influencing the level of access to public services such as schools, health posts, agricultural extension agents and finance institutions. For example, 38% of Janajatis in the hill regions have no access to a health post within an hour's walk. The lowest life expectancy (44) is found in the mountain district of Mugu, compared to 74 in Kathmandu. Only 32% of households in Nepal can reach the nearest agriculture center within a 30-minute walk, and only 28% can reach the nearest bank in that time. A significant part of the problem is that the government lacks the human resources necessary to deliver services or offer effective outreach to the remotest communities—and the available government staff are often reluctant to serve in remote areas, and thus find informal ways to avoid such postings. This is compounded by the dismissive attitude of many providers towards women, the poor, and the excluded.

Caste-based discrimination and untouchability remain a major barrier for Dalits in accessing

services, resources and assets, and in their ability to have voice and influence in decision-making processes. This is particularly so in accessing drinking-water facilities due to the traditional Hindu belief that Dalits are “impure” and will pollute a water source. Similarly, the low development outcomes in education (e.g., the illiteracy rate for Madhesi Dalit women is over 85%) and health (e.g., Madhesi Dalit women also have the lowest health indicators) are a result of a combination of factors, including poverty, lack of awareness and the discriminatory attitudes and behavior of non-Dalits towards Dalits (Bennett, Dahal and Govindasamy 2008).

For Adivasi Janajatis, language and issues around their cultural rights are the most significant barriers to accessing resources and benefiting from services. These are compounded by the low access of the most disadvantaged Adivasi groups to information on available development resources and procedures. Muslims and some Madhesi groups, especially women within these groups, face linguistic and sociocultural barriers that affect their level of mobility and ability to access services and participate in the public sphere. Although there is greater awareness of the needs of people with disabilities, this group continues to face social discrimination with virtually no disability-friendly services and facilities available, especially in rural areas.

1.3.2 Policy and legal framework for GESI

This section⁴ discusses the GESI policy framework and mandates at the international, national, and sectoral levels.

National mandates for GESI

Positive provisions in parliamentary declarations, the Interim Constitution (2007), the Three-Year Interim Plan (2008-10), and Nepal's ratification of various international instruments, including the International Labour Organisation (ILO)

Convention 169 on Indigenous Peoples, establish the fundamental rights of women, protect the cultural rights of Adivasi Janajatis, declare untouchability a legal offence, protect the rights of children and establish the rights of the poor, people with disabilities, Muslims and Madhesis.

The Local Self-Governance Act, 1999, empowers local bodies and has made them more accountable, particularly for local development activities. It directs local bodies to formulate their plans with the active involvement and participation of local people, focusing on the special needs of the poor, and mandates 20% representation of women on village and ward-level development committees. But these provisions do not address issues of inequity and vulnerability caused by gender, caste or ethnicity. The Local Self-Governance Regulations have provided for the inclusion and prioritization of the poor and the excluded in development activities. At the district development committee (DDC) level, however, the regulations make no distinct provision for the social and economic promotion of the poor and the excluded in the duties, roles and responsibilities of the DDC. However, the DDC can form subcommittees to address the needs of women and the disadvantaged by including members from nongovernmental organizations (NGOs), community-based organizations and civil society, and other experts.

The Gender Equality and Social Inclusion Operational Strategy (2009) of the Local Governance and Community Development Program (LGCDP) of the Ministry of Local Development (MLD)⁵ has provisioned for the informed participation of citizens, including women, the poor and the excluded, in local governance processes, and for capacity building of the Ministry's structures for mainstreaming GESI. It has established mechanisms of ward and village citizens' forums and GESI implemen-

tation committees in DDCs, and identified the roles and responsibilities of the GESI section of MLD. The DDC expanded block-grant guidelines to make a direct 15% budget allocation for women and 15% for people from excluded groups at the district level. The Village Development Committee Grant Operation Manual directs 5% for poor women, 5% for poor children and 10% for other excluded groups in village development committees (VDCs) and municipalities. The manual has also provided for integrated planning committees at the VDC level, with inclusive representation from Dalit, Janajati and women's organizations, from NGOs working in the VDCs, school management committees, social organizations, political parties, and line agencies. It directs that 33% of members must be women. (This is only a sample of provisions that are positive from a gender and inclusion perspective, as several others exist as well.)⁶

International commitments

Nepal has ratified as many as 16 international human rights instruments, including international conventions and covenants on women (United Nations [UN] Convention on the Elimination of Discrimination against Women, Beijing Platform of Action), child rights (UN Convention on the Rights of the Child), indigenous people's rights (ILO Convention 169), and racial discrimination (UN Convention on the Elimination of Racial Discrimination). It has committed to international agreements on targets (Millennium Development Goals) set for women's empowerment, education, drinking water and sanitation, health, hunger and poverty. Nepal has also agreed to UN Security Council Resolution 1325 that establishes legal standards governing the protection of women during conflict, their participation in peace and security processes, and their protection against multiple forms of violence.

Sectoral policies: Gender equality and social inclusion policy provisions in the seven sectors

From our review, we find that commitments to GESI and progressive policy mandates have been made across the seven sectors, albeit to varying degrees. Revisions in policies have allowed programs addressing access to services for specific groups to be developed and implemented—for instance, free primary education, scholarships for girls and Dalits, multilingual education, incentive schemes for out-of-school children, universal and targeted free healthcare, safe delivery incentive schemes, quotas for women in community groups established by all the sectors, agriculture-related subsidies for the excluded, subsidies for poor households to build latrines, and so on.

SWAp (sector-wide approach) is increasingly being followed in Nepal, allowing for donor harmonization and more concerted efforts to address gender and inclusion issues. SWAps in health and education—the Nepal Health Sector Program-Implementation Plan 2 [NHSP-IP 2] (2010-2015) and School Sector Reform Program (SSRP) (2009-2015), respectively—have directives to address barriers experienced by women, the poor and the excluded. The NHSP-IP 2 includes a specific objective to address sociocultural barriers, a reflection of the government’s shift to recognizing the need to address deeply embedded social norms and practices that affect health outcomes. GESI strategies have been included in the NHSP-IP 2, and strategies have been prepared for the agriculture and forest sectors though these have not yet been implemented.

Policies shifting control from centralized agencies to VDC-level community-based committees (school and health facility management committees) have increased the chances for women and the excluded to participate in decision-making. Yet, there is room for improvement: both of these could contribute more effec-

tively if representatives from excluded groups were to be selected by their own communities,⁷ if mechanisms were available for more inclusive representation to influence decisions, and if there were better monitoring by the relevant authorities. Policy provisions for representation of women and the excluded in user groups and committees, with specific guidance for representation in post-holding positions, have also become a well-established practice. The rural water supply and sanitation (WSS) national policy, for instance, has a mandate of 30% of women in user groups and committees, while for Dalits and Janajatis, too, there are provisions for representation (e.g., in health facility operation and management committees, farmer groups, road-building groups, water supply users’ committees, and water users’ associations). The more technical infrastructure sectors, such as WSS, rural roads and irrigation, have recognized the role women have in the operation and management of these sectors and have developed policies that promote their participation, especially in the construction and management phases. But policy development is weaker in ensuring that women, the poor and the excluded have voice and agency in local-level decision-making processes and has not effectively addressed the role that political and elite capture often has in influencing access to and utilization of resources and benefits in these sectors.

Policies for public and social audits adopted by many sectors (health, WSS, rural roads) are to be appreciated as these increase downward accountability of service providers. Implementation of these audits, however, remains problematic as does the risk of their becoming just another donor requirement with no repercussions if they are not properly carried out. Thus, it is important to have the participation of all excluded groups, follow-up to address any query that may arise from the audits, and monitoring to ensure that

full and correct processes are being implemented. Many policy revisions have focused on improving access to resources and services, but without addressing the structural issues that cause the exclusion of these groups. Thus, for example, the Agriculture Perspective Plan, the overarching policy framework guiding the agriculture sector, ignores key land-specific issues, and instead deals primarily with how to increase immediate production outputs rather than with strategic and structural issues related to resource management, governance and structural agrarian reform. In the forest sector, positive provisions are being increasingly implemented in community forestry, which has become more GESI responsive. But there is no recognition by decision makers that 75% of the national forests are barred to civilians—any use is illegal and punitive action is normal, impacting primarily on women, the poor and the excluded.

Almost all sectors provide specific support to women but efforts to address the structural causes of gender-based discrimination are almost nonexistent. Only very recently has the government developed a national plan of action on gender-based violence, with the health sector recognizing violence against women and girls as a public health issue. But these aspects are not integrated in the policies developed in other sectors—for instance, the seed policy in the agriculture sector is considered liberal, but does not recognize that seed transactions are male dominated, and by men of higher-income groups. Similarly, in the forest and WSS sectors, affirmative action policies are in place to ensure the representation of women on user group committees, but gendered norms and roles of women limit the actual level of participation, voice and influence they have in these forums. Indeed, many gender-focused policies have concentrated primarily on increasing representation of women in community-level bodies and increasing access to sectoral resources,

with far less recognition of the structural issues of division of labor, including the implications of gender-specific responsibilities of childcare, breast-feeding and taking care of the ill. There are almost no policies that provide women with sufficient support to manage such responsibilities alongside professional growth.

In no sector have government agencies clearly defined who constitute the “excluded,” and the interchangeable use of terminology denoting the “excluded,” the “disadvantaged” and the “marginalized” creates confusion. There are provisions for women, Dalits and Janajatis (e.g., for scholarships, representation and access to funds), who have thus been recognized as excluded groups, but there is hardly any mention of other excluded groups (e.g., Muslims, other backward classes, or OBCs, and Madhesis) or effort to address the causes of their exclusion. There are only a few sectoral policies mandating sex- and caste/ethnicity/location-disaggregated data and analytical evidence for monitoring. For example, the education and health sectors’ management information systems (MIS) have limited disaggregation though a pilot for reporting caste/ethnicity-disaggregated data is ongoing in health. The forest sector’s recently revised MIS incorporates GESI-sensitive indicators, but these still need to be implemented. However, positive examples and initiatives do exist in several programs—e.g., in the forest sector, the Livelihoods and Forestry Program (LFP) has established livelihoods and social inclusion monitoring, which not only demands disaggregated data but also analysis at outcome levels for different social groups.

The personal commitment of policy-makers to GESI is clearly an important influence on both the quality of the policies and the seriousness with which they are implemented. It is also critical to find and convince other important players in each sector, not only through training, which builds knowledge, but by other means that build

understanding and increase the internalization of equality, inclusion and social justice principles. A major part of this will need to be based on an improved understanding among policy-makers, administrators and sector employees of the specific barriers preventing different social groups from accessing and using services and resources as well as a commitment within the respective sectors to develop, budget, implement and monitor mechanisms and processes to overcome these barriers.

1.3.3 National and institutional mechanisms for gender equality and social inclusion

The government has created various institutional mechanisms and structures over the years to address gender and inclusion issues, from the central to the district and VDC levels.

Central level

The National Planning Commission (NPC) has a Social Development Division responsible for addressing women's empowerment issues. NPC's Agriculture and Rural Infrastructure Development Division has the responsibility to work on social inclusion. The Ministry of Women, Children and Social Welfare (MWCSW) has been implementing women-focused programs targeted at reaching disadvantaged and marginalized groups such as children, senior citizens and people with disabilities. Through its Department of Women's Development, the Ministry has women's development offices in 75 districts managed by Women's Development Officers (WDOs). MLD, responsible for social inclusion, has a Dalit and Adivasi Janajati coordination committee under its mandate, while the establishment of the National Dalit Commission, National Women's Commission and the National Foundation for the Development of Indigenous Nationalities has aimed to increase the participation of women, Dalits and Janajatis in governance

through improved protection of their rights. Finally, while gender focal points are included in NPC and all ministries and departments, and mandated to work on gender issues, they have been unable to deliver effectively due to multiple reasons, including their lack of authority, the absence of any institutionalized linkage between their gender mandate and the main work of the ministries as well as having no specific programs or resources for gender-related work.

District level

WDOs are present in each district under the Department of Women's Development/MWCSW, where they head the Women's Development Office and are mandated to mainstream gender and child rights in the districts. DDCs have a social committee with a Social Development Officer, who is also designated as the gender focal point for the DDC as a whole. Various watchdog committees have been formed, such as the Indigenous Ethnic District Coordination Committee and Dalit Class Upliftment District Coordination Committee, with representation from political parties. The Gender Mainstreaming Coordination Committee (GMCC), under the WDO and with representation from line agencies, is tasked with monitoring and coordinating district-level gender work. The GESI Implementation Committee, formed by the GESI strategy of LGCDP/MLD (with the Local Development Officer as chair, the WDO as vice-chair, the social development officer as member-secretary, and representation of GMCC, Dalit and Janajati coordination committees, and district-level NGOs/federations/associations of women and the excluded) is responsible for informing program planning on gender- and inclusion-related issues, auditing all programs and coordinating GESI-related activities in the district.

These institutional mechanisms have been

established at higher levels but most have experienced inadequate resources and weak institutional mechanisms, and thus have not been effective in protecting and furthering the GESI cause. In addition, there are overlaps between MWCSW and the National Women's Commission and only minimal efforts have been made to coordinate between the different commissions and the representative institutions of women, Dalits and Janajatis for collaborative efforts on gender and social inclusion.

VDC/municipality level

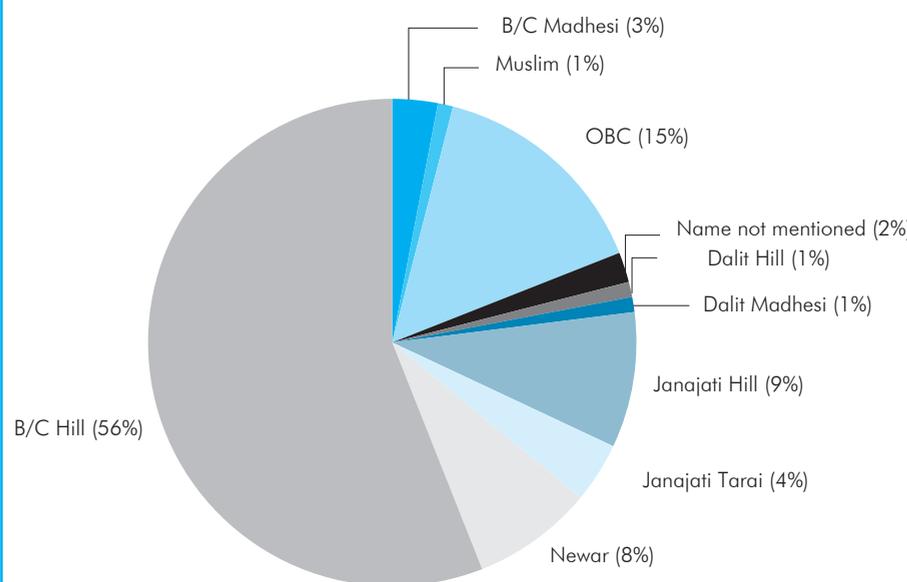
While there is no institutional mechanism with specific responsibility for GESI in VDCs or municipalities, the representative Integrated Planning Committees in each VDC are supposed to have members representing the interests of women, Janajatis, Dalits and NGOs, as mandated in the VDC Grant Operation Manual, and also have the general responsibility of ensuring that these issues are addressed. A potentially very effective new structure, established by the VDC Grant Operation Manual and GESI strategy of LGCDP/MLD 2009, are the village and ward citizens' forums. These create spaces for all citizens, including women, the poor and the excluded, to discuss, negotiate, prioritize and coordinate development efforts, and especially the allocation of block grants in their area, ensuring that they are both inclusive and equitable. A supervisory/monitoring committee has been mandated by the LGCDP/MLD GESI strategy. This mechanism has the responsibility to monitor GESI-related aspects of projects/programs. Finally, there are a number of community groups, women's federations, rights-based organizations, Dalit NGOs, indigenous people's organizations and pressure groups at the community level that have gathered experience through years of work, and have the ability to claim rights and influence local decisions.

Sectoral issues

Responsibility for GESI in the sectors is currently with the gender focal points, who, as discussed above, have not been able to work effectively. Some sectors (agriculture, education and forest) have institutional structures to address GESI issues specifically—for instance, the Gender Equity and Environment Division within the Ministry of Agriculture and Cooperatives (MOAC) and the Gender Equity Development Section and Inclusive Education Section within the Department of Education. The Gender Equity and Environment Division has a very narrow focus on gender and, in general, even when their mandate is broader and covers other excluded groups these GESI institutional structures do not have much influence on the policies and programs of their respective ministries. For one, the high turnover in government staff in ministries/departments results in changes in the political will and commitment towards GESI issues. For example, there have been frequent changes of staff charged with the role of coordinating the Gender Equity Working Group which is meant to facilitate the implementation of the GESI strategy in the forest sector. This constant turnover in the leadership has decreased the effectiveness of this group. The Ministry of Health and Population (MOHP) has planned to establish a GESI unit, but this is still in process.

Clearly defined responsibilities for any GESI unit, and routine working procedures linked to the main activities in the sector, are essential for these structures to be useful. Additionally, designated gender focal points, or even the GESI unit in general, need to have the technical expertise required to provide assistance on gender and inclusion in policy and project design, and in monitoring and evaluation. While training of gender focal points is common, practical application skills to integrate gender and inclusion from

Figure 1.4: Diversity Profile of Civil Service Personnel in Seven Sectors



Source: Nijamati Kitabkhana, February 2010; assessment by study team.

planning up to monitoring processes remain limited. Additionally, systems have not been revised to enable them to do their work (e.g., planning and monitoring processes/formats do not demand GESI mainstreaming). Although all sectors include GESI issues in their policies, strategies, and procedures, there are no sanctions for not achieving or improving GESI outcomes in the sector. The broader institutional culture might also not encourage (or, indeed, might actively discourage) GESI issues being raised or taken seriously. In the forest sector, for example, some government staff reported that other staff would simply laugh if they brought up social issues in a meeting. As such, transforming institutional culture clearly requires adopting innovative ways (e.g., appreciative inquiry, peer monitoring) to internalize and institutionalize GESI-sensitive thinking and behavior.

Workforce diversity

A diverse workforce enhances the ability of government institutions to represent and respond to the needs of specific identity groups and bet-

ter serve Nepali citizens, including those who have been historically excluded (Social Inclusion Action Group 2009⁸). Efforts are needed to make staff profiles more inclusive with regard to women and people from excluded groups and to develop human resource policies that are gender and inclusion sensitive. A review⁹ of personnel of the government in the seven key sectors finds the following:

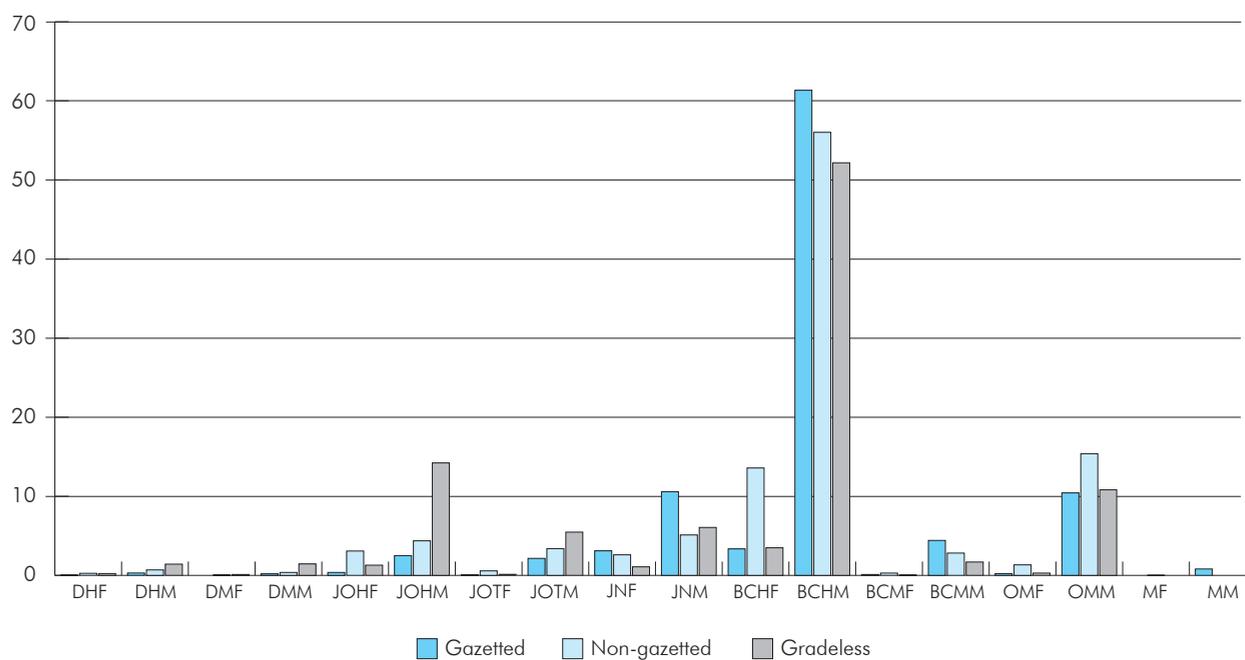
Diversity status. Altogether there are 41,183 staff members (of whom 6,742 are women, i.e., 16.37%) in the

sectors we reviewed. Compared to the national population,¹⁰ there is overrepresentation of Brahmins/Chhetris and Newars (who are primarily in key decision-making positions), almost an equal proportion of OBCs (mostly in non-gazetted technical positions), while all the other groups are underrepresented (Figure 1.4).

There are 4,594 staff at the gazetted level, of whom 7.27% are women. Among the women, Brahmins/Chhetris comprise the majority at 69.22%, and Dalits the fewest at only 0.20%.¹¹ The highest presence of women¹² is in the third-class non-gazetted positions (a majority of which are in the health sector as assistant nurse midwives and mother-and-child health workers; Figure 1.5).

Across sectors, the highest participation of women is in health, at 28.54%, and the lowest in forestry at 3.25%. Brahmins/Chhetris have the highest representation across all sectors, while Muslim representation is comparatively better in forestry than in the other sectors. OBCs are disproportionately overrepresented in the irriga-

Figure 1.5: Diversity Profile of Civil Service Personnel by Level, Sex, Caste and Ethnicity



Note: DHF/M—Dalit Hill female/male; DMF/M—Dalit Madhesi female/male; JOHF/M—Janajati others Hill female/male; JOTF/M—Janajati others Tarai female/male; JNF/M—Janajati Newar female/male; BCHF/M—Brahmin/Chhetri Hill female/male; BCMF/M—Brahmin/Chhetri Madhesi female/male; OMF/M—OBC Madhesi groups female/male; MF/M—Muslim female/male.

Source: Nijamati Kitabkhana, February 2010; grouped for the study based on GSEA caste/ethnic groupings.

tion sector, but have the lowest representation in education. Similarly, Hill Dalits have better representation in rural infrastructure and Madhesi Dalits in agriculture as compared to other sectors.

1.3.4 Gender-responsive budgeting and gender equality and social inclusion budgeting

This section analyzes allocations/expenditures of the government and programs' budget to examine the extent to which resources are being spent on sector activities that are expected in some ways to help women, the poor and the excluded. The objective is to "follow the money" to assess what efforts have been made to address the issues that constrain these groups' access to sector benefits, analyze how much of the budget has been allocated and spent on such issues, and assess the

degree to which government funding for these issues is channeled through targeted programs or integrated into mainstream programs.

NPC issues guidelines directing ministries and line agencies in the formulation of their program budgets. In close coordination with the Ministry of Finance (MOF), NPC identifies the ministry-specific and sector-specific budget. The government's annual budget speech presents three types of analysis of the budget from a gender and inclusion perspective: expenditures in support of "inclusive development and targeted programmes"; the gender-responsive budget (GRB) exercise; and pro-poor expenditures (Annex 8a, 8b, and 8c of the annual budget speech 2009-2010, respectively).

We tried to identify how classifications were made and the process that was followed.

Table 1.1: Inclusive, Pro-poor, and Gender-responsive Percentages of Annual Budget of the Government of Nepal, 2009-2010

Sector	FY 2009-2010 budget (in '000 Nepali rupees)	Inclusive development and targeted programs		Gender-responsive budget						Pro-poor	
		Allocation	%	Directly supportive	%	Indirectly supportive	%	Total	%	Allocation	%
Agriculture	7,876,587	333,900	4.24	2,015,617	25.59	5,587,704	70.94	7,603,321	96.53	6,720,121	85.32
Education	46,616,672	18,368,433	39.40	1,300,659	2.79	22,187,486	47.60	23,488,145	50.39	40,589,748	87.07
Forest	3,449,974	60,453	1.75	71,880	2.08	1,826,637	52.95	1,898,517	55.03	1,780,218	51.60
Health	17,840,466	-	-	7,156,379	40.11	10,243,816	57.42	17,400,195	97.53	10,098,860	56.61
Irrigation	7,761,390	-	-	7,500	0.10	7,103,102	91.52	7,110,602	91.62	6,839,801	88.13
Rural infrastructure	35,693,647	4,280,025	11.99	12,996,863	36.41	12,588,029	35.27	25,584,892	71.68	34,949,331	97.91
Water and sanitation	29,500,624	-	-	6,806,427	23.07	18,740,825	63.53	25,547,252	86.60	13,890,848	47.09

Source: Annexes 8a, 8b, and 8c, Annual Budget, Government of Nepal, FY 2009-2010.

Indicators are not specified for inclusive development/targeted programs, but there are indicators for GRB¹³ and pro-poor budgeting.¹⁴ Our discussions with Ministry and line agency staff, however, indicate that the guidelines are not clear, and that, as noted earlier, it is typically left to the budget officer to categorize and score the various budget lines to the best of his (it is primarily men) understanding. Some of the ministries were not even aware of the inclusive development and targeted program analysis while at the district level none of the line agencies had applied these budgeting processes. The budget speech of Fiscal Year (FY) 2009-2010 categorized high percentages of expenditures in all sectors as pro-poor and gender responsive, but with low expenditures for inclusive development and targeted programming (Table 1.1).

Since the scoring and indicators were not clear for the other two kinds of budgeting, we have focused on reviewing the government's GRB indicators, identifying what sub-indicators are relevant and whether this approach is effective for tracking GRB expenditures in different sectors. The budget speech of 2007-2008 also declared that all ministries would need to follow gender-responsive budgeting,¹⁵ for which NPC has introduced a classification system of pro-

grams and projects, while a GRB committee has been formed within the budget division of MOF, with representation from MWCSW, MLD, NPC and UN Women.

According to the GRB guidelines, each proposed program in the sector has to be scored as per the indicators developed by the Gender-responsive Budgeting Committee, in which five aspects of gender sensitivity (participation, capacity building, benefit sharing, increased access to employment and income-earning opportunities, and reduction in women's workload) have been allocated 20 potential marks each. For each budget item/activity, the officer doing the analysis had to assess what percentage of the expenditure directly benefits women. Programs scoring 50 points or more are classified as *directly responsive* to women, those scoring 20 to 50 as *indirectly responsive*, and those scoring less than 20 as *neutral*.¹⁶

Sector staff categorize all expenditure items in the sectoral budget into these three categories based on the five indicators of gender responsiveness. However, these indicators, which were developed in the context of agriculture, are not necessarily applicable in other sectors. There are no sub-indicators to guide the scoring of budget lines or assess how the activities budgeted con-

tribute to the indicators. Also, GRB indicators tend to be better at capturing expenditures for targeted women's programs than at picking up expenditures for efforts made in universal programs to mainstream GESI. Finally, of course, the GRB exercise focuses only on gender and does not capture expenditures aimed at increasing outreach to excluded groups.

Gender equality and social inclusion budget analysis

While we have assessed the existing GRB practice and indicators used, and identified possible sub-indicators for GRB analysis in the different sectors, we have also developed and applied our own tentative GESI budgeting methodology.¹⁷ This is intended to capture expenditures that reach and support excluded groups and those that support women. Although there is no single rule about how to determine whether public expenditure is discriminatory or equality enhancing, there are some general principles discussed in gender-budgeting literature, which we have adapted.¹⁸ Our efforts here are intended as a first step to identifying the approximant resource flows to these different purposes; but much more work and wider consultation are needed. We hope that this initial attempt can become the basis for further collec-

tive work with MOF, the Gender-responsive Budgeting Committee, sectoral ministries, donor agencies such as UN Women, and NGOs which are interested in tracking budget expenditures.

Again, the GESI budget analysis assesses what activities have been planned/implemented that provide direct, indirect and neutral support to women, the poor and excluded social groups to address the barriers they experience in accessing resources and benefits from the sector. We have followed the GRB practice of using three categories but have not followed the GRB indicators as they have not been very effective in application across the sectors. The GESI budget analysis was carried out at two levels. First, we assessed national-level expenditures in the sector using the above criteria. We reviewed a total of 22 programs and two annual plans (see Annex 1.1 for the list of budgets reviewed). Our analysis resulted in the breakdown shown in Table 1.2.

The next step was to move to the district level, to ground both the national-level GRB budget exercise and our own GESI analysis in two districts,¹⁹ Kavre and Morang. We first worked with the line agency staff to assess the current approach to GRB they were using in each sector. In consultations at the district level, officers shared which indicators were relevant to assess

Table 1.2: Summary Gender Equality and Social Inclusion Budget Analysis of Seven Sectors (Total of Program Budget), Including Direct and Indirect Contributions

S.N.	Sector	Total Nepali rupees (000) (programs)	Women	Poor	Dalits	Janajatis	Muslims	OBCs	Location	Disability	Youth and adolescents
1	Agriculture	1,622,500.0	1.64	45.00							
2	Education	14,936,192.0	6.91	14.46	5.61	3.52			11.55	1.00	1.00
3	Forest	3,449,974.0	0.49	4.83					0.63		
4	Health ^a	13,254,910.0	18.41	15.74					2.72		2.17
5	Irrigation	2,411,912.9	4.23	80.04	3.93	3.93	1.72		1.65	3.79	3.79
6	Rural infrastructure ^b	14,279,739.0	9.99	38.27					1.45		
7	Water and sanitation ^c	3,371,603.0	1.04	1.46							
	Total	53,326,830.9	9.43	21.80	1.66	1.08	0.04		4.37	0.37	0.91

Notes:

^a Excluding contribution of 0.34–0.42% to Janajatis, Muslims, Madhesis.

^b Excluding contribution of 0.01–0.06% to Dalits, Janajati, adolescents, elderly, disabled.

^c Excluding contribution of 0.10–0.16% to Dalits, Janajati, adolescents, elderly, disabled.

Source: Based on budget documents of sector ministries, selected programs, FY 2009–2010.

Table 1.3: Gender Equality and Social Inclusion Budget Analysis of Annual Programs, Kavre and Morang (%)

S.N.	Sector	Total Nepali rupees (Morang, Kavre)	Women	Poor	Dalits	Janajatis	Muslims	OBCs	Location	Disability	Youth and adolescents
1	Agriculture	63,355,341	12.46	1.35	0.29	0.15					
2	Education	1,336,366,884	14.20		5.08	0.08	0.09			0.26	
3	Forest	2,874,100	39.65	22.50							
4	Health ^a	78,720,450	53.05								9.92
5	Irrigation	72,695,000	1.32								
6	Rural infrastructure ^b	142,369,146	-	-	-	-	-	-	-	-	-
7	Water and sanitation ^c	132,054,576	0.59						1.59		
	Total	1,828,435,497	13.25	0.08	3.73	0.06	0.06		0.11	0.19	0.43

Notes:

^a Excluding contribution of 0.34-0.42% to Janajatis, Muslims, Madhesis.

^b All items were found neutral, with the district staff arguing that the infrastructure is for everyone and hence cannot be targeted. It is, of course, true that we cannot build roads for Dalits, for women, etc.

^c Excluding contribution of 0.10-0.16% to Dalits, Janajatis, adolescents, elderly, disabled.

Source: Kavre and Morang annual programs, FY 2008-2009.

the gender responsiveness of items in the sectoral budgets. They said that they were aware of a number of positive policy provisions in each sector mandating that benefits reach girls/women, the poor and the excluded, but they felt that these automatically ensured that the entire budget would be responsive to women or specific excluded groups. In reality, this has proven to be a problematic assumption.

Next, we worked with the line agency staff to do a GESI analysis of the district-level health budgets, using directly supportive, indirectly supportive and neutral categories.²⁰ The results are shown in Table 1.3

Effort has been made by the different ministries/programs to address the barriers for women and poor groups but for other groups the assumption seems to be that benefits will automatically reach them through implemented activities. The directly supportive and indirectly supportive expenditure of the budgets for women and the poor address important needs of women. But almost no activities or funds have been planned to address the barriers of women, the poor and the excluded, as discussed in Section 1.2, or the

structural issues that constrain their access. This indicates that a more conscious recognition of the need to address such sociocultural, empowerment and governance issues, along with core technical sector services, is required.

The key issues are the criteria, indicators and process of budget review. Government analysis classifies a majority of activities as directly or indirectly contributing to women, based on government directives regarding services to them. A deeper analysis, however, indicates that no activities are budgeted to address the specific gender-based barriers women experience. These are necessary even within a universal program in order that structural barriers are addressed and a more even playing field created—only then can GESI be considered to have been mainstreamed. This also highlights the need for a more rigorous analysis so that the budget speech's classification can be more realistic.

At the moment, the discourse reflects an assumption that positive formal policy provisions will ensure that all will benefit and that group membership (where relevant) will ensure access to services for all members. But this fails to

address the fact that it is mostly the extreme poor and often socially excluded groups such as Dalits who are either excluded or exclude themselves from joining groups. While groups are indeed a powerful mechanism to improve access to services and inputs, relying solely on this model without assessing its suitability for all presents a significant risk that those most in need will not gain access. Overall, our work on gender and inclusion budgeting indicates that for effective and systematic budgeting, more rigorous work has to be done, in particular with the Gender-responsive Budgeting Committee. There has to be a consensus to take gender and inclusion budgeting together; existing indicators and sub-indicators for GRB need to be revised and sharpened; unique issues of social groups need to be addressed; and the process must be improved, so that it is not left to the understanding of just one desk officer.

1.3.5 Program responses: Gender equality and social inclusion approaches

This section highlights the program responses and efforts across the sectors to promote and mainstream a more inclusive service-delivery approach. We also discuss measures and practices that have been found to be effective and successful in improving access to sector services and livelihood opportunities for women, the poor and excluded groups—increasing their voice and influence and supporting changes in the “rules of the game.”

Increasing access to assets and services

Significant progress has been made in the service-delivery sectors in increasing outreach and access to services, assets and resources for the poor and excluded groups. For instance, key reforms in the education sector, through national programs such as Education for All and the School Sector Reform Program (SSRP), represent significant efforts to improve access

and equity, enhance quality and improve efficiency through scholarships and incentives for girls, Dalits and Adivasi Janajatis. Still, remaining challenges include effective implementation of the multilingual education policy, monitoring of scholarship distribution, and ensuring funding to meet the opportunity costs for the poorest and most disadvantaged communities. There is also a need to look more carefully into the selection procedures and internal governance of the school management committees, to ensure that they fulfil their potential for giving parents from all groups a say in the running of their local school.

Likewise, in the health sector, government initiatives of pro-poor targeted free healthcare policies and the Aama (Mother) Program for maternity services have had considerable success in reducing the economic constraints of the poor and the social constraints of women, and generally improving health indicators. The recently developed NHSP-IP 2 has various activities to address the barriers of women, the poor and the excluded, and has made very impressive plans with disaggregated objectives and indicators.

In the infrastructure-related sectors, access to water supply has improved substantially over the past few decades. However, the low priority and resources accorded to sanitation have resulted in uneven coverage, especially for the very poor and in the Tarai, where lack of land poses an additional challenge. The construction of rural roads has improved access to markets, schools, health posts, government offices, and so forth, as well as provided work opportunities for women and the poor in road-building groups. In the irrigation sector, men continue to heavily dominate the management of systems even though women farmers are now increasingly involved. The group-based approach in the forest and agriculture sectors has increased access for women and other traditionally excluded groups to resources as well as ben-

efits from community forestry management and agricultural extension services and support.

Building voice and influence of excluded groups

Across the sectors, social mobilization as a process has been one of the main tools for organizing people for easier and more efficient transfer of assets and services, and also for improving reach and access. Groups (forest users, farmers, mothers, water and sanitation users, etc) are mobilized for their labor and financial contributions to support the implementation, delivery and management of services. Policy directives setting quotas for women and excluded groups have improved their representation in user groups and executive committees, which has been important in creating operational space for the voice and interests of these groups to be addressed.

However, evidence from the sectoral assessments indicates that these groups are, in many cases, still highly exclusionary of the extreme poor and socially disadvantaged groups, often reflecting and even reinforcing existing power structures. In addition, although representation of women is generally high in user groups and executive committees, their active involvement in decision-making processes is not com-

mensurate with their formal presence. While the group-based approach to development has thus increased access to assets and services, there is insufficient understanding of and focus on the barriers faced by excluded groups or on how to build their capacity to influence decision-making processes. In many of these we have found the approach is more transactional than transformational,²¹ and only in those efforts where REFLECT-type processes (see Box 1.1) have been adopted has there been effective strengthening of voice (e.g., Participatory Learning Center by GTZ/GIZ, COPE/PLA [Client Oriented Provider Efficient/Participatory Learning and Action] process by Support for Safe Motherhood Program/UN Population Fund and REFLECT by CARE/Nepal Family Health Program).

Some notable networks and federations have been able to advocate successfully on behalf on their members. The Federation of Community Forest Users has become an important political player throughout the country, while the Federation of Water and Sanitation Users Nepal and Nepal Federation of Water Users Association are additional examples of civil society groups organizing and mobilizing members to voice their interests, influence policy and decision makers as well as demand accountability and transparency from service providers. The United Nations Children's Fund (UNICEF)-supported women's federations and paralegal committees are a force to be reckoned with in many districts. Still, even in these successful second-tier organizations, important issues remain regarding inclusion and diversity in the membership, decision-making positions and governance as well as in establishing more effective and transparent management.

Box 1.1: What is a REFLECT circle?

REFLECT circle is a forum where the disadvantaged are brought together to identify, analyse and take actions on issues that directly affect them. The main purpose of the circle is the empowerment of the poor and the excluded. The facilitator of the circle helps educate members on their rights and support them to take actions to ensure access to services. It helps build the capacity of members to advocate and lobby for their rights. The circle not only takes up issues of the disadvantaged, it also encourages members to fight for the rights of the community as a whole. It encourages the poor to bargain with the richer sections in the community and also takes up issues of the whole community, including that of the rich and the elite, up to the VDC and district levels. In this way, the circle can be effective in ensuring the rights of the disadvantaged as well as garner support of the rich and the elite of the community.

Source: Field notes discussion with Action Aid 2009

Changing the "rules of the game"

Overarching changes are required to remove the barriers that women, the poor and the excluded

face in accessing assets and services. The forest sector, for instance, has made notable progress in this area by addressing GESI issues in sector programming and operational practice. LFP's pro-poor and social inclusion strategy has been effective in developing a common understanding of social exclusion issues as well as strategic approaches to deal with them. Similarly, the health and education sectors have been progressive through the previously mentioned NHSP-IP 2, Education for All and SSRP policies. However, the informal "rules of the game"—the sociocultural values, beliefs and attitudes that underlie and shape discriminatory behavior and norms—continue to play a strong and influential role in creating barriers for women, the poor and excluded groups. It is in this area that substantive efforts are needed to overcome deep-seated resistance to changing discriminatory practices, both in the workplace and in community groups. Behavior change without systemic structural change in sector institutions, communities and families will continue to reproduce the current gap between good policies and poor implementation. Unfortunately, however, sufficient and sustained work along these lines was not evident in any sector.

1.3.6 Monitoring and reporting

Ministries, including MLD, report on M&E formats issued by NPC (specifically the Poverty Monitoring Division, which has the key responsibility to work in this area). For effective GESI mainstreaming, integrating gender and social inclusion into M&E systems is crucial. NPC has established a system of gender coding for the 10th Plan/PRSP (Poverty Reduction Strategy Paper) monitoring and demands reporting, with some disaggregation, on intermediate and outcome indicators in the poverty monitoring and analysis system (PMAS). It has also developed (with donor support) a district poverty monitoring analysis system, which has been implemented

in 22 districts and could potentially be adapted for poverty monitoring in the new federal units once these are determined. But, at present, neither system is actively used.

To a certain extent, the education and health sectoral information management systems do provide disaggregated information. The education sector has the most well-established system of monitoring and reporting, providing comprehensive, high-quality and disaggregated data by sex and caste/ethnic group on, among other things, student enrolment and numbers, teachers and non-teaching staff, student attendance and scholarship allocation. However, it only disaggregates social groups by Dalit and Janajati without differentiating the subgroups within which some are more disadvantaged than others. Moreover, its categories do not capture groups like the Madhesi other backward classes/OBCs or Muslims—both of which have low education outcomes and need to be tracked. Similarly, the current monitoring mechanisms of the health sector collect sex- and age-disaggregated data, but information on service utilization by the poor and the excluded is not integrated. The sector is piloting caste/ethnicity-disaggregated data but managing such huge amounts of data has been challenging.

The WSS, forest and agriculture sectors maintain disaggregated data on membership and participation of women in the user groups/committees and key decision-making positions while also disaggregating user-group data by caste/ethnicity. The MOFSC also incorporates monitoring indicators sensitive to gender, poverty and social equity in its MIS, but this needs to be implemented more systematically. In the forest sector, LFP and Nepal Swiss Community Forest Project (NSCFP) have established systems for maintaining a disaggregated database, monitoring and reporting against gender, poverty and social equity indicators. However, a review of the log-frames of various programs indicates that there is a general

lack of disaggregated indicators or inclusive objective statements. Only in the recent NHSP-IP 2 (health) is there consistent demand for disaggregated data at the results level, or for measuring any shift in sociocultural behavior. In SSRP (education) there is a gap, with very little demand for disaggregated measurements of progress as the indicators are mostly quantitative and neutral from a GESI perspective. Still, many programs do have indicators for representation by women and excluded communities in various groups and committees. Nepal Water and Health, for instance, has very well-disaggregated indicators, e.g., “At least 90% of completed projects [in which 90% of the beneficiaries are the poor and the excluded] remain fully functional 3 years after the project’s completion.”

The sectoral M&E review indicates that there are efforts at collecting disaggregated data and that sex-disaggregated data are most commonly requested. But consistent disaggregation against all social groups with regional identities (women and men of Hill and Madhesi Dalits, Adivasi Janajatis [except Newars], Newars, Muslims, OBCs, Hill and Madhesi Brahmins/Chhetris) is not followed. There are very few sectors with examples of an information management system that can handle such data (probably only LFP and NSCFP in forestry, and rural WSS). With NPC formats still not demanding such disaggregation nor asking for progress against outcomes in disaggregated forms, monitoring and reporting are a key area for more intense mainstreaming of gender and inclusion.

1.3.7 Good practices and lessons learned

In this section we discuss some practices that have been found effective across sectors to address the structural barriers limiting access to resources, assets and benefits for women, the poor and the excluded, and the common lessons that can be drawn from these efforts.

Good practices

Improved targeting and inclusion through use of well-being ranking and proxy means testing (indicator targeting) provide a powerful baseline for identifying the poor and the excluded for program interventions. Community members usually carry out such rankings themselves, using economic and social indicators to categorize households. In education, this is supplemented by proxy means testing to target secondary and tertiary scholarship and work-study support. Evidence that this combination has worked well is still to come in, but there is consensus among practitioners that it can bring together objective and subjective rankings. This is then used to target resources and services, and ensure more equitable distribution. The forest sector will be testing a combined community-based and proxy means testing approach to identify disadvantaged households, with independent verification to try to standardize approaches and remove existing confusion at the local level.

Empowerment and community education. Social mobilization based on individual and collective empowerment through efforts to understand and transform the unjust structures that affect their everyday lives and livelihoods has proved effective in building the voice of the excluded and the poor as well as their capacity to influence decisions. Where communities have been mobilized to reflect on the social norms that perpetuate untouchability, gender-based discrimination or violence against women, there has been an increase in access to services and greater involvement in community-level planning for these groups. The REFLECT-type approaches have been particularly effective because they draw in not only the excluded but the rest of the community as well. The whole community is organized into groups to discuss and learn about different rights-based issues, and respond through collective action.

Establishing firm quorums for key meetings. The

lack of access to information about entitlements, services and procedures to obtain available resources is a major component of the exclusion faced by women, the poor and excluded groups. Knowledge is power and more educated elite groups who have time to network in the district centers and create contacts with local politicians are more likely to know the details of incoming development programs or new government policies—and to use this information to their advantage. Setting quorums for key meetings has been effective in ensuring that all households are adequately represented and informed. If a quorum is not met, project staff members are required to cancel meetings until the required number of households is present.

Building a strong civil society able to represent and advocate for changes in the “rules of the game,” has been a major advance in some of the sectors (e.g., Federation of Community Forest Users, Nepal in the forest sector). However, these organizations and federations also need to address issues of diversity and inclusion within their own structures, where representation of excluded caste and ethnic groups is typically low. Another danger with such NGOs or second-tier groups is that they can be captured by political parties.

Policy directives for representation/participation. Setting quotas for women and excluded groups in user groups/committees, along with creating training opportunities, has ensured their representation and participation in development activities as well as strengthened their access to resources and benefits. Still, further efforts are needed to reach socially excluded groups and promote their representation in key decision-making positions in executive bodies and their ability to influence decisions.

Adoption of a workforce diversity policy is a mechanism to change the structure of organizations and the rules of the game that determine

entry. These policies (such as those adopted by NSCFP) have improved inclusiveness in individual organizations and among partners, identified groups to be prioritized, established benchmarks for diverse representation in staff categories, and followed up with affirmative action to recruit people from discriminated groups until their representation in various staff categories, committees and working teams is ensured, reflecting their representation of Nepal’s population.

Changing internal budgeting and monitoring systems to track resource allocation effects on women, the poor and the excluded has been successfully employed by a number of programs. This has positively evolved the way in which these institutions allocate and deliver services and enabled programs to identify the causes of changes in livelihood and social inclusion outcomes. LFP (through its livelihood and social inclusion monitoring) uses the three domains (see Figure 1.3) of change to track change in voice, influence and agency, access to assets and services, and also whether the poor and excluded have been able to change policies and institutions in their favor.

Social accountability mechanisms. Social audits and similar tools have provided increasing opportunities for civil society, including community groups, to press for greater accountability and responsiveness from service providers. These have become accepted tools and processes, but still need to be implemented more effectively, with meaningful participation of the women, the poor and the excluded, and with follow-up actions that demonstrate the value in participation.

Lessons learned

Women, the poor and the excluded face multiple exclusions, many of which cannot be solely tackled through sector-based interventions, as the causes are rooted in deep societal structures that

require coherence of interventions at many levels and across many sectors. For example, simply providing low-quality leasehold land is insufficient to bring people out of poverty when the initial investments to improve productivity are large and require time to deliver benefits. For the extreme poor, this could lead to an increase in livelihood insecurity and vulnerability.

Behavior change is required to overcome deep-seated resistance to changing discriminatory practices in both the workplace and community groups among those who have benefited from these practices. But changes in the behavior of a small number of well-meaning individuals will still leave gaps between well-intentioned policies and actual implementation. Changes in incentives for staff working in the sectors are also needed. Overcoming deep-set informal resistance to social inclusion and changing discriminatory and indifferent attitudes of service providers remain two of the greatest challenges facing all sectors.

Social mobilization and facilitation processes need to focus on empowerment not only on increasing access to assets and services. There is a need to build understanding of the rights and responsibilities of individuals as citizens to have a voice in decisions and a share in benefits. When this approach is used, groups are more sustainable and generally continue functioning after the project or program intervention is over to take up new activities of concern to members.

Sociocultural constraints on women are strong and thus it is necessary to work on shifting gender-based power relations both in the workplace and in communities at large. Compared to men, women of all social groups tend to have high opportunity costs attached to their participation which often involves high levels of benefit.

Dealing with the extreme poor's self-exclusion from development processes requires special targeted support to ensure that they can access

resources and associated benefits. Action should be based on analysis rooted in an understanding of the unequal power relations created by class, caste, ethnicity and gender, which have to be addressed by any support provided.

Policy mandates and affirmative action provisions are necessary for resources to reach women, the poor and the excluded along with the political commitment required for implementation. During the implementation process, all gaps need to be understood and addressed, and the reasons causing the failure need to be understood and acted upon.

Increased formal representation does not automatically lead to increased voice. Although there has been significant representation of women in user groups/committees, they still do not have sufficient voice in these groups. Their attendance is limited at meetings, they rarely speak, and if and when they do, they are often not listened to. The same is often true of Dalits and other excluded groups whose presence is mandated by donor or government funding requirements. For real change, capacity building and advocacy for shifts in discriminatory practices are necessary and need to be directed not only at the excluded but *all* members of the group/user committee. Also necessary for any effective change of the formal structures such as user groups is political and power-focused analysis to understand how these structures interact with informal structures and systems.

Targeted interventions are important but GESI needs to be integrated into mainstream programs and services. Though equity-related and, to some extent, inclusion issues are captured in some of the sector programs, too often in these programs inclusion has remained a separate component. The issue of social exclusion has not been approached holistically. For example, in the education sector, despite the change in terminology from "special education" to "inclusive educa-

tion,” the focus remains solely on disability and is separated from the gender equality section. This reveals a limited understanding of what it means to mainstream GESI in a sectoral program.

Institutionalizing gender and inclusion in budgeting requires further clarity and capacity. The methodology and process for the government’s gender-responsive budgeting are not clear enough. The current indicators are not adequate for analysis across sectors and it is not clear that the current post-allocation analysis adds value at either the sectoral or MOF level. There also seems to be an implicit bias in the point allocation system towards smaller, targeted, women-only projects and programs rather than genuine integration of women’s needs and constraints into mainstream sector programs. In addition, the approach lacks a wider inclusion dimension that, with very little additional effort, could allow it to track expenditures benefiting other excluded groups using the same basic process. Clear, consistent guidelines on process and analytical categories are urgently needed.

Institutional structures for GESI need to be made functional and integrated into the core products and services provided by the sector. Institutionally, just creating structures is insufficient, as demonstrated by the position of the gender focal points within the sectoral ministries. Rather, for any such position to be influential, it must be integrated into the sector’s core systems and organizational structure. The GESI function should be assigned to the planning and monitoring division of each ministry and ultimately be the responsibility of its chief. The responsibility should be backed with resources to bring in or create the necessary staff capacity to be able to provide technical backstopping necessary to fulfil the GESI mandate.

Increasing access to services for women, the poor and the excluded requires a multi-sectoral approach. For example, in order to improve access to health

services, other actions are required in sectors such as education (e.g., building awareness), rural infrastructure (e.g., road and trail networks), modes of transport services (e.g., availability of stretchers, public transport), water and sanitation, and access to finances (e.g., community-level emergency funds).

1.4 Mainstreaming Gender Equality and Social Inclusion: The Way Forward

In Section 1.2 we discussed the steps of GESI mainstreaming and the three domains of change, and explained any questions or queries. In this section, common measures on mainstreaming GESI in the sectors are grouped under our framework of three stages: identifying; design and implementation; and monitoring and reporting (and response to the findings through changes in project implementation). As has been illustrated, gender-, caste-, ethnicity-, and location-based exclusion are complex interlinked issues that cannot be addressed in isolation. To respond to this complexity, multipronged measures are necessary for mainstreaming, as reflected in the suggestions made here.

Step 1: Identifying the barriers

Analyze existing power relations and the formal and informal institutions that enforce and perpetuate social and economic inequalities. Gender inequality and social exclusion in the sectors are linked to the wider sociocultural and politico-economic context. First, identify the key socioeconomic constraints and harmful social and cultural practices that limit access to sector resources and assets for women, the poor and the socially excluded. Often the “barriers” that need to be removed or worked around are part of interconnected formal and informal institutions that structure Nepali society, which allocate privileges and obligations in accordance with different roles or ascribed characteristics. The sector programs

work with these systems and try to improve them so they can deliver services more effectively. Yet, it is generally recognized that changing any of these “rules” upsets some stakeholders, and this is why there always needs to be awareness of the “political economy” of the individual projects/programs. Likewise, the more “informal” institutions, which are deeply embedded in values, beliefs and norms, can also block change, and thus need to be considered. Some—like the gender system or caste hierarchy—are so deeply ingrained that people often follow them without even being aware that they are doing so. On the other hand, not all these traditional values are negative or exclusionary, and many can indeed be a strong source of renewal and positive change.

The GESI framework is a tool to increase the chances that the changes we want to bring can actually happen on the ground. GESI requires us to look at both formal and informal systems. To identify barriers, we need to look in two areas: first, how the formal project systems are likely to work for different groups of people. This will bring us to the second layer, to see how informal systems might be distorting the way the formal systems work for some individuals and groups. So, when we try to “identify barriers,” we are actually uncovering whole systems that keep some individuals and groups from gaining equal access to universal services and benefits that the project/program we are supporting is intended to deliver.

Assessing GESI in existing policy, programs, budgeting and M&E. It is important to assess the existing policy mandates that provide the space to work on GESI issues in the sectors, and where there are gaps in these policies. Likewise, the policy mandates that enable or constrain different groups need to be identified and the existing programs of the ministry and other actors in each sector need to be examined to identify how the barriers facing the excluded are being addressed—and the strengths and

weaknesses of the current approaches. Existing political economy and governance issues need to be understood: their implications for the sector in general and for women, the poor and the excluded in particular. Further, the budget needs to be reviewed through a GESI lens to identify how positive policy and programmatic provisions are being resourced, and to identify needs for improvement. Finally, an assessment needs to be carried out to determine whether the M&E system is capturing changes in a disaggregated manner, and on issues that are of central importance to increasing access to services for women, the poor and the excluded. As gender and inclusion issues are linked to wider governance and management systems, a GESI assessment might bring up issues that could be considered by some as beyond its scope. But these aspects, too, need to be understood for their impact on women, the poor and the excluded.

Steps 2 and 3: Design and implementation

GESI mainstreaming requires that project/program plans must consciously recognize and address, at each stage, the constraints experienced by women, the poor and the excluded, and must build on their existing strengths.

Address policy and organizational change issues

The aim here is to focus more on the policy and organizational level and how GESI issues can be better addressed in program/project responses.

Support and strengthen GESI at policy level. Programs/projects are applying GESI-sensitive policies, but overarching policy guidance from the government is missing. A GESI policy that provides a common framework would ensure that certain principles and a clear definition of exclusion and the excluded are consistently applied by all sector actors, and would direct revision of systems, mechanisms and processes as required.

Promote diversity in service providers. The number of women and people from excluded groups working in the sectors varies but is generally low, highlighting a need for affirmative action. This will require long-term investments through scholarships as well as individual coaching to prepare technically qualified women and people from excluded social groups. Measures to create a supportive working environment, like childcare or flexible timings and safety from sexual harassment, can be very effective in attracting and retaining women professionals. But little thought seems to have been given to how to open the way for other groups like Dalits or Muslims so that they feel comfortable and perform well in the workplace.

Develop skilled service providers to deliver GESI-sensitive services. Support for mainstreaming of GESI issues in tertiary and technical institutions will build the technical capacity of professionals. GESI-sensitive messages also need to be integrated into related training affecting the sector.

GESI in job descriptions and strengthening GESI arrangements. Work needs to be done with the Ministry of General Administration (now called the Ministry of Human Resource Development) for revision of job descriptions of all positions to integrate GESI-related tasks. GESI units and desks are required in the ministries, their departments and district-level divisions/departments to provide technical support for mainstreaming gender and inclusion in the sectors. This is also necessary in programs that have not provided dedicated responsibilities to identified structures. Mechanisms for coordination between these different structures are essential, while the capacity and skills of government and program staff to address GESI need to be strengthened and used.

Capacity building on GESI must be a process rather than a one-off event so that skills are built on to integrate gender and inclusion in everyday

work. Gender and social development specialists need to have the relevant technical expertise to respond to and guide technical staff on how to mainstream GESI while technical staff members need to be able to respond to social issues linked to their technical work.

GRB and GESI budgeting. GESI budgeting, as a tool, can identify the kinds of activities budgeted/spent for but the government's current budgeting criteria and process require revision to be more effective. GESI budget analysis should not be done only after the program has been designed and funds allocated; rather, it must be done simultaneously with program development, to ensure that activities/subprojects to address the barriers constraining access to services for women, the poor and the excluded are identified and an adequate sum allocated in the budget and work plans. Likewise, activity planning and budgeting must be linked to disaggregated data and the information generated from the use of tools such as poverty mapping, social mapping and gender analysis.

Designing program/project responses

Balance targeted and universal action. Targeted activities are necessary to address specific constraints or issues of women, the poor and the excluded, e.g., special initiatives to build capacity of women farmers to become traders/entrepreneurs in agribusiness, or specific financial services to increase access to credit of the poor, or advocacy with men regarding empowerment of women. But these need to contribute to a universal program, addressing structural constraints blocking groups from accessing resources and benefits of the sector equally with other social groups.

Promote and support partnership with civil society to invest in community education for behavior change on both sector-specific and social transformation issues, investigate governance aspects

at each step of the project cycle, and monitor investments in the sector.

Mechanisms to encourage greater downward accountability need to be strengthened. Across sectors, state and non-state actors are more accountable upwards than downwards towards the community, and these include NGOs and community-based organizations (i.e., support organizations) that are partnering with government and donors to implement tasks such as social mobilization, needs identification, etc. Their agreements demand reporting to project supervisors and donors with hardly any mechanism to ensure accountability towards the people they are supposed to serve. GESI performance incentives need to be developed and included in the evaluations of support organizations.

Longer-term investment in the capacity building of women, the poor and excluded members to enable them to participate more effectively in executive committees and groups is necessary. This requires building the leadership abilities of members of these groups.

Harmonize working approaches across programs at the local level to minimize beneficiary transaction costs. The formation of multiple groups by different projects/programs and varied requirements and working approaches adopted by different actors increase the time burden of women, the poor and the excluded, who have to attend multiple group meetings. This could be addressed if VDCs play their coordinating role better and ensure that the neediest receive services, but this would demand a disaggregated database and information about the current situation of women, the poor and the excluded, and their access to services in VDCs.

Develop localized behavior change communication materials and translate project information into local languages. To be effective, these materials must be available in local languages and use a range of media to address specific discrimi-

natory beliefs and norms. Likewise, program/project information and documents need to be translated into local languages to ensure that all groups understand the processes, rules and regulations to access services, assets, resources and other benefits.

Steps 4 and 5: Monitor and Adjust Implementation

Monitoring and reporting

Many sectors are disaggregating data by sex and caste/ethnicity. But the focus is on activities (e.g., number of women trained) and outputs, and the capacity to track GESI outcomes is still lacking. Some potential improvements are listed below.

Disaggregated monitoring and reporting to show what each project/program is contributing to assist women, the poor and the excluded, need to be established across the sectors. This is very challenging at the national level as NPC monitoring and reporting formats, which all ministries have to follow, do not demand disaggregated information. Additionally the “three domains of change” framework is very useful for tracking changes at outcome levels, and could usefully be established as a routine practice by NPC.

Objectives and indicators need to be disaggregated by sex and caste/ethnicity. Planning and programming must be based on disaggregated information and evidence. With NGO partners, PRA (Participatory Rural Appraisal) tools (e.g., well-being ranking, labor/access/control profile, resource mapping, etc) must be used as required at the community level to identify the poor and map existing social and power relations. In turn, this information must be used for identifying priorities for programming and guiding implementation practice.

Uniform MIS and disaggregated data for all sectors around some basic indicators would help reduce duplication and identify gaps and areas of

acute exclusion. PMAS needs to be revised and its implementation strengthened. Monitoring and reporting formats must be standardized with disaggregation. Sectors and programs will need to monitor their investments, and hence have more detailed indicators and monitoring systems. But they must all contribute to the indicators incorporated in PMAS.

Community monitoring and social accountability mechanisms should be institutionalized within the M&E system. Social and public audits have become accepted tools and processes, and need to be improved in implementation. To ensure this, social mobilization may be necessary until the process of giving this kind of feedback becomes a familiar activity for the excluded. This requires a carefully facilitated process to ensure that all social groups participate, that proper service evaluation occurs, and that useful understanding is developed and acted upon.

Good practices and lessons learned need to be documented and shared by sector actors through donor coordination groups, and perhaps through the Social Inclusion Action Group, a group of practitioner agencies. Enhanced capacity to prepare case studies that document and analyze positive pro-inclusion processes will accelerate the pace of change.

Monitoring and evaluation teams must be inclusive and must have people with technical competence about gender and social inclusion in the sector. The terms of reference of the M&E teams must specifically demand deliverables that have addressed GESI issues.

Adjust implementation

Project/program management needs to view the M&E system as their dashboard for steering

the project to achieve its objectives. If the inclusion indicators show that some of the intended outcomes are not emerging as expected or some groups are not getting their share of benefits, project management needs to diagnose why this is so and work with staff and project participants to develop mechanisms to change the situation as soon as possible.

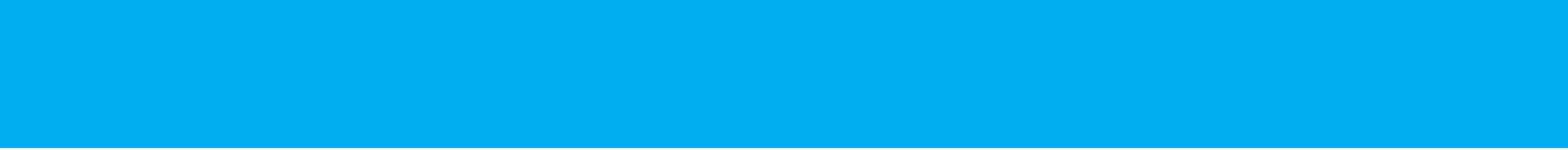
The seven sectors covered in this series have made significant progress in increasing the participation of women, the poor and excluded groups in development efforts, but rather uneven progress in addressing structural causes of gender/caste/ethnicity-based discrimination and issues of social exclusion. However, the current discourse on inclusive development provides an opportune time to learn from sectoral experience and move towards more inclusive practices, as these lessons can be adopted and mainstreamed across the sectors and institutionalized within government and non-government structures alike.

As has been noted, to institutionalize GESI, each sector will need to address the main issues uniquely facing women, the poor and the excluded: the underlying structural causes of their limited participation, voice and very low influence over decision-making processes; the reasons behind ongoing inequitable access to resources and assets; and the need to build responsive processes that address the different needs of specific social groups. At an institutional level, a variety of common issues need to be addressed, including lack of staff diversity; ineffective gender focal points; and limited integration of GESI principles in core sectoral planning, budgeting and monitoring processes, which leads to major gaps between enabling policies and actual implementation.

Notes

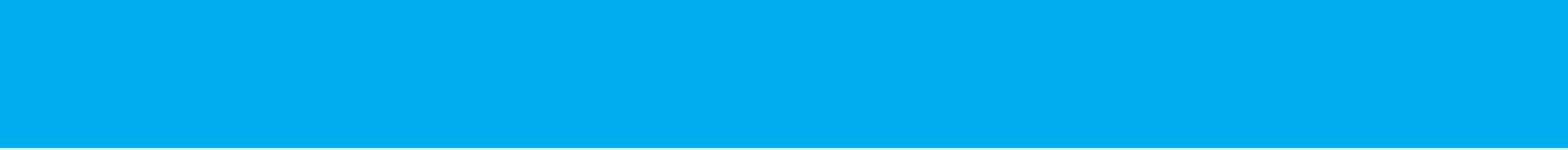
- 1 According to the Interim Constitution and Three-Year Interim Plan, excluded groups refer to those who have experienced exclusion historically and have not been mainstreamed in the nation's development: women, Dalits, Adivasi Janajatis, Madhesis, Muslims, people living with disabilities, and people from geographically remote areas.
- 2 This framework has been adapted from Naila Kabeer's social relations analysis framework (Kabeer 1994). It has been informed and refined by the GSEA framework. Field-level experience of professionals has contributed to it. It has been used in Nepal for program design, evaluation studies, and gender equality and social inclusion mainstreaming in the forest sector, LGCDP/MLD, and in various other program/NGO strategies.
- 3 In a national program, mapping the local political economy of the sector in a sample of the different types of sites where the program would be implemented would provide us with enough to go on.
- 4 This section draws from the LGCDP/MLD gender equality and social inclusion operational strategy (2009). Refer to Annex 2 of that document for a more detailed analysis of policy and institutional frameworks.
- 5 This has recently been approved as the GESI policy of MLD.
- 6 Such as categorization of Janajati groups into endangered, highly marginalized and marginalized, and prioritization of projects accordingly; disaggregated information about users; information to users regarding resources before approval of next instalment; 33% women and representation of Dalit, Janajati and deprived groups in user committees; allocation of up to 3% of total project cost estimates for capacity building and overhead costs of user committees; participatory monitoring by users; and registration of complaints at VDCs about the implementation of the project.
- 7 As has been directed by MLD for the VDC-level integrated planning committees.
- 8 This publication reviews the workforce diversity profile of 30 international agencies working in Nepal.
- 9 Records of civil servants maintained by the Department of Civil Personnel Records (Nijamati Kitabkhana) of the Ministry of General Administration were reviewed and disaggregated according to surname and place of permanent residence. Rules applied were those developed by the WB Social Inclusion Index development team, and caste/ethnicity groupings were drawn from the Census. This process can be erroneous to a certain extent, as some surnames are common to different social groups. We appreciate that a participatory process facilitated by the Nijamati Kitabkhana for the self-identification of employees has been initiated.
- 10 The national population as of Census 2001 was Brahmin and Chhetri 32.5%; Janajati (excluding Newar) 32%; Newar 5.4%; Dalit 13%; Muslim 4.3%, OBCs 14%; and others 1.4%.
- 11 Gazetted is the highest category of officers, appointed through national open competition. Non-gazetted officers are appointed by the head of department to support gazetted officers. Within the gazetted and non-gazetted, there is a hierarchy of special, first-, second-, and third-class officers. The classless officers are support staff.
- 12 Of the total 72,939 civil personnel in the government as of February 2010, only 12% were women. Of these, 12.9% were gazetted officers, 57.4% were non-gazetted, and 30.4% were without grade (Nijamati Kitabkhana records, February 2010).
- 13 The three prescribed categories are direct contribution, indirect contribution and neutral. Each sub-activity is assigned a code of 1, 2 or 3, considering the percentage of contribution to women. The formula for coding has five indicators, each valued at 20%: capacity building of women, women's participation in planning process and implementation, women's share in benefit-sharing, support for women's employment and income generation, and qualitative progress in the use of women's time and reducing women's workload (eAWPB 1.0 Operating Manual, 2009). In order to measure these categories quantitatively, five qualitative indicators were assigned quantitative values of equal denomination, totaling 100. Direct gender contribution indicates more than 50% of the allocation directly benefiting women, indirect gender contribution indicates 20-50% of the allocation benefiting women, and the neutral category indicates less than 20% of the allocation benefiting women. This is gradually being used by ministries such as the Health Ministry but due to difficulties in the application of the criteria that do not seem relevant to all the sectors, this has not been fully used by all.
- 14 Indicators for the pro-poor budget are investment in rural sector; income-generation program in rural areas; capacity-enhancement program in rural areas; budget allocated for social mobilization; expenditure focusing on poverty reduction; grant for local bodies; social security programs; and investment in social sector (especially for education, health, etc). See Annex 8c, Budget Speech 2009-2010. But it is not clear how these are scored and what sub-indicators are used.
- 15 Refer to the monograph on Rural Infrastructure in this series for more discussion on GRB.
- 16 Refer to the monograph on Rural Infrastructure in this series for more discussion regarding this.
- 17 This analytical framework is adapted from GRB frameworks being used, and has been applied in Nepal in different program/project assessments and evaluations and for the GESI strategy development (e.g., MFSC GESI strategy for the forest sector 2006, the International Labor Organization's GESI strategy for LED [local economic development] in Nepal 2009, and LFP social and geographic audit, 2004).

- 18 We are adapting from gender budgeting initiatives that have aimed to assess the impact of government expenditures and revenues, using three-way categorization of gender-specific expenditure, equal opportunity expenditure and general expenditure (the rest), considered in terms of its gendered impact (Budlender and Sharp 1998).
- 19 Implemented budgets of districts were reviewed to assess actual expenditure and its effect on addressing the barriers of women, the poor and the excluded. Program budgets of the current year were reviewed to assess allocations.
- 20 Directly supportive (i.e., targeted to provide direct support to women, the poor and the excluded); indirectly supportive (contributing to creating an enabling environment, supporting in any manner the access of women and the excluded to services, or addressing the structural difficulties confronting them); and neutral.
- 21 Jha et al, 2009.



CHAPTER 2

Gender Equality and Social Inclusion Making it Happen in Rural Infrastructure



2.1 Introduction

The aim of this chapter is to provide practical guidance on how to operationalize gender equality and social inclusion (GESI) in rural infrastructure works. Rural infrastructure¹ broadly consists of physical structures built in rural areas to support the various mobility, access, energy, service and water needs of rural communities. These are structures that are locally planned, based on local needs, and use labor-based technology largely with local materials.

This sector has the potential to bring about significant changes in the lives of women, the poor and the excluded by reducing geographical exclusion, improving access to facilities and markets, saving time by reducing travel requirements, and, in turn, reducing workload and increasing agricultural productivity by making good use of saved time and advances in technology. For these reasons, infrastructure-related investments are collectively considered a priority in rural areas.² However, the impacts of rural infrastructure improvements vary for different people due to differences in their social and economic roles and responsibilities. In particular, women, the poor and members of socially excluded groups often face specific social, cultural, institutional, physical and economic constraints, many of which are rooted in systemic biases and discrimination. These differences have implications for how men, women and different social groups use infrastructure services, and thus have important ramifications for sector policies, investment priorities and program designs. This sector, therefore, requires a combination of supply-side responses in terms of technical engineering design and approaches to marshalling the labor needed for construction and demand-side dimensions related to who uses what infrastructure, for what purposes, how it is paid for, and how are the benefits and impacts distributed among men and women and among households and communities from different social groups.

This chapter will assess the barriers that women, the poor and various socially excluded groups face in accessing and benefiting from the sector and how those constraints are being addressed. It will discuss GESI issues in the planning, budgeting, construction, operation, maintenance and reporting of rural infrastructure projects. The main focus will be on rural transport (i.e., roads), where a large percentage of government and donor investment is directed. Where relevant, however, reference will be made to other rural infrastructure subsectors, such as drinking water, irrigation, education, health and hygiene, skills development, markets, energy systems and other services. The level of inclusion in policy and programmatic responses, the tools and mechanisms practiced to address GESI issues, governance and social accountability mechanisms, institutional arrangements, and the level of skills in the sector will all be discussed. Ways to operationalize GESI in the sector will be drawn from the good practices and lessons learned from previous experiences of different actors.

2.2 Rural Infrastructure in Nepal: Access of Women, the Poor and the Excluded to Resources and Benefits of the Sector

Among the rural infrastructure subsectors in Nepal, rural roads are the most in demand.³ This is followed by demand for energy infrastructures, mostly micro-hydro and solar systems, to support the need for communication and other service provisions (health facilities, schools, etc) that need power. Bridges, community schools and market structures, irrigation, and water supply systems are widely built, and multiple programs focus on these. We first discuss the barriers experienced by women, the poor and the excluded in rural transport infrastructure (RTI), and then look at barriers in other kinds of infrastructure.

2.2.1 Dimensions of exclusion in rural transport infrastructure⁴

Nepal has one of the lowest road densities in the world. The rural road⁵ network currently contains approximately 24,000 km of operational (i.e., all-weather) roads, comprising 450 individual roads in 62 districts. Only 3% of the rural network is sealed, a little over 40% is graveled, and the remainder is of simple earth construction. As a result, much of the network, especially in the hills, is seasonal in nature. Nearly 30% of this network is estimated to have fallen into such bad condition that it is beyond repair for motorable purposes, while another 30% is poorly maintained. Only 40% is actually in motorable condition, albeit also poorly maintained.⁶

Due to the mountainous terrain and north-to-south-flowing river systems of Nepal, bridges play a vital role in connecting people and localities. The country has a long tradition of constructing trail bridges, and today there are more than 4,000 trail bridges across the country, with some 500,000 people and 90,000 animals using them every day. Trail-bridge building is part of the national curriculum in engineering schools, and there is now capacity to build about 200 bridges per year. Further, the increased capacities in many localities have allowed the government to decentralize responsibilities for bridge building to districts and village-level authorities (DOLIDAR 2009b).

Over the past few years the country has seen an unprecedented rise in the level of government investment in rural infrastructure. Studies show that district development committee (DDC) and village development committee (VDC) funds are also primarily spent on roads, with the highest proportion of the former's capital expenditure going to roads (31%), followed by education (23%) (UNDP, 2009); the proportion of VDC capital grant spent on rural roads in two consecutive years was 55% (2006-2007) and 46% (2007-2008).

There are several broad dimensions of exclusion that women, the poor, excluded groups and people in remote areas face in making use of rural transport infrastructure.

Geographic exclusion. Geographic remoteness and the topography of Nepal are core dimensions of exclusion in the rural road sector. Out of 55 districts in the hills and mountains, 46 can be classified as having a serious access problem, with over 20% of the population living outside the four-hour criterion.⁷ In the Tarai, nine out of 20 districts have more than 10% of the population beyond the two-hour limit prescribed by the guidelines. Due to the unplanned and uneven distribution of the road network, pockets of inaccessible areas exist in different regions.⁸ Over half the network (54% of the total) is located in the 20 Tarai districts, and of these roads three quarters are all-weather gravel or black-topped. In the hills, by comparison, over 80% are earth construction, and there are no all-weather rural roads in 13 districts.⁹ Due to current costing parameters it is very difficult to build roads in remote areas as the population density (and hence the number of beneficiaries per rupee spent) in such areas is very low.¹⁰ Additionally, planning and budgeting for rural roads are highly politicized, with powerful politicians at the national, district and village levels tending to dominate the selection of road projects with an eye to their own political gains.¹¹

Exclusion due to differences in transport needs and tasks of women, the poor and the excluded. Rural travel and transport in Nepal primarily involves people moving within a few kilometers from their homes. Often their transport tasks do not require them to move along the district-level road networks (e.g., for access to water facilities, education, finance, health centers and markets). As such, main roads and motorized transport might not significantly benefit women, the rural poor and the excluded, as they generally rely far more on local transport links, using local paths

and relying on walking and head-loading or using intermediate means of transport. However, this local movement of goods and people is largely invisible in conventional transport planning—the ramifications of a lack of recognition of differences in needs and interests that has often resulted in infrastructure that is not effectively used or maintained.

Gender-based exclusion. Household structures, family composition and size, and women's household roles affect the gender allocation of responsibilities as well as women's mobility and transport burden. In turn, this contributes to their time poverty, a key obstacle to women building up their assets and reducing their vulnerabilities. They often carry a heavier burden in terms of time and effort spent on transport, while having less access and control over resources and fewer opportunities than men to use transport technologies that could alleviate their burden. Girls, meanwhile, end up assisting their mothers in these household tasks, which often impacts on their education. In the southern Tarai belt, women from many groups are expected to observe the *pardah* (veiling) and remain within the household compound unless they are accompanied by male kinfolk. Thus, rural Muslim and Madhesi women do not generally travel out of the village, and thus enjoy less direct benefit from improved road access. Moreover, public works programs, which typically involve a heavy manual component, place women and people with disabilities at a disadvantage, as they have different physical capacities and are less able to participate in such work due to access, time and output compatibility.

Poverty-based exclusion. In the hill region, cash-poor subsistence farmers and women in particular are the least able to afford transport services and take advantage of the shrinking distance between their communities and service outlets (Molesworth 2005). The benefits from provision

of roads are unevenly distributed in areas where many households have neither the resources to maintain a road nor the necessary income to travel using motorized vehicles. Road building in isolation has not been matched by measures that enable the vulnerable to make use of such facilities. Evidence also indicates that the extreme poor face problems in accessing and benefiting even from the short-term employment opportunities in rural road construction. As the extreme poor require daily wages for basic survival, they cannot wait for money that is generally paid periodically (e.g., fortnightly or monthly). Further, the minimum wage, based on the approved district wage rate, is typically not actually paid to laborers.

Disability-based exclusion. The entire transport system is inaccessible to people with disabilities, making travel very challenging for a disabled person living in a rural area. In addition, people requiring urgent medical care (e.g., the elderly, pregnant women, etc) face barriers in reaching healthcare centers without safe accessible road networks, especially rural village roads and tracks.

Exclusion based on import of laborers from outside. In relatively large road construction projects carried out through contractors, laborers are often brought in from other places (even from India), thus excluding the local poor from important wage-earning opportunities. Currently, however, there are no rules or guidelines to prevent contractors from doing this even though some donor-funded projects do have social clauses for this.

2.2.2 Dimensions of exclusion in other infrastructure

All the above barriers impact other rural infrastructure too. Additionally, a key issue of exclusion is the site of the infrastructure. The site selection for any piece of infrastructure (e.g.,

water supply and sanitation, irrigation, or community buildings, including schools, health facilities, community centers, etc) decides the ease with which certain groups will be able to access those constructions. Health facilities, school buildings, market centers, cooperatives and community buildings are constructed on donated or public lands, which are often in places such as barren hilltops that are hard to reach for everyone. The choice of location is often influenced by the political considerations of local leaders. Rarely is compensation paid for private land used for public infrastructure and it is not always clear if such land is “donated” voluntarily.

It is important to note that infrastructure also plays a key role in retention of girls in school. Without gender-friendly toilets and comfortable classroom environments, female students, especially after puberty, find it inconvenient to manage their menstrual needs and are vulnerable to sexual harassment. Likewise, infrastructure that does not meet the requirements of students with disabilities will discourage them from enrolling in school or lead to increased dropout. Yet, today, most rural service infrastructure is constructed without engaging in proper analysis of needs, accessibility and the population served. Whatever limited rules or guidelines from the government exist to control these aspects of exclusion are not followed as the local elites and technical people do not agree/think it is important.

2.3 Project Phases of Infrastructure Development: Barriers Experienced by Women, the Poor and the Excluded

In addition to the broad exclusion issues discussed above, women, the poor and the excluded experience specific barriers at different stages of rural infrastructure projects.¹² An infrastructure project typically has four stages: project identification; planning and budgeting; construction;

and operation and maintenance. All physical infrastructures share some commonalities at these stages, and in this section we discuss the common barriers then experienced by women, the poor and the excluded.

2.3.1 Identification phase

Key exclusion issue. Decisions about the exact location of the infrastructure facility or the alignment of road and irrigation canals, tends to be made without taking into consideration the needs and problems of women, the poor and excluded groups.

Identification of infrastructure priorities

Each type of infrastructure project has to follow certain steps to identify potential projects (see the other sectoral monographs for details). But women, the poor and the excluded are mostly not involved in these steps—they are often poorly informed, and are unable to participate in planning meetings or influence project design or site selection. Another gap is the availability of disaggregated information about where different social groups live *vis-à-vis* the proposed location of infrastructure (be it a school building, health facility, water tap, cooperative, irrigation scheme, community center, market or road). Different sectors have made efforts to identify the needs of the target groups through a participatory process of informing, consulting and then designing. In the water supply and sanitation sector, mass meetings are held with beneficiaries to inform people about the application process. In the health sector, though, there is no process for the identification of a community’s priorities regarding site selection as health facilities are built on donated land.

In the rural roads sector, the district transport management plan (DTMP) is the framework within which district-level infrastructure activities are prioritized for investment. The DTMP

development process is guided by the Department of Local Infrastructure Development and Agricultural Roads (DOLIDAR) Approach Manual, and involves the collection of potential transport linkages¹³ for improved accessibility of the people in the district.¹⁴ A number of criteria¹⁵ guide DTMP development planning, including population coverage (counting the caste/ethnic profile in the local population). But while consultations are held during DTMP development, unless concerted efforts are made to reach and inform women, the poor and the excluded, it is unlikely that they will be present in the initial prioritization meetings due to social norms and their own survival pressures. The rural infrastructure subsector is strongly concerned with building technically sound physical structures—while this is, of course, a laudable characteristic, it also means that far more weight is being given to technical and institutional issues than to the needs and priorities of women, the poor and the excluded, or to social norms, values and practices.

2.3.2 Planning phase

Key exclusion issues. Remote areas (e.g., the Karnali region at the national level and isolated villages at the district level) are mostly ignored, while accessible areas are often prioritized for local infrastructure. Population groups settled in remote regions of the country and those living in the most isolated areas of a given community (often Janajatis and Dalits) thus have a high chance of being left out during planning of infrastructure projects. Often, their exclusion begins with the formation of the user committees and user groups.

Formation of user/coordination committees and user groups

In the planning phase, user committees and user groups (UC/UGs) are formed to plan and implement the project. These are the key insti-

tutions during the project and post-project phases (scheduling work plans, procurement of materials, etc) and they wield significant power. Generally, these committees are dominated by men and influential members of society (SDC 2005), but membership of women, the poor and other excluded groups is increasing (perhaps as a result of project directives). Even so, such members often have little voice or influence in day-to-day implementation and decision-making processes.¹⁶ The inability of women, the poor and the excluded to express their priorities and influence the rest of the UC/UG members—and the latter's lack of genuine commitment to sharing power is a major obstacle. The formation of the committees is seldom transparent and these bodies have increasingly become vehicles for corrupt and elite elements to capture project benefits (Sharma 1999). This process is similar to what Shah (2009) describes for rural water supply and sanitation (WSS) projects, in which “those in the know” can decide where and when to hold a meeting and who to inform so as to get the most politically supportive attendance. With other potential contestants for election to the water user committee absent or unorganized, it becomes possible to monopolize the selection process through one's supporters and allies attending the meeting.

As noted by Shah—and reflected in the caste/ethnic profile of members of infrastructure user committees—the exclusion process starts with the formation of UC/UGs and continues to other functions of the committees. Even when poor women and men are elected to UC/UGs, the opportunity cost of participation makes it difficult for them to attend meetings and engage in project-related activities. In this type of exclusionary environment, UC/UGs do not necessarily act as transformative agents, but instead often reinforce existing power structures (Jha et al 2009). In most rural infrastructure projects

where malpractice or corruption has reportedly occurred, there has been strong evidence to suggest that members of the user committee have colluded with the bureaucracy and technical teams to misappropriate project funds.¹⁷ In addition, local elites, who usually dominate UC/UGs, can attempt to manipulate the processes that decide on the location of rural infrastructure facilities—for example, diverting the trajectory of rural roads by “donating” some of their land in order to ensure that they remain the prime beneficiaries.

Due to a lack of sufficient disaggregated baseline data, the MLD (Ministry of Local Development), DOLIDAR and the DDCs often have to plan rural infrastructure projects without information on which groups live where in the community, VDC or district. For planning RTI, it is important to know the travel patterns and transport tasks of women, the poor and the excluded as well as the location/condition of existing infrastructure and how well this is already assisting people (especially the excluded). Yet data on the actual needs of the people, existing rural road networks, their serviceability, and the capacities of local institutions to maintain them are almost non-existent, despite DOLIDAR guidelines on the use of integrated rural accessibility planning (IRAP) tools. Worldwide experience suggests that investments in infrastructure itself do not automatically bring benefits to local people and that benefits will not be equitably shared by men, women, the rich and the poor unless the needs and priorities of each are addressed (Fernando and Porter 2002).

2.3.3 Implementation phase

Key exclusion issues. There is risk of poor families losing their lands and homes without adequate financial compensation. Financial and labor contribution rules are often not equitable, and thus the worse off are forced to bear a disproportion-

ate burden compared to their level of income and/or the level of benefit they will receive from the infrastructure. When the infrastructure is built by contractors, local labor is sometimes not employed, with labor brought from outside (sometimes even from India). Other major barriers to inclusion are poor governance, lack of transparency and accountability of the process that together often result in corruption and wastage of public resources.

User groups

The very backbone of a gender-sensitive and socially inclusive rural infrastructure development process, particularly in the rural roads subsector, is the correct and sincere application of the labor-based, environment-friendly and participatory (LEP) approach, using labor-based technologies and participatory tools. This generates short-term employment at the local level and injects cash into the local economy. In almost all infrastructure-related work in Nepal, there are now directives regarding representation of women, the poor and the excluded in groups, which ensures that they get employment opportunities and earn some income when a labor-intensive infrastructure approach is used.¹⁸ However, for women, factors such as household work, long travel times to construction sites, duration and frequency of meetings, lack of toilet facilities and childcare services, education level and vulnerability to gender-based violence can restrict their ability to participate. For the very poor, as noted earlier, project payment-release schedules can prevent them from participating as they often require daily wages for survival.¹⁹ Dalits and other excluded groups can also face barriers in accessing work opportunities due to caste discrimination and the preference of group leaders to give priority to people from their own caste/ethnic group or to those with the right social connections and influence.

Land acquisition

Construction of most infrastructure (particularly roads, irrigation canals and river control schemes) requires land acquisition in significant quantity. The government's practice has been to get the required land for free, usually in the name of "people's contribution."²⁰ Before construction starts, land is acquired once the alignment of the infrastructure is finalized during the planning phase. Powerful families with significant landholdings lobby the concerned authorities to change the alignment of the infrastructure in such a way that either they do not lose their land or lose it at a minimum; whereas poor households are usually unable to influence the process of alignment selection. The powerful families also sometime influence the alignment of infrastructure (particularly roads) in such a way that they benefit most from subsequent appreciation of land prices resulting from the construction. Poor families with marginal landholdings tend to lose their land; often, what they lose is all or a large proportion of what they have. The pressure from the "community" to "contribute for the social good" is so strong on marginal families that they often end up being landless and are never compensated.

There are no practical guidelines from the government to ensure the interests of poor families with marginal landholdings though some donor-funded projects have strong compensation or resettlement policies—like the Rural Access Improvement and Decentralization Program (RAIDP), the Rural Reconstruction and Rehabilitation Sector Development Program (RRRSDP) and the Rural Access Program (RAP). Though compensation for acquired land has been part of the practice of some municipalities (e.g., Kathmandu Metropolitan City), it is not practiced by other government bodies, especially DDCs/VDCs. Instead, in the name of local ownership and meeting local demands,

DDC- and VDC-level infrastructure is often constructed without proper assessment of loss and compensation. The issue of land acquisition remains a crucial area for pro-poor reform in infrastructure construction.

Construction—Decline of labor-based approach?

Despite its proven success, the labor-based practice is facing challenges in Nepal. While official data do not exist, it is estimated that more than 80% of rural roads, at both district and village levels, are now being built by large machinery—not only minimizing employment opportunities for the local poor but also increasing costs of operation and maintenance and destroying the environment. With block grant funds received from the central government, DDCs, VDCs and user committees are renting heavy machines for road construction from local machine owners, and in the process minimizing the provision of employment for women, the poor and the excluded. Short-term employment opportunities do provide income to poor families, with average earnings of Rs 260/day and increased food security.²¹ Further, most of the money paid to rent heavy machinery goes out of the district.²²

The rapid decline in the use of a labor-based approach for rural road construction is occurring in an environment of pervasive corruption and impunity. Contractors and "ready-made" UC/UGs are routinely disguised as representative of nonexistent UC/UGs and various corrupt practices are emerging in association with the use of heavy equipment. For example, most districts make cost estimates on the basis of district-approved rates for labor and materials. However, the work is often actually accomplished with heavy equipment at a fraction of the cost, with the margin pocketed by colluding parties.²³ These practices deprive women, the poor and the excluded of work opportunities.

In addition, the quality of work is being questioned in light of the high number and total length of rural roads²⁴ being built without proper planning (e.g., upholding the provisions of DTMPs for transport investments), technical survey, design and supervision. This is mainly due to the gap that exists between the level of investment and the almost static capacity of VDC and DDC staff at the local level. One symptom of poor management is the delay of work and budget expenditure until the last few weeks of the fiscal year, at which time, in the push for hasty implementation, governance, social and gender issues are sidelined.²⁵ This is further exacerbated by the fact that local governing bodies are currently led by unelected bureaucrats, usually non-locals, who are often assigned to work in a location for just a few years and in many cases do not exhibit serious commitment to local development.²⁶ A combination of poor capacity, glut of funds and pressure to deliver on physical targets expressed in kilometers or units of infrastructure, all in an environment of impunity, has meant that corruption is rife at the local level.²⁷

Meanwhile, the major tools and processes that would support inclusion—such as participation of women and excluded communities in planning, use of labor-based approaches and so forth—are being increasingly abandoned. In general, DDC and VDC grant expenditures do not follow a transparent process in the selection of road projects—during contracting, in terms of quality of construction, in payments made to user committees or contractors, in billing or in the share of benefits among signatories.

Use of infrastructure

Often, after infrastructure construction, the poor cannot afford to use buses, access irrigation water, pay water user fees, etc. The core issue is that many rural people, particularly the poor and women, still have inadequate access to the goods,

resources, economic and social facilities, services, and opportunities—including credit, technology, communications and information—that they could utilize and exploit to benefit from the improved infrastructure (ADB 2007b). Cross-subsidies that support women, the poor and the excluded to use the infrastructure are not in place. For example, in Achham, the milk from farms was carried by farmers to the market before a road was built. They continue to do so despite the new road since the bus fare eats into the profit from the milk. But improved connectivity does help the poor in most cases. ReRe/FSRP/GTZ (Reintegration and Rehabilitation Program/Food Security and Rehabilitation Project/German Technical Cooperation) in Rukum and Rolpa has clearly shown that the prices of commodities have gone down significantly after the construction of roads and the relatively poor have benefited from this. This has been substantiated in other areas (for example, construction of roads in Mustang and Manang resulted in the reduction in the prices of basic commodities, from which the poor have benefited). Though the roads benefit vehicle owners and businesses related to travel and transport, the poor do benefit economically through reduced cost of travel.

2.3.4 Operation and maintenance

Key issues of exclusion. Women, the poor and excluded groups might not be represented in operation and maintenance (O&M) committees, and might not get a chance to be trained as maintenance workers. Contributions for maintenance are not equitable, and thus the worse-off are forced to bear a greater burden compared to their level of income and/or level of benefit.

Despite the existence of O&M committees, throughout the country many rural infrastructure facilities have been abandoned soon after their construction. Many donor-financed projects within DOLIDAR have included budgets

for maintenance alongside investment in the construction and upgrading of rural roads, with the donor providing a progressively decreasing proportion of funding over the project life. But the outcomes over the years have been very disappointing, which have had serious implications for the serviceability and expansion of the road network. The major reasons for poor maintenance are the failure to transfer ownership to the real beneficiaries from the beginning and involve them in all stages of the project cycle as well as lack of beneficiary contribution for construction/maintenance and lack of a regular maintenance system. The experience of Roads Board Nepal has been that districts have often used funds meant exclusively for maintenance of roads for new construction, saying that they were rehabilitating existing tracks. Use of machines to prepare a first track and then using the maintenance fund to upgrade is a common approach that actually hinders genuine repair and maintenance of existing roads.²⁸

Exactly who is given the chance to take part in repair and maintenance of roads is another issue. This is a significant opportunity for earning money and such work could be directed towards women and other socially excluded poor through positive discrimination rules. Currently, however, there are no rules or guidelines on this. We tried to examine profiles of O&M committee members and maintenance workers to assess their diversity but disaggregated data were not available.

The past few decades of development practice have widely promoted the concept of “community ownership and contribution” in not only construction but also the subsequent maintenance of rural infrastructure of all sorts. However, the ground realities are very different. Most often, maintenance is hardly done and the financial requirements for maintenance are often underestimated at the beginning. There is a need

to review this practice in the light of the roles of local bodies in maintaining the infrastructure. Given the limited capacity or incentive to repair and maintain infrastructure constructed through “community contribution,” more thought needs to be given to the size of infrastructure that should be constructed through this approach.

2.4 Policies and Programs: Responses to Gender Equality and Social Inclusion Issues in Rural Infrastructure

This section²⁹ discusses the policy environment and programmatic responses to address barriers faced by women, the poor and the excluded in accessing benefits of the rural infrastructure sector. The first part discusses the mandates for rural infrastructure in multiple sectors while the second focuses on policy mandates and programmatic responses.

2.4.1 Policy mandates for rural infrastructure

Each sector has its own guidance for infrastructure. For instance, the School Sector Reform Program, the SWAp (sector-wide approach) program in education supported by all key donors, has committed to “meeting the threshold of minimum enabling conditions and in ensuring equitable support for infrastructure.” It has placed strong emphasis on the provision of adequate classrooms, separate toilets for girls and boys, drinking-water facilities and playgrounds. Construction and rehabilitation of supplementary infrastructure—such as social and market facilities, school infrastructure, micro-irrigation, link trails, trail bridges, community buildings and rural WSS³⁰—are also included in rural roads projects.³¹ Investments for these are based on community, complementing road improvements and generating additional linkages and benefits in the proximity of the rural road sub-projects. The community contribution in these

projects is 20% in cash or in kind and 1% cash up front. However, in the case of the poor and ultra-poor, the up-front cash requirement can be forgone and the in-kind contribution lowered to 10%. The issue of who decides who is poor and if they can afford 10% in kind is not clarified, leaving a major gap: for the poor, even 10% can be extremely costly. The programmatic responses for rural infrastructure in the other sectors are dealt with in the respective sectoral monographs.

2.4.2 Policy framework for rural transport infrastructure

The key policy documents that direct the RTI sector are the National Strategy of Rural Infrastructure Development (1997), the Approach for the Development of Agriculture and Rural Roads (1999), the Local Infrastructure Development Policy (2004) and its Strategic Plan (2008), the Nepal Trail Bridge Strategy (2006), the SWAp in the trail bridge subsector (2009) and the RTI SWAp Guidelines (2009).³² At the district level, DTMPs provide the overall framework for all RTI-related work, while programs/projects under the MLD/DOLIDAR, such as the District Road Support Program (DRSP), Decentralized Rural Infrastructure and Livelihood Project (DRILP), RAIDP, RAP, Rural Community Infrastructure Works (RCIW), RRRSDP and Trail Bridge Subsector Program (TBSSP), have their own guidelines. VDCs/municipalities are authorized by the Local Self-Governance Act to use their own resources for RTI. A gender policy for the local transportation subsector has been prepared, but is in a draft stage.³³

A review of these policy mandates reveals that in older documents, such as the DTMP Approach Manual, directions regarding gender and inclusion issues are (understandably) almost absent. More recent documents, however, do have statements regarding inclusion and

directives for representation in decision-making bodies at the community and project levels and affirmative action in employment opportunities. For instance, the LIDP has a provision to prioritize projects where “Dalits, nationalities and backward classes” can enjoy higher benefits and “local resources are utilized.” It also promotes participatory, inclusive development and states that the “maximum number of women, poor,³⁴ disadvantaged groups and Dalit community [must be employed] in the construction of infrastructures.” The LIDP also directs that infrastructure-plus activities of mobilization, awareness development and livelihood support be implemented as part of infrastructure programs and offers strategies for analysis and participation of women and the disadvantaged. In fact, the LIDP Strategic Plan (2007/2008-2009/2010) states that 10% of the budget must be allocated for such infrastructure-plus activities.

The Trail Bridge Strategy aims to “promote access of local people (particularly women, Dalits, ethnic communities, the disadvantaged, discriminated and marginalized classes) to social and basic services.” It has working principles regarding representation of women, Dalits, Adivasi Janajati communities and the disadvantaged, and equal pay for equal work. The SWAp in the trail bridge subsector has adopted a community approach in which user groups have pivotal roles in decision-making and implementation. In this SWAp, important elements for inclusion are priorities on representation in decision-making bodies and jobs at site, a focus on remote districts, and the use of social accountability mechanisms such as public audits. The project/program documents and guidelines make similar provisions for representation and employment, while there are additional supportive directives for mobilization, capacity building and support for gender-specific responsibilities and other supplementary empowerment activities.

The SWAp directives³⁵ reinforce the local government's (DDC/VDC) responsibility for RTI, and emphasize a labor-intensive approach that provides employment opportunities for local users. They offer clear direction regarding the participation of women, the poor and the excluded in planning and prioritization (3.3, point 1), and recognize the need to revise the DTMP guidelines, but do not specify how GESI aspects are to be addressed. Nor do they direct the rural transport management information system to include sex- and caste/ethnicity/location-disaggregated data though they do state that GESI issues must be promoted and the participation of the excluded ensured at each stage of decision-making and implementation (3.3, point 12).

A number of documents to guide and regulate the undertaking of works by building groups and user committees (BG/UCs) exist, including stipulating priority to the BG/UC in construction work while limiting the use of contractors to technically demanding and complex work.³⁶ The main reason for promoting the use of BG/UCs in the construction of rural infrastructure is to “provide short-term employment opportunities and to engage the poor and excluded communities in RTI related decision making process at the local level and using local human resource, injecting maximum cash into local economy and transfer of skills for construction, operation and maintenance.” Such policy provisions establish that directives are necessary to ensure fair representation in local decision-making bodies and provide opportunities for short-term employment. Yet, a key gap is the lack of any policy directive for disaggregated analysis and identification of transport needs and travel patterns of women and men of different social identities. The DTMP Approach Manual directs the prioritization of requests for transport linkages following 19 criteria (see above); but while the process does

require consultation, on the ground, the depth and inclusiveness of the process is not always sufficient to ensure participation of women, the poor and the excluded.³⁷

While significant effort has been made to increase representation of the excluded in relevant committees, there are still not strong incentives in place to motivate decision-makers to respond to issues raised by diverse communities. The representation of different social groups has remained largely at the community level, with little presence in higher-level coordination structures. Further, no mechanism exists to allow the excluded to influence decisions at the VDC/DDC-level coordination committees. There is still no clear-cut policy mandate to embed GESI into the entire system. Statements are made regarding the importance of participation of women and the excluded in the full project cycle, but these statements are not backed up by budget allocations or directives identifying who is responsible for implementation or establishing the mechanisms to ensure that the excluded are positioned as key actors. As a result, such statements are insufficient for meaningful and large-scale change. Specific policy directives for the RTI sector to work collaboratively with other organizations and committees working on GESI-related issues are also absent, with none of the policies recognizing that the transport needs of the poor, the excluded and women are different from those of the traditionally advantaged. Additionally, there are no rules specifying punitive measures against bodies violating the pro-poor and inclusion-friendly policies and directives of the government.

The absence of coherent and consistent compensation and resettlement policies in the rural infrastructure sector is detrimental to women, the poor and the excluded. There is also confusion about what comprises compensation for those affected by rural infrastructure projects.

There is a substantial difference in understanding among development partner-supported programs and those implemented locally with the latter limiting its interpretation of government clauses to compensating for lost physical assets only. Donor-funded policies provide for a whole range of livelihood restoration support, recognizing that direct one-time monetary compensation cannot replace a steady source of livelihood.

According to the OECD Development Assistance Committee, truly integrating gender into infrastructure development requires a shift in the general mindset: from seeing gender as “requiring attention” to viewing women and girls as the “primary clients whose satisfaction is a critical factor in ensuring the project’s success and sustainability. When gender equality issues are not taken into account, women can become worse off—both absolutely and in relation to men” (OECD nd: 3; World Bank 2010). The same can certainly be said of socially excluded groups in Nepal.

2.4.3 Programmatic responses in rural transport infrastructure³⁸

There has been considerable investment by donor agencies³⁹ in the development of infrastructure for rural access, mainly roads, trail bridges, and, more recently, motorable bridges and surfacing of fair-weather roads. There are currently 12 rural infrastructure programs implemented by DOLIDAR.⁴⁰ The donor-supported programs⁴¹—RRRSDP, with funding support from the ADB, DFID, OFID and GON; DRILP (ADB, SDC), DRSP (SDC), RAP (DFID) TBSSP (SDC) and RAIDP (World Bank)—have adopted a labor-intensive, community-based approach, and all focus on working through UC/UGs, which enable participation of women and excluded groups. GTZ has implemented RCIW with the MLD, while the World Food Programme has a food-for-work scheme

with other small-scale productive infrastructure along road corridors, in addition to infrastructure-related programs (FSRP followed by ReRe) in Rukum and Rolpa. The International Labour Organization’s Employment Creation and Peacebuilding through Local Economic Development (now phased out) likewise had an infrastructure focus, based on a territorial approach and value chain development. These programs use an environment-friendly and labor-intensive construction approach by using no heavy equipment, applying bioengineering technology to control soil erosion, and integrating empowerment-related interventions in the programming.

These programs (see Annex 2.1 for an overview of selected programs) work with their specific gender and inclusion frameworks, and share similar approaches and objectives of ensuring gender equity and social inclusion (Table 2.1). Some aspects of programming are discussed below.

Disaggregated database. The IRAP tool (guidelines for which have been developed by DOLIDAR/MLD) is used to collect information regarding population, health, education, physical infrastructure, roads, employment patterns and so on. For data on female-headed households, only some indicators are disaggregated by sex/caste/ethnicity. The IRAP tool is used for the Accessibility Index of transport services, which is calculated using travel time, quality of transport services, and local priorities. Geographic exclusion issues are somewhat addressed as the IRAP identifies location accessibility issues, but the tool does not identify the infrastructure needs of women and people from excluded groups, their resource and access barriers, or what can address their exclusion.

User committees. Working through user committees is provisioned in most programs (e.g., RAP, RAIDP, DRSP, DRILP and RRRSDP),⁴²

Table 2.1: Programs and Their Gender Equality and Social Inclusion Provisions

Projects, project coverage, donors (budget)	Key measures towards GESI
RRRSDP, 20 ⁱ districts in addition to existing 18 ⁱⁱ DRILP districts, World Bank, ADB, DFID, SDC, and others (US\$106.8 million)	<ul style="list-style-type: none"> • Strengthen capacities of communities, beneficiary participation and social cohesion to integrate poor and disadvantaged into mainstream development activities • Road-building groups (RBGs) to be formed disaggregated by gender, caste and ethnicity; make all efforts to ensure participation of 50% women in RBGs and 33% in executive committees; through affirmative action, increase options of excluded ethnic groups/castes and women to participate in state administration and actively increase their control and command over resources • Ensure men and women receive equal wage for work of equal value • Contribute to overcoming exclusionary barriers, promoting inclusion, reforming policy actions and bringing about pro-poor growthⁱⁱⁱ
DRILP, 18 ^{iv} districts, ADB (US\$62.3 million)	<ul style="list-style-type: none"> • Promote social cohesion and increase social inclusion of excluded and vulnerable groups; empower poor and disadvantaged, particularly women,^v to take jobs on project works • First priority for employment will be poor and disadvantaged groups and castes • Village infrastructure construction coordination committee (VICCs) will also include women, Dalits and other disadvantaged groups; ensure participation of 33% women and due representation of various ethnic groups and castes
RAIDP, rural roads in 20 ^{vi} districts and trail bridges in 28 ^{vii} districts, World Bank, RTI component (US\$34.63 million), and capacity-building and advisory services (US\$7.31 million)	<ul style="list-style-type: none"> • Social screening to be carried out in close consultation, including with women and Dalits among others, to identify project impacts on poor and vulnerable groups • As social mitigation, prepare Vulnerable Communities Development Plan (VCDP) for betterment of vulnerable people: targeted beneficiaries include mainly marginalized groups, women, Dalits, ethnic minorities, poorest people, and disabled^{viii} • Support Dalits, women-headed households, poor, and marginalized groups of “zone zero” through VCDP (RAIDP/DOLIDAR 2009)
DRSP, 6 ^{ix} districts, SDC (Rs 95.2 million for Phase I; Rs 395 million for Phase II; Rs 695 million for Phase III)	<ul style="list-style-type: none"> • Use environment-friendly and participatory approach, focusing on most disadvantaged sections of society • Enable women to feel entitled and empowered to make claims in accessing services • Pursue a multipronged approach to empower disadvantaged people, incorporating affirmative action, incentives, appropriate targeting • Functional cost and performance analysis to help steer projects and staff to become more pro-poor, disadvantaged focused and gender balanced • Poor are targeted and entitled to subsidies, cash compensation and other incentives; where possible, special events and groups will be organized to ensure participation • Pursue affirmative action in staff selection to increase women’s presence in management, and redefine “disadvantaged” program-wise to include populations beyond caste • Access remotest areas of program districts in order to maximize potential benefits to such groups • All local committees and groups^x to have at least 40% women, proportionate representation of disadvantaged groups (DAGs), and representation of such people at decision-making level
RAP, 7 ^{xi} hill districts, DFID (£17 million)	<ul style="list-style-type: none"> • Address lack of access and social exclusion • Construct roads using an approach that maximizes benefits to rural poor and disadvantaged • Decrease vulnerabilities and nonphysical barriers, and increase range of economic opportunities available to poor and excluded • Ensure involvement of poorest in RBGs: over 33% women, 23% Dalits, and 25% Adivasi Janajati in the existing membership
TBSSP, 60 districts, SDC (CHF10 million)	<ul style="list-style-type: none"> • Program’s main targets are disadvantaged groups (DAGs^{xii}) living in rural hills who do not have access to modern means of transport and whose only reliable means of transport are foot trails • When DDC prioritizes and selects a trail bridge, social aspects are also considered and project team facilitates selection of local user committees with set criteria for involvement of disadvantaged people and groups • Provide executive posts to disadvantaged, women, Dalits and Janajatis to address needs of disadvantaged community members • Make bridge-building activities sensitive towards livelihoods of targeted groups: women, Dalits and Janajatis • DAGs at local level have to be given preference to utilize any opportunity, including DBMT training created through bridge building • Project has to ensure inclusive planning and vigilance on issue of forced land donation • All local user committees will have at least 40% women and proportionate representation of DAGs, and also representation of such people at decision-making level

Projects, project coverage, donors (budget)	Key measures towards GESI
FSRP/ReRe, 2 nd districts, GTZ	<ul style="list-style-type: none"> • Include geographically and economically disadvantaged and socially discriminated in mainstream integrated development activities under FSRP/ReRe to increase their social dignity and improve economic capacity • Ensure all parts of community (caste and gender) are represented in all activities • Ensure at least 50% women participation in each project activity, and equal wages for women and men • Dalits, single women, disabled and orphans are considered special target groups that need to be addressed through special interventions

Source: Program documents.

- i Panchthar, Ilam, Jhapa, Morang, Sunsari, Dhankuta, Sindhuli, Dolakha, Sindhupalchowk, Kavrepalanchok, Lalitpur, Bhaktapur, Kathmandu, Chitwan, Manang, Mustang, Parbat, Rolpa, Rukum and Dadeldhura.
- ii Baitadi, Bajhang, Bajura, Darchula, Dolpa, Jumla, Jajarkot, Kalikot, Mugu, Baglung, Gorkha, Lamjung, Myagdi, Okhaldhunga, Ramechhap, Sankhuwasabha, Solukhumbu and Taplejung.
- iii RRRSDP project procedures manual, project coordination unit, central implementation support consultant, Ekantakuna, Jawalakhel, Lalitpur, August 2009.
- iv Baglung, Gorkha, Lamjung, Myagdi, Dolpa, Humla, Jajarkot, Jumla, Kalikot, Mugu, Baitadi, Bajhang, Bajura, Darchula, Okhaldhunga, Ramechhap, Solukhumbu and Taplejung.
- v Women will be allocated at least 40% of the unskilled labor where sufficient demand exists, with women-only building groups formed and women encouraged to become group leaders.
- vi Kailali, Bardiya, Banke, Salyan, Kapilvastu, Rupandehi, Nawalparasi, Palpa, Syangja, Kaski, Dhading, Nuwakot, Rasuwa, Makawanpur, Rautahat, Sarlahi, Mahattari, Dhanusha, Siraha and Udayapur.
- vii Kailali, Salyan, Rupandehi, Nawalparasi, Palpa, Syangja, Kaski, Dhading, Nuwakot, Rasuwa, Makawanpur, Udayapur, Dolpa, Kalikot, Mugu, Darchula, Bajhang, Bajura, Humla, Jumla, Jajarkot, Rukum, Mustang, Manang, Solukhumbu, Khotang, Bhojpur and Sankhuwasabha.
- viii RAIDP Environmental and Social Management Framework, RAIDP/DOLIDAR, August 2009.
- ix Sindhupalchowk, Dolakha, Sindhuli, Ramechhap, Okhaldhunga and Kavrepalanchok for Phase III.
- x A district road coordination committee (DRCC) is constituted in each DRSP participating district, and must have at least two female delegates. A local road coordination committee (LRCC) is constituted in each road corridor, prior to commencement of construction, by the DDC, DRCC and social mobilizer. Representatives of marginalized/deprived groups should be included as members of LRCC; and at least a third of the members of the LRCC, excluding the secretary and the social mobilizer, shall be women. A local road users' committee (LRUC) is constituted in each road corridor prior to construction commencing, by the LRCC. At least one key position (chair, secretary, treasurer) shall be filled by a woman. An RBG is constituted in each community where a road is being constructed by the LRUC. Priority in participation should be given to the poorest and most deprived sectors of society, plus women who are willing to work on the road. Members are 15-25 representatives of the poorer strata of the community, 40% of whom should be women.
- xi Doti, Achham, Dailekh, Khotang, Bhojpur, Sankhuwasabha and Terhathum.
- xii DAGs are as those with less than six months' food sufficiency or annual income below Rs 36,000 per household from farm or nonfarming activities, landless, and socially discriminated, which includes Dalits, Janajatis, special minorities, women and people from remote locations.
- xiii Rolpa and Rukum.

which should include at least 33% women members (for DRILP, 40%) and also include proportionate representation of excluded groups.⁴³ The RRRSDP and RAP2 target at least 75% of coordination committees, user groups and building groups to have 50% women and proportionate representation of major disadvantaged groups; the RAP guidelines further mandate that 15-20 of the poorest and most excluded households be incorporated into the RBGs. RBG-related opportunities not only help workers to earn wages but, in the case of women, to increase their social status within the household. TBSSP also has provisions for representation of women

(40%) and proportionate representation of Dalits with at least one position on the executive committee (chairperson, secretary or treasurer) given to a woman or a member of an excluded group.⁴⁴ Despite these quotas, women's participation in the RBGs and user committees remains marginal, particularly at the decision-making level (DRSP 2005; DRILP 2008). While their representation has been accepted due to project requirements, their active participation is constrained by socio-cultural norms—though where mobilization has focused on building their capacity, the voices of women and Dalits have been raised where decisions affect them.

In the DRSP it has been found that there is a lack of transparency and internal discussions within user committees. The selection of participants for building groups or training programs has often been made by the chairman, who typically selected himself. Local community members mention that UC/UGs typically award more work to contractors than to building groups, exploit women and local laborers by not paying approved rates, and discriminate against women in the building groups. Further, they point out that workers are often selected on the basis of political affiliation, and sometimes sourced from villages beyond the project area, resulting in the local poor and excluded being either ignored or given only token amounts of employment (SDC 2005).

GESI-supportive guidelines and provisions for construction phase. In addition to representative user committees and RBGs, the DRSP, RAP, RCIW and FSRP have developed gender and social inclusion guidelines and provisions for the implementation phase to ensure that project benefits and opportunities reach women, the poor and the excluded, and to provide safety-net measures. These include provisions such as equal pay for equal work, social mobilization, skill development training, childcare facilities at construction sites, workers safety and security and insurance. Safeguard policies have also been adopted by projects/programs to secure the rights of poor and excluded groups, including the Vulnerable Communities Development Plan (World Bank), environmental, social and resettlement safeguards (ADB), and compensation policies for accidents and deaths. The programs identify households that are most in need of employment opportunities, using tools such as well-being ranking, labor availability surveys (RAP, RRRSDP), etc. Short-term employment opportunities providing average earnings of Rs 260/day (RAP) during construction are usual.⁴⁵ Increased technical/construction skills gained

from the project are a source of future income. There is decreased dependency on moneylenders and increased savings in road construction areas when LEP is used. As discussed previously, provisions also exist to ensure the representation of women, the poor and the excluded in different levels of decision-making bodies, such as user and coordination committees.

Equal pay for equal work as a policy is becoming an established, standardized practice. It is a good policy in terms of reducing discrimination, but payments are made on the basis of measurements that result in women generally receiving less due to their lower ability to do manual labor. In one case, the DRSP, one group of women was often in conflict with the DDC-hired contractors, who were perceived to be avoiding hiring women workers and paying them less than men (e.g., Rs 100 instead of the district rate of Rs 115) (DRSP 2005). Projects also have varying compensation policies for loss of land and property.⁴⁶ In the DRSP, demand for compensation is currently limited to when very poor and disadvantaged families lose their houses or a significant portion of their land (DRSP 2005). Yet, a lack of sufficient consultation with landowners, including women, can result in further loss for the poor and the excluded. One woman, for instance, bought land after being abandoned by her husband, but the contractors and overseer consulted her former husband rather than her (SDC 2005).

ReRe has provisions to build the skills of women and people of excluded groups who are members of RBGs.⁴⁷ It also offers vocational training to women and Dalits, and develops women as resource persons for reproductive health and HIV/AIDS. The user committees provide an opportunity for members of excluded groups to be involved in road maintenance. But very few programs invest in such capacity-building measures.

Due to insufficient information and inappropriate targeting, opportunities for the very poor to participate in road construction can be restricted. As noted earlier, current wage practices in particular can deter the very poor, as they require daily payments. In RAP2, members of building groups receive full wages within 30 days of completed work, which is not a suitable approach for the very poor. In one project scheme (Tallochhap), the 12 ultra-poor Dalit and Janajati families (Damain and Magar) were only involved in road construction because the community had “loaned” them food items until they were paid by the project (DRSP 2005). However, in ReRe the workers are paid in advance to compensate for this possible delay.

Empowerment-related initiatives. Community empowerment efforts are integrated in RAP programming and GTZ-funded road-related projects such as RCIW, Rural Program Nepal, Poverty Alleviation in Selected Rural Areas (PASRA), and Reintegration and Reconstruction Project (ReRe).⁴⁸ ReRe, following practices of RCIW and FSRP, has participatory learning centers: platforms for poor and excluded groups to organize and discuss community-specific issues and initiate social and economic action. Each center functions for three years, two for intensive support and one for consolidation support, so that communities can continue the learning centers even after projects are completed. RCIW, FSRP and ReRe have also been successful in empowering Dalit women in leadership positions. Field experience from the project has found that Dalit participation is higher if group leaders are also Dalit. Literacy classes have contributed to increased awareness, confidence building and empowerment, mainly among women, who in turn become increasingly aware of the importance of education and thus are increasingly likely to send their children to school. They become more confident that they

will not be cheated in their everyday lives by shopkeepers, in wage distribution and in government offices (DRSP 2005).

Livelihood support. Several projects include a livelihoods component. RAP has a program of livelihood support for the RBGs, including savings and loans, income-generating activities (IGAs), coordination and linkage to other programs, and support for initiatives prioritized by beneficiaries. Generally, rural infrastructure-type projects are short term, and group saving binds individual members financially, with regular meetings and other group-based livelihood projects. Participation in savings and credit initiatives, IGAs, literacy classes and other awareness-raising efforts has made women more aware of their rights, and improved access to financial resources has allowed members to take loans on much lower interest rates from the savings/credit groups. For the ultra-poor, though, their involvement in these initiatives remains lower for several reasons: time poverty which prevents them from attending group meetings, inability to afford monthly fees, high-risk factors and lack of insurance for rearing small livestock, and social discrimination by other group members (DRSP 2005). These issues need to be better understood and addressed to support more equitable economic benefits for the poor and excluded from project resources.

Supplementary infrastructure has been included as a subcomponent in RAP2 and RRRSDP. Selection criteria for such work includes that projects are identified and planned through a community-level participatory process involving the poorest and most socially excluded groups, and that they target the poor, identified through earlier social mobilization activities. These cover tracks, trails and school and health buildings, and will respond to needs voiced by the community. Implementation gaps exist, as our experience shows that these provisions are almost entirely ignored by the local government

with no support for action at the DDC/VDC levels.

Affirmative action for recruitment. Some programs (RCIW, GTZ Rural Program Nepal, RAP) have promoted young female engineers and local supervisors for district-level activities, while RRRSDP awards extra points to women candidates in the recruitment process. Similarly, affirmative action has been used to recruit from excluded groups for project/program positions. Such innovative affirmative action approaches are well accepted, recognized and contribute to building up a broader inclusive human resource base for the RTI sector. Despite such efforts, there is still a major gap, with very few women in technical positions.

Social accountability mechanisms and monitoring. Programs that have incorporated and regularly apply transparency tools, such as project books, social audits and public hearings, have recorded better public participation and credibility. Additionally, these tools have consistently helped in improving governance and establishing processes that enable project beneficiaries to understand and be informed about resources and their use, and allow for downward accountability in cases of confusion or suspicion of malpractice. Although public audits are increasingly common, in many cases they are done without the proper processes. GESI-disaggregated reporting mechanisms are in place for project-specific needs, but documentation of government (non donor-supported) programs remains weak. Hence, issues, lessons and clear evidence of reduced malpractice resulting from these programs are difficult to identify.

Other infrastructure. In case of infrastructure such as water supply, school/community buildings, irrigation and market centers, the amount of funds used is far less, the beneficiaries are more clearly identified, and there is a clearer link with private benefits, all of which result in

greater public interest in the project. But common problems persist, such as the capture of committees by powerful individuals, mere token participation of women, lack of transparency in decision-making and resource expenditure, causing low ownership of real users, and poor maintenance.

2.5 Institutional Mechanisms for Rural Transport Infrastructure and GESI in the Subsector

The level of access to rural infrastructure benefits for women, the poor and the excluded is greatly influenced by institutional arrangements, level of GESI understanding and capacity, and the institutional culture of service providers. This section assesses the level of inclusion in the staff profile of DOLIDAR in the MLD as well as the responsibilities of key decision-makers and implementers.⁴⁹ Institutional culture and attitudes of service providers are difficult to assess without in-depth reports, but we draw from sample field reports and key informant experiences. The following structures are responsible for the implementation of RTI.

Central level. National Planning Commission (NPC), Ministry of Finance (MOF), MLD and program/project implementation units.

District level. DDC, district technical office (DTO), District Treasury Controller's Office and District Transport Infrastructure Coordination Committee (DTICC).

Local corridor/VDC/municipality level. Local transport infrastructure coordination committees, village transport infrastructure coordination committees and RBGs.

Other partner institutions, such as civil society organizations, local bodies' associations (Association of District Development Committees of Nepal, Nepal Association of Village Development Committees, and Municipal Association of Nepal), NGOs, the

private sector, watchdog agencies and the media, are also involved at each level.

2.5.1 Specific location of GESI responsibilities

With a GESI strategy and section, the MLD now has both the mandate and the technical capacity to provide effective assistance in addressing GESI in projects/programs. The GESI section is responsible for “providing technical assistance to MLD and Local Bodies for GESI mainstreaming” and “Coordination with departments, different divisions and sections of the MLD to mainstream GESI in planning, programming, budgeting, monitoring and reporting of the LGCDP and MLD.”⁵⁰ An MLD undersecretary is the head and a GESI specialist has been recruited, but the section in general still requires time to become established and effective. Meanwhile, there are no specific directives for DOLIDAR to work in an inclusive manner: it is mandated to “undertake infrastructure development programmes in accordance with decentralization policies,” but without specified responsibility to ensure that gender and inclusion are addressed. As is the case in other government bodies, the terms of reference of the director general, deputy directors general, other officers and engineers do not direct them to ensure that GESI issues are routinely addressed in their work or mandate that they build their capacities on GESI.

Responsibility for district-level RTI lies with the DDC, with technical support from the District Technical Office (DTO). From a GESI perspective, the DDC has a social committee and a social development officer who is also designated the gender focal person. At the district level, the planning and monitoring officer has to ensure that GESI is integrated in program planning, implementation, monitoring and evaluation, and that priority is given in the selection, approval and implementation of pro-

grams that provide quick and direct benefits to Janajatis, Dalits, people with disabilities, those from marginalized regions and sectors, and other vulnerable groups. There are various watchdog committees (such as the District Coordination Committees of Janajatis and the Dalit Class Upliftment District Coordination Committee) with representation from political parties. The Gender Mainstreaming Coordination Committee, under the women’s development office with representation of line agencies, is tasked with monitoring and coordinating work on gender at the district level; while the GESI Implementation Committee⁵¹ is responsible for coordinating these committees and providing technical support to the DTO, to ensure that gender and inclusion are addressed throughout infrastructure-related projects including RTI.

Under the SWAp framework, DDCs are to ensure equal participation of women, Janajatis, Dalits and other disadvantaged social groups in planning, program implementation, benefit sharing, monitoring, evaluation and benefit distribution. The DTO is responsible for the implementation and management of local infrastructure under DDCs and VDCs, but there are no officers assigned to address gender and inclusion in the DTOs. No specific task is included in the DTOs’ terms of reference regarding gender and inclusion, although the office is responsible for policies regarding safeguards. For the most part, the analytical skills and responsive capacity of DTOs regarding gender and inclusion are minimal,⁵² with most seeing work on gender and inclusion only in addition to their core responsibilities.

At the VDC/municipality level, district road coordination committees (DRCCs), district implementation coordination committees, village road coordination committees (VRCCs), and village infrastructure construction coordination committee (VICCCs) are established for the

implementation of local roads. Program/project provisions for 33% women and adequate representation of other socially disadvantaged groups have become established practices, while building groups also require at least 33% women and pro-

portionate representation of other groups reflecting the district population. The DRCCs and VRCCs are created for coordination and facilitation, resolving disputes at the local level, and to carry out programs in an integrated, effective and

Box 2.1: Challenges Experienced by Infrastructure Task Teams

Interviews conducted for a portfolio review of 15 years of the World Bank's experience with efforts to integrate gender and social issues into its infrastructure operations identified five challenges faced by World Bank task teams in integrating gender in infrastructure projects.

Time constraints. Task team leaders in the infrastructure sectors are faced with tension between timely project preparation within the allotted timeframe and the time required for consultations and social and gender analysis. Within tight timeframes, mandatory analyses, such as those for procurement, financial management, and safeguards, take precedence over social and gender analysis. While evidence indicates that participatory, inclusive approaches are more sustainable, they are also more management and resource intensive. The perception of many infrastructure staff is that addressing social and gender issues increases the complexity of projects that are already challenging. In the energy sector, household energy—an important subsector with significant gender issues—is seen as too labor-intensive, particularly the need for on-the-ground capacity, and it is considered too small scale (Blackden 2008) to be of interest to many large bilateral and multilateral donor agencies.

Financial constraints. There are limited resources available for social and gender analyses of infrastructure projects. Task teams are often asked to address multiple, competing themes (e.g., gender, HIV/AIDS, climate change, governance) with no extra funding. Client countries are reluctant to invest loan funds in social and gender activities. The 2005 evaluation of the GENFUND outcomes identified the lack of World Bank budget for gender work in operations and noted that as a cross-cutting issue there is often no operational or analytical work to which staff can charge time (Tomqvist and Lam 2005). The World Bank's Gender Action Plan funds are extremely valuable and have produced significant changes in a few projects. However, in the context of the large and growing infrastructure sector, they are not adequate to institutionalize gender integration.

Expertise constraints. Country-level expertise in gender and other social dimensions of infrastructure is usually very limited. Social development staff are most often deployed to address narrowly defined social safeguards, not gender issues. The dramatic increase in Bank lending for infrastructure is likely to intensify this limitation in the use of social development skills in project design.

Client country reluctance. Gender and infrastructure are often a “hard sell” to ministers of infrastructure and other government officials in client countries. Decision-makers often lack gender awareness. The social dimensions of infrastructure are rarely a priority and are viewed as marginal. Social development counterparts are rare in infrastructure agencies.

Few incentives for infrastructure staff to integrate gender. The reward structures that enable infrastructure staff to advance within their organizations focus largely on the economic bottom line rather than the social bottom line—gender equity and social inclusion. The GENFUND evaluation noted that there were no organizational rewards for innovative gender work (Tomqvist and Lam 2005). The 2008 gender portfolio review of the Energy Sector Management Assistance Programⁱ had similar results. Energy task team leaders stressed that lending carries more weight than addressing the impact of energy projects on poor people, and the size of lending matters.ⁱⁱ

Source: World Bank (2010).

i The Energy Sector Management Assistance Program is a global technical assistance program that provides innovative solutions to governments and the private sector, focusing on pre-investment activities. It complements the work of other development partners and private sector institutions. Its activities are executed by the World Bank (www.esmap.org).

ii The five challenges presented here are consistent with those of other gender portfolio reviews in transport and energy (Clarke 2007). Source: Field notes discussion with Action Aid 2009.

efficient manner. These committees prepare the budget for roads (or roads plus infrastructure), and also have the authority to monitor, supervise, guide and provide feedback on projects; they are thus crucial for addressing GESI issues regularly at the community level. Under donor-supported programs with strict conditionalities for representation, there are increasing numbers of women and excluded groups in user groups and road corridor committees, but their representation is still limited.⁵³

The various institutional mechanisms indicate a lack of clear GESI-related responsibilities in the terms of reference of DOLIDAR, DTO and the various committees, and of building their capacity to work on such issues. Additionally, mechanisms and processes are absent for joint work with GESI implementation committees at the DDC level, and with integrated planning committees (IPCs), supervision and monitoring committees, and village and ward citizens' forums at the VDC/municipality level.⁵⁴

A recent World Bank report (World Bank 2010) presents the different challenges that Bank staff experience in addressing GESI issues in their work, including pressure to complete physical targets, limited availability of technical expertise, limited financial resources for such works, and a lack of official direction.

2.5.2 Level of diversity of civil personnel in the DOLIDAR

The staff profile of DOLIDAR was reviewed to assess the level of inclusion and identify the extent to which perspectives of different social identity groups are likely to influence sector policy-making. Of the total 990 personnel, there are 49 women, with only seven in gazetted positions and the rest in non-gazetted positions or without grade. Compared to the national population, there is over-representation of Hill Brahmins, Chhetris, Newars and OBCs (other backward classes), while all other groups are under-represented (see Figure 2.1).

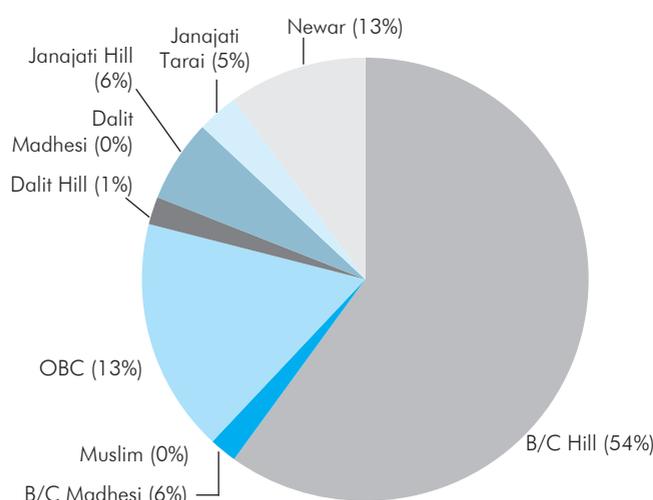
Of the 218 staff at the gazetted level, 3.21% are women; of 669 non-gazetted positions, 5.68% are women; and of 103 without any grade, 3.88% are women. The highest presence of women (8.56%) is in second-class, non-gazetted positions. Dalits have no representation at the gazetted level and just 1.79% at the non-gazetted level (Figure 2.2).

Clearly, Brahmin/Chhetri and Newar men dominate decision-making levels in this sector. The low level of diversity among service providers is highly likely to hamper access to services by women and the excluded. In its commitment to social inclusion, however, the government has initiated a quota system for the civil service, which should address these gaps.

2.6 Program and Budget Analysis

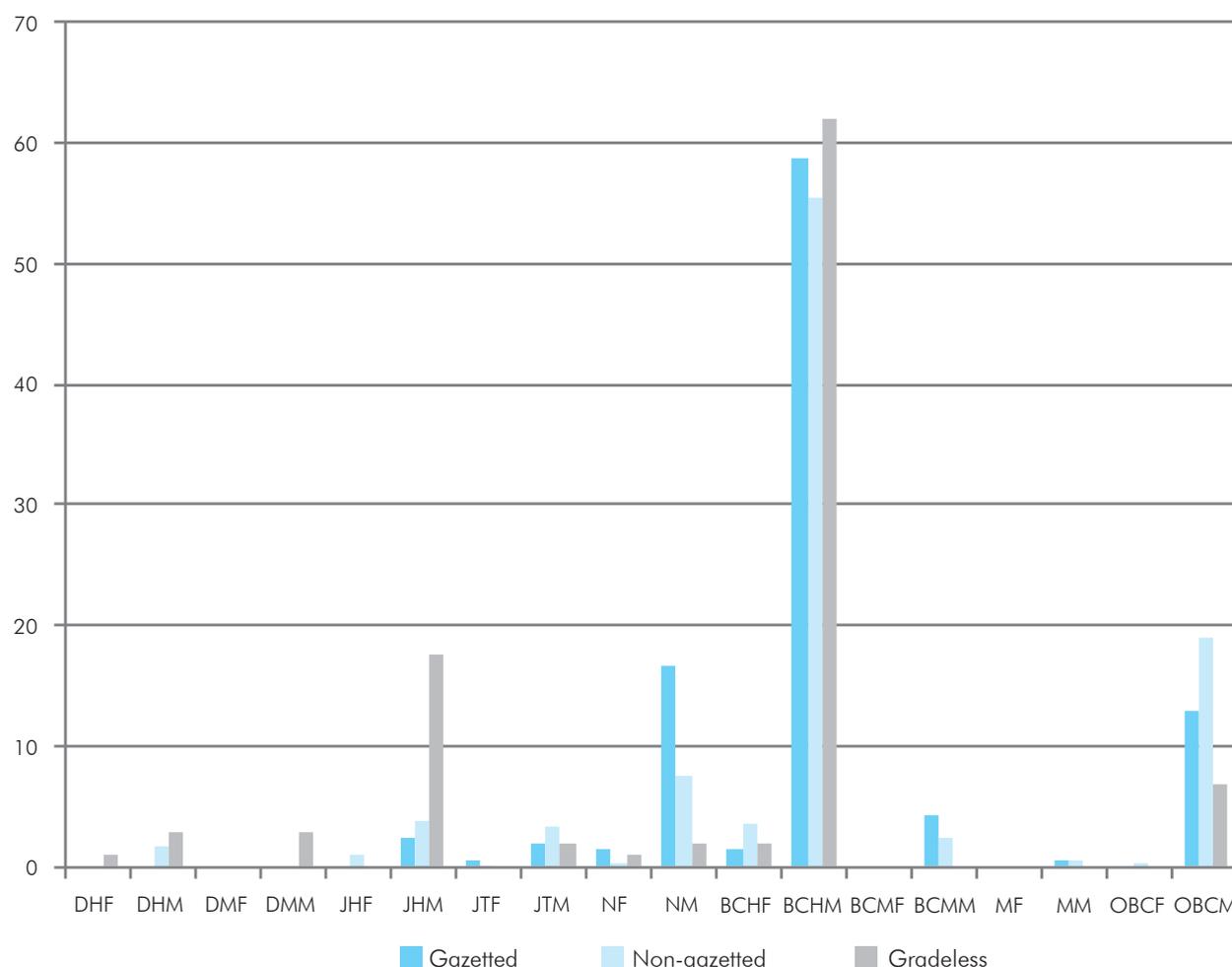
This section analyzes government and program budget allocation/expenditure⁵⁵ to examine the extent to which resources are being spent on rural

Figure 2.1: Diversity Profile of Civil Personnel in Department of Local Infrastructure Development and Agricultural Roads/Ministry of Local Development



Source: Nijamati Kitabkhana, February 2010; grouped for the study based on GSEA caste/ethnic groupings.

Figure 2.2: Diversity of Civil Personnel in Department of Local Infrastructure Development and Agricultural Roads (Sex, Caste/Ethnicity and Level)



Note: DHF/M—Dalit Hill female/male; DMF/M—Dalit Madhesi female/male; JOHF/M—Janajati others Hill female/male; JOTF/M—Janajati others Tarai female/male; JNF/M—Janajati Newar female/male; BCHF/M—Brahmin/Chhetri Hill female/male; BCMF/M—Brahmin/Chhetri Madhesi female/male; OMF/M—OBC Madhesi groups female/male; MF/M—Muslim female/male.

Source: Nijamati Kitabkhana March 2010; grouped for the study based on GSEA caste/ethnic groupings by study team.

infrastructure sector activities that are expected in some way to help women, the poor and the excluded. The objective is to “follow the money” to assess what efforts have been made to address the issues that constrain these groups’ access to sector benefits; analyze how much of the budget has been allocated and spent on such issues; and assess the degree to which government funding for these issues is channeled through *targeted programs* or integrated into *mainstream programs*.

The government’s annual budget speech presents three different types of analysis of the budget from a gender and inclusion perspective: expenditures in support of “inclusive development and targeted programs” are identified; the gender-responsive budget (GRB) exercise is presented; and pro-poor expenditures are identified (Annexes 8a, 8b and 8c of the annual budget speech 2009-2010, respectively). The budget speech allocated Rs 35,693,647,000 for RTI in the MLD, of which

Rs 4,280,025,000 (11.9%) was categorized for inclusive development and targeted programs, Rs 34,949,331,000 as pro-poor (97.9% of the total budget), and Rs 25,584,892,000 (36.4% directly contributing and 35.2% indirectly contributing) as gender responsive.

We tried to identify how classifications were made and the process that was followed. Indicators are not specified for inclusive development/targeted programs, but there are indicators for GRB⁵⁶ and pro-poor budgeting.⁵⁷ Our discussions with ministry and line agency staff indicate, however, that guidelines are not clear, and in the end it is left to the budget officer to categorize and score the various budget lines to the best of his (it is primarily men) understanding. Since the scoring and indicators were not clear for the other two kinds of budgeting, we have focused on reviewing GRB indicators, identifying what sub-indicators are relevant and whether this approach is effective for tracking GRB expenditures in the RTI sector.

As mentioned above, following the process prescribed by MOF, the annual budget speech for FY 2009-2010 identified 36% of the RTI budget as directly supportive to women and another 35% as indirectly supportive. The remainder was categorized as neutral with respect to its gender impact. Though GRB has not been applied at the district level by line agency staff, MOF staff categorize all expenditure items in the rural infrastructure budget into these three categories (i.e., directly supportive, indirectly supportive and neutral) based on five indicators of gender responsiveness: participation, capacity building, benefit sharing, increased access to employment and income-earning opportunities, and reduction in women's workload. However, these indicators were developed in the context of agriculture, and are not necessarily applicable in other sectors. There are no sub-indicators to guide the scoring of budget lines or assess how the activi-

ties budgeted contribute to the indicators. Also, the GRB indicators tend to be better at capturing expenditures for targeted women's programs than at picking up expenditures for efforts made in universal programs to mainstream GESI. Finally, of course, the GRB exercise focuses only on gender, and does not capture expenditures aimed at increasing outreach to excluded groups.

Gender equality and social inclusion budget analysis

While we have assessed existing GRB practice and indicators, and identified possible sub-indicators for GRB analysis in RTI, we have also developed and applied our own tentative GESI budgeting methodology. This is intended to capture expenditures that reach and support excluded groups and those that support women. Although there is no single rule about how to determine whether public expenditure is discriminatory or equality enhancing, there are some general principles that are discussed in gender budgeting literature, which we have adapted.⁵⁸ Our efforts here are intended as a first step to identifying the approximant resource flows to these different purposes; but much more work and wider consultation are needed. We hope that this initial attempt can become the basis for further collective work with MOF, the Gender-responsive Budgeting Committee, sectoral ministries, donor agencies such as UNIFEM, and NGOs interested in tracking budget expenditures.

The GESI budget analysis assesses what activities have been planned/implemented that provide *direct support* to women, the poor and excluded groups to address the barriers they experience in accessing resources and benefits from the RTI sector (e.g., training, employment opportunities, subsidies); what efforts are made to provide *indirect support* (e.g., providing disaggregated evidence of disparities, advocacy with advantaged groups, documentation of measures

that increase inclusion, policy changes); and what amount is *neutral*, as it assumes that everyone will benefit equally. We have followed GRB practice of three categories but have not followed the GRB indicators as they have not been very effective in application across the sectors.

The GESI budget analysis was carried out at two levels. First, we assessed *major programs* in the RTI sector using the above criteria. The annual budget of four donor-supported programs (RAP, RRRSDP, DRILP and DRSP) and one regular DOLIDAR program in 2009-2010 totaled Rs 14,279,739,000.⁵⁹ Our analysis resulted in the breakdown shown in Table 2.2. Directly supportive amounts for the poor are above 34% (primarily due to the DRSP's focus), while for the others they are minimal. Indirectly supportive expenditures for the poor and women (e.g., socio-economic impact monitoring study, study on community-based demand for infrastructure) were 3.97% and 9.98% respectively. Trail bridges can address geographic exclusion but have small allocations in these budgets. We were able to identify 0.01-0.42% of the budget each as indirectly supportive of Dalits, Janajatis and other excluded groups.

The next step was to move to the *district level* to ground truth both the national-level GRB exercise and our own GESI analysis in two districts,⁶⁰ Kavre and Morang. We first worked with the DTO and DDC staff to assess the current GRB approach they were using. In consultations

at the district level, officers stated that of the five GRB indicators, participation, capacity building, support for employment and income-earning opportunities, and time-saving were relevant to assess the gender responsiveness of RTI budget items; benefit sharing was considered irrelevant.⁶¹ They were aware of a number of positive policy provisions⁶² mandating that benefits reach girls/women, the poor and the excluded, and felt these automatically ensured that the entire budget would be responsive to women or specific excluded groups. In reality, this has proven to be a problematic assumption.

Next, we worked with the DDC and DTO staff of Kavre and Morang. From a total budget of Rs 142,369,146, above 80% (88.3% in Kavre and 88.8% in Morang) was spent on infrastructure, of which the majority was on roads (Table 2.3). We did a GESI analysis of the district-level RTI budgets⁶³ for FY 2008-2009, using directly supportive, indirectly supportive and neutral categories.⁶⁴ All items were found neutral, with the district staff arguing that infrastructure is for everyone and hence cannot be targeted. It is, of course, true that we cannot build roads to be used only by Dalits, women, etc.

An overall review of programs suggests there is wide variance regarding their focus on addressing gender and exclusion. Where one program has no resources allocated either directly or indirectly, in some almost 17% is indirectly supportive of women. The total DRSP budget is specifically

Table 2.2: Gender Equality and Social Inclusion Analysis of Five Programs

Targeted groups	Directly supportive		Indirectly supportive	
	% of budget	Examples of activities	% of budget	Examples of activities
RAP, RRRSDP, DRILP, DRSP, and one regular DOLIDAR program (total budget Rs 14,279,739,000)				
Poor	34.30	Livelihood training to people affected by road	3.97	Training
Women	0.01	Training to female motivator	9.98	WSS, supplementary infrastructure
Location	–	–	1.45	
Dalits, Janajatis, adolescents, elderly, disabled			0.01–0.06	

Source: Program budgets of FY 2009–2010; analysis by study team, March 2010.

targeted to the poor. Clearly, some attention has been paid to addressing the barriers of women and poor groups and locational issues, though this varies according to program. For other groups, especially at the district level, the assumption seems to be that benefits will automatically reach them through implemented activities—although, as the preceding discussion has documented, this often does not happen. Almost no activities or funds have been planned to address the barriers of women, the poor and the excluded discussed in Section 2, or the structural issues that constrain their access to wider benefits of the sector. This indicates that a more conscious recognition of the need to address socio-cultural, empowerment and governance issues, along with core technical infrastructure aspects, is required. The key issues are the criteria, indicators and process of budget review. Government analysis classifies a majority of activities as directly or indirectly contributing to women, based on government directives regarding services to them. A deeper analysis, however, indicates that no activities are budgeted to address the specific gender-based barriers that women experience. These are necessary even within a universal program so that structural barriers are addressed and a more even playing field created—only then can GESI be considered to have been mainstreamed.

2.7 Monitoring and Reporting

Monitoring and evaluation (M&E) with some disaggregation are a recent and improving practice in the rural infrastructure sector. Traditionally,

rural infrastructure monitoring and evaluation practices have focused primarily on physical targets and reporting formats used only physical units (number or kilometers of infrastructure constructed, money spent, etc). Progress was measured in percentages of either physical targets or financial figures, both highly quantitative, with little room for qualitative observations or assessments. As a result, the quality of works as well as social objectives were shadowed and ignored in the monitoring, reporting and evaluation processes. The donor-supported programs collect sex- and caste/ethnicity-disaggregated data on construction workers, members of committees formed for coordination and mobilization, and training participants. However, key government institutions associated with monitoring and evaluation of rural infrastructure, mainly the National Planning Commission (NPC) and MLD, have marginally changed their reporting formats over the years and these still do not demand systematic disaggregation or analysis regarding the situation of women, the poor and the excluded.

Assessment of logframes of selected programs. The donor-supported programs (see Annex 2.3 for details) have results matrices with objectives and indicators asking for disaggregation and/or with objectives clearly aiming to achieve GESI-related goals. RRRSDP, DRSP and RAP have GESI-specific and responsive objectives and indicators, e.g., “Enhanced equity, employment, and income opportunities for the poor and disadvantaged.” Indicators include “Men and women receive equal wages for work of equal value, Members of SHGs receive demand-driven skill training” (RRSDP). RAIDP is neutral towards GESI, i.e., none of the results and outputs statements recognizes that there are differences between men and women and between different social groups.

Reporting mechanisms also state that project baseline and time-slice surveys should measure well-being factors by gender, ethnicity and caste,

Table 2.3: Infrastructure as Share of Total District Development Committee Budget, Morang and Kavre (%)

	Morang	Kavre
Roads	59.00	70.96
WSS	6.02	13.34
Pools/culverts	12.76	0.00
Buildings	4.93	4.00

Source: DDC budgets of Kavre and Morang, FY 2008-2009: Morang DDC Rs 93,647,590; Kavre DDC Rs 48,721,556.

including transport, employment, and wage surveys.

2.8 Good Practices and Lessons Learned

Some good practices include the following.

Policy commitment for gender and inclusion. Programs/projects that demonstrated a strong commitment to inclusion by developing and implementing policy mandates, criteria and guidelines have been highly successful in ensuring representation of women and excluded groups at different levels, and investing in their capacity building. These provisions require clear direction and strong commitment of senior leadership for effective implementation.

Institutional structures with GESI responsibilities. Focal persons in some programs were made responsible for gender and inclusion, and they were able to ensure that the technical assistance required for systematic work was available and significant follow-up was done (TBSSP, RCIW and DRSP).

Livelihood- and empowerment-related inputs. Empowerment-related activities—e.g., participatory learning centers (RCIW), discussion with family members (DRSP), and learning centers (FRSP, ReRe)—where issues are discussed and social action taken by group members themselves using saving from wages, orientation on multiple topics, life skills training, etc., all help in the gradual capacity development of the rural poor and the excluded. For the poor, links with livelihood interventions are necessary for any long-term impact, while creative incentives and coverage of risk/opportunity costs (e.g., insurance schemes for livestock rearing) are necessary for participation of the extreme poor.

Equal pay for equal work. All programs are promoting this approach and have found it useful. Because payments are made to groups, it becomes the joint responsibility of all group members to perform the prescribed tasks. The challenges

of hard manual labor are unsuitable for some women, and this can lead to men becoming hostile towards women's involvement in groups. This sort of issue needs sensitive handling, particularly in terms of sensitizing contractors and DTOs. There is a realization among practitioners that this issue requires further debate.

Well-being ranking. Identification of the poor in the project area assists projects/programs in targeting. Disadvantaged household mapping is applied by organizations in other sectors too and is useful in identifying who can participate in which aspect of the project. But this tool needs to be used in conjunction with other identification methods such as proxy-means testing as otherwise it is vulnerable to capture and misuse.

Definition of excluded groups, gender analysis and disaggregated data for program planning, budgeting, implementation and evaluation purposes. A working definition of who are the excluded has helped all stakeholders to work without confusion, while disaggregated data provide an excellent basis for planning and monitoring. RAP, for instance, does a labor availability survey before commencing work, and RCIW collected data and mapped existing gender relations to identify legal or customary control of land and other asset allocations, etc.

Affirmative action. Most programs are now practicing affirmative action in staff selection. Other positive support has been cash compensation, subsidies, active targeting (DRSP) and other such action.

Support for gender-specific issues. To promote an enabling environment for women, most programs provide separate toilets, childcare facilities (RAP, RCIW, and DRSP) and a supportive environment for pregnant women and lactating mothers. This has helped increase women's participation as laborers, and also ensured that children were looked after. Other gender-specific support includes assignment of accessible work-

ing sites to women at an early stage and arranging flexible working hours for them, giving priority to women in learning centers and income-generating activities, skills development, and timely payment of women's wages.

Labor-based, environment-friendly and participatory (LEP) approach. This approach has been found to be very positive as it provides employment opportunities to local people, allows them to be engaged with what is happening in their community, and promotes participation and transparency. Scaling up and institutionalizing the LEP approach in other DDC projects could do much to increase the GESI responsiveness of the rural infrastructure sector.

ILO local economic development (LED) approach with employment-intensive infrastructure projects. In general, infrastructure is constructed in isolation, but under this approach area-based analysis is done and the potential for economic development identified with public, private and civil society stakeholders. Value chain analysis is undertaken for potential economic development products to design interventions based on value chain development. Infrastructure, planned with the actual beneficiaries and stakeholders with the help of IRAP tools, is constructed using labor-based technology demanded by value chain development for long-term sustainable employment generation. Capacity building is done throughout the project for efficient implementation, operation and maintenance. The LED approach works to develop the links between infrastructure, skill development, finance, inputs and market information.

Social accountability mechanisms. The use of tools like project books, public and social audits, display project boards, and other such mechanisms has assisted in improving governance and transparency, enabling beneficiaries to be informed about resources and their use in order to be able to question those responsible in case of

confusion/suspicion, thus enhancing ownership of the project.

Sectoral learnings⁶⁵

The opportunity to work on the construction of rural roads seems primarily to benefit the poor and excluded groups in the short term. In the medium term, communities gain better access to other areas, reduced costs to transport goods and people, and public and private services. However, there is little evidence of the long-term impact of such improvements on the economic status of women, the poor and the excluded. Major beneficiaries are perceived as being the middle or higher socio-economic groups, who are better positioned and equipped to take advantage of the changes and improved accessibility afforded by new roads (DRSP 2009).

Within the roads corridor, *benefits from the formation of building groups* include access to credit and social development groups, which have helped empower women in particular and other excluded groups. These initiatives have led to an increase in school enrollment, improved hygiene behavior, advocacy against social ills (e.g., gambling, alcoholism), and improved livelihood opportunities.

Targeting excluded groups only can create conflict with local elites. Projects need to address the whole community and get broad buy in for positive discrimination.

Increasing community commitment to O&M requires analysis of user demands and needs while securing their participation at all stages of the project cycle in real partnership with other actors. There is a need for a real partnership on O&M, as leaving it to communities risks the poor being asked to contribute labor/cash they cannot afford while richer groups get the first-round benefits. There is also a lack of sufficient sector analysis of the differentiated needs and demands of women and other social groups, especially in the project

identification phase. For instance, women tend to stay close to home, with caste/ethnicity/religion a factor in these patterns. In addition, the needs of women, children, the disabled and the poor might be better met by including the development of in-village infrastructure (e.g., upgrading safe paths to markets, schools, and health posts, and trails to collect fuelwood and fodder). When such needs are met, these groups are more likely to be involved in O&M activities.

Ensuring the participation of target groups requires specific intervention. Not surprisingly, projects found that participation of members of excluded groups is higher in construction groups if the group leader is selected from among them—if a Dalit woman is selected as a group leader, for instance, she will try to increase the participation of other Dalit women. Likewise, demonstrations are required to motivate members of poor and excluded groups who are generally less ready to take risks than people from more advantaged groups.

The development of rural roads improves accessibility, but *does not ensure economic growth or transformation in the areas served*. It is a precondition for growth, however, and can enable changes to take place provided other necessary conditions are in place (Stickland 2009).

2.9 Mainstreaming Gender Equality and Social Inclusion in Rural Infrastructure: The Way Forward

The measures on mainstreaming GESI in the sector are grouped under our framework of five stages: identification, design and implementation, monitoring and response. This section discusses ways in which GESI is to be mainstreamed and operationalized in the sector.

Step 1: Identifying barriers

Analyze existing power relations and the formal and informal institutions that enforce and perpetuate

social and economic inequalities. Gender inequality and social exclusion in the infrastructure sector are linked to the wider socio-cultural and politico-economic context. The arrival of roads, potable water, electricity or other services can open up important new opportunities, but diverse inequalities might also prevent women, the poor and the socially excluded from taking advantage of these. As such, we first need to identify the key socio-economic constraints and social and cultural practices that limit access to infrastructure for women, the poor and the socially excluded. Often the “barriers” we need to remove or work around are part of inter-connected formal and informal institutions that structure Nepali society, allocating differing privileges and obligations. Our projects/programs work with these systems and try to improve them so that they can deliver infrastructure services more effectively. But, we are all aware that changing any of these traditional “rules” upsets some stakeholders who have benefited from the *status quo*. That is why we always need to be aware of the “political economy” of our projects. Here is also where we have to think about the more “informal” institutions, which are deeply embedded in values, beliefs and norms, and which can likewise block needed change. Although not all of these are negative, some—like the gender system or caste hierarchy—are so deeply ingrained that people often follow them without even being aware that they are doing so.

The GESI framework is a system to increase the chances that the changes we want to bring to increase access can actually happen on the ground. GESI work is different in that it requires us to look at both formal and informal systems. So, when we try to “identify barriers,” we are actually uncovering whole systems that keep some individuals and groups from gaining equal access to the universal services and benefits that the project/program we are supporting are

intended to deliver. To identify barriers, we need to look in two areas: first, how the formal project systems are likely to work for different groups of people. This will bring us to the second layer: to see how the informal systems might be distorting the way the formal systems work for some individuals and groups.

To this end, disaggregated analysis of RTI needs and benefits of different groups of people must first be undertaken at the VDC level. Participatory rural appraisal tools like social/resource/poverty mapping need to be used to chart existing infrastructure facilities disaggregated by wards/VDCs/districts (e.g., roads crossing which areas and the population profile of the areas crossed) and who has access to them. If it is skillfully done with full community involvement, well-being ranking and proxy means testing can together help identify the relative poverty levels of different households. Needs assessment can then identify transport tasks and travel patterns, disaggregated by location and gender/caste/ethnicity; the rural infrastructure needs of the different levels of poor, disaggregated by gender/caste/ethnicity and disability; and benefits from rural infrastructure, for these different groups. Other tools (such as IRAP, as directed by the MLD) can also provide detailed information, but only if geographic information is accompanied by disaggregated social information. A labor availability survey, registration of real beneficiaries/users (with socio-economic background), and registration of RBGs in VDCs are also necessary, and are being done by almost all projects/programs. All this information must be part of the VDC/DDC/municipality database and must not be just project based. Finally, social mobilization for preparation of infrastructure projects through meetings with beneficiaries and stakeholders is required.

Assess GESI in existing policy, program, budgeting and M&E. It is important to assess the exist-

ing policy mandates that provide space to work on GESI issues, and identify the gaps. The broad review of existing programs of rural infrastructure and other actors presented in this chapter is a beginning, but much more in-depth work is necessary during project design to identify ways to address barriers during implementation. It is important to review these from a GESI perspective, and assess how the specific issues of women, the poor and the excluded are being addressed. A budget review has to identify, from a GESI perspective, the resources allocated for positive policy and programmatic provisions, as well as the needs for improvement. It is also important to assess whether the M&E system is capturing disaggregated changes, particularly with regards to issues that are crucial for increasing access of women, the poor and the excluded. On the basis of this assessment and information collected at the VDC level, projects in the DTMP must be identified. Meanwhile, those needs that cannot be captured at the district level must be dealt with at the VDC level, so that the daily labor of women, the poor and the excluded for fuelwood, fodder and water collection is reduced, their access to basic services is eased, their economic activity is supported, and their mobility enhanced. How infrastructure is being used after construction, by whom, for what, who is paying what, and what cross-subsidies are provided also need to be identified.

Steps 2 and 3: Design/plan and implement⁶⁶

Planning documents for RTI must lay out GESI-specific objectives, results and activities aimed at improving access for women, Dalits, Janajatis, etc, and must also indicate in clear terminology how these groups will be integrated into other “mainstream” sectoral objectives, results and activities. Not only must project-level results frameworks be formulated with GESI-sensitive objectives, outputs and indicators, these must

also be reflected in the sector's core documents and targets.

Planning and budgeting. As the key planning document, the DTMP has to be very carefully formulated with disaggregated evidence and participation of people from different social groups. Its scope should also be widened beyond roads and trail bridges to include other forms of RTI. The disaggregated information identified in Step 1 must be the basis for DTMP preparation (or review and addition). Existing RTI structures, the public's priorities (including those of women, the poor and the excluded) and their transport tasks must be the basis for all planning. At the moment, the committees and offices (DRCC, DTICC, DTO, DDC) responsible for DTMP planning are not very diverse, making it even more important to establish mechanisms for representation (of Dalits, Janajatis, women) on the different DDC-level coordination and GESI implementation committees.

The DTMP preparation process states that VDCs must collect demands from settlements, prioritize these in the VDC council, and submit them to the DDC. The prioritization criteria used at both VDC and DDC levels must be gender and inclusion sensitive, and should be developed based on inputs of the representative IPCs of the VDCs. VDC rural transport master plans, based on inputs of RBGs, ward and village citizens' forums,⁶⁷ and village- and district-level coordination committees, must be prepared, and DTMPs must be based on these. VDCs must make clear what exactly their budgets will cover, and what DTMP-level resource mobilization is required. Before decisions are taken, the DTICC and DRCCs, along with GESI representatives/members, need to identify technical possibilities and the social implications of all choices being made. In case their priorities are not included in the DTMP, strategies to address the needs of women, the poor and the excluded must be iden-

tified for other actors to work at VDC/DDC levels.

The DTMP and other supplementary plans must have activities addressing issues defined in the needs identification process. This process must ensure participation of women, the poor and the excluded, and use mechanisms that enable the voices of the excluded to be heard. Targeted gender and inclusion activities will be very important, as will capacity building for influencing decisions, REFLECT-type classes, child-care facilities, building skills as contractors, etc. The technical design must involve beneficiaries and stakeholders, including women, the poor and the excluded, in surveying, collection of information on local rates, and availability of local materials. Budgeting allocations have to be specified, especially for targeted activities. The DDC and VDC Grant Operation Guidelines have cumulative 30% budget provisions for women (15%) and people of other excluded groups (15%). Similarly, DTMPs must allocate at least 10% of the budget for targeted infrastructure to address rural poor women's transport task needs and 10% for infrastructure needs arising out of issues of poverty, disability, location, caste, ethnicity, age or religion. In turn, DTMP directives must be revised to reflect such policy mandates.

Regarding compensation, government commitment is necessary to protect the rights of the people in being fairly compensated. This needs to be reflected by developing a resettlement policy (which has been drafted but not approved by the Cabinet) that goes beyond direct compensation for the asset lost and also looks at how livelihoods of the poor can be restored.

Project implementation. As the LIDP states, "a labour oriented, environmentally friendly, participatory work method shall be pursued," and employment opportunities for women, the poor and the excluded must be ensured in rural infrastructure projects. Provisions for representation

of the excluded in groups (applied in some programs from 33% to 50%) must comply with current policy. The use of heavy machines, which take the place of labor, must not be accepted as a general rule—as the RTI SWAp has directed, a labor-based technology approach that encourages the optimum mix of labor and machinery on a case-by-case basis must be used.

At the moment, two implementation modalities are in practice, through community-level groups and with contractors, and the decision on which to follow must be taken in a transparent manner by representative committees. Criteria and guidelines must be prepared for such decisions, so that accountability is increased and opportunities for malpractice lessened. Affirmative action must also be promoted in contractor selection, with priority given to women contractors, contractor teams that include women and excluded people, those providing a safe and sensitive working environment for women employees, those practicing no gender or caste/ethnicity discrimination, etc. Likewise, safety and security guidelines for workers must include prevention and protection against violence, especially gender-based violence, as well as childcare facilities and other support as required.

For *operation and maintenance*, arrangements that enable UGs/UCs to repair and maintain RTI with local support have proven successful and need to be promoted in a manner that does not become a burden for women and the poor. The practice of keeping a certain percentage of the budget for O&M is well established, and has been useful. But this does not resolve the more fundamental issue of continued funding for maintenance and measures need to be developed for that. It is important that women, the poor and excluded groups are trained as maintenance workers, and that contributions for maintenance are equitable and match the level of income and/or benefit from the infrastructure.

Finally, there are a number of key general steps that need to be ensured during the design and implementation stage: formation of inclusive user committees, with women, the poor and the excluded in decision-making positions and at least one as a check signatory; registration of inclusive committees, with certification and brief constitution, at DDCs, VDCs and line agencies; an account opened at the nearest bank; and capacity building of committees on project management, record keeping, procurement, technical supervision, reporting, and gender and inclusion issues. Governance aspects must also be strengthened by following standard norms, issuing clear cost breakdowns for labor, materials and machinery/equipment; arrangement for project board, rate board and project book with relevant information in clear and simple language; record-keeping in project books with socially disaggregated data and daily records; community contracting with provision for management cost; and complementary income-generating and social empowerment activities in labor groups for women, the poor and the excluded. In addition, a transparent and competitive process of procurement needs to take place for tools, goods, safety equipment and construction materials, which should be monitored by representative committees; timely measurement and valuation should take place of work and payments to laborers and vendors; and payments for labor, materials and equipment should be made according to actual expenditure, not according to contract signed.

Step 4: Monitoring and reporting

Apart from certain donor-funded projects, monitoring and reporting from a GESI perspective are almost non-existent in this sector, though public and social audits are done. Since the NPC monitoring guidelines and formats are not fully disaggregated and do not ask for qualitative information, GESI-sensitive monitoring is diffi-

cult. Policy advocacy with NPC is thus necessary for future revisions: some necessary steps include public and social audits of projects after each installment, and final audit at project end for review of financial, technical and social progress; regular periodic reporting of project progress against targets, with disaggregation; standard formats for disaggregated information; periodic monitoring by technical teams and representatives of coordination committees, including women and representatives of excluded groups; consultations with labor groups, coordination committees and stakeholders as part of participatory evaluation of progress and for feedback; and database and management information systems at DDC level for better reporting on disaggregated information.

All monitoring and reporting formats must have disaggregation by poverty, sex, caste, ethnicity and location. GESI-related issues require monitoring and reporting in three areas/domains: changes in access of men and women from poor and socially excluded groups to assets and services; changes in their voice and ability to influence; and changes in informal and formal policies and behavior to remove barriers faced by these groups. As explained earlier, at the sectoral and project level, budget monitoring from a GESI perspective has to be established: i.e., how much allocated budget is being spent on directly supportive, indirectly supportive or neutral activities in relation to women and other excluded groups. While these are essential from a GESI perspective, sustained effort is needed to develop, establish and maintain such systems and mechanisms. Some of the more progressive programs need to pilot an M&E system that is GESI responsive, after which the subsector can work to mainstream such a system.

Monitoring teams must be inclusive, with representation of IPC and GESI implementation committee members (ensuring representation of

women and the excluded). Consultations with community members, including those experiencing exclusion, social mobilizers, representative organizations, ward citizens' forums and IPC members must all be an integral part of monitoring. Monitoring responsibilities must ultimately be with different actors at different levels: for instance, the GESI sections of the MLD, DOLIDAR and DDCs with DTO and GESI implementation committees, IPC, VDC-based supervision and monitoring committees, and VDC-level citizens' forums.

Step 5: Making changes in project implementation in response to M&E findings

Without the capability and will to do this, there is little use in having elaborate GESI sensitive monitoring and reporting systems. It is important that projects and programs be designed with sufficient budget and staffing flexibility to allow them to respond to what they learn during implementation and make necessary changes as they go. This kind of responsiveness is more likely to happen where project staff and decision-makers are held accountable for results and outcomes (e.g., shortened time to essential markets and services for women and men across groups; increase in local income earning opportunities for the poor and the excluded) rather than mere outputs (e.g., kilometers of road constructed).

2.10 Conclusion

Well-designed, well-maintained, appropriately located and affordably priced infrastructure can be a powerful tool for gender equality and social inclusion. Yet, to date, identification of infrastructure priorities of rural women, the poor and the excluded is limited in Nepal. In a number of infrastructure areas (water, sanitation, irrigation and rural transport infrastructure) some effective participation strategies have been developed to involve women and the excluded in user groups

and committees. With policy mandates promoting labor-intensive technology, short-term employment opportunities for poor women and men have increased. Where infrastructure-plus activities have been implemented (e.g., savings and credit, REFLECT-type classes, vocational skills training, etc) the empowerment of user groups has increased as has members' ability to improve their livelihoods. Without these investments, however, empowerment of the people involved in infrastructure activities has been minimal.

Existing practice has limited participation by women, the poor and the excluded in rural infrastructure work at the community level, including as members of road-building groups/user groups and committees. Far more can be done to enable their full participation in the construction, implementation and operational phases of projects, infrastructure planning and design at the community level. Institutional issues such as limited diversity and GESI capacity of sector staff require focused attention in the future. On the other hand, monitoring has improved with regular reporting with some disaggregation even though disaggregated outcome monitoring is still absent.

This chapter has identified gaps in addressing GESI issues in the sector, along with measures

required to improve the operationalization of GESI in the program cycle. Mainstreaming GESI will require a greater emphasis on the analysis of social relations, infrastructure needs of different groups, and how the sector can respond to the issues of women, the poor and the excluded. In response, interventions to address these barriers need to be designed and adequately funded, while disaggregated monitoring of inputs, outputs and outcomes is needed to ensure a more systematic and inclusive rural infrastructure sector. In addition, policy directives, mechanisms/tools, and organizational and human capacity are all essential for effective GESI mainstreaming.

In the end, it should be kept in mind that mainstreaming GESI is about making a profound difference to the livelihoods and security of women, the poor and the excluded, and ensuring that rural infrastructure continues to respond to the needs of the least resilient and least advantaged people in Nepal. Inclusion in rural infrastructure management is also about increasing the value of the wider functions of infrastructure. Inclusive rural infrastructure management has been shown to improve the design, operation and maintenance of the infrastructure, and has provided opportunities for improved livelihoods and empowerment of women, the poor and the excluded.

Notes

- 1 They include, for example, rural roads, trails, trail/foot bridges, micro hydroelectric plants, biogas plants, solar energy systems, water mills, piped drinking-water systems, and irrigation canals. Similarly, community centers, schools, market stalls and hospitals/health posts are considered physical infrastructure as well.
- 2 In a survey, the most frequently cited basic services and infrastructure priorities across 10 districts were roads (Jones et al 2009).
- 3 Although the most frequently cited priority is roads, demand for improved road infrastructure is most strongly articulated in mountainous districts (Jones et al 2009).
- 4 RTI refers to the rural roads, tracks and path networks which rural populations use for their transportation activities. It includes the intra- and near-village transport network as well as the infrastructure that provides access to higher levels of the road network. Information for this section is drawn from the sector-wide approach (SWAp) framework (DOLIDAR 2009a).
- 5 Rural roads are classified under two government systems. The Department of Local Infrastructure Development and Agricultural Roads (DOLIDAR) classifies feeder roads as rural roads that link district or zonal headquarters and major tourism, industrial and public utility centers with strategic roads (national highways); and district roads as rural roads that link places within a district other than national highways and feeder and urban roads. DOLIDAR classifies rural roads as district and village roads: all rural roads that connect one or more market, tourism and industrial centers, or link several village development committees (VDCs) with their own or adjoining district headquarters directly or through a strategic road network, are classified as district roads; rural roads that connect a VDC with another VDC, district road, strategic road, or major growth center in its own or neighboring districts are classified as village roads. Another classification of rural roads, mainly practiced in projects supported by GTZ and the Swiss Agency for Development and Cooperation (SDC), is a “green road,” which includes primary and secondary district roads. The rural roads linking several VDCs, market centers, or feeder roads are classified as primary district roads, while the rural roads linking two or more VDCs, connecting market centers with the district, or linking with other roads are classified as secondary district roads. All these roads intend to improve access of rural populations to market, economic, and social services. The roads are constructed following different design and implementation standards. DOLIDAR is responsible for maintaining feeder roads, and district development committees (DDCs) are responsible for maintaining district roads. The DDCs, with concerned VDCs and user groups, are responsible for maintaining village roads. However, most rural roads lack maintenance due to shortage of funds and lack of a proper mechanism established during construction (ADB 2007a).
- 6 Rural Transport Infrastructure SWAp folder, September 2009.
- 7 Government guidelines state four hours from the operational road network in the hills and two hours in the Tarai. An additional criterion of six hours in mountainous regions has been applied recently in RTI SWAp documents, local infrastructure development policy, and DOLIDAR.
- 8 A cluster of eight districts—East Khorang, Sindhuli, Bhojpur, Sankhuwasabha, Ramechhap, Udayapur, Solukhumbu and Okhaldhunga—has over 100,000 people more than four hours from the operational road network. Similarly, there are 12 districts in the West, Mid-West and Far-West regions, stretching through the mid-hills from Palpa via Gulmi, Baglung, Pyuthan, Rolpa, Rukum, Jajarkot, Kalikot, Achchham, Bajura and Bajhang to Baitadi in the Far West, where over 100,000 people in each district are yet to be served by a road network.
- 9 The 13 districts without local roads are Sankhuwasabha, Solukhumbu, Manang, Myagdi, Rukum, Jajarkot, Dolpa, Jumla, Kalikot, Mugu, Bajura, Bajhang and Darchula.
- 10 The question is how much more should be spent per person to reach the most remote areas, as the figures vary enormously: \$100 per person in the Tarai and over \$1,000 per person in high hills/mountains. In fact it is already likely that more is being spent per person in Humla than in the Tarai—the question is a policy one of how much weighting and what level of access, i.e., improved trail versus road, etc, that needs to be assessed (Simon Lucas, DFID adviser).
- 11 Based on discussions with practitioners and key informants.
- 12 The information is drawn from different studies, field experiences of different projects, and limited fieldwork specifically for this chapter.
- 13 DTMPs are old now, as they were prepared about 10 years back. Many programs facilitate a participatory process for DTMP preparation in project districts but without using integrated rural accessibility planning (IRAP) tools as directed by the Ministry of Local Development (MLD).
- 14 Many programs facilitate a participatory process for DTMP preparation in project districts but without using IRAP tools.
- 15 These include long-term transport plans of feasible rural linkages based on the socioeconomic and geophysical structure,

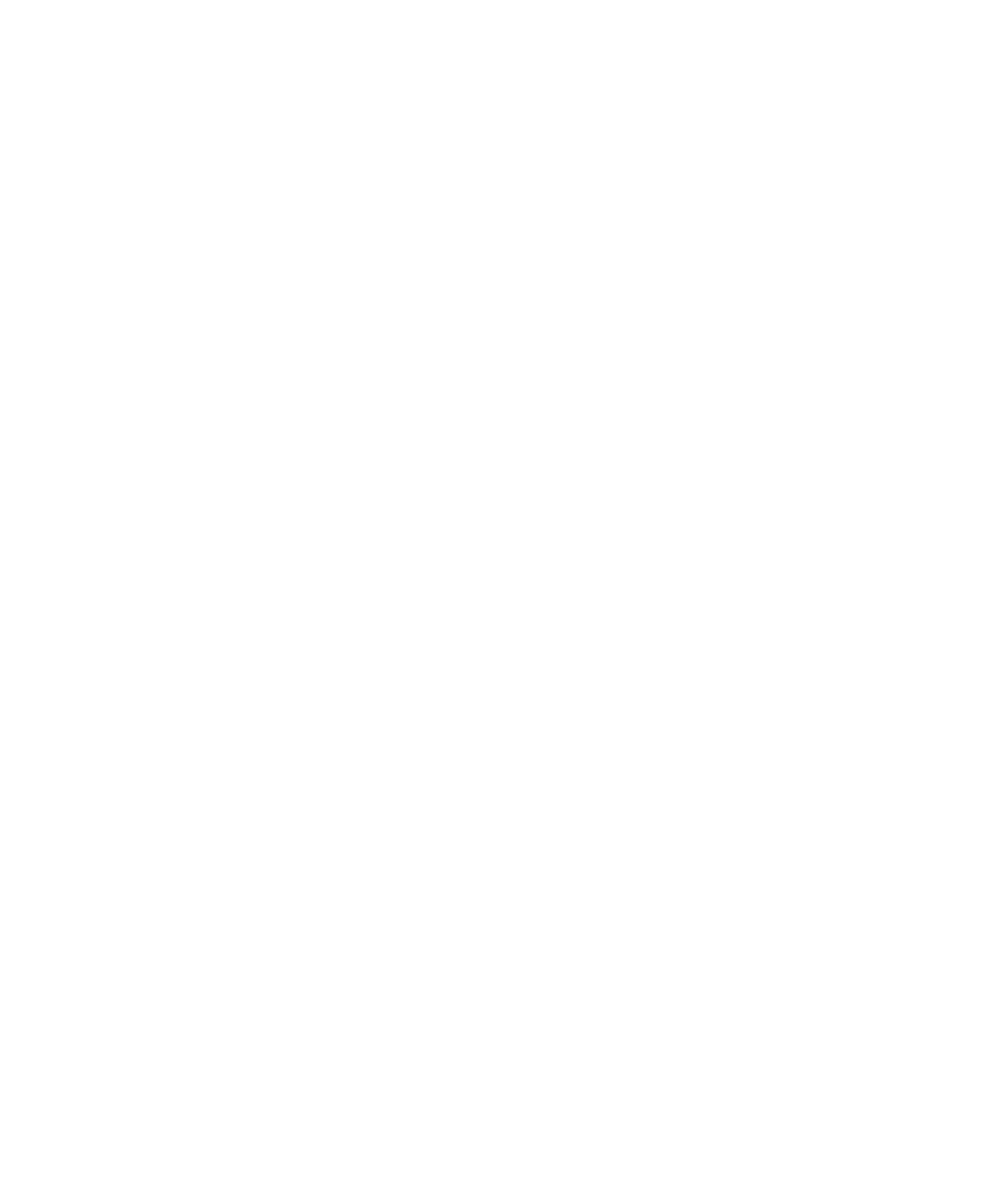
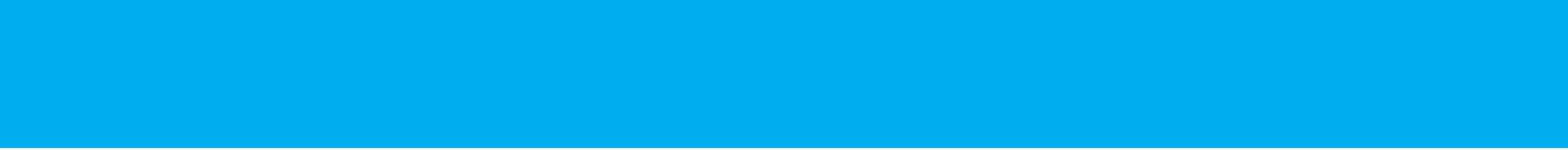
- development potentialities, and accessibility conditions of the district.
- 16 Consultation notes, February 2010.
 - 17 These issues are so prevalent that all practitioners share this concern, but there is hardly any documented evidence which can be used to cite such practices and substantiate facts. These observations are based on informal discussions with working group and community members.
 - 18 For example, of 10,714 members of road-building groups (RBGs) in 14 districts where DRSP is working, 76% are men and 10% Dalits; of 14,770 RBG members in RAP there are 43% women, 18.5% Dalits, 30.3% disadvantaged Janajatis, and 40% more advantaged social groups; in RRRSDP-supported districts Road Building Infrastructure Committees (RRBIC)s have 33% women and 5% Dalits, and RBGs 60% women and 1% Dalits. Janajatis have high representation in RRRSDP groups. Of 159 users' committees in TBSSP (Trail Bridge Subsector Program) with 1,778 members, 32% are women, 14% Dalits, 41% Janajatis, and 43% backward classes (DRSP, TBSSP, RAP, and RRRSDP documents, 2010).
 - 19 Payment schedules can range from two weeks to months at a time if project monitoring visits are delayed.
 - 20 The Constitution of Nepal (earlier constitutions as well as the Interim Constitution 2007) establishes the right to property for every citizen, whereby every citizen is entitled to earn, use, sell and exercise their right to property under existing laws. Except for social welfare or public purposes or for the operation of any development project initiated by government institutions, the state will not acquire or exercise authority over individual property; when the government acquires or establishes its right over private property, the state will compensate for such acquisition. This is implemented through the Land Compensation Act which stipulates a clear-cut policy of compensation for assets affected in projects designed for public purposes. The problem lies in the implementation of the policy.
 - 21 In ReRe/FSRP (Reintegration and Rehabilitation Program/Food Security and Rehabilitation Project) districts, all the families who worked on the road project for a significant number of days earned enough rice and cash to meet their food requirement, with some surplus for the future. Some earned up to Rs 15,000 cash, many earned Rs 4,000-6,000 cash (excluding payment for skilled work) and got equivalent rice. Work with FSRP increased food sufficiency from 2-3 months to 8-12 months (HURDEC 2008). In TBSSP, total employment created was 389,069 jobs: 84% went to discriminated groups, 4% to Dalits, 55% to Janajatis, 0.01% to minorities, 31% to others, and 18% to women.
 - 22 Field notes from site visit to Tanahun and Dolakha, 2009-2010.
 - 23 It was quite surprising to learn that a semi-isolated district such as Sankhuwasabha had seven heavy earthmovers in operation (field discussion notes, 2009). Similarly, in Tanahun, more than 20 heavy machines ravage the rural mountain slopes, excavating non-engineered roads (field discussion notes, 2009). *Himal* magazine reported in 2009 that a businessman in Kaski owned more than 40 heavy earthmovers, and was able to expand his fleet to that size through the quick profits he had made by renting out his machines. GTZ (German Technical Cooperation) has the same experience, and is in a constant fight with local leaders and politicians for a labor-intensive approach to be used.
 - 24 A 2008 DOLIDAR report puts this figure at 22,000 km.
 - 25 This also enables them to make corrupt payments in the end-of-year rush and before officials are transferred out.
 - 26 While examining the reasons behind Nepal's lagging development efforts, Kernot (2007) identified inefficiency, corruption, and lack of commitment and foresight—endemic in Nepal's political and governing bodies—as the pre-eminent factors.
 - 27 All practitioners in this sector agree about the entrenched corruption but no one is able to provide any documented evidence. Over years of field experience, key informants discuss this openly but are unable to take any concrete steps to stop it due to the scale of the problem and for their own protection.
 - 28 Discussions in rural roads forum, Nepal, 2010.
 - 29 Information in this section is drawn from the SWAp folders prepared for Rural Transportation SWAp, September 2009.
 - 30 Unlike the other supplementary infrastructure, WSS schemes are not tied to the proximity of rural roads. A typical scheme will consist of an intake structure at an existing natural water source (such as a spring or stream), a transmission pipeline, and a distribution network, with each supply point serving a group of 5-10 rural households.
 - 31 RAP and RRRSDP selection criteria for supplementary infrastructure include improvement of a village trail to improve access to the rural road subproject; construction of a short-span trail bridge on village trail to improve access to the main subproject; reconstruction and rehabilitation of an existing small irrigation scheme (not a new scheme); construction of a market building (agro-collection centers, dairy, etc); construction of a community building; and construction of a new or rehabilitation/upgrading of an existing primary school. New construction: up to three classrooms; and construction of a new or rehabilitation/upgrading of an existing health subpost. Budget and length standards are clearly defined (RAP document, 2007). WSS criteria are separate. RAIDP also has a community infrastructure component.
 - 32 There is also the Rural Infrastructure Reconstruction and Rehabilitation Investment Plan, a part of the government's Three-

- Year Interim Plan of 2007-2010, which emphasizes “the need for fast delivery to restore growth in the economy and deliver a tangible peace dividend to the rural population.”
- 33 This is under discussion for expansion of its scope to include social inclusion issues and for its links with the MLD GESI strategy and the SWAp GESI folder.
- 34 While no clear definition of “poor” is articulated in the policy documents, the program document of RAP2/DFID states: “According to the Nepal Poverty Assessment 1999 indicators poor household are: (i) household having food sufficiency for less than 6 months in a year; (ii) households whose major source of income is wage from labour; (iii) households with female heads with disabled persons; and (iv) other households with low literacy, unsatisfactory health indicators.”
- 35 These RTI SWAp directives have been prepared by DOLIDAR to guide SWAp implementation. The RTI SWAp was to be piloted in seven districts from 2009 to 2010 and then gradually implemented in other districts (SWAp directives, DOLIDAR, 2009), but has been delayed (personal communication, DFID).
- 36 See DOLIDAR (1999). Current regulations have extended the budgetary ceiling to Rs 6 million for UC works to be awarded.
- 37 DRSP has facilitated a participatory process for DTMP preparation in its project districts.
- 38 This section is based on the GESI folder for RTI SWAp, September 2009, the documents of the different programs, and consultations.
- 39 Serious rural road programs started in the mid-1990s, with a focus on providing access while also promoting labor-based environment-friendly, and participatory approaches. The Upper Sagarmatha Agriculture Development Project (with a strong rural roads component) and Rural Infrastructure Development Project, both supported by ADB in the 1990s, were instrumental in promoting labor-based technology and the institutional development of DOLIDAR and DDCs while building more than 400 km of road in the hilly and mountainous regions of Nepal. Other notable programs that emerged soon after included the World Bank Rural Infrastructure Program and RAP, supported by DFID. The DRSP was introduced in six districts in the Central Region to support maintenance capacity of the DDCs, with support from the SDC. At the same time, an extensive Rural Community Infrastructure Works (RCIW) program was launched to support food-deficit districts by engaging people in rural building works in return for food as wages.
- 40 At present, 12 programs are implemented by DOLIDAR with donor support: RAIDP (World Bank), DRILP (ADB, SDC), RRRSDP (World Bank/DFID/SDC), RAP (DFID), DRSP (SDC), Rural Village Water Resource Management Project (Finland), Western Nepal Rural Water Supply and Sanitation Project (Finland), Suspension Bridge Project, Agriculture and Local Roads Project, Rural Roads Maintenance Fund, Road Board Maintenance Fund, and Reconstruction and Rehabilitation Program.
- 41 Currently, a number of the rural road programs under implementation are either continuations of previous ones (RAP, DRSP, RAIDP) or are new ones to address post-conflict requirements (RRRSDP, ReRe).
- 42 Other projects, too, like the International Labour Organization’s Employment Creation and Peacebuilding through Local Economic Development, make it mandatory to have 50% women and a proportional share of excluded groups in the committees with decision-making posts like vice-chair, secretary or treasurer. The ILO project ensured that all committees are formed from real registered beneficiaries of the projects, followed by their capacity building for management, accounting, record keeping, construction with operation and maintenance, etc.
- 43 See above for information regarding membership of RBGs.
- 44 Program document, Trail Bridge Subsector Program Phase II: 1 January 2007-31 December 2010.
- 45 Up to now RAP2 has been able to generate 1.95 million employment days (RAP documents, 2010).
- 46 The RRRSDP (ADB) resettlement safeguards include the provision that affected people will be fully informed and consulted during project design and implementation. Lack of land title will not be a bar to compensation, and particular attention will be paid to vulnerable groups.
- 47 At least 10 women and 5 Dalit entrepreneurs will be trained to run a business. At least 25% of the trainees in vocational training measures will be Dalits. At least five female Dalits will be retained, and additionally three Dalits recruited as local staff for project steering. At least 50% of the trainees in vocational training measures will be women. At least 20 women and 15 Dalit farmers are involved in agriculture exposure visits. The LC participants (86% women, 32% Dalits) will receive reproductive health and HIV/AIDS awareness training, and at least 20 women are developed as local resource persons for reproductive health and HIV/AIDS. The inventory of special target groups will be updated, and intervention measures designed accordingly. Separate market-based vocational training will be organized for 20 women. At least 20 single women are supported in farm and off-farm activities. Source: “Future Steps in Gender Action Plan (June 2009 to May 2010)” under ReRe, Rukum.
- 48 The ReRe project replaced the FSRP (in Rukum and Rolpa districts), which was phased out.

- 49 The staff profile shows only the civil personnel in DOLIDAR, and does not cover the other program/project staff.
- 50 Terms of reference of GESI section, English version GESI strategy, Local Governance and Community Development Program/MLD.
- 51 This is still to become functional, but is part of the GESI strategy of the Local Governance and Community Development Program, which has been recently approved as the GESI policy of MLD.
- 52 Discussion with key stakeholders in the ministry and programs.
- 53 VRCC has 33% women while DRCCs have only 5% in the 18 districts of DRSP; In the RRRSDP districts, DPCCs have 14% women, 18% Dalits, and 60% from more advantaged groups; VICCCs have 30% women, 10% Dalits, 5% Madhesis; village infrastructure user groups 38% women, 7% Dalits, 1% Madhesis (DRSP and RRRSDP documents, 2010).
- 54 These are structures that either exist or are to be formed in VDCs/municipalities as mandated by the VDC/DDC grant guidelines 2009, MLD social mobilization guidelines 2010, and MLD GESI policy 2010.
- 55 For detailed framework and methodology of how the budget analysis was carried out, see Chapter 1.
- 56 The three prescribed categories are direct contribution, indirect contribution and neutral. Each subactivity is assigned a code of 1, 2 or 3, considering the percentage of contribution to women. The formula for coding has five indicators, each valued at 20%: capacity building of women, women's participation in planning process and implementation, women's share in benefit sharing, support for women's employment and income generation, and qualitative progress in the use of women's time and reducing women's workload (eAWPB 1.0 Operating Manual 2009). In order to measure these categories quantitatively, five qualitative indicators were assigned quantitative values of equal denominations totalling 100. Direct gender contribution indicates more than 50% of the allocation directly benefiting women, indirect gender contribution indicates 20-50% of the allocation benefiting women, and the neutral category indicates less than 20% of the allocation benefiting women. This is gradually being used by ministries like that of health, but due to difficulties in the application of the criteria, which do not seem relevant to all sectors, has not been fully used by all ministries. See Chapter 1 in this volume for more discussion on this.
- 57 Pro-poor indicators: investment in rural sector, income-generation program in rural areas, capacity enhancement program in rural areas, budget allocated for social mobilization, expenditure focusing on poverty reduction, grant for local bodies, social security programs, investment in social sector, especially for education, health, etc (Annex 8c, budget speech 2009-2010). But it is not clear how these are scored and what sub-indicators are used.
- 58 We are adapting from gender budget initiatives that have aimed to assess the impact of government expenditures and revenues using three-way categorization of gender-specific expenditure, equal opportunity expenditure, and general expenditure (the rest) considered in terms of its gendered impact (Budlender et al 1998).
- 59 The budgets of the programs for FY 2009-2010 are RAP Rs 672,809,000; RRRSDP Rs 8,181,541,000; DRILP Rs 3,940,135,000; DRSP Rs 319,400,000; and DOLIDAR regular program Rs 116,5854,000.
- 60 Implemented budgets of districts were reviewed to assess actual expenditure and its effect on addressing the barriers of women, the poor and the excluded. Program budgets of the current year were reviewed to assess allocations.
- 61 Meeting of study team with DTO Kavre and Morang, March-April 2010.
- 62 Universal and targeted free services program, maternity incentive scheme, etc.
- 63 Implemented budgets of districts were reviewed to assess actual expenditure and its effect on addressing the barriers of women, the poor and the excluded. Program budgets of the current year were reviewed to assess allocations.
- 64 Directly supportive (i.e., targeted to provide direct support to women, the poor and the excluded); indirectly supportive (contributing to creating an enabling environment, supporting in any manner the access of women and the excluded to services, or addressing the structural difficulties confronting them); and neutral.
- 65 This section is based on learnings discussed in the RRRSDP document, 2008.
- 66 This section draws from the Rural Transport Infrastructure SWAP folder 2: GESI folder, DOLIDAR/MLD, September 2009.
- 67 These are forums mandated by the MLD VDC topping-up grant guidelines, 2009.

CHAPTER 3

Checklist for Mainstreaming Gender Equality and Social Inclusion



3.1 Introduction

The first chapter of this monograph presented the gender equality and social inclusion (GESI) mainstreaming framework, summarizing the key findings from the GESI review of the seven sectors with the steps required to move forward. Chapter 2 focused on how to make projects, programs and policies in the rural infrastructure sector more accessible and useful for the poor and the socially excluded. This final chapter is presented mainly as a handy reference guide. It sets out the generic steps necessary for mainstreaming GESI in any sector with a few blank formats that practitioners may find useful in the course of their work. Of course, these need to be contextualized, made sector specific and refined to address the issues of different social groups. We follow the five steps of mainstreaming: 1) identification; 2) design; 3) implementation; 4) monitoring and evaluation; and, when necessary, 5) responding to the monitoring and evaluation (M&E) findings by revisions in project design or policy framework. Some tools that can be used for the required analysis are also presented and discussed.

3.2 Organizational Prerequisites for Effective Gender Equality and Social Inclusion (GESI) Mainstreaming

Even though sector policies have often integrated gender and inclusion concerns, persistent gaps in implementation continue to hinder the achievement of equitable outcomes in different sectors. As discussed in Chapter 1, these gaps occur for multiple reasons, ranging from technical capacity to attitudes and beliefs of stakeholders. Mainstreaming GESI effectively requires some essential organizational prerequisites in the sectoral implementing institutions.

For instance, the senior management's personal commitment to and support for GESI is essential, as is clarity and understanding by staff at all levels on concepts of gender, empowerment and social

inclusion. A core group of selected staff must have analytical skills on gender and inclusion issues in order to provide technical support to others; time has to be created at all management levels to identify issues, design processes and implement activities; and resources need to be identified and consistently made available. A gender/empowerment/inclusion perspective needs to be integrated into all policies, activities and routine functions in the sector, with appropriate management structures in place, followed by M&E methods that are responsive to empowerment efforts/programs. Finally, strong outside technical support from local and external providers is also necessary.

3.3 Core Information Requirements for Gender Equality and Social Inclusion (GESI) Mainstreaming

- Key data should be disaggregated by sex, caste, ethnicity, class, location, age and any other relevant variable (e.g., disability or HIV/AIDs status, where required).
- Issues of division of labor, access to resources and decision-making power (who is doing what, who has access to what, who makes the ultimate decisions) have to be assessed for their differential impact on women and men of different social identity groups.
- Key policies, programming and budgeting; institutional arrangements; human resources issues; and M&E systems must be assessed from a GESI perspective by those designing the project/program or policy and then presented and discussed with stakeholders from the government, project staff, partner organizations and community groups.

3.4 Five Steps of GESI Mainstreaming: A Checklist

As discussed in Chapter 1, a five-step framework for GESI mainstreaming has been followed for all sectoral assessments in this series. We present

here the generic steps and some suggestions on how to implement them.

3.4.1 Step 1: Identification phase—Situation analysis

Objective. To identify the specific barriers of women, the poor and specific excluded groups in accessing services and opportunities, and the causes of their exclusion; and to understand the political economy of the sector or subsector, both nationally and locally, in the particular sites¹ where the project or program will be implemented. Identifying the excluded groups in a particular sector and understanding their situation involve using available qualitative and quantitative data to answer the question: “Who had access in the past to resources and decision-making, and how are different social groups doing at present?”

To understand the barriers these groups face in gaining access, it is necessary to look at and think through several levels. Table 3.1 shows the levels, what to do and some suggestions on how to do it.

We can thus assess barriers constraining each group from enjoying their rights and areas where additional measures are needed to address the barriers comprehensively or where existing sectoral efforts need improvement.

3.4.2 Steps 2 and 3: Design and implement responses that address exclusion

Objective. To address the sociocultural barriers and weaknesses in the policy framework or delivery system by revising/strengthening policies, program activities, resource allocations, institutional arrangements and staff incentives as well as monitoring and reporting systems. Responses must be developed based on the assessment and the design of the interventions must address the specific barriers of the excluded at the different levels discussed above. Key steps are detailed in Table 3.2.

3.4.3 Step 4: Monitoring, evaluation and reporting

Objective. To design/strengthen M&E systems to collect and analyze disaggregated data on outputs, outcomes and development results (Table 3.3), and ensure that the system is linked into management decision-making and the feedback loop to changes in implementation is robust.

Note that none of the existing government M&E systems in the sectors reviewed for this series has been able to monitor GESI outcomes effectively. Although some sectors like education have made a good beginning, comprehensive and consistent systems are not in place to collect, analyze and report with disaggregation. Hence, the steps and process outlined below require advocacy as well as technical support. Programs/projects have initiated some good practices but these need to be institutionalized. Major gains could be achieved if the National Planning Commission (NPC) and the Ministry of Finance could reinvigorate the collection and consolidation of sectoral output and outcome data as planned in the poverty monitoring and analysis system (PMAS). A common system for collection and analysis of disaggregated data across the sectors would allow NPC to generate a much more accurate picture of progress and problem areas on the path towards gender equality and social inclusion.

The roles of the different actors and the timing of monitoring are summarized in Table 3.4.

3.4.4 Step 5: Changing policy and project design to respond to M&E findings on inclusion.

Where government policy-makers (and politicians) have real incentives to be responsive to all groups in society, and projects are designed to be flexible and respond to what they learn, this step is automatic. But in settings where accountability and willingness to change are less than

perfect, it is important to build in formal policy reviews and project mid-term and periodic evaluations that ask for data-based analysis of which groups are benefiting from the policy or program and require specific follow-on actions to respond to the findings. If this analysis reveals

that certain groups are being left out, then the suggestions for responding outlined in Table 3.2 can be used to guide a critical re-thinking of the various processes, criteria and underlying assumptions upon which the policy or program has been designed.

Table 3.1: Analysis of Barriers

S.N.	Level	Analysis of barriers	How to do
1	Household & community	<ul style="list-style-type: none"> • What practices, beliefs, values and traditions at family and community levels constrain women, the poor and the excluded from accessing sectoral resources, opportunities and services? • What are the different rules, practices, divisions of labor, social expectations and differences in vulnerability and mobility for women and men and for different caste/ethnic groups? How have these impacted on women, the poor and the excluded? 	<ul style="list-style-type: none"> • Stakeholder consultation; participatory rural appraisal (PRA) tools like social mapping, labor, access and control profile, mobility maps, etc • Anthropological and sociological literature on Nepal
2	Status of women, the poor and the excluded	<ul style="list-style-type: none"> • Collect disaggregated data and substantive evidence to find out existing status of women, the poor and the excluded, and assess areas and level of disparities—with particular attention to data on their participation and status in sector for which the program or policy is being designed. 	<ul style="list-style-type: none"> • Review Census, Nepal Living Standards Survey, Department of Health Services data, health management information system, Nepal Demographic and Health Survey, education management information system, Nepal Human Development Report, Millennium Development Goals progress reports, etc, project/program-related information
3	Policy ²	<ul style="list-style-type: none"> • What policies exist, and how have these affected women and men of different social groups? • What new policy initiatives are being taken to address sectoral issues, and what are the likely gender/caste/ethnic/regional identity differentials in access to benefits from such initiatives? • What policies have the potential to transform existing relations of inequality, i.e., bring changes in socially prescribed division of labor and access to resources and decision-making power between women and men, and between people of excluded and non-excluded groups? 	<ul style="list-style-type: none"> • Review government policies/Acts/ regulations relevant to the sector (see Annex 3.1 for policy analysis matrix); project/program log frame, operational guidelines/other policy statements; other guidelines, partners' log frames, project guidelines, etc
4	Formal institutional structures and processes	<ul style="list-style-type: none"> • What kind of institutional structures/mechanisms/processes are there in the sector, and how responsive are they to the needs and issues of the excluded (e.g., how representative are committees, project offices, other such bodies formed at local, district and national levels)? • Is work on GESI specifically mentioned as a responsibility of any of these different institutions or their constituent units? • What kinds of structures/mechanisms exist to enable women and the excluded to be part of planning and monitoring processes in the sector? • Human resource policies for recruitment, transfer, promotion, staff performance evaluation: how diverse is the staff profile in terms of gender, region, caste/ethnicity and other variables? What provisions recognize specific issues/constraints of women, e.g., maternity leave, breastfeeding, flexible hours, security? How does the performance evaluation system capture efforts of the staff at addressing gender and inclusion issues? • What is the working culture in committees and offices? How supportive is it for women, the poor and the excluded to work comfortably? What is the behavior of the non-excluded towards these groups? Is the language used in the meetings understood well by all? How well does the language proficiency of the project staff reflect the languages spoken in the project area? What time are the meetings held? 	<ul style="list-style-type: none"> • Develop disaggregated staff profiles of project office, partner organizations, local government partner, user groups formed by project (see Annex 3.2 for format) • Review job descriptions of departments/divisions and staff such as project manager, planning officer, field facilitator, M&E (and any other relevant staff) and terms of reference of consultants and other teams • Facilitate interactions/discussions with staff on situation regarding working environment

S.N.	Level	Analysis of barriers	How to do
5	Programming and budgeting	<ul style="list-style-type: none"> What have been the main interventions in the sector? How have these interventions affected women and people from other excluded groups (e.g., how did gender/caste/ethnic differentials support/constrain access to opportunities from interventions)? Did interventions have explicit inclusion goals and outcome indicators? Did they have an M&E system that was sufficiently disaggregated to track differential outcomes for different groups? What is the budget allocation and expenditure on activities to address issues of women, the poor and the excluded? 	<ul style="list-style-type: none"> Review annual budget (see Annex 3.3 for format) of government agency, program/projects/partner organization; identify how adequately activities addressing GESI issues have been budgeted for; what percentage of the entire project cost has gone for GESI related activities; how transformative are these budgeted activities? Review M&E system and a sample of periodic and special reports and studies from the main interventions in the sector
6	Informal institutions (kinship, gender and caste systems and business and party networks)	<ul style="list-style-type: none"> What are the income levels, social and human development characteristics of groups identified as excluded in the sector that might present barriers to their access? What are the existing employment options in the sector and what barriers exist for women and other excluded groups in terms of skill levels, mobility, social norms, etc? Who has access to control over what resources in the sector? How are political parties active in this sector at different levels? At the national level what are their linkages with the sectoral ministry and other key organizations in the sector? 	<ul style="list-style-type: none"> Consultation/interaction Political science, economic, sociological and anthropological literature on Nepal

Table 3.2: Responses to Exclusion

S.N.	Level	Responses	Process
1	Policy	<ul style="list-style-type: none"> Ensure policies (e.g., government directives at the national level, project criteria/guidelines at community levels, program goals and objectives) explicitly address constraints of women and the excluded, and mandate action to address them Results planned in project plans/log frames must aim to improve assets, capabilities and voice of women, the poor and the excluded; they must address formal and informal practices that are inequitable and discriminatory, and aim to transform existing structural frameworks that disadvantage women and/or the excluded Policies can support a targeted approach or address GESI issues in a non-targeted manner, integrating whatever special measures may be necessary (and economically feasible and sustainable) into mainstream programs to overcome barriers faced by women and excluded groups in accessing services, opportunities and benefits provided by the sector 	<ul style="list-style-type: none"> Organize participatory workshops/consultations with stakeholders—women and men of different social groups; time, venue, methodology, language and tools should be suitable for women and the poor in particular Phrase objectives, outputs, activities and indicator statements to reflect both technical and social issues Review who will benefit—which women, men, girls, boys (with caste, class, location, ethnicity, age disaggregation): who is likely to have access to benefits from these policies? Who is likely to control them? Who is likely to benefit less from this intervention? Are targeted groups defined in clear terms or are general terms such as “disadvantaged” or “vulnerable” used without a clear definition of who they are? What assumptions are being made on women’s roles, responsibilities, time and access to and control over resources? On the capacity of people from excluded groups? With the above in mind, what procedures, criteria or ways of working can shift these patterns to be more equitable? What incentives for sector staff and recipient community can be built into the interventions and operation of (government and non-government) institutions in the sector?
2	Formal institutional structures and processes	<ul style="list-style-type: none"> There must be desks/units/sections/departments with specific GESI responsibility located within sectoral institutions/organizations from national to community levels, adequately resourced and mandated to provide technical support to address GESI issues Terms of reference/job descriptions of all, including policy-makers and technical staff, must allocate responsibility to work on GESI issues, integrating them into their responsibilities Efforts must be made to achieve an inclusive staff profile, with women and people from excluded groups in positions of responsibility Human resource policies for recruitment, promotion and capacity building must be gender- and inclusion- 	<ul style="list-style-type: none"> Identify GESI work responsibilities at different levels; review existing mechanisms to assess how they are addressing identified responsibilities—what has worked, why, what has not, why not; identify through a participatory process what existing structures and organizations can take on GESI responsibilities effectively; assess what new skills and approaches are needed and design accordingly Review terms of reference/job descriptions of departments/divisions/key staff to assess the level of GESI responsibilities; revise and add; integrate into technical responsibilities for technical staff Integrate recognition and incentives for staff that are successful in improving GESI outcomes Review human resources policies: for recruitment,³ identify

S.N.	Level	Responses	Process
		<p>sensitive, and personnel policies must support gender-specific responsibilities</p> <ul style="list-style-type: none"> • Performance evaluation systems must capture responsibilities for GESI dimensions and efforts made by staff to address gender and inclusion issues 	<p>issues constraining applications from women and excluded groups; adopt alternative strategies to publicize vacancies through networks, in local languages; define “merit” to include language skills, understanding of local community cultures, etc</p>
3	Informal institutions	<ul style="list-style-type: none"> • Activities (e.g., sustained dialogue and advocacy) must be developed and implemented to address informal institutions that violate human rights of women, the poor and the excluded; strategies to work with rich, powerful, advantaged men and boys to change values and attitudes, getting buy-in from even the privileged members of the community to change the status quo. are necessary and have often been very successful 	<ul style="list-style-type: none"> • Through consultations and review of previous efforts, identify what has blocked implementation; what behavioral issues, values, social norms have been a challenge • Identify measures necessary to work with women, the poor and the excluded and with family decision makers, community leaders, local political leaders and elites, e.g., poverty analysis with leaders, decision makers, sustained dialogue with men on masculinity, advocacy campaigns against social ills like chaupadi, dowry, boksi
4	Programming and budgeting	<ul style="list-style-type: none"> • There must be programmatic activities and budget allocations that specifically address issues experienced by women and people from excluded groups; budget must also be allocated for activities that can create a supportive environment to address gender/caste/ethnicity and other dimensions of exclusion • Activities must ensure that livelihoods and voice of women, the poor and the excluded are enhanced, along with changing inequitable social norms and formal policies; sufficient budget allocations must be made for these activities • Estimate required resources and include human and financial resources for activities on gender and inclusion awareness for women and men and capacity building of women at program and organization level • Include resources required to support childcare responsibilities, field escort for security reasons and other specific constraints/responsibilities faced by women and people of excluded groups • Allocate sufficient resources for gender-balanced staff, training and institutional capacity building; include sufficient budget and time to build linkages and networking to strengthen different interest groups and to make sure that communication materials can be produced in several languages if need be • Those responsible for implementation must be held accountable for ensuring that planned activities are executed and the budget allocated is spent 	<ul style="list-style-type: none"> • Review program activities and budget in detail; assess likely impact of each activity on women, the poor and the excluded • Ask whether activities are addressing barriers identified: will poor and excluded women and men be able to access resources and benefits coming from this activity? What will be their benefits? Will they get these directly? Will these activities help to address structural issues constraining progress of women, the poor and the excluded, e.g., violence against women or untouchability? Or, will they provide immediate benefits by improving livelihoods or welfare? Identify percentage of budget allocated to different activities addressing barriers and assess whether these will enable groups to benefit equally

Table 3.3: Monitoring and Evaluation

S.N.	Level	Responses	Process
1	NPC	<ul style="list-style-type: none"> Revise planning, budgeting, M&E and reporting formats and processes to capture GESI dimensions according to three domains of change: changes in assets/services; changes in voice and ability to influence; changes in informal and formal policies and behavior Issue directives to all ministries to report disaggregation at output and outcome levels; provide common format for gender and social disaggregation to be used by all sectoral ministries Review and strengthen PMAS and the District Poverty Monitoring and Analysis System (DPMAS)—or whatever province-level system may be established after the new federal structure is determined 	<ul style="list-style-type: none"> Review existing formats; identify strengths and areas of improvement; advocate for revision; create pressure for change
2	Ministry	<ul style="list-style-type: none"> In every program/project at least some objectives, outputs, and indicators must be phrased in a way that captures gender and inclusion issues; these indicators demand collection of disaggregated data M&E section to be strengthened to monitor according to three domains of change ((services, voice, rules) with disaggregation, and guide departments and other key stakeholders to monitor and report with disaggregation and analytical evidence As revision of NPC formats may take time, the M&E section of the sectoral ministry involved in the project/program must develop operational guidelines that identify what disaggregated information is possible at national and district levels, and document case examples of success and lessons learned on how to ensure services and opportunities to excluded groups 	<ul style="list-style-type: none"> Log frame/results framework to be developed in a participatory manner with representatives of excluded organizations; log frame development team to have an expert on GESI Develop M&E and reporting formats requiring disaggregated information to be developed Information management system to be reviewed and strengthened M&E officers to be trained on GESI-sensitive M&E
3	Department	<ul style="list-style-type: none"> Revise necessary formats, indicators and monitoring guide to collect disaggregated information and evidence Monitor programs implemented by government and nongovernment actors in the sector Assess information provided by districts and report accordingly 	<ul style="list-style-type: none"> In joint consultation with ministry and other stakeholders, identify steps required to make existing M&E system more GESI responsive and revise accordingly Remember qualitative data and participatory M&E involving the beneficiaries can be an important source of insight about the GESI impact of interventions
4	District	<ul style="list-style-type: none"> District line agencies to monitor whether programs are implemented as planned and expected outputs/outcomes achieved, and report with disaggregation District Information and Documentation Centers (DIDCs) to be strengthened to maintain disaggregated database showing status of women and people of other excluded groups in district GESI implementation committee to be formed in district development committees (DDCs) according to approved MLD GESI strategy; collaboration and linkages between these must be established, with clarity in roles Budget expenditure and planned progress (monthly and quarterly) must be disaggregated, as must reporting In annual reports, analysis must not be activity based but should be based on data that capture outcomes for women and people of other excluded groups 	<ul style="list-style-type: none"> To achieve all this, the Ministry of Local Development (MLD) has to give a directive to the local bodies Local bodies will need technical support to understand GESI-sensitive M&E and to establish database systems that can be maintained to provide disaggregated information about progress and achievements
5	VDC/ community	<ul style="list-style-type: none"> Establish disaggregated database providing information regarding existing situation of village development committee (VDC) population; this can include “social mapping” that identifies the caste/ethnic identity and other significant features (such as female headship, etc) of each household in the project VDC Design/implement participatory M&E system 	<ul style="list-style-type: none"> Initiate participatory self-assessment process which is sensitive to social constraints like mobility, domestic work burden and family support Use mechanisms that ensure participation of women and men of different social groups

S.N.	Level	Responses	Process
		<ul style="list-style-type: none"> • Work jointly with the Integrated Planning Committee (IPC) in VDCs and Ward Citizens' Forums (which are to be established in each ward according to MLD VDC Block Grant Operational Manual 2009 of MLD) for monitoring • Develop mechanisms and work according to an M&E plan. • Establish/strengthen systems for use of social accountability tools like public audit, citizens' scorecard, public hearing, etc, and ensure that these are implemented by disinterested third parties who can be objective about the results 	
6	Project/ program	<ul style="list-style-type: none"> • All of the above • Incorporate GESI dimension in all processes, mechanisms and progress of project/program activities 	<ul style="list-style-type: none"> • Work with government bodies as required, and strengthen government systems • Efforts must be made not to establish a parallel system but rather to identify joint monitoring mechanisms that produce disaggregated data and analysis on outcomes for different social groups by gender • Reflect in log frame/results framework objectives, outputs and indicators in a consultative process

Table 3.4: Roles and Timing in Monitoring

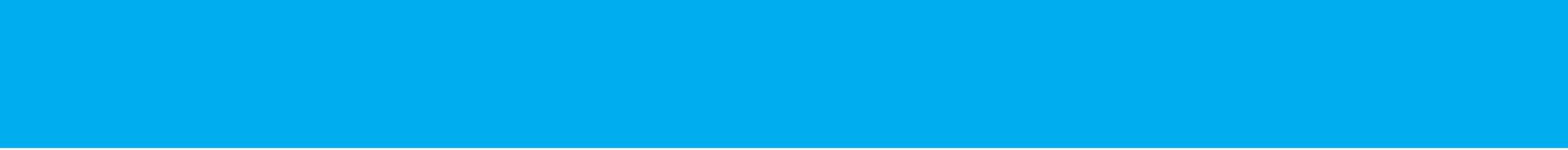
Time	Ward Citizens' Forum/ward level	Village Citizens' Forum, Integrated Planning Committee/VDC	GESI implementation committee/social committee, DDC	GESI section/division/unit of ministry/department	Projects/programs	NPC
					Facilitate setting up of GESI-sensitive monitoring and reporting systems	PMAS, DPMA: GESI aspects in formats, process
Monthly	<ul style="list-style-type: none"> Monitor progress in group participation, access to services, cases of discrimination Maintain disaggregated data about program implementation as per plan Self-monitoring 	Regular meetings, monitoring of social mobilization and program implementation	<ul style="list-style-type: none"> Regular supervision Assessment of progress as per plans Basis of monitoring to be three domains of change (services, voice, rules) 	<ul style="list-style-type: none"> Regular supervision Assessment of progress as per plans Basis of monitoring to be three domains of change 		
Quarterly review	Review progress with focus on the three domains of change		<ul style="list-style-type: none"> Monitoring visits Review with disaggregation as per the three domains of change 	<ul style="list-style-type: none"> Analyze reports of VDCs 		
Six-monthly	Public hearing, covering program implementation and social mobilizers' work	<ul style="list-style-type: none"> Public hearing Public audit 	<ul style="list-style-type: none"> Participation in public hearing and audit Quarterly report to cover GESI 	<ul style="list-style-type: none"> Integrate progress and learning to inform decision makers for strategic change Report as per three domains of change 	Supervision and review	
Annual	Gender and social audit	Gender and social audit	<ul style="list-style-type: none"> Participation in public hearing and audit Annual report to cover GESI 		Report	

Source: Adapted from GESI strategy of LGCDP, MLD, 2009.

Notes

- 1 In a national program, a mapping of the local political economy of the sector in a sample of the different types of sites where the program would be implemented would provide enough to go on.
- 2 Policy is understood here as a statement of intent, so it can be at the macro, meso or micro level, and it can be formal (government Act or program-level guidelines/criteria) or informal, such as social practices/norms.
- 3 See SIAG (2009) for suggestions to increase GESI sensitivity in recruitment policies.

Annexes



Annex 1.1: Definitions of Socially Excluded Groups

Brief definitions¹ of the *socially excluded groups* (women, Dalits, Adivasi Janajatis, Madhesis, Muslims, people with disabilities and people of geographically remote areas) are provided below.

Women. Due to existing gender relations in Nepal and a patriarchal society, women experience unequal power relations, resulting in their social exclusion. Although the depth of gender discrimination varies between social groups in Nepal, all women are excluded. However, women from excluded communities face caste, ethnicity and location-based constraints in addition to the constraints imposed by their gender. Women constitute 51% of Nepal's population.²

*Dalits.*³ People who have been suffering from caste and untouchability-based practices and religious, social, political and cultural discrimination form 13% of Nepal's population. Within the Dalit community, there are five sub-caste groups from the hills (Hill Dalits) and 22 sub-caste groups from the Tarai (Madhesi Dalits).

*Adivasi Janajatis.*⁴ Peoples or communities with their own mother tongue and traditional social structures and practices, separate cultural identity, and written or unwritten history form 37% of Nepal's population, with 5.5% Newars and 31.8% Hill and Tarai Janajatis. There are 18, 24, 7, and 10 sub-groups respectively among the Mountain, Hill, Inner Tarai and Tarai Janajati groups.

Madhesis. People of plains origin who live mainly in the Tarai and have languages such as Maithili, Bhojpuri, Awadhi, Urdu and Hindi as their mother tongue are considered Madhesis. They include Madhesi Brahmin/Kshatriyas (2% of the population), Madhesi "other" caste groups (13%) and Madhesi Dalits.

Muslims. Muslims are a religious group found predominantly in the Tarai and form 4.3% of Nepal's population.

*People with disabilities.*⁵ "Persons with disabilities include those who have long-term physical, mental, intellectual or sensory impairments which in interaction with various barriers may hinder their full and effective participation in society on an equal basis with others".⁶ Persons with full disabilities cannot manage daily life without assistance. They include people with total mental, intellectual or sensory impairment such as complete blindness. People with partial disability are persons who have long-term physical and/or mobility impairments, and require regular assistance to manage daily life.

People of remote geographic regions. This covers people living in geographic regions which have distinct, difficult terrain for movement, transportation and communication, and difficulties in accessing services (e.g., Karnali has been defined as geographically excluded by the government in the Three-Year Interim Plan). Similarly, in a DDC some locations (VDCs) can experience geographical exclusion due to difficult terrain and remoteness. Within these kinds of geographically excluded regions, people experiencing gender-, caste-, and ethnicity-based discrimination experience further exclusions.

The specific issues of exclusion differ between these groups. For Dalits it is caste-based exclusion; for Adivasi Janajatis it is cultural rights/language-based exclusion; for Madhesis it is identity-based exclusion; for the poor exclusion is economic-based; while for remote regions it is distance-related. For women, it is gender-based, a characteristic that cross-cuts each of the other dimensions of exclusion.

Notes

- 1 Gender equality and social inclusion strategy, LGCDP/MLD, 2009.
- 2 Population figures are from Census 2001, CBS/NPC, Government of Nepal.
- 3 Based on the National Dalit Commission reports.
- 4 Based on NFDIN descriptions.
- 5 Based on Social Security Guidelines, MLD/Government of Nepal, 2065 (p. 1).
- 6 'Convention on the Rights of Persons with Disabilities', www2.ohchr.org/english/law/disabilities-convention.htm.

Annex 1.2: Step 1 Gender Equality and Social Inclusion Framework: Analysis of Policy, Institutional, Program, and Monitoring and Evaluation Barriers

As part of designing responses that are based on the assessment done in Step 1, the analysis of the barriers and responses must be viewed at several levels.

Policy. Analysis at this level assists us to identify which policies are addressing or reinforcing social inequalities, and reducing, maintaining or increasing disparities. This analysis will, in turn, guide us in the design of appropriate strategies for reprioritization or redefining policies. Policies exist at all levels. Some are more formal and official, others more informal and traditional.

Organizational structures. The rules and practices within organizations need to be reviewed to identify ways in which social inequity is created and maintained. The extent to which GESI policy commitments are formulated and effectively implemented depends on the understanding, skills and commitment of the staff in policy-making, planning and implementation roles. Additionally, most organizations have official rules and procedures, but unofficial norms and practices operate informally and influence results. Tools for organizational assessment in projects/NGOs/partner organizations include disaggregated staff profiles showing who has access to what opportunities and types of resources and levels of decision-making power; reviewing the job descriptions and terms of reference for including GESI in objectives, tasks/responsibilities, and key skills/competencies; and human resource policies for recruitment, promotion, capacity building and support for gender-specific responsibilities.

Program and budgeting. The program activities should be reviewed to assess the strengths and identify areas of improvement for addressing the needs and interests of women, the poor and the excluded. The program and budget should be assessed on whether they are specific, supportive or neutral towards these groups. A financial commitment to gender- and inclusion-related activities is an essential element of mainstreaming GESI, reflecting the spending choices the concerned organization has made as per its available resources. When auditing budget and program design to assess their effectiveness in reaching different excluded groups and the poor, it is important to keep a separate eye on expenditures for men and women in these various groups. Otherwise gender-based disparities may not be picked up. Similarly, when conducting a gender audit, it is important to look separately at the expenditures and outcomes for women from different social groups since women from certain social groups may not have been reached.

Monitoring and evaluation. Monitoring and reporting should follow the conceptual frame of the three areas/domains of change: 1) changes in assets/services; 2) changes in voice and ability to influence; and 3) changes in informal and formal policies and behavior. All monitoring and reporting formats must have disaggregation by poverty, sex, caste, ethnicity and location. Monitoring teams must be inclusive, with representation of women and people from excluded communities as members. Monitoring teams must consult with community women and men, including those experiencing exclusion, representative organizations and others. Monitoring must also focus on the *process* of implementation: what was done and how it was done, and from a GESI perspective, with whom it was done; and on the *outcome* or results of action.

Annex 1.3: List of Budgets Reviewed, FY 2009-2010, for Gender Equality and Social Inclusion Budgeting Covering 22 Programs and Annual Plans of Two Ministries

Sector	Number of project/ program budgets	List of budgets reviewed of FY 2009-2010 for GESI budgeting
Agriculture	3	<ul style="list-style-type: none"> Commercial Livestock Development Project, ADB Project for Agriculture Commercialization and Trade, WB Regular program of MOAC: extension services
Education	5	<ul style="list-style-type: none"> School Sector Reform Program School Sector Support Program Capacity Development Program Secondary Education Support Program, district level Education for All, district level
Health	Annual plan (covering 41 programs)	<ul style="list-style-type: none"> Annual budget of FY 2009-2010 of MOHP
Forest	Annual plan (covering 18 programs) + 2	<ul style="list-style-type: none"> Annual budget of FY 2009-2010 of MOFSC Annual program budget of Kavre and Morang, FY 2008-2009
Water supply and sanitation	6	<ul style="list-style-type: none"> Community-based Water Supply and Sanitation Program Rural Water Supply and Sanitation Fund Development Board Small Town Water and Sanitation Project Regular program of district water supply and sanitation
Irrigation	3	<ul style="list-style-type: none"> Community-managed Irrigation and Agriculture Support Program Integrated Water Resource Management Program Department of Irrigation Annual program budget of Kavre and Morang, FY 2008-2009
Rural infrastructure	4	<ul style="list-style-type: none"> Rural Access Program Rural Rehabilitation and Reconstruction Project Decentralized Rural Infrastructure and Livelihood Improvement Program District Road Support Program Rural Access Integrated Development Program Annual program budget of Kavre and Morang, FY 2008-2009

Annex 2.1: Overview of Programs

Projects, project coverage, donors (budget)	Project goals/purposes/objectives	Project interventions
RRRSDP, 20 ¹ districts in addition to existing 18 ² DRILP districts, World Bank, ADB, DFID, SDC, and others (US\$106.8 million)	<ul style="list-style-type: none"> • Reduce rural poverty in hill, mountain, and Tarai districts where isolation and hardship are common • Focus on immediate post-conflict development priorities for accelerated poverty reduction and inclusive development, thereby enhancing effectiveness and efficiency of delivery of public services and improving access of rural people to economic opportunities and social services 	<ul style="list-style-type: none"> • Improve rural roads • Develop and improve community-based supplementary rural infrastructure • Enhance equity, employment and income opportunities for poor and disadvantaged • Strengthen institutional capacity of MLD, DOLIDAR, DDCs and communities • Improve project management
DRILP, 18 ³ districts, ADB (US\$62.3 million)	<ul style="list-style-type: none"> • Reduce rural poverty in 18 very poor remote hill and mountain districts affected by conflict • Achieve sustainable increased access to economic and social services, and enhanced social and financial capital for people in project area, particularly poor and disadvantaged groups⁴ 	<ul style="list-style-type: none"> • Restore incomes and livelihoods of rural people, particularly the poor • Effective beneficiary participation⁵ to achieve a poverty-targeted impact from rural infrastructure investments • With experienced local NGOs' support, lead to increased social and financial capital • Implement social mobilization program in each district, delivered through local NGOs • Job creation and access to development opportunities
RAIDP, rural roads in 20 ⁶ districts and trail bridges in 28 ⁷ districts, World Bank, rural transport infrastructure component (US\$34.63 million) and capacity-building and advisory services (US\$7.31 million)	Residents of participating districts utilize improved rural transport infrastructure and services and benefit from enhanced access to social services and economic opportunities	<ul style="list-style-type: none"> • Improve accessibility in participating districts • Support the decentralized governance system for rural infrastructure through better donor coordination • Apply multisectoral planning approach • Improve quality standards • Ensure district road maintenance • Strengthen institutional capabilities of participating DDCs/ DTOs together with MLD/DOLIDAR • Enhance community participation
DRSP, six ⁸ districts, SDC (Rs 95.2 million for Phase I, Rs 395 million for Phase II, Rs 695 million for Phase III)	<ul style="list-style-type: none"> • Contribute to improved livelihoods of the discriminated and poor within rural population • Empower discriminated and poor people of program districts to benefit equitably from improved access to resources and opportunities 	<ul style="list-style-type: none"> • Extend accessibility to motorable roads to remote rural population in all participating districts • Improved social infrastructure to enhance livelihoods of disadvantaged groups living in road corridors • Enhance local-level institution structures and construction capability, maintenance and operation of rural road network in an equitable and inclusive way • Improve and strengthen institutional capacity at all levels • Enhance coordination and cooperation mechanism between central and local levels • Enhance process for information sharing and policy development between all development partners at central level
RAP, seven ⁹ hill districts, DFID (£17 million)	<ul style="list-style-type: none"> • RAP2: promote more secure and sustainable rural livelihoods for poor and disadvantaged in hill areas in Nepal • Improve connectivity of rural communities, enhance economic and employment opportunities, and increase access to market and social services for rural poor and disadvantaged 	<ul style="list-style-type: none"> • Enhanced equity, employment, and income opportunities for poor and disadvantaged • District- and village-level transport infrastructure improved and put under sustainable maintenance • Community-based supplementary rural infrastructure developed and improved • Strengthened institutional capacity • Government policies and plans are informed by program and provide for effective rural access
TBSSP, 60 districts, SDC (CHF10 million)	<ul style="list-style-type: none"> • Provision of easy access to markets and economic and basic service centers in rural and remote areas in 60 districts through construction of safe pedestrian river crossings 	<ul style="list-style-type: none"> • Cost-effective trail bridges are built with an equitable distribution across district • Increased social inclusion and transparency in UCs/UGs • Improved livelihood for DAGs • TBS/LIDP standards are implemented by stakeholders and bridge-building agencies

Projects, project coverage, donors (budget)	Project goals/purposes/objectives	Project interventions
FSRP/ReRe, two ¹⁰ districts, GTZ	<ul style="list-style-type: none"> • River crossings built across entire district in an impartial manner benefit all, including disadvantaged groups • Improve nutritional status of poor and conflict-affected households • Stabilize economic and social living conditions through provision of short- and long-term employment and income opportunities • Construct and rehabilitate productive and social infrastructure in districts 	<ul style="list-style-type: none"> • Enhanced capacity at local and central levels as per TBS/ LIDP to implement TBS standards • Participation of target group members in every intervention • Involve successful lobbying of both opponents • Creation and acceptance of full transparency about project interventions • Fully targeted towards betterment of living conditions of impacted poor populations in districts

Notes

- 1 Panchthar, Ilam, Jhapa, Morang, Sunsari, Dhankuta, Sindhuli, Dolakha, Sindhupalchowk, Kavrepalanchok, Lalitpur, Bhaktapur, Kathmandu, Chitwan, Manang, Mustang, Parbat, Rolpa, Rukum and Dadeldhura.
- 2 Baitadi, Bajhang, Bajura, Darchula, Dolpa, Jumla, Jajarkot, Kalikot, Mugu, Baglung, Gorakha, Lamjung, Myagdi, Okhaldhunga, Ramechhap, Sankhuwasabha, Solukhumbu and Taplejung.
- 3 Baglung, Gorkha, Lamjung, Myagdi, Dolpa, Humla, Jajarkot, Jumla, Kalikot, Mugu, Baitadi, Bajhang, Bajura, Darchula, Okhaldhunga, Ramechhap, Solukhumbu and Taplejung.
- 4 Objectives: Increased awareness and participation in the planning, implementation and maintenance of rural infrastructure and other development activities by local communities, including the poor and disadvantaged; new and rehabilitated physical infrastructure provided for community economic and social activities (supplementary investments); capacity for planning, implementing and maintaining rural infrastructure increased at district, village and national levels; and new and upgraded rural transport infrastructure provided using the LEP construction approach.
- 5 In planning, implementation, monitoring and maintenance.
- 6 Kailali, Bardiya, Banke, Salyan, Kapilvastu, Rupandehi, Nawalparasi, Palpa, Syangja, Kaski, Dhading, Nuwakot, Rasuwa, Makawanpur, Rautahat, Sarlahi, Mahattari, Dhanusha, Siraha and Udayapur.
- 7 Kailali, Salyan, Rupandehi, Nawalparasi, Palpa, Syangja, Kaski, Dhading, Nuwakot, Rasuwa, Makawanpur, Udayapur, Dolpa, Kalikot, Mugu, Darchula, Bajhang, Bajura, Humla, Jumla, Jajarkot, Rukum, Mustang, Manang, Solukhumbu, Khotang, Bhojpur and Sankhuwasabha.
- 8 Sindhupalchowk, Dolakha, Sindhuli, Ramechhap, Okhaldhunga and Kavrepalanchok for Phase III.
- 9 Doti, Achham, Dailekh, Khotang, Bhojpur, Sankhuwasabha and Terhathum.
- 10 Rolpa and Rukum.

Annex 2.2: Proposed Gender-responsive Budget Sub-indicators

Indicators (score)	Sub-indicators
Participation (30)	<ul style="list-style-type: none"> • Representation of women in user committees, including major posts • Participation of women in survey and design meetings • Representation of women in operation and maintenance committees • Participation of women in public audits of projects
Capacity building (30)	<ul style="list-style-type: none"> • Orientation on rights, roles, and responsibilities of user committee members, including women • Project implementation management/monitoring training for women
Support to income-generation and employment opportunities (20)	<ul style="list-style-type: none"> • Introduction of agro-based income-generation programs targeted at women • Employment of women in skill and unskilled work and labor management in construction phase
Time saved and quality use of time (20)	<ul style="list-style-type: none"> • Time saved for women carrying heavy loads due to proximity of road • Use of time saved

Annex 2.3: GESI Analysis of Existing Logical Framework of Selected Programs/ Projects on Rural Infrastructure

Intervention logic	Verifiable indicators	GESI analysis
RRRSDP logical framework (design and monitoring framework)¹		
<p>Impact: Reduce rural poverty in hill, mountain and Tarai districts where isolation and hardship are common</p> <p>Outcome: Improved connectivity, enhanced economic and employment opportunities, and increased access to market and social services of rural communities</p>	<p>Proportion of rural population living below poverty line decreases from current 34.6% to 25.0% by 2020</p> <ul style="list-style-type: none"> • Proportion of population in project districts who have to walk four hours in hills and two hours in Tarai to reach roadhead reduced from about 36% to less than 25% • Average household (HH) travel time to market centers in road-influence area (RIA) reduced by 50% • Average number of annual household trips to market centers in RIA doubled • Traffic counts and/or passenger in RIA increased by at least 30% • Access to assured supply of drinking water increased for about 30,000 households • Average time for accessing water reduced by 50%; household supplies increased by 100%; household incidence of gastrointestinal-related disease reduced by 30% • About 3.3 million people directly benefited • Employment of 24.2 million person days in civil works provided, at least 70% of which will be for poor and disadvantaged groups; and income and skills of people from district road corridors improved • Proportional representation of women and minorities in governing bodies increased • Development expenditure efficiency and quantum increased • Village social capital increased 	<p>Indicators and impact are specific about poverty but not of other social groups or about female-headed households</p> <ul style="list-style-type: none"> • Outcome statement is neutral though GESI aspects have been covered in the indicators: at least 70% of employment will be for poor and disadvantaged groups; and proportional representation of women and minorities in governing bodies increased (but not specific target set) • Measurement of social capital is also not clearly stated
Output 1: Improved rural roads	<ul style="list-style-type: none"> • Improvement of 859 km of rural roads • Construction of 1,319 meters of bridges 	<ul style="list-style-type: none"> • Out of five outputs, output 3 and indicators are GESI specific—with focus on poverty, gender and social exclusion dimensions; training opportunities being diverted from poor and disadvantaged to upper-strata villagers has been identified as potential risk for achievement of output 3 • One indicator: District Implementation Support Teams (DISTS) with 33% women recruited in 20 districts of output 5 is GESI specific; an indicator (five regional workshops held for DDCs on standards, requirements, and procedures for financial management, procurement, resettlement, environment, and social inclusion) of output 4 is GESI supportive • Remaining outputs and indicators are neutral and technical
Output 2: Developed and improved community-based supplementary rural infrastructure	<ul style="list-style-type: none"> • 735 supplementary infrastructure (village trails, trail bridges, micro-irrigation, market buildings, primary schools, and health posts) undertaken based on community demands • 591 water supply subprojects constructed, rehabilitated, and functional 	

Intervention logic	Verifiable indicators	GESI analysis
Output 3: Enhanced equity, employment, and income opportunities for poor and disadvantaged	<ul style="list-style-type: none"> At least 75% of district infrastructure coordination committee, village infrastructure user groups, and building groups are formed with at least 50% women and proportionate representation of major disadvantaged groups At least 75% of self-help groups (SHGs) with at least 70% women and proportionate representation of major disadvantaged groups formed Members of building groups receive full wages within 30 days of completed work; members of building groups are all insured Men and women receive equal wages for work of equal value Members of SHGs receive demand-driven skill training (600 training programs) with 50% female representation and at least proportionate representation from disadvantaged caste and ethnic groups 50% representation of women in building groups, user groups, and coordination committees; and proportionate representation of disadvantaged, castes and ethnic groups to their population in project areas, with preference given to poorest of the poor 	
Output 4: Strengthened institutional capacity of MLD, DOLIDAR, DDCs and communities	<ul style="list-style-type: none"> 20 DDCs trained in project orientation and awareness in year 1 Five regional workshops held for DDCs on standards, requirements and procedures for financial management, procurement, resettlement, environment and social inclusion Five regional workshops held on strengthening quality control and O&M Progress made toward sector/subsector integration (to program-based approaches) 	
Output 5: Improved project management	<ul style="list-style-type: none"> Advanced procurement action (from October 2007) initiated for five individual start-up consultants; same fielded by January 2008; manuals/updates and training delivered to DDCs by individual consultants by March 2008 Central implementation support consultants under DOLIDAR fielded by April 2008 (advanced procurement action started from October 2007) DISTs with 33% women recruited (February-May 2008) in 20 districts; additional 18 WSS engineers fielded in DRILP districts Central implementation support consultant prepares project procedures and guidelines for project implementation, supervision and monitoring by May 2008 Regular project coordination unit/central implementation support consultants and DPO/District Implementation Support Teams (DIST) supervision, monitoring and guidance activities Public audits of all completed works under subprojects carried out by December 2011 	
Decentralized Rural Infrastructure and Livelihood Project (DRILP), assessment of impact and outcome of the project as per Design and Monitoring Framework (DMF) ²		
Impact: Reduce rural poverty in 18 hill and mountain districts of Nepal affected by conflict	<ul style="list-style-type: none"> Poverty level of 60% in 18 project districts reduced to 45% by 28 February 2015 Incomes increasing by at least 25% for 200,000 poor households by 28 February 2015 	<ul style="list-style-type: none"> Anticipated impact and indicators are poverty specific Indicators aim at reducing poverty level by 15% and increasing income by at least 25% for poor households by February 2015
Outcome 1: Sustainable increased access to economic and social services, and enhanced social and financial capital for people in project area, particularly poor and disadvantaged groups	<ul style="list-style-type: none"> Increased levels (at least 25%), and more diverse sources of income for 200,000 households in zones of influence of project infrastructure, in at least 35 subproject areas by 28 February 2015 100% increase in existing freight volume 275% increase in per capita personal trips by 28 February 2015 	<ul style="list-style-type: none"> Both outcomes and indicators have covered poverty and social inclusion aspects Reporting mechanism of outcome 1 states that project baseline and time-slice surveys should measure well-being factors by gender, ethnicity, and caste, including transport, employment and wage surveys

Intervention logic	Verifiable indicators	GESI analysis
Outcome 2: Strengthen planning, implementation and management capacity of target communities, concerned DDCs, and executing department to operate in a more socially inclusive manner	<ul style="list-style-type: none"> • Increased access to development services to poor people by 28 February 2015 • Proportion of women and disadvantaged ethnic groups and castes in building groups increased by at least 40% from project's start by 29 February 2012 	Assumptions have highlighted that DDCs should give priority to poverty reduction along with good governance to achieve outcome 1
Output 1: Community development and rural livelihood restoration	<ul style="list-style-type: none"> • Increased awareness and participation of local communities in detailed planning, implementation and monitoring of main subprojects and supplementary investments by 28 February 2011 • Number of building groups with 40% women members and local people formed in all subproject areas • Building groups receive full wages; and group leaders trained in recordkeeping, bookkeeping and leadership skills by end of first construction season of all subprojects • 100% increase in number of households, particularly poor ones, participating in community meetings by 29 February 2012 • 50% increase in number of women participating in group meetings by 29 February 2012 • 80% of building groups form and operate savings groups within one year of start of employment • 35 new and rehabilitated physical community infrastructures (supplementary investments) to an acceptable standard provided for at least 17 main subprojects by 31 December 2008; for remaining 18 subprojects by 31 December 2010 	<ul style="list-style-type: none"> • Indicators of output 2 are purely technical; indicators of remaining outputs have covered GESI aspects, in addition to being technical • GESI-specific indicators suggest that 40% of building group members should be women; participation of poor in community meetings should increase; women participation in group meeting should increase by 50% (output 1); at least 50% of subproject construction costs paid in wages to unskilled workers, of whom 40% are women (output 3) • GESI-supportive indicator suggests that gender focal points should be identified at central, district and village levels (output 4)
Output 2: Capacity building and decentralized local governance strengthened	<ul style="list-style-type: none"> • Improved capacity of 18 participating DDCs to implement transport infrastructure subprojects, deliver development services, coordinate with sectoral line agencies, monitor and evaluate project implementation, and disseminate information to public by 29 February 2012 • Selected main subprojects reflect local priorities • Implementation and operational District Transport Master Plans by 31 September 2006 • Number of training provided to village development committees in the planning, budgeting and implementation of subproject elements within their area • DOLIDAR capacity in planning, management, technical guidance, and monitoring and evaluation increased by 29 February 2012 • Rural infrastructure subsector policy on gender developed and approved by DOLIDAR by 31 December 2006 • DDC and DTO capacity in all aspects of development project planning, management and implementation improved, including having infrastructure inventories and maintenance funds operational by 29 February 2012 	
Output 3: New and upgraded rural transport infrastructure provided using labor-based, environmentally sound, participatory construction approach	<ul style="list-style-type: none"> • 35 potential subprojects (phases I and II) identified and prioritized, and detailed design prepared with full community participation within districts by 29 February 2008 • Phase I: 17 subprojects by 28 February 2009 • Construction of 245 km of new district roads and rehabilitation of 90 km of existing roads by 28 February 2009 • Construction of 40 km of new village roads and rehabilitation of 50 km of existing roads • Improvement of 640 km of main trail • Construction of new trail bridges (5,525 m) completed to acceptable standard • Phase II: 18 subprojects by 29 February 2012 • Construction of 270 km new district roads and rehabilitation 40 km of existing road 	

Intervention logic	Verifiable indicators	GESI analysis
	<ul style="list-style-type: none"> • Improvement of 230 km of main trail • Construction of new trail bridges (3,250 m) • At least 50% of subproject construction costs paid in wages to unskilled workers, of whom 40% are women • Employment totaling 34,700 person/years, and seasonal work created by road improvement and maintenance and other project investments by 29 February 2012 	LEP promoted which provides employment opportunities to the poor
Output 4: Project planning, management and support strengthened; participation and monitoring linkages established	<ul style="list-style-type: none"> • Establishment of functional and effective project coordination structure at central level (Kathmandu) • Establishment of functional and effective district project offices in DDC • Suitable buildings with acceptable communications assigned for project management at central and district levels • Technical assistance consultants engaged according to schedule • Procurements carried out in a timely manner • Gender focal points identified at central, district and village levels 	
Rural Access Improvement and Decentralization Project (RAIDP), results framework (World Bank 2009)		
Project Development Objective (PDO): Residents of participating districts to utilize improved rural transport infrastructure and services in order to have enhanced access to social services and economic opportunities	<ul style="list-style-type: none"> • 20% increase in motorized and non-motorized trips by beneficiaries by end of project • 20% reduction in travel time by beneficiaries by end of project • 30% increase in annual average daily traffic within project districts in categories of bus, truck, microbus and jeep 	Indicators are technical and neutral to GESI issues
Intermediate results: Improvement in accessibility in participating districts	<ul style="list-style-type: none"> • 15% increase in number of people in participating hill districts living within four hours' walk to an all-season road • 10% increase in number of people in participating Tarai districts who live within two hours' walk to an all-season road 	Outcome and indicators are technical and neutral to GESI aspects
Output 1: Rural transport infrastructure improvement component <ul style="list-style-type: none"> • Rehabilitation and upgrading of existing dry-season rural roads to all-season standard • Upgrading of existing rural trails and tracks to dry-season standard • Maintenance of rural roads • Construction of trail bridges 	<ul style="list-style-type: none"> • Rehabilitation and upgrading approximately 1,165 km of existing dry-season rural roads to all-season standard • Upgrading approximately 211 km of existing rural trails and tracks to dry-season standard • Maintenance of 4,500 km of rural roads (in aggregate each year) • Construction of 317 trail bridges • Creation of new jobs • All seriously affected land owners due to voluntary land donation are provided assistance in accordance with ESMF provisions 	Outputs, activities and indicators are simply technical and none has been viewed with consideration of GESI issues
Output 2: Capacity-building and advisory services component <ul style="list-style-type: none"> • Support to DOLIDAR and DDCs in institutional development • Update DTMPs • Implementation support • Training • E-bidding • Asset management • IT modules/ management information system 	<ul style="list-style-type: none"> • 10 districts have an updated DTMP and use it for investment and maintenance prioritization and budgeting • E-bidding is piloted in nine districts and DOLIDAR, and assessment of its operation is carried out • Preparation and implementation of asset management systems • Development and implementation of five management information system modules 	
District Roads Support Program (DRSP) log frame, Phase III (2006-2010) (Government of Nepal and SDC 2006)		
Goal: Improved livelihoods of disadvantaged and poor in rural population		Goal is GESI specific
Purpose: Disadvantaged and poor people of program districts are empowered to benefit equitably from improved access to resources and opportunities	<ul style="list-style-type: none"> • Food sufficiency of disadvantaged groups along DRSP road corridors increases by 20% by 2012 	Purpose and its indicator are specific for disadvantaged groups but this is not broken down

Intervention logic	Verifiable indicators	GESI analysis
Output 1: Access to motorable roads is extended to remote rural population in all participating districts	<ul style="list-style-type: none"> By 2010, 60 km of all-weather roads are constructed in remote areas Bus services are operating regularly on all DRSP-supported roads by 2010 By 2010, 400 km of roads have been brought to a motorable and maintainable condition By 2010, 400 km of motorable roads are regularly maintained and DDC-employed <i>Rekhalus</i> carry out routine maintenance on all maintainable roads Construct 345 km of motorable road and structures in association with other development partners like DRILP and RCIW Employment of more than 1.5 million person-days (40% women) is provided Labor-based tools and equipment are well maintained and inventoried 	<ul style="list-style-type: none"> Indicators of outputs 1-4 have covered GESI aspects in addition to being technical: by 2010, 60 km of all-weather roads are constructed in remote areas is GESI supportive; employment of more than 1.5 million person days (40% women) is gender specific; by 2010, 75% of workers are employed for at least 90 days per year, out of which two-thirds are from DAGs and members from DAGs are well represented in decision-making are poverty specific Enrollment of boys and girls of workers in primary education along road corridors increases by 25% is gender supportive Criteria for proportional representation of women and disadvantaged groups in community-level bodies developed and followed by 2007 are GESI specific Indicators of output 5 are neutral
Output 2: Livelihoods of disadvantaged groups living in road corridors are enhanced through improved social infrastructure	<ul style="list-style-type: none"> By 2010, 75% of workers are employed for at least 90 days per year, out of which two-thirds are from DAGs 40 savings and credit groups are formed with savings of at least Rs 25,000 and 50% are converted into cooperatives by 2010 30 non-Income Generation (IG) groups are formed, and operational DRSP progress reports, district Yearly Plan of Operations (YPOs), and public audits Enrolment of boys and girls of workers in primary education along road corridors increases by 25% No. of people accessing services of health centers increases by 25% 	
Output 3: Local-level institutional structures and capacity to construct, maintain and operate rural road network are enhanced in an equitable and inclusive way	<ul style="list-style-type: none"> Local-level stakeholders carry out their functions in accordance with revised local institutional structures without external assistance by 2010 DDCs apply rural road standards, methods and systems effectively by 2009 12 community contractors are formed, trained and working by 2009 DDCs prepare and budget for maintenance rolling plan without external assistance by 2008 20% of maintenance funds are generated locally by 2010 Criteria for proportional representation of women and disadvantaged groups in community-level bodies developed and followed by 2007 	
Output 4: Institutional capacity at all levels is improved and strengthened to ensure good governance and acceptable levels of worker welfare	<ul style="list-style-type: none"> Members from DAGs are well represented in decision making DTMPs are updated in accordance with District Perspective Plans (DPPs) Public hearings and audits are held in each road corridor at least once a year An insurance system is developed and established DDCs provide mobilization funds to UCs/UGs to make advance payments to workers by 2006-2007, and all workers are paid within 30 days of completion of work Central-level agencies are making field visits and providing effective guidance to districts 	
Output 5: Coordination and cooperation mechanism between central and local levels is enhanced	<ul style="list-style-type: none"> Review and planning meetings are held on a four-monthly basis for the whole of Phase III All funding for rural roads in participating districts is channeled through District Road Fund (DRF) by 2009 RTI management information system database is established in DOLIDAR with a dedicated team and a regular budget At least one joint program (SDC project and DRSP) is implemented per year in SDC cluster districts 	
Rural Access Program (RAP) ³ logical framework (WSP in association with Helvetas Nepal 2010)		
Goal: More secure and sustainable rural livelihoods for poor and disadvantaged in hill areas	At least half of poor and disadvantaged in program area report improved access to goods and essential services and improved trend of well-being (e.g., increased income levels; better health; improved access to food sources; permanent environmental improvements)	Goal and indicators are poverty and social exclusion specific

Intervention logic	Verifiable indicators	GESI analysis
<p>Purpose: Improved connectivity of rural communities, enhanced economic and employment opportunities, and increased access to market and social services for rural poor and disadvantaged</p>	<ul style="list-style-type: none"> Reduction in proportion of population in program hill districts that have to walk four hours or more to reach roadhead from about 36% to less than 25% by the time road opened Increased connectivity results in reduction of transport costs to nearest main market by two-thirds after road is opened; to be measured by sample of three particular goods (kerosene oil, any soft drink, and cement) six months before and one year after road opening Traffic counts and passenger movements in road-influence area (RIA) increased, leading to improved health status of beneficiaries due to improved access to health facilities and market centers Employment of 6.5 million person-days in civil works, of which at least 80% provided to poorest and most excluded Average household income of surveyed RBG members increased by 20% two years after construction over baseline survey prior to construction 	<ul style="list-style-type: none"> Purpose focuses on rural community, poor, and disadvantaged Indicators indicate GESI issues with mention of at least 80% employment in civil works to be provided to poorest and most excluded Assumptions like improvement in socio-cultural environment allow excluded people to exercise their rights and DDCs give priority to poverty reduction and good governance have been made for achievement of stated purpose
<p>Output 1: Enhanced equity, employment, and income opportunities for poor and disadvantaged</p>	<ul style="list-style-type: none"> All RBGs will be selected from poorest of the poor, deprived communities, and project-affected families 33% increase in sampled household incomes and assets in RIA over income and assets of sampled households of non-RIA over period before construction and two years after completion. At least 33% representation of women maintained in RBGs, LRCCs, and LRUCs Ensure proportionate representation of marginalized communities, Dalits, and indigenous nationalities (Adivasi, Janajatis) maintained in LRCCs and LRUCs Members of building groups receive full wages within 30 days of interim or final measurement of works Employment of 6.5 million person-days will be created by time of road opening All members of building groups are entitled throughout construction activities to declared scales of compensation and expenses Men and women receive equal wage for work of equal value Members of groups receive demand-driven skill training with at least 50% women representation and at least proportionate representation from disadvantaged caste and ethnic groups All RBGs conduct annual public audits 	<ul style="list-style-type: none"> Out of six⁴ outputs, output 1 focuses on enhanced equity, employment, and income opportunities for the poor and disadvantaged: indicators spell out details; employment and training opportunities not diverted from poor and disadvantaged to upper strata of villagers has been assumed for achievement of this output Remaining outputs and indicators are neutral
<p>Output 2: District- and village-level roads built to DOLIDAR standard and put under sustainable maintenance</p>	<ul style="list-style-type: none"> 365 km of district roads accessible by four-wheel-drive vehicle at June and November 2011 Environmental mitigation measures adopted on all RAP district roads during construction Regular maintenance principles for all completed roads are established and implemented by DDCs in program districts, including maintenance of RAP1 roads 	
<p>Output 3: Community-based supplementary rural infrastructure developed and improved</p>	<ul style="list-style-type: none"> Supplementary infrastructure (village trails, trail bridges, micro-irrigation, market buildings, primary schools, and health posts) to RAP-approved standards undertaken by June 2011 based on community demands Maintenance and operation arrangements ensured by user groups in place by June 2011 	
<p>Output 4: Strengthened institutional capacity of MLD, DOLIDAR, DDCs, VDCs, and communities</p>	<ul style="list-style-type: none"> 65 number of MLD (2), DOLIDAR (3), DDC (1)/DTO (3), VDC staff, and representatives of RRMUC (2) trained in road construction and maintenance procedures according to DOLIDAR training needs survey and plan applicable for 2008-2011 Communities contribute inputs for supplementary infrastructure component of annual district development plan built through RAP MLD/DOLIDAR produces SWAp or program-based approach for rural roads by June 2011 	
<p>Output 5: Government policies and plans are informed by program and provide for effective rural access</p>	<ul style="list-style-type: none"> Government incorporates recommendations from RAP in a rural roads SWAp or program-based approach by June 2011 Government planning and implementation guidelines for rural roads include best practice based on RAP experience 	

Intervention logic	Verifiable indicators	GESI analysis
Output 6: Sankhuwasabha, Bhojpur and Khotang districts connected with national transport networks	<ul style="list-style-type: none"> • Over 100 vehicles per day cross Saba Khola bridge one year after opening • Over 100 vehicles per day cross Arun River bridge one year after opening 	

Notes

- 1 Rural Reconstruction and Rehabilitation Sector Development Program (based on ADB program document, December 2007), DFID Nepal, Department for International Development, June 2008.
- 2 MLD/DOLIDAR, Decentralized Rural Infrastructure and Livelihood Project (DRILP) ADB Loan No. 2092-Nep (SF) Project Coordination Unit, Narayanbhawan, Jawalakhel, Lalitpur, Nepal. Trimester Progress Report, 16 July-15 November 2008.
- 3 Nepal Rural Access Program Phase II, program memorandum, DFID Nepal, Department for International Development, March 2008.
- 4 Activities of output 6, which correspond to RAP bridges, with a separate contract in July 2009 with a period of three years.

Annex 3.1: Policy Analysis Format

Policy, provision, article No	GESI analysis of policy statements, provisions, criteria, guidelines, etc		
	Addresses human condition within existing social hierarchy and division of responsibilities, does not make structural changes	Establishes equal rights and promotes structural transformation	Neutral
1.....			
2.....			

Annex 3.2: Format for Disaggregated Diversity Profile

S.N.	Post	Dalit				Janajati						Brahmin/Chhetri				Other Madhesi Castes/OBC groups		Muslims		Others		Total
		Hill		Madhesi		Hill		Tarai		Newars		Hill		Madhesi		F	M	F	M	F	M	
		F	M	F	M	F	M	F	M	F	M	F	M									
1																						
2																						
3																						
4																						
5																						
6																						

Annex 3.3: Program and Budget Analysis Format

Description	Directly supportive activity (1)		Indirectly supportive activity (2)		Neutral activity (3)		Total	
	Amount	%	Amount	%	Amount	%	Amount	%
Women								
Dalit								
Janajati (except Newar)								
Newar								
Brahmin/Chhetri								
Muslims								
Other Madhesi Castes/Other Backward Castes (OBC)								
Location (rural, remote, Karnali, Tarai, etc)								
Poor								
Adolescents								
Elderly								
Disabled								
.....								

Bibliography

- ADB. 2007a. *Nepal: Rural Reconstruction and Rehabilitation Sector Development Program*. Kathmandu: Asian Development Bank.
- _____. 2007b. *A Transport Strategy for Sustainable Development Rural Accessibility in the Asia and Pacific Region*. Kathmandu: Asian Development Bank.
- _____. 2009. "Nepal: Country Partnership Strategy 2010–2014: A Strategy for a Country in Transition." September. Manila: Asian Development Bank (ADB).
- _____. 2010. "Gender Mainstreaming in ADB Projects: Report of the Technical Working Group". February. Manila. Asian Development Bank (ADB).
- Bennett, L., D.R. Dahal and P. Govindasamy. 2008. *Caste, Ethnic and Regional Identity in Nepal: Further Analysis of the 2006 Nepal Demographic and Health Survey*. Calverton, MD: Macro International.
- Budlender, D. and R. Sharp with K. Allen. 1998. *How to do a Gender-Sensitive Budget Analysis: Contemporary Research and Practice*. London, Canberra: Australian Agency for International Development, The Commonwealth Secretariat.
- Central Bureau of Statistics. 2002. *National Population Census, National Report 2001*. Kathmandu: National Planning Commission Secretariat.
- Clarke, M. 2007. "Background Paper on Gender, Enterprise, and Infrastructure." Pre-conference on Enterprise Development, African and Global Lessons for More Effective Donor Practices from Women's Perspective, GTZ, 15 October.
- DFID. 2000. *Poverty Elimination and the Empowerment of Women: Strategies for Achieving the International Development Targets*. London: Department for International Development (DFID).
- _____. 2002. "Gender Manual: A Practical Guide for Development Policy Makers and Practitioners". London: Department for International Development (DFID).
- DOLIDAR. 1999. "Approach for the Decentralized and Participatory Development of Rural Road Network". Lalitpur: DOLIDAR.
- _____. 2009a. "Sector-Wide Approach Framework". Lalitpur: DOLIDAR.
- _____. 2009b. "Sector-Wide Program for Trail Bridge Subsector". Lalitpur: DOLIDAR.
- DRILP. 2008. "Trimester Report". Lalitpur: DOLIDAR.
- DRSP. 2005. "DRSP Social Impact Review" (unpublished). Kathmandu: SDC.
- _____. 2009. "External Review of District Roads Support Programme: Final Report". Kathmandu: SDC.
- Fernando, P. and G. Porter (eds). 2002. *Balancing the Load – Women, Gender and Transport*. London: Zed Books.
- Government of Nepal and SDC (in collaboration with the districts of Kavrepalanchowk, Sindhupalchowk, Dolakha, Ramechhap, Sindhuli and Okhaldhunga District Roads Support

- Program. 2006. "Program document, Program Phase III, July 2006-July 2010". September.
- _____. 2007. "The Interim Constitution of Nepal, 2063 (2007)". Kathmandu: National Planning Commission.
- _____. 2008. "The Three-Year Interim Plan". Kathmandu: National Planning Commission.
- HURDEC. 2008. "Impact of GTZ-FSRP Activities: A Report of Social Audit in Rukum, Food Security and Rehabilitation Project (GTZ-FSRP)", 14 November, 2008.
- Inlogos. 2009. *Assessment of Village Development Committee Governance and the use of Block Grants*. Kathmandu: Ministry of Local Development and United Nations Development Programme.
- Jensen, R.I. et al. 2006. "Evaluation of DFID's Policy and Practice in Support of Gender Equality and Women's Empowerment". Volume 1. Synthesis Report. Evaluation Report EV669. London: Department for International Development (DFID).
- Jha, C., S. Prasai, M. Hobley and L. Bennett. 2009. "Citizen Mobilization/Social Mobilization for Transformation Review Report". Kathmandu: MLD, DFID/WB/SDC.
- Kabeer, N. 1994. *Reversed Realities: Gender Hierarchies in Development Thought*. London: Verso.
- Molesworth, K. 2005. *Mobility and Health: The Impact of Transport Provision on direct and Proximate Determinants of Access to Health Services*. Basle, Switzerland: Swiss Tropical Institute.
- Nicola Jones et al. 2009. "Governance and Citizenship from Below: Views of Poor and Excluded Groups and Their Vision for a New Nepal", Working Paper 301, results of ODI research presented in preliminary form for discussion and critical comment, Overseas Development Institute (ODI) and Nepal Participatory Action Network (NEPAN).
- OECD Development Assistance Committee. 2004. "Why Gender Matters in Infrastructure" In *Making Infrastructure Work for Women and Men- A Review of World Bank Infrastructure Projects (1995-2009)*, December 2010. Washington DC: World Bank
- RAIDP/DOLIDAR. 2009. "RAIDP Compilation Report of Social Screening", September.
- SDC. 2005. "DRSP Impact Review". Lalitpur: SDC
- Shah, S. 2009. "Reaching the Collaborative Threshold: The Impact of Water Use Committee Performance on Social Inclusion and Empowerment and Overall Project Outcomes in Rural Nepal", World Bank, Kathmandu
- Social Inclusion Action Group. 2009. "Workforce Diversity in Donor Agencies in Nepal". Kathmandu: Social Inclusion Action Group (SIAG).
- Stickland, R. 2009. "External Review of District Roads Support Program (DRSP), Final Report. Lalitpur: SDC.
- United Nations. 2006. "Convention on the Rights of Persons with Disabilities". New York: United Nations.
- World Bank/DFID. 2005. "Gender and Social Exclusion Assessment Report". Kathmandu: World Bank, DFID.
- _____. 2006. *Unequal Citizens: Gender, Caste and Ethnic Exclusion In Nepal*. Kathmandu: World Bank, DFID.
- World Bank. 2006. "Gender Equality as Smart Economics: A World Bank Group Gender Action Plan (Fiscal Years 2007–10)". September. Washington, DC: World Bank.
- _____. 2009. "Interim Strategy Note for Nepal 2009–2012". Washington, DC: World Bank.
- _____. 2009. "Project Paper on a Proposed Additional Credit and Proposed Additional Grant

and Proposed Restructuring of the Rural Access Improvement and Decentralization Project to Nepal". 20 November.

_____. 2010. "Making Infrastructure Work for Women and Men: A 15-year Portfolio Review for WB Infrastructure Projects" (draft). Social Development Department, Sustainable Development Network, March.

WSP/Helvetas Nepal. 2010. "Implementing the RAP, Phase 2 Nepal: Trimester Progress Report, 16 November 2009-15 March 2010".

Women building roads in far west Nepal
in Dadeldhura district, 2012.
Photograph by Mani Lama; design by Chiran Ghimire.
Book design by Norbo Lama.

