GENDER AND SOCIAL EXCLUSION ASSESSMENT 2011
SECTORAL SERIES: MONOGRAPH 7

Sectoral Perspectives on Gender and Social Inclusion

WATER SUPPLY AND SANITATION

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WATER SUPPLY AND SANITATION

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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

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Contents

	Preface	v
	Executive Summary	ix
	Abbreviations/Acronyms	xiii
1.	Introduction and Overview	1
2.	Gender Equality and Social Inclusion: Making It Happen in Water Supply and Sanitation	33
3.	Checklist for Mainstreaming Gender Equality and Social Inclusion	67
	Annexes	77
	Bibliography	104

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	Participation (%) of Women and Men in Different Phases of Small Town Water Supply and Sanitation Sector Program Drinking Water Project (%)	37
2.2	Participation of Women in Technical Jobs (%)	38
2.3	Overview of Gender Equality and Social Inclusion Components in Selected Sector Programs	42
2.4	Gender Equality and Social Inclusion Budget Analysis of Four Programs	51
2.5	Gender Equality and Social Inclusion Budget Analysis of District Water Supply and Sanitation Office Budget in Kavre and Morang, FY 2008-2009	52
2.6	Comparison of Categories for Disaggregation of Data	53
2.7	Measures to Mainstream Gender Equality and Social Inclusion at the Project Level	58
3.1	Analysis of Barriers	71
3.2	Responses to Exclusion	72
3.3	Monitoring and Evaluation	74
3.4	Roles and Timing in Monitoring	76

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 Comparison of Access to Water Supply and Sanitation Facilities Disaggregated by Caste, Ethnicity, and Region 35
2.2 Use of Improved Water Source According to Wealth Quintile, Nepal Demographic and Health Survey 1996, 2001, 2006 36
2.3 Use of Improved Sanitation According to Wealth Quintile, Nepal Demographic and Health Survey 1996, 2001, 2006 37
2.4 Comparison of Water and Sanitation User Committee Composition in Various Rural Water Supply and Sanitation Projects 45
2.5 Comparison of Water and Sanitation User Committee Composition by Caste and Ethnicity 45
2.6 Workforce Diversity in the Department of Water Supply and Sanitation 47
2.7 Workforce Diversity of Department of Water Supply and Sanitation Employees by Caste, Ethnicity, and Sex (%) 48

List of Boxes

1.1 What is a REFLECT circle? 20

List of Annexes

1.1 Definitions of Socially Excluded Groups 79
1.2 Step 1 Gender Equality and Social Inclusion Framework: Analysis of Policy, Institutional, Program, and Monitoring and Evaluation Barriers 81
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 82
2.1 Overview of Major Programs and Funding in the Sector 83
2.2 Linkage of Environmental Goal to Other Millennium Development Goals 84
2.3 Overview of Gender Equality and Social Inclusion Focus in Relevant Water Supply and Sanitation Policies and Legislation 85
2.4 Assessment of Logframes and Monitoring Tools 87
2.5 Proposed Sub-indicators for Gender-responsive Budgeting 102
3.1 Policy Analysis Format 103
3.2 Format for Disaggregated Diversity Profile 103
3.3 Program and Budget Analysis Format 103

Preface

Background and Objectives of GSEA 2011/ Sectoral Series: Monograph 7

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 monographs 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 SWAps [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 approximately 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 chapter is twofold. First, it assesses the current situation of gender equality and social inclusion (GESI) in Nepal's water supply and sanitation (WSS) sector. It identifies the barriers faced by different groups in accessing WSS services and how the various policies, sector modalities and project mechanisms have worked to address them. Second, it provides practical guidance on how to improve existing responses and take further action for more equitable access to WSS facilities and services.

Nepal's WSS sector has evolved from a supply-driven, top-down approach to a demand-led, community-based participatory approach that encourages ownership and aims to improve project efficiency and sustainability. Yet, despite significant progress, there are income, gender, caste, ethnicity and locational disparities in the level of access to WSS services by people from different social groups. Due to practices of untouchability, Dalits in particular experience structural barriers in accessing water. Sector figures show generally high coverage rates for all groups in accessing drinking water, but disparities in sanitation service delivery exist, particularly between the rich and poor across social groups. Access to sanitation among the richest quintile is about 80%, while among the poorest quintile it is only 10%. Similarly, access to sanitation for Newars is 72% compared to only 5% for Madhesi Dalits. These figures also mask issues of water quality and functionality, and, critically, the level of equitable opportunities that women, the poor and excluded groups have to access, utilize and manage WSS facilities.

It is widely recognized that provision of WSS services needs to move beyond technical solutions towards a more gendered and inclusive approach that considers existing power relations between men and women, and between social groups, and how these influence access to resources and participation in decision making. Social and poverty mapping have emerged as good practices to promote and ensure equitable access to WSS facilities for all. Affirmative action policies and efforts by projects/programs such as the Rural Water Supply and Sanitation Fund Development Board, Community-based Water Supply and Sanitation Program, Small Town Water Supply and Sanitation Sector Project and Nepal Water for Health have helped women, the poor and the excluded in accessing the sector's services and benefits, including providing paid jobs and training opportunities. Representation in WSS user groups and committees, which provide access to project information and decision-making processes, has improved for women and excluded groups, but their active engagement remains limited.

Sustaining equitable access to and utilization of WSS facilities is difficult without addressing local power relations, political economy issues and deeply embedded social norms. Organizational preference to work in accessible areas, local political interests and a lack of systematic planning all have an impact on addressing genuine community demands. In addition,

project staff face a dilemma between meeting the social goals of working with excluded groups and focusing on completing the project infrastructure within the stipulated timeframe. From the supply side, income, caste/ethnicity, language and location-based barriers continue to constrain many Nepalis from benefiting from the sector. Mainstreaming GESI in the sector's regular work involves understanding and developing mechanisms for dealing with local power dynamics, ensuring that support organizations have the necessary skills and capacity, and creating downward accountability to the communities in which they are working. Social empowerment approaches that build the capacity of women and excluded groups for social action need to be built into the mobilization process. Policy guidance from the government can also provide a common framework to ensure that certain GESI principles are applied by all sector actors.

Mainstreaming gender equality and social inclusion must be done at both the project/program and organizational level. Today, key constraints for effective gender- and inclusion-responsive work in the sector include the lack of diversity within the sector (of 1,511 government employees in the Department of Water Supply and Sanitation at the time of writing, there are 94% men, 6% women, 2% Dalit and 61% Brahmin/Chhetris), no staff or structure with dedicated responsibility for gender and inclusion, limited gender-responsive budgeting, and no GESI budgeting practices to address barriers faced by women, the poor and the excluded. The monitoring systems/processes are inadequate to capture shifts in livelihoods of these groups due to their access to WSS facilities and income-generation activities, in their voice due to their engagement with the sector, or in WSS policies and social norms impacting the excluded. Focused attention and resources are needed to build GESI capacity and improve staff diversity. This will require long-term investments through scholarships and other incentives as well as more inclusive admission processes and teaching profiles in tertiary and technical institutions; in addition, measures to create a supportive working environment (such as childcare or flexible timing) can attract and retain women professionals. Monitoring in the sector has improved, with some disaggregation for measuring outputs, but disaggregated outcome-level monitoring is still lacking. Social and public audits have become accepted tools and processes but need to be implemented more effectively with meaningful participation of women, the poor and the excluded, and institutionalized within the monitoring and evaluation systems in WSS projects/programs.

The sector has been successful in achieving representation of women and excluded groups at the project level. There is also a sound understanding among decision-makers and practitioners of the need to apply affirmative action for inclusion and various initiatives have been taken. However, to ensure more systematic and inclusive sectoral approaches, greater emphasis is required on identifying the barriers vis-à-vis women, the poor and the excluded (i.e., analysis of the existing access and decision-making powers and the formal and informal institutions that enforce and perpetuate social and economic inequalities); designing GESI-sensitive interventions that are adequately funded; and monitoring inputs, outputs and outcomes with disaggregation by sex, caste/ethnicity/regional identity and location. Monitoring and reporting must also capture the changes in access to assets and services of women, the poor and the excluded, improvements in the voice of these groups, and shifts in existing inequitable formal and informal policies. In addition, policy directives, mechanisms and tools, and organizational and human capacity are all essential for effective GESI mainstreaming.

Ultimately, targets for the Millennium Devel-

opment Goals and the National Water Plan are unlikely to be achieved unless GESI perspectives are integrated into planning and implementation activities, given that women and excluded groups are likely to remain unreached unless sectoral approaches are deepened.

Abbreviations/Acronyms

ADB	Asian Development Bank
CBO	Community-Based Organization
CBWSSP	Community-Based Water Supply and Sanitation Program
COPE/PLA	Client Oriented Provider Efficient/Participatory Learning and Action
DDC	District Development Committee
DFID	Department of International Development
DHS	Demographic and Health Survey
DIDCs	District Information and Documentation Centres
DOLIDAR	Department of Local Infrastructure and Agricultural Roads
DPMAS	District Poverty Monitoring and Analysis System
DWSS	Department of Water Supply and Sanitation
DWSSO	District Water Supply and Sanitation Office
FEDWASUN	Federation of Drinking Water and Sanitation Users Nepal
FY	Fiscal Year
GESI	Gender Equality and Social Inclusion
GMCC	Gender Mainstreaming Coordination Committee
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 Organization
IPC	Integrated Planning Committee
LFP	Livelihoods and Forestry Program
LGCDP	Local Governance and Community Development Program
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
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
MPPW	Ministry of Physical Planning and Works
MWCSW	Ministry of Women, Children, and Social Welfare

NEWAH	Nepal Water for Health
NFE	Non-Formal Education
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	Operation and Maintenance
OBC	Other Backward Classes
PMAS	Poverty Monitoring and Analysis System
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Paper
RVWRMP	Rural Village Water Resources Management Project
RWSSP	Rural Water Supply and Sanitation Project
RWSSFDB	Rural Water Supply and Sanitation Fund Development Board (Fund Board)
SDC	Swiss Agency for Development and Cooperation
SEIU	Sector Efficiency Improvement Unit
SLTS	School-Led Total Sanitation
SSG	Sector Stakeholder Group
SSRP	School Sector Reform Program
STWSSSP	Small Town Water Supply and Sanitation Sector Program
SWAp	Sector-Wide Approach
UN	United Nations
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
VDC	Village Development Committee
VMWs	Village Maintenance Workers
WB	World Bank
WDO	Women's Development Officer
WSS	Water Supply and Sanitation
WSUC	Water and Sanitation User Committee
WTSS	Women Technical Support Service
WUSC	Water Users and Sanitation Committee

CHAPTER 1

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, did not inherit family land, and could be cast out if the husband favored a younger wife.

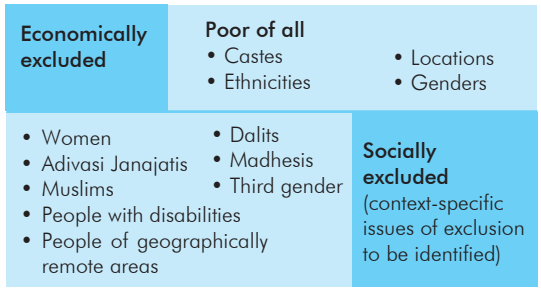
Persistent too is the chronic poverty of groups such as the Dalits at the bottom of the caste hierarchy, who, in addition to the humiliation of being considered "impure" and therefore "untouchable," have faced structural barriers to education and economic opportunities for generations. The Adivasi Janajatis, 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 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.

Figure 1.1: **Excluded Groups**



The socially excluded[1] 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 framework[2] 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):

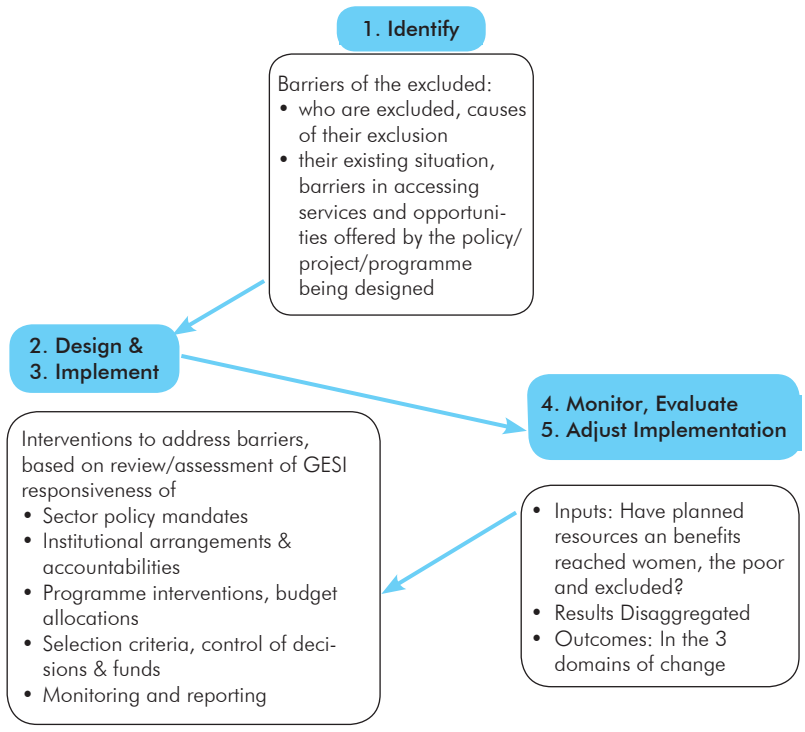
i. identifying the excluded and the reason for their exclusion from access to services and opportunities in the sector;
ii. designing policy and/or program-level responses that attempt to address the barriers in the program cycle;
iii. implementation;
iv. monitoring and evaluation to check whether planned 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 net-

works) is necessary to understand exactly how social inequities based on gender, caste, religion, ethnicity 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.

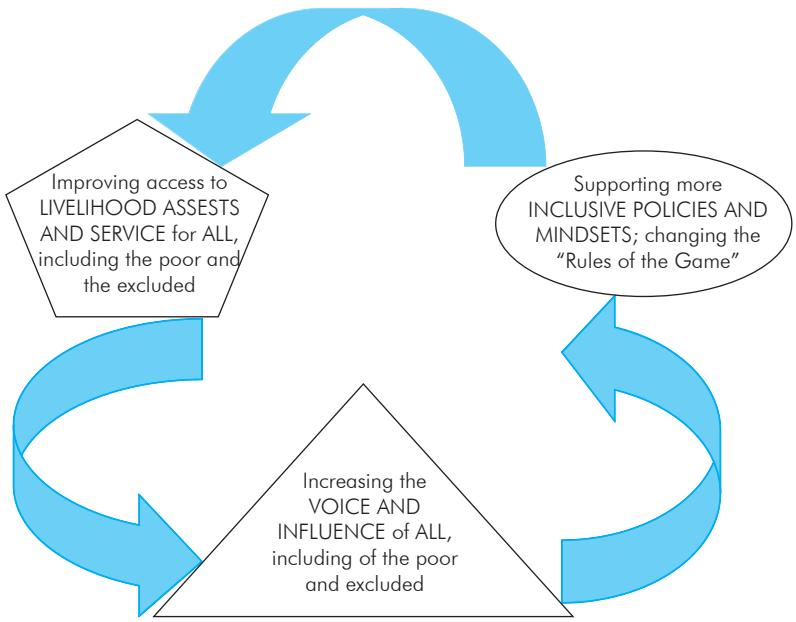
In addition to assessing the barriers constraining each group from enjoying their rights, we need to map existing policy and program responses (if any), and assess whether these are addressing, reducing or reinforcing these barriers (see Annex 1.2 for details). As we begin the design process, the situation 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 sites[3] 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.

Figure 1.2: **Steps for Mainstreaming Gender Equality and Social Inclusion**



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

Figure 1.3: **Domains of Change**



Source: World Bank/DFID, 2006.

structures and mechanisms for routine work on gender and inclusion by technically competent 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 sociocultural 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 section[4] 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 implementation 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, education, and transportation—the Nepal Health Sector Program-Implementation Plan 2 [NHSP-IP 2] (2010-2015), School Sector Reform Program (SSRP) (2009-2015), and rural transportation infrastructure SWAp, 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 effectively 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

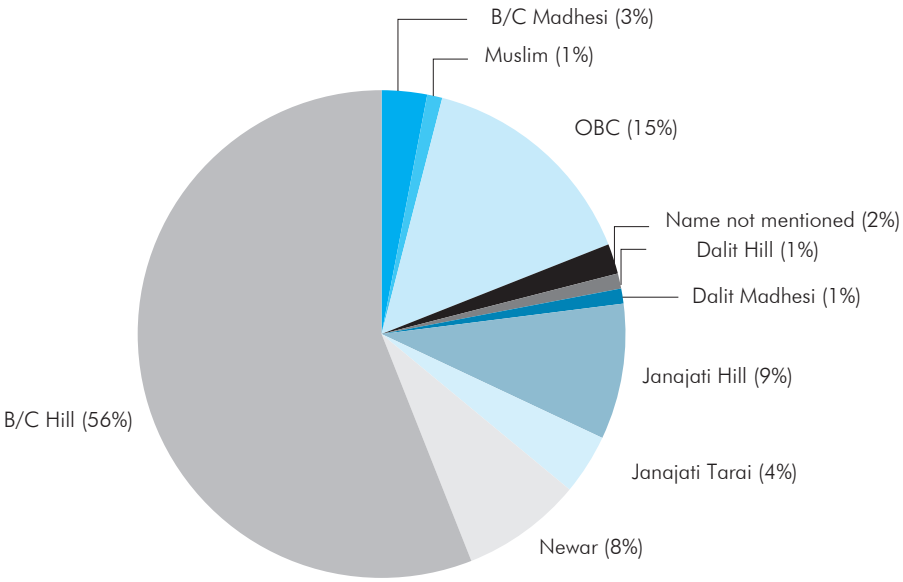
While there is no institutional mechanism with specific responsibility for GESI in VDCs or municipalities, the representative Integrated Planning Committees in each VDC are supposed to have members representing the interests of women, Janajatis, Dalits and NGOs, as mandated in the VDC Grant Operation 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 planning up to monitoring processes remain

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



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

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

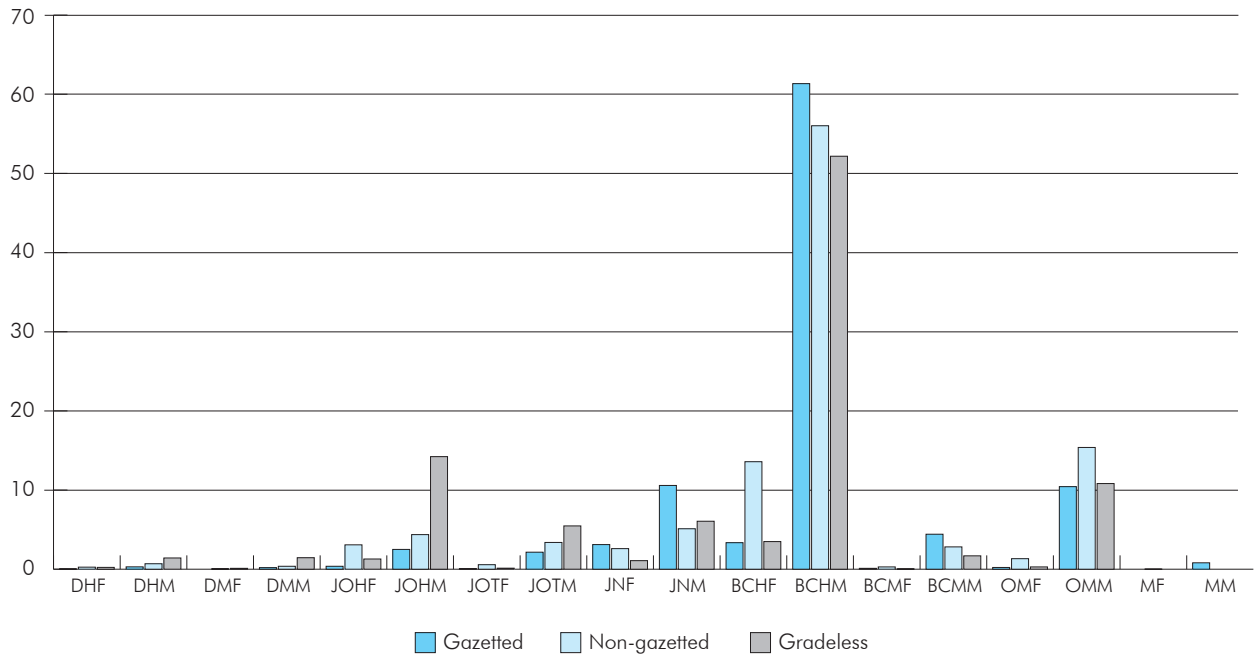
A diverse workforce enhances the ability of government institutions to represent and respond to the needs of specific identity groups and better serve Nepali citizens, including those who have been historically excluded (Social Inclusion Action Group 2009[8]). Efforts are needed to make staff profiles more inclusive with regard to women and people from excluded groups and to develop human resource policies that are gender and inclusion sensitive. A review[9] 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 women[12] 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 irrigation sector, but have the lowest represen-

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.

tation 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 GRB[13] 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 programs 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 contribute 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 collective 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 commensurate 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.

Changing the "rules of the game"

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

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

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

education," 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 discriminatory 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 Water Supply and Sanitation

2.1 Introduction

Progress has been significant in Nepal's water supply and sanitation (WSS) sector in recent decades. The proportion of the population with access to improved water sources nearly doubled between 1990 and 2006, from 46% to 82%; over the same period sanitation coverage also increased, from 6% to 39% (NPC/UNDP 2005; MOHP, New ERA, and Macro International 2007). Two major factors have contributed to this progress: national and international commitments to the provision of improved WSS facilities; and the increase in the number of funding agencies and actors entering the sector in Nepal (see Annex 2.1 for an overview of programs and funding). Nepal is committed to achieving the WSS-related target of the Millennium Development Goals (MDGs),[1] which is fundamental to attaining all other MDGs, including poverty alleviation and gender equality (UNDP 2003; see Annex 2.2). Nepal has exceeded its target for drinking water, and is on track to achieving the sanitation target, though some argue this is not the case if water quality and functionality issues are factored in (NPC/UNDP 2005).

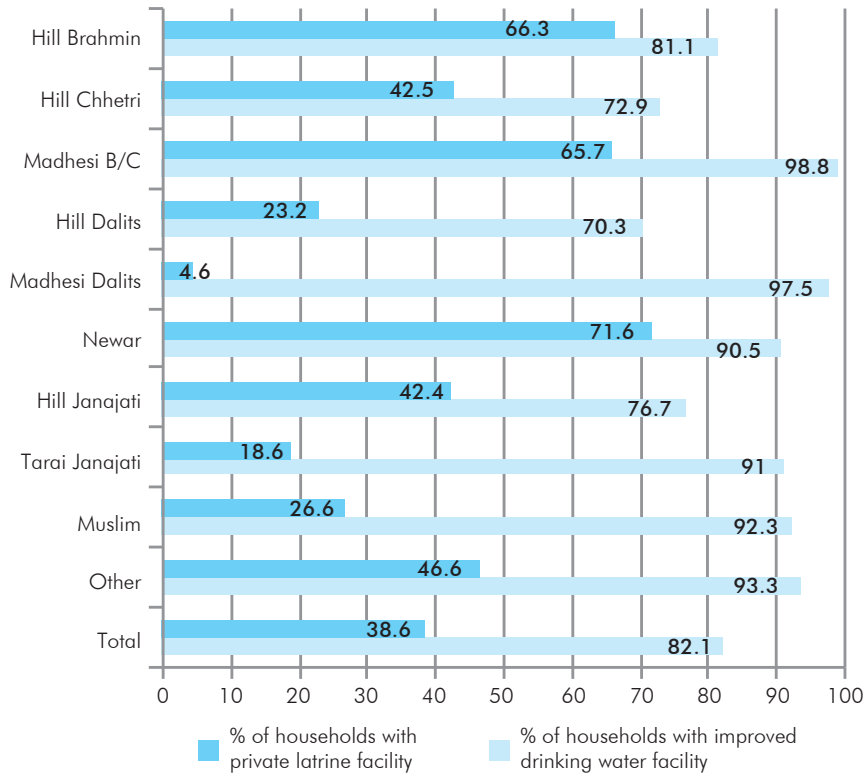
Despite significant improvements, WSS-related disparities remain, based on economic status, gender, caste, ethnicity and location. In addition to resources committed and improved coordination and planning among sector actors, reaching the remaining population without access to WSS requires a better understanding of the social and power relations that limit access and participation. This chapter will discuss the formal and informal institutional barriers that cause these disparities, the resultant impact on women and men of different social identity groups, the existing responses, and further action required for more equitable access to WSS facilities and services.[2]

2.1.1 Current Status and Trends

Drinking water. Access to improved drinking water is generally high, but disparities exist. While it is generally assumed that women and men have equal access to WSS facilities, there are gender disparities around other access issues regarding design, construction and maintenance, and disparities also exist between different castes/ethnicities/regions (see Figure 2.1).

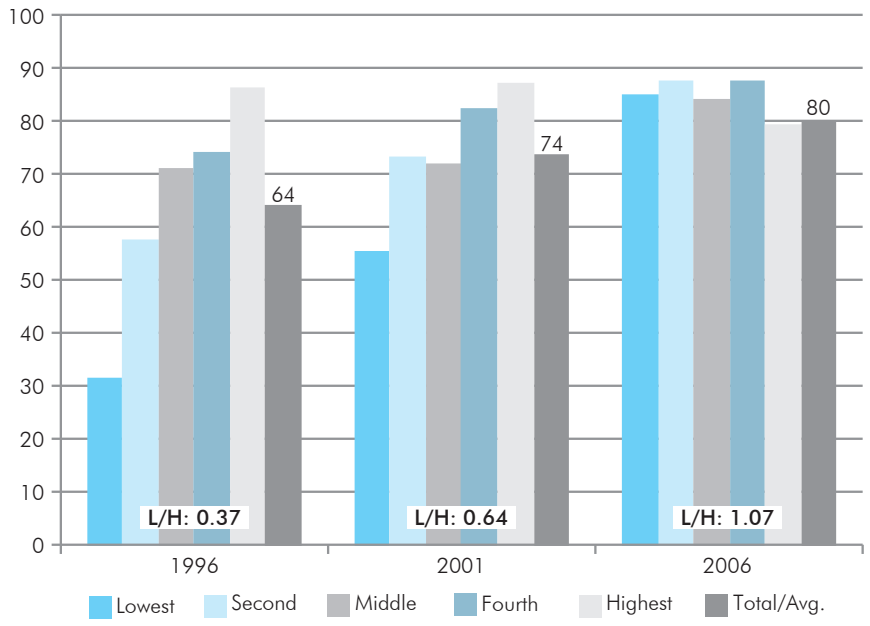
Income level and location are also strong determinants of access to water and sanitation facili-

Figure 2.1: **Comparison of Access to Water Supply and Sanitation Facilities Disaggregated by Caste, Ethnicity, and Region**



Source: Bennett, Dahal, and Govindasamy (2008).

Figure 2.2: **Use of Improved Water Source According to Wealth Quintile, Nepal Demographic and Health Survey 1996, 2001 and 2006**



Source: Johnson and Bradley (2008).

ties, though again considerable variation exists. The Nepal Demographic and Health Survey (2006) shows that the urban population has a slightly higher access to water, at 90% versus 80% for rural. However, across income quintiles there has been significant improvement (see Figure 2.2).[3] There are also differences across development regions, with the Central (84%), Eastern (83%) and Western (81%) regions having the highest level of access to safe water, whereas the Mid-Western (64%) and Far-Western (67%) regions have the lowest.[4]

Sanitation. As with access to water supply, great disparities exist in access to sanitation between groups based on economic status, urban/rural residence and geographic region. Access to improved sanitary facilities has increased over time, but 94% of the wealthiest quintile use improved facilities while only 3% of the poorest do so (see Figure 2.3).[5] Further, 17% of urban and 58% of rural populations continue to have no access to latrine facilities (MOHP, New ERA, and Macro International 2007).

While access to water is higher for Tarai/Madhesi groups than for groups of hill/mountain origin, the trend is reversed in access to sanitation, with the latter more than twice as likely to have access (47%) compared to the former (19%) (Bennett, Dahal and Govindasamy 2008). There are also dramatic differences by caste and ethnicity (see Figure 2.1), often due to socioeconomic status. The discrepancy between the Tarai, hill and mountain areas (26%, 39% and 41%, respectively) is probably a result of a combination of cost and technical and cultural factors (Bennett, Dahal and Govindasamy 2008). In the Tarai, many people live in crowded conditions on land they do not own, which results in limited space for households to construct latrines (WaterAid Nepal 2009b).

2.2 Barriers Faced by Women, the Poor and the Excluded in the Sector

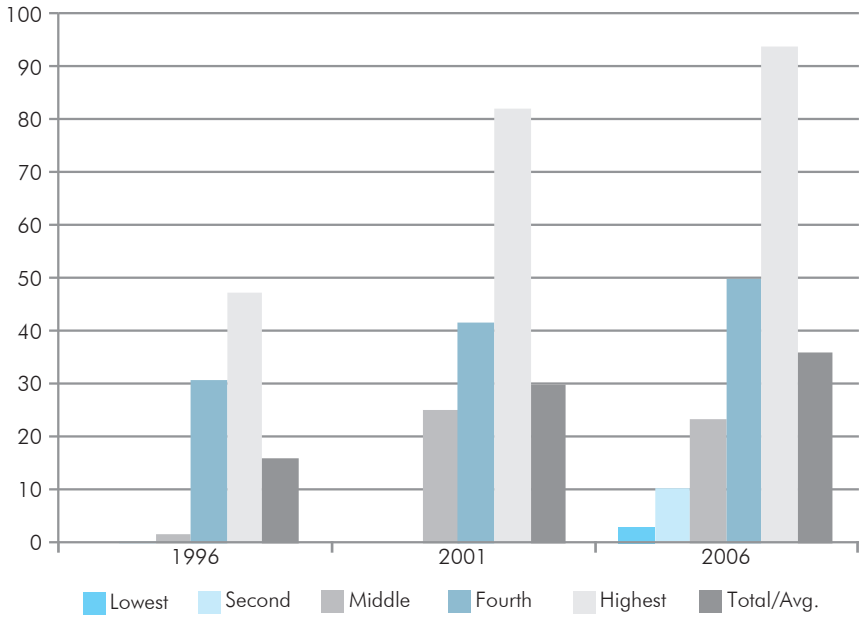
Nepal's WSS sector has evolved from a supply-driven, top-down approach to a demand-led, community-based participatory system that encourages community ownership and aims to improve project efficiency and sustainability.[6] But even demand-driven approaches do not guarantee equal access to all and it remains influenced by social identity, economic status and geographical location.

2.2.1 Gender-based exclusion

Gendered norms and roles of women. In Nepal, the existing patriarchal system accords women low position and power, thus limiting their agency

to engage in and benefit from project resources and opportunities. In the initial phase of setting up a new WSS scheme, a mass information meeting is typically organized, but notification of the meeting is not always timely, and so many cannot represent their interests. Further, non-participants in meetings do not receive project information. Social norms generally restrict women's ability to request support and access project information, although there is growing evidence of women attempting to challenge this. It is usually the local elites and educated men who have connections with the supporting organizations—local NGOs and community-based organizations (CBOs)—setting up the meetings, and it is these groups which become "brokers" between the community and service providers.[7]

Figure 2.3: **Use of Improved Sanitation According to Wealth Quintile, Nepal Demographic and Health Survey 1996, 2001 and 2006**



Source: Johnson and Bradley (2008).

Because donors often stipulate that women, Dalits and other excluded groups be included in the water and sanitation user committees (WSUCs), they have often been nominated to some posts despite being absent from a meeting—and finding out about it only later.[8] In other cases, women who lack the necessary skills are selected, and it is extremely common to nominate women who cannot read or do simple math to serve as WSUC "treasurer." These members have little influence in decision-making processes, and their presence does little to empower them as individuals or ensure that the interests of women are considered.

Eventually, many women decide not to take part in committee meetings. Household obligations and responsibilities can limit their active engagement in social and community work,[9] but many women argue that they are indeed interested in attending meetings and can manage their time, but social norms often prevent them from speaking out (WaterAid Nepal 2009b). Table 2.1 indicates that women's participation[10] was lower than men's in all phases of key project meetings. While women's participation was high during the demand phase, it was much lower in the others, especially the critical design phase.[11] Despite

Table 2.1: **Participation (%) of Women and Men in Different Phases of Small Town Water Supply and Sanitation Sector Program Drinking Water Project (%)**

	While demanding project	Survey period	Designing period	Tariff fixation period	Formation of user committee
Male	65.0	28.9	20.2	29.8	38.3
Female	57.9	17.2	10.8	22.0	28.3

Source: ADB (2009).

efforts to involve women in deciding the location and level of services, they often remain excluded.[12]

In addition to constructing WSS facilities, projects provide training and work opportunities, especially for women, the poor and excluded groups. The provision of technical jobs for women can promote their economic empowerment and contribute to transforming traditional gender roles. However, it is difficult to involve women in this work due to gender stereotypes that they cannot perform maintenance and repair tasks. Women have increasingly been employed in technical jobs, but barriers exist to limit full benefit to them from these opportunities, including safety issues (i.e., the need to fix water systems located in isolated places) and resistance from the community, particularly from men who want the jobs for themselves. There are several success stories of women engaging in technical work, but it is difficult to sustain their involvement after a project is completed as it is easier for men to call on various "connections" to retain these posts.[13] Table 2.2 indicates that the percentage of women engaged in technical jobs is lower than that of men. In addition, women do not always receive equal wages, while men are also more involved in higher paying, specialized tasks (ADB 2009a).

Intra-household relations. Junior women in multi-generation joint households have even less decision-making power and more household responsibilities, limiting their ability to participate in activities outside the home (ADB 2009a). Even if they do attend meetings, daughters-in-law might feel inhibited to speak up if their in-laws are present. Female-headed households have more autonomy regarding whether to attend meetings, but have less time to do so, and can face barriers in areas such as the ability of their household to make labor contributions.[14]

Socio-cultural norms. In Nepal, menstruating women and girls are considered impure, and restricted in access to public water and the type of food[15] they may eat. Socio-cultural practices such as *chhaupadi*, in which women and girls are segregated in sheds during menstruation and around childbirth, continue to exist in the Far- and Mid-Western regions,[16] with major implications for women and girls' health and well-being.[17] Only just over 10% of schools have separate toilet facilities for girls (Steering Committee for National Sanitation Action 2008), which is a strong deterrent for girls' school attendance, especially at the secondary-school level (WaterAid Nepal 2009d). Further, without latrines, women and girls are vulnerable to gender-based violence and health disorders as a consequence of having to wait to relieve themselves.

2.2.2 Exclusion based on caste/ethnic/religious/regional identity

2.2.2.1 Constraints faced by Dalits

Caste-based ideology. Dalits face exclusion in accessing drinking-water facilities due to the Hindu religious ideology directly linked with water. Particularly in rural areas, it is believed that Dalits are impure and will pollute a water source.[18] While there has been a general decrease in discrimination in public places, it persists at water sources.[19] Providing separate taps for Dalits is a contentious issue, with proponents arguing that even though this could perpetuate

Table 2.2: **Participation of Women in Technical Jobs (%)**

	Community-based Water Supply and Sanitation Program	Nepal Water for Health	Rural Village Water Resources Management Project
Male	57	68	79
Female	43	32	21

Source: CBWSSP (September 2009), NEWAH (2009), RVWRMP (2009).

caste-based discrimination, it would ensure equal access to water for all. Even in cases where sources are installed in a non-discriminatory manner, communities often find ways to circumvent the system, and one survey found fewer taps constructed in Dalit communities (ADB/WaterAid Nepal 2005). Caste discrimination found within the Dalit castes also affects access to water.[20]

Caste-based discrimination and behavioral norms. The involvement of Dalits in project activities is constrained not only by social norms but also by their own feelings of inferiority and often by lack of education (WaterAid Nepal 2009c). In group discussions, Dalit women mentioned that they would like to speak up but must respect non-Dalits (WaterAid Nepal 2009c). Even when Dalits are informed of WSS-related (or other) meetings and invited to attend, they often decline, which non-Dalits perceive as a lack of interest. However, the real cause may be low self-confidence and resentment towards humiliating though unspoken social rules.

Economic and political. Dalits face both work pressures and lack of time as they must often feed themselves and their families through waged work. Patron-client relations often cause them to feel they must remain silent in order not to go against their patrons in public. Even when projects ensure that Dalits are included during the survey phase, local political influence plays a major role in setting the parameters of inclusion. Field visits also found deliberate negligence in the maintenance of community water taps, primarily in Dalit communities.[21] Additionally, when projects do pay wages for certain kinds of WSS-related work, Dalits have been paid lower wages than non-Dalits.[22]

2.2.2.2 Constraints faced by Janajatis, Muslims, and Tarai Madhesi groups

Language. None of these groups speaks Nepali as a mother tongue (though most Janajatis speak some Nepali), so they all face significant extra difficulties in gaining access to information about projects, especially women and the elderly.

Mobility. Cultural factors of mobility and participation in public forums are an issue for all women, but especially so for Muslim and Madhesi women. Both timings and mixed genders can make it more difficult for certain women to attend meetings.

Local political economy. While inclusion is improving, representation of excluded groups is still generally lower than for advantaged groups (see Figure 2.5). Local political dynamics can play a central though often overlooked role in the formation of the WSUCs,[23] with the composition of committees often reflecting the dominant local political party (Shah 2009). Likewise, local ethnic and caste composition influences representation and control over user committees. Support organizations tend to prefer to work with educated and elite groups as it facilitates their work.

2.2.3 Income and location-based exclusion

Poverty is a strong exclusionary factor in the WSS sector in several ways. Poorer households may have limited access to project information and resources, and contributing time to project construction and attending meetings are also difficult for them. Yet, since the very poor have little cash to meet financial contributions, they often end up contributing the bulk of the labor (Shah 2009), a situation that leaves the poor subsidizing the rich.[24] If the work is scheduled (usually by the WSUC) during the season of peak agricultural labor, poor families who have to contribute labor may miss out on their major source of earnings. Pro-poor subsidy policies are provided,[25] though these are not always distributed equitably.[26] There is a risk of better-off households wanting to be categorized as "poor" in order to receive subsidies.[27] In the case of water supply facilities, it is heartening to note that in many communities

the better-off households have decided to make a higher contribution to offset the costs for poorer households. The drawback is that this could lead to the better-off households feeling as though they have the right to control tap placement, etc.

Living in a remote area is a barrier. A recent study (FEDWASUN 2005, quoted in WaterAid Nepal 2007) found that all village development committees (VDCs) that lack WSS projects were in remote and poor areas.[28] Since costs rise dramatically with increased distance, agencies have tended to work in settlements that are less remote. Even in better-connected areas, Dalits and Janajatis often live in settlements that are more difficult to access; and in the Tarai, Dalit settlements are often segregated and can be easily "missed" when plans for a scheme are drawn up. Similarly, in urban areas[29] the more distant settlements tend to be the poorest, and are often excluded from scheme support due to high connection fees (ADB 2009b). Other groups in urban areas, such as squatters, have also been excluded from WSS due to lack of legal rights over land.[30] There are increasing efforts to reach all settlements; but without a consensus between the government and its development partners to prioritize reaching unserved areas, these remain at an ad hoc level.[31]

2.2.4 Disability-based exclusion[32]

Some 10% of Nepal's population, including one in six poor people, suffer from some kind of impairment or disability.[33] Their needs remain ineffectively addressed, with a lack of knowledge about available designs and technology. Policies and provisions exist that allow for the protection and promotion of disability rights, but have not been effectively implemented.[34]

2.3 Response to Exclusion in the Water Supply and Sanitation Sector

In this section, we will discuss the policy framework as well as the various programmatic approaches operating in the sector from a GESI perspective. We illustrate our discussion drawing from examples of multiple programs: the Rural Water Supply and Sanitation Fund Development Board (or, the Fund Board as it is commonly known), Community-based Water Supply and Sanitation Program (CBWSSP), Small Town Water Supply and Sanitation Sector Program (STWSSSP), Rural Village Water Resources Management Project (RVWRMP) and Nepal Water for Health (NEWAH).

2.3.1 Policy and legal environment[35]

Nepal's WSS sector and development policies recognize the importance of addressing GESI issues. However, development has been fragmented, with separate policies enacted for water resources, national sanitation, water quality and rural versus urban WSS. The sector has been shaped by several key policies,[36] each of which generally aims to reduce hardship through a demand-led approach and based on community participation.[37] Among the legislations and policies relevant to the WSS sector are the Local Self-Governance Act 1999 and the Three-Year Interim Plan (2007/08-2009/10). According to the Local Self-Governance Act, the role of district development committees (DDCs) in relation to WSS is to formulate and implement drinking-water plans while the Three-Year Interim Plan, in line with sector policies, recognizes the linkage between well-being and access to WSS services, prioritizing regional balance, inclusion of excluded groups,[38] and proportional representation of women at the decision-making level of user committees.

A gap remains between this framework and putting GESI commitments into practice. Gender analysis is not systematic, and power relations are not sufficiently addressed. Ensuring representation through reservation does not recognize differences of power; nor do reservations

alone provide a means of addressing deep-seated socio-cultural norms that limit excluded groups. Further, post-reservation steps (e.g., capacity building of women and the excluded, working with advantaged groups to change perceptions) are not foreseen. Harmonization on GESI strategies and experience-sharing between implementing agencies could greatly strengthen efforts. Importantly, the Ministry of Physical Planning and Works (MPPW) has initiated discussions on a sector-wide approach (SWAp) through the Sector Stakeholder Group (SSG; see Section 5), which would increase the efficiency of resource use, ensure consistency in monitoring and evaluation (M&E), and support harmonization and mainstreaming of GESI strategies.

2.3.2 Programmatic responses: Gender equality and social inclusion approaches

With a focus on decentralization in the past two decades, the WSS sector now includes several agencies implementing programs using their own modalities and processes, with constant learning and adoption of best practices from each other. This is evident when looking at the GESI strategies adopted by the various programs (Table 2.3), as many apply similar elements in their components.

2.3.2.1 Assessing demand and selecting communities

Sector actors have recognized the need to improve outreach to vulnerable groups, and the Fund Board, CBWSSP, NEWAH and RVWRMP have all established criteria to guide them when identifying communities in which to work. All these programs seek to be demand driven and design projects in response to community proposals. Despite these efforts, however, it is not always clear that genuine local demand is being addressed. In one Fund Board project (Todke), for instance, drinking water facilities were already available when the new WSS project arrived. Local factional and NGO interests, political influence, organizational preference to work in certain (often easy-to-reach) areas, and lack of systematic planning sometimes influence project selection, rather than genuine community demand (ADB/WaterAid Nepal 2008). Out of the 15 districts with sanitation coverage below 15%, five are in the Tarai and receive only limited external assistance, compared to Surkhet and Jumla (districts with more than 50% sanitation coverage), where five or six agencies are working simultaneously.[39]

2.3.2.2 Social mobilization

Support organizations are responsible for mobilizing the community to form WSUCs, contribute labor and financial assets, and construct facilities. While some programs have specific GESI provisions for recruitment, national-level NGOs are often preferred as they have more experience and may be less susceptible to local political capture (see also Table 2.3). The level of experience, skill (including in local languages), and commitment to working with women, the poor and the excluded varies widely among support organizations and the individual social mobilizers they hire.

Experience demonstrates that despite efforts to promote participation, the support organization's project staff sometimes face the dilemma of choosing between meeting the social goals of working with excluded groups or focusing on completing the project infrastructure within the stipulated timeframe. Although finishing on time helps support organizations to receive future work, this can mean putting less effort into promoting the participation of excluded groups. For similar reasons, support organizations might prefer to work with the local elite and educated villagers (Shah 2009). In other cases, support

Table 2.3: **Overview of Gender Equality and Social Inclusion Components in Selected Sector Programs**

Program/donor	GESI project components
	Rural WSS
CBWSSSP/ADB	• Socioeconomic profile disaggregated by gender and caste/ethnicity • Participatory well-being ranking of households to identify the poor • Affirmative action for user committees (50% women and proportionate representation of caste/ethnic groups) • Orientation and training on gender, caste, and ethnic approach to communities and project staff • Subsidies for 10% of poorest households (50% of daily labor rate for labor contribution) based on participatory well-being ranking • Paid technical jobs for women: sanitation masons and village maintenance workers (VMWs) • Sanitation subsidies for 10% of poorest and revolving fund for others • Nonformal education (NFE) classes for women • Linkages established between women's groups and other development programs for income-generating activities • M&E system includes disaggregated data by gender and caste/ethnicity • Skill development training to sanitation masons and VMWs for generating employment
RWSSP Fund Board/World Bank	• Socioeconomic profile disaggregated by gender and caste/ethnicity • Participatory well-being ranking of households to identify the poor • Priority to local or women NGOs with inclusive staff composition and who can speak indigenous peoples' local languages • Affirmative action for user committees (33% women and encourage female treasurer; no requirement for proportionate representation of caste/ethnic groups) • Gender sensitization training • Health and sanitation education for in- and out-of-school children and both women and men • Subsidies for poor (50% of daily labor rate for labor contribution) based on participatory well-being ranking • Paid technical jobs for women • Sanitation revolving fund for 25% of households • Subsidies for transport costs (beyond one day's walk) • Livelihood program for women to provide access to skill development, financial services, and market linkage (i.e., WTSS) • Information dissemination about project policy, working modalities, etc., translated into nine different indigenous languages; radio programs in indigenous languages (currently only in Nepali) • NFE classes for women, especially from excluded groups • M&E system includes disaggregated data by gender and caste/ethnicity • Social accountability pilot
NEWAH	• Priority to proposals which have ultra-poor and excluded groups as target • Socioeconomic profile disaggregated by gender and caste/ethnicity • Participatory well-being ranking of households to identify ultra-poor • Priority to local or women NGOs with inclusive staff composition • Affirmative action for user committees (50% women and proportionate representation of caste/ethnic groups; 50% women in key positions) • Gender sensitization training • Subsidies for ultra-poor (50% of daily labor rate for labor contribution) based on participatory well-being ranking • Paid technical jobs for women • Support mechanism for ultra-poor for sanitation • Graded rate system for operation and maintenance (O&M) • Health and sanitation education for in- and out-of-school children and both women and men • Provision of support for transport costs in remote areas • Social audits and community scorecards • M&E system includes disaggregated data by gender and caste/ethnicity
RVWRMP/ Governments of Finland and Nepal	• Remoteness is one criterion for project selection • Socioeconomic profile disaggregated by gender and caste/ethnicity • Participatory well-being ranking of households to identify the poor • Key mass meetings must have a quorum of two-thirds of households present and 50% women • Separate women's and men's groups for social and resource mapping and needs identification exercise • Affirmative action for user committees (50% female members and proportionate representation of excluded groups) and minimum of one female in key position • Separate meetings for women and men to select their user committee representatives • Separate meeting for women to decide location of tap stands; at least one woman from each household is mandatory • 33% of paid jobs reserved for women • 50% of paid jobs reserved for ultra-poor and excluded groups • Priority to women and excluded groups for skilled training opportunities • Health and sanitation education for in- and out-of-school children and both women and men

Program/donor	GESI project components
	• Public hearings and public audits to include proportionate representation of women and excluded groups and representation of two-thirds of households • M&E system includes disaggregated data by gender and caste/ethnicity
Urban WSS	
STWSSSP/ADB	• Socioeconomic profile disaggregated by gender and caste/ethnicity • Poverty mapping of service area through participatory well-being ranking • Performance-based subsidies to ensure WSS services to the poor • Affirmative action for user committees (33% female members and minimum of one female in key position) • Priority to women for paid positions (e.g., health motivators, sanitation masons and maintenance caretakers) • Recruitment of both male and female hygiene promoters • Priority to local or women NGOs with inclusive staff composition • One community mobilizer must be woman or from excluded groups • Employment of poor skilled and unskilled men and women will be encouraged in bidding and contract documents • Equal wages for men and women for work of equal value • 50% women in sanitation and solid waste management programs • Pro-poor tariff (within 5% of monthly income for poor households) • Development of GESI implementation plan for each subproject • Social audits to involve excluded groups and other local committees (e.g., gender mainstreaming coordination committee) and organizations • Compensation measures (i.e., resettlement needs) for vulnerable groups • M&E system includes disaggregated data by gender and caste/ethnicity

organization staff spend as little time as possible in villages because of remoteness and lack of food and comfortable facilities.[40] Across all WSS programs there is almost no institutional reward for the more challenging work of meeting GESI objectives. Clearly, better alignment is needed between GESI objectives and the organizational and individual performance incentives.

2.3.2.3 Inclusive access to WSS facilities

Drinking water supply

In a previous Fund Board project (RWSS I), poorer settlements were often left out as it was more difficult to get contributions from them. To address this, the Fund Board, CBWSSP and others now require social mapping. The Fund Board and CBWSSP are the only programs using social mapping to ensure that no settlement is left out and give a baseline for assessing proportionate representation on the WSUC and reporting on it. In the peri-urban areas, poverty mapping is currently carried out to chart existing public stand posts, identify and enumerate poor households and squatters living in slums, and survey their consumption patterns and preferences. This helps to improve pro-poor planning and implementation of service delivery for the urban poor.[41] NEWAH also has a flexible water point policy to allow for more remote households to receive facilities close to their homes and has introduced disabled-friendly water points and latrines. The RVWRMP holds separate meetings for women to decide on tap location, with mandatory participation of at least one woman per household. These have proven to be good practices and have contributed significantly to meeting the practical WSS needs of women, the poor and the excluded. However, sustaining equitable access to WSS facilities is difficult without addressing local power relations, political economy issues and deeply embedded social norms.

Sanitation facilities

The government and other sector agencies have adopted various sanitation-related subsidy approaches with the aim of targeting the poorest (ADB/WaterAid Nepal 2008). While such approaches do help to level the playing field and ensure access, significant field evidence shows that sanitation subsidies are not always dis-

tributed equitably.[42] For example, there is low demand from the poorer households for revolving loans, because they feel they cannot repay the loan; thus loan money is often appropriated by better-off households (ADB/WaterAid Nepal 2008). A recent field visit also found that a female-headed household was unable to utilize the subsidy (for certain hardware components) due to inadequate financial capacity to build the latrine superstructure.[43]

The Community-led Basic Sanitation for All and School-led Total Sanitation (SLTS) implemented by NEWAH and UNICEF respectively (among others) are showing promising results although there are certainly areas for improvement. The Community-led Basic Sanitation for All has been effective in changing the behavior of the majority of the community, but the ultra-poor require support to build sustainable latrines. The SLTS approach has been effective in promoting sanitation and hygiene access for children and uses them as agents of change. This approach is also piloting menstrual hygiene management as part of school programs to raise awareness on this issue and ensure that WSS facilities in schools are designed to meet the specific needs of girls. Efforts are needed, however, to improve coordination among the relevant ministries and departments to increase the reach and effectiveness of sanitation promotion.

2.3.2.4 Representative user committees

Affirmative action strategies across all major sector programs have ensured the representation of women on user committees and, in some cases, excluded groups as well (i.e., CBWSSP, NEWAH, and RVWRMP). All projects have achieved at least one-third representation of women members (see Figure 2.4). In the case of the Fund Board, although it has only a 33% quota, it has been able to achieve 41% female representation (RWSSFDB, 2009). The Fund Board also promotes women to treasurer posts, where it has achieved nearly 100% success. However, as discussed previously, women often become members of user committees due to pressure from others who have influence over them, and have at times been unable to carry out their duties properly or have much say in committee decisions.

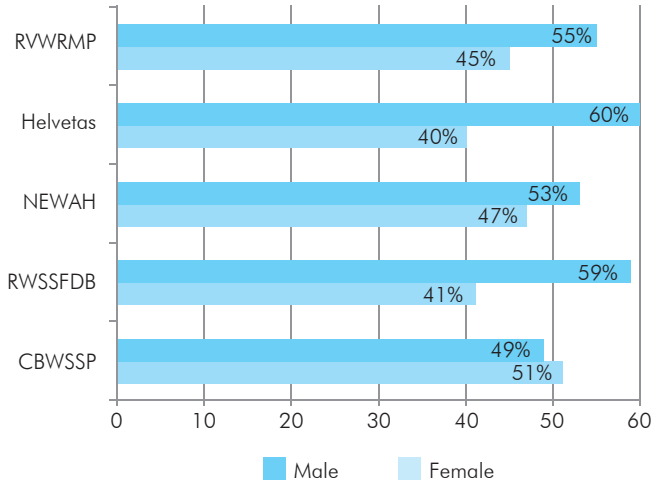
All sector programs include gender sensitization and, more recently, caste/ethnic inclusion issues have been incorporated into training. For example, the Rural Water Supply and Sanitation Project in Western Nepal[44] has mainstreamed GESI in its training component. GESI issues are incorporated in training needs assessment and design (e.g., identifying "gaps" in skills/knowledge about family and personal attitudes), training participant selection (e.g., priority to women candidates from excluded groups, with a written explanation provided if no female or excluded groups are selected for a given course), training facilitation (e.g., facilitators need to use GESI-sensitive language and proverbs, and provide successful case studies/best practices of non-traditional jobs done by women or some particular social group), and training evaluation (e.g., identify and discuss how women and excluded groups benefit from training).

NEWAH has mainstreamed its GESI approach into its programming, but although changes are visible (e.g., increased representation of women and the excluded in committees, increased efforts during project identification to address gender and inclusion-differentiated requirements, higher number of women masons trained), results remain mixed. Further, progress varies between communities in the hills, which show more positive changes, and the Tarai, where change is less evident with respect to gender.[45] Another major factor is support from key local members of the community who can ignite and sustain social change.[46]

Still, women are benefiting in other ways from their participation in community and user committee meetings. The CBWSSP and the Fund Board provide non-formal classes to women as illiteracy is often considered a major barrier to effective participation on WSUCs. These efforts increase women's access to information, exposure to public forums, visibility, mobility, training and learning opportunities, which, in the long term, contribute to increasing their awareness and self-confidence.

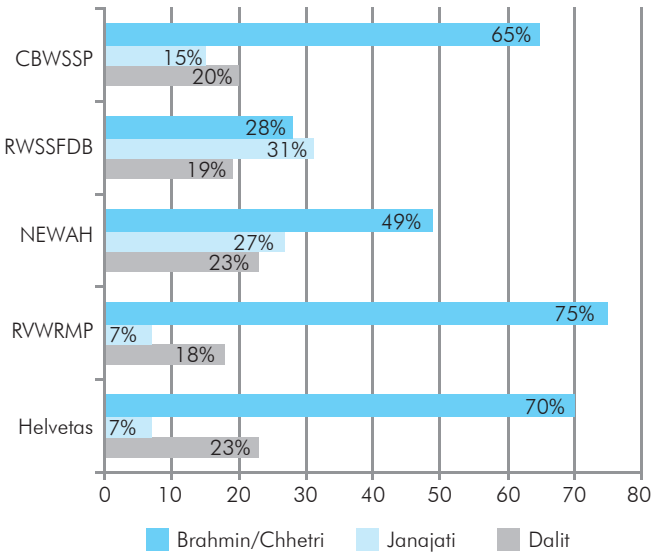
In the case of excluded groups, several projects (except for the Fund Board) have affirmative action policies that promote their representation on user committees. For example, across all projects, Dalits are proportionately represented based on their national population (13%; see Figure 2.5). However, the representation of Janajatis is low except for NEWAH and Fund Board projects. (This may be due to the fact that CBWSSP, RVWRMP and Helvetas are working mostly in the Mid- and Far-Western regions, whereas the majority of the Janajati population live in the Eastern and Central regions.) As with women, the representation of excluded groups does not reflect their actual voice in decision-making processes. While affirmative action has improved representation, it will remain perfunctory unless sectoral approaches help these groups improve the quality of their contributions in the project cycle, and integrate interventions supporting social transformation into the design of WSS projects.

Figure 2.4: **Comparison of Water and Sanitation User Committee Composition in Various Rural Water Supply and Sanitation Projects**



Source: Based on data from CBWSSP (up to 2009); RWSSFDB (2009); NEWAH (2007–2009); Helvetas (up to 2008); and RVWRMP (up to 2008).

Figure 2.5: **Comparison of Water and Sanitation User Committee Composition by Caste and Ethnicity**



Source: Based on data from CBWSSP (up to 2009); RWSSFDB (2009); NEWAH (2007–2009); Helvetas (up to 2008); and RVWRMP (up to 2008).

2.3.2.5 Equitable opportunities for paid jobs

Apart from access to WSS facilities, the projects also provide opportunities for paid work to women and excluded groups. Usually, salaries are paid by the projects until their completion; thereafter, the WSUCs take over payments for upkeep. After project requirements are no longer binding, however, WSUCs usually choose to employ a male caretaker. This suggests that simply demonstrating that women can take on technical jobs is not enough in a setting where competition for paid jobs is high and men are simply more powerful.

2.3.2.6 *Women's economic empowerment and livelihood opportunities*

Access to water sources has generally tended to benefit men, the educated and better-off households more than women and households with small landholdings, although some projects are targeting women, the poor and the excluded (WaterAid Nepal 2009c). The CBWSSP provides an opportunity for women to improve their livelihood as sanitation masons and village maintenance workers (VMWs), rendering services in the project. Female WUSC chairs, sanitation masons and VMWs have been engaged actively in income-generating activities (IGAs) and earning some money from activities such as candle making, vegetable growing and toilet construction. In the RVWRMP pilot initiative, vegetable cultivation has already improved nutritional status and been effective in ensuring proportionate representation of caste/ethnic groups (RVWRMP 20009). The Fund Board's Jeevika Karyakram (Livelihood Program) builds on lessons learned from the Women Technical Support Service (WTSS),[47] promoting public-private partnership between WTSS groups and the two banks that have held WSUC accounts. This is a revised version of the original IGA program, which the Fund Board felt was insufficiently "professional" in its approach. Although still in a pilot phase, it is important for the initiative to ensure that all women receive equal opportunities to participate in the program.

2.3.2.7 *Accountability mechanisms*

The WSS sector has improved greatly in empowering rural communities by adopting participatory processes in decision making and service delivery. However, challenges are recognized in service delivery in terms of transparency and accountability, which several programs are attempting to address. The Fund Board, through its social accountability pilot, Jagaran Karyakram (Awareness Program), is attempting to build community capability and equip members with appropriate tools and processes (e.g., community scorecards) so that they can contribute in all stages of the project cycle. Other projects, such as the RVWRMP, NEWAH and CBWSSP, include public hearings and social audit boards. The RVWRMP requires proportionate representation of women and excluded groups and two thirds of the households present at public hearings. The Federation of Drinking Water and Sanitation Users Nepal (FEDWASUN)[48] has been working with communities and user groups to build their understanding of their rights and capacity to exert pressure for service delivery through its Citizen's Action Program. One of the core values of FEDWASUN is inclusion, reflected through representation in its organizational structure of women and people from remote areas and marginalized communities. Such groups can play an important role in enhancing accountability and responsiveness among user groups and service providers and strengthening the agency of those groups.

2.4 Institutional Issues of the Water Supply and Sanitation Sector

The level of access to WSS services for women, the poor and the excluded is greatly influenced by institutional arrangements, level of GESI understanding and capacity, and institutional culture of service providers. This section will assess the level of inclusion in the staff profile of the Department of Water Supply and Sanitation (DWSS) within the MPPW as well as the responsibilities of key decision makers and implementers.[49] The institutional culture and attitude of civil servants are drawn from key informant experiences and sector studies, and an analysis of budget allocation and utilization for women and the excluded has also been conducted.

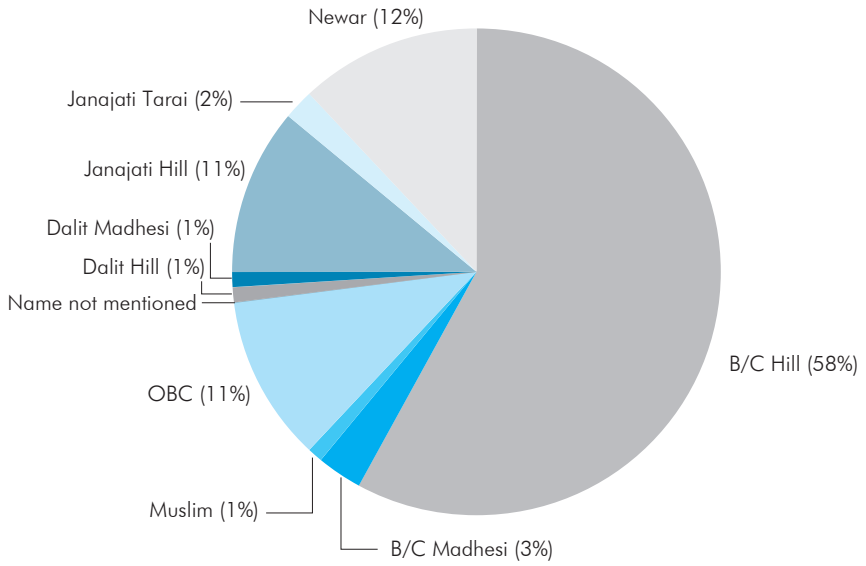
Level of diversity in civil personnel of water supply and sanitation sector

A sex and caste/ethnicity disaggregation of 1,511 government employees in the DWSS[50] indicates that there are 94% men and 6% women. As can be seen in Figure 2.6, compared to the national population[51] there is overrepresentation of Brahmins/Chhetris and Newars, while all other groups are under-represented.

There are 428 staff at the gazetted level, of whom only 2% are women. There are slightly more women in non-gazetted positions, at 10% of 846 staff. Finally, there are 237 staff without any grade, of whom 3% are women. Excluded groups are not well represented at either the gazetted or the non-gazetted level (see Figure 2.7). Other sector projects fare slightly better, but not much, in staff diversity. For example, out of the 55 staff of the Fund Board, only 20% are women (Newar and Brahmin/Chhetri). While Janajatis are better represented at 47% (38% Newar, 9% Hill), there are no Dalits. In the six executive posts, four are Brahmin/Chhetri and two are OBC (other backward class) Madhesi—all men.

Clearly, Brahmin/Chhetri men dominate decision-making levels in this sector, and a low diversity of service providers hampers access to services by women and the excluded. The lack of ability on the part of project staff to speak local languages makes it difficult for Janajatis and other Madhesi excluded groups to understand the project processes and communicate.[52] In its commitment to social inclusion, the government has initiated a quota system for the civil service, which should address these gaps.

Figure 2.6: **Workforce Diversity in the Department of Water Supply and Sanitation**



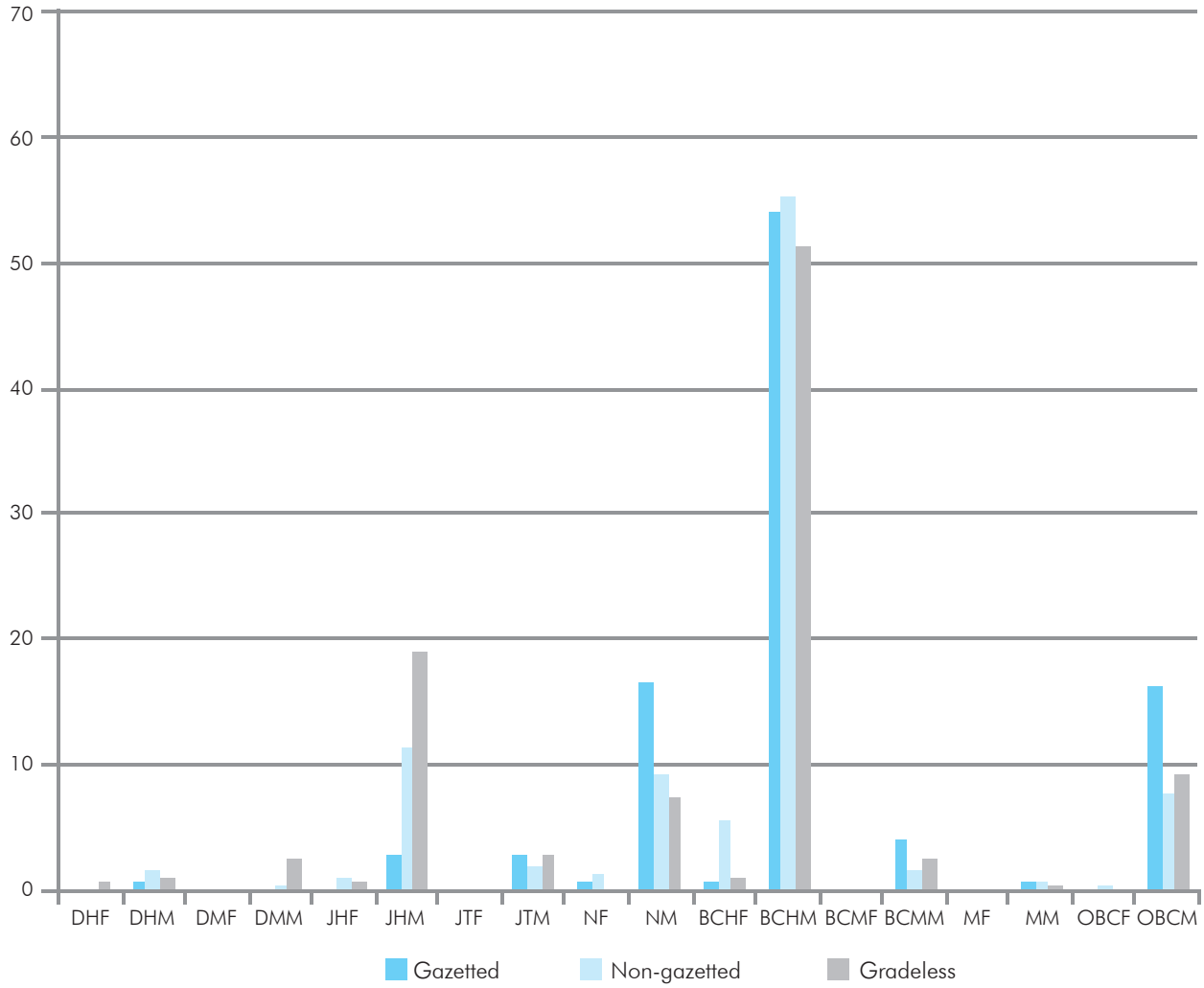
Source: Nijamati Kitabkhana, February 2010; grouped for the study based on GSEA caste/ethnic groupings.

Institutional arrangements for GESI

None of the structures within the ministry and related departments has been given specific responsibility to address GESI issues. The DWSS refers to GESI responsibilities in the job description of two staff (both sociologists) but only indirectly in terms of carrying out socioeconomic analyses. Under the MPPW's CBWSSP, there are 21 sociologists assigned to perform GESI responsibilities in its 21 districts. Despite the presence of a gender focal point and social development officers within the ministry and departments, gender and inclusion issues remain mainly limited to scheme-level activities. Further, the gender focal point and social development officers have not been very effective due to a lack of sufficient authority, budget and mechanisms to link with the planning, programming and monitoring work of the ministry and divisions.

The Sectoral Stakeholder Group (SSG), which has a wide representation of government, donors, UN agencies and international NGOs, is meant

Figure 2.7: **Workforce Diversity of Department of Water Supply and Sanitation Employees by Caste/Ethnicity and Sex (%)**



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.

to ensure coordination of sector reform, interventions and the exchange of information.[53] Although it is an excellent platform for improved sector targeting and coordination, there seems to be no clear leadership from either the government or donors. Each agency tends to focus on its own projects and areas, with limited coordination.[54] More recently, there has been increased sharing and coordination on moving to a sector-wide approach. However, priority to GESI issues and a mandate to lead on ensuring that GESI is reflected in policy reform and program approaches are yet to be included in the SSG's responsibilities.

Skills and competencies of service providers on GESI

WSS-related ministries and departments are dominated by male professionals, mainly from

engineering backgrounds. Their education has given them strong technical competency but few skills to deal with social issues. The low number of sociologists in the sector, and their grade level as non-gazetted officers, also reflect the low priority placed on such issues (Poudel 2003, quoted in Udas 2008). Programs/projects give their staff up to half a day of gender training but there has been little investment in capacity building of either gender or inclusion in work responsibilities. The Central Human Resource Development Unit in the DWSS[55] and the newly formed Sector Efficiency Improvement Unit (SEIU),[56] under the Water Supply and Sanitation Division, are both well placed to promote GESI principles. However, much depends on the direction provided to these bodies by the MPPW, and high-level commitment is required to capitalize on these institutions effectively.

Working environment

Limited policies to encourage female professionals make it difficult for women to enter and remain in this sector.[57] Although some men do view the presence of female staff positively, social attitudes constrain such engagement.[58] Another factor in the scarcity of women engineers is the reluctance of families to pay the high cost of an engineering degree for a daughter.[59] While there is a lack of sector evidence on the constraints experienced by Dalits and other excluded groups, a recent study (SIAG 2008) highlights the small number of qualified candidates from excluded groups and the problems that agencies face in getting information on employment opportunities out to them. Equally important is creating an enabling environment so that women and excluded groups can gain confidence and adjust within the male-dominated and highly homogeneous staffing composition of most agencies.

2.5 Program and Budget Analysis

This section analyzes government and selected programs' budget allocation to examine the extent to which resources are being spent on WSS 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 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 (Annex 8a, 8b, and 8c of the annual budget speech 2009-2010, respectively). The budget speech allocated Rs 29,500,624,000 for WSS in the MPPW, of which none was categorized as "inclusive development and targeted programs," Rs 13,890,848,000 was categorized as pro-poor (47% of the total budget), and Rs 25,547,252 (23% directly and 64% 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 GRB[60] and pro-poor budgeting.[61] 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 the GRB indicators,

identifying what sub-indicators are relevant and whether this approach is effective for tracking GRB expenditures in the WSS sector.

As noted above, the annual budget speech for FY 2009-2010 identified 23% of the WSS budget as directly supportive to women and another 64% as indirectly supportive; the remainder was neutral. DWSS/MPPW/Ministry of Finance (MOF) staff categorize all expenditure items in the WSS 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, 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 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.

2.5.1 GESI budget analysis

While we have assessed the existing GRB practice and indicators used, and identified possible sub-indicators for GRB analysis in WSS, we have also developed and applied our own tentative GESI budgeting methodology.[62] 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.[63] Our efforts here are intended as a first step to identify the approximate resource flows to these different purposes, but much more work and wider consultations are needed. We hope that this initial attempt can become the basis for further collective work with the MOF, 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 social groups to address the barriers they experience in accessing resources and benefits from WSS (e.g., subsidies, employment opportunities, etc); what are the efforts made to provide *indirect* support (e.g., providing disaggregated evidence of disparities, sensitivity training for technicians, etc); and what amount is *neutral*, as it assumes that everyone will benefit equally. We have followed the 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 *national-level program expenditures* in the WSS sector using the above criteria. The FY 2009-2010 budget of four programs (RWSSFDB/World Bank, CBWSSP/ADB, STWSSSP/ADB and the DWSS regular program) totaled Rs 3,371,603,000.[64] Our analysis resulted in the breakdown shown in Table 2.4. Directly supportive or targeted programs for the poor were 1.21% and minimal for the others.

The next step was to move to the *district level* to ground truth both the national-level GRB budget exercise and our own GESI analysis in two districts,[65] Kavre and Morang. We first worked with the district water supply and sanitation office (DWSSO) staff to assess the cur-

rent approach to GRB they were using. Officers stated that of the five GRB indicators, only participation, capacity building and time saving were relevant to assess the gender responsiveness of WSS budget items.[66] They were aware of a number of positive policy provisions[67] 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 DWSSO staff to do a GESI analysis of district-level WSS budgets totaling Rs 132,054,576,[68] using directly supportive, indirectly supportive and neutral categories.[69] The results are shown in Table 2.5.

There are five headings in the Kavre DWSSO budget of FY 2008-2009: infrastructure, repair and maintenance, cost handover for repair, data collection, and salaries. The highest amount (77%) is spent on infrastructure though none of the VDCs for the WSS sites was considered geographically remote or with a high level of excluded population by the DWSSO staff. There are no budgeted activities to support the participation of excluded groups or build their capacity to engage effectively in such meetings. The situation is almost the same for Morang, with 77% of the budget spent on infrastructure. But 2% is specific for geographically remote VDCs and there are some activities (though minimal) for capacity building of women (Table 2.5).

Clearly, some attention has been paid to addressing the barriers of women and the poor though this varies according to program.[70] For other groups, 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. But 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. This indicates that a more conscious recognition of the need to address such socio-cultural, empowerment and governance issues 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.

Table 2.4: **Gender Equality and Social Inclusion Budget Analysis of Four Programs**

Targeted groups	Directly supportive		Indirectly supportive	
	% of budget	Examples of activities	% of budget	Examples of activities
Four programs (total budget Rs. 3,371,603,000)				
Poor	1.21[a]	WTSS, NFE	0.25[c]	WUSC orientation training, sanitation mistri training, sanitation revolving fund
Women	0.55[b]	GESI training, WTSS, NFE	0.49[d]	WUSC orientation training, pre-construction training, sanitation mistri training, sanitation revolving fund, exposure visits
Dalits, Janajatis, adolescents, elderly, disabled	–	GESI training	0.10–0.16[e]	WUSC orientation training, sanitation mistri training, sanitation revolving fund, exposure visit, orientation training on social inclusion

Note: (a) RWSSFDB 3.53%, CBWSSSP 1.71%; STWSSSP 0.94%; (b) RWSSFDB 3.53%; (c) RWSSFDB 0.90%; (d) RWSSFDB 1.02%, CBWSSP 3.00%, STWSSSP 0.32%, DWSS: 0.70%; and (e) DWSS 0.70%, STWSSSP 0.01–0.30%.

Source: Budget of RWSSFDB, CBWSSP, STWSSSP, DWSS, DWSSO Kavre and Morang; analysis by study team, March 2010.

2.6 Monitoring and Reporting

The monitoring and reporting systems in the WSS sector have improved over the years in terms of capturing disaggregated information. The DWSS monitoring system includes both social and technical aspects but the data are not disaggregated other than for one indicator.[71] The other major programs are better and do include disaggregated data for some of their indicators (see Annex 2.3). In particular, the CBWSSP and the Fund Board track the fit between the social profile of households as measured in the initial social mapping to the social profile of those actually served by the system. This is a good practice, which can benefit other sector actors. The composition of the WSUCs is also captured in the reporting of all the major projects by sex, caste and ethnicity. The STWSSSP-I tracked the percentage of poor households with access to WSS facilities and the percentage of women involved in the selection and design of projects. These are important indicators as it was found that poorer settlements tended to be excluded from services; this has been addressed in the second phase of the STWSSSP.[72] Likewise, monitoring the involvement of women in the selection and design stage is important. Project outcomes such as the prevalence of waterborne and diarrheal disease-related morbidity among children are not disaggregated by sex, caste or ethnicity in any of the projects. NEWAH is the only one that has a specific GESI output with measurable, disaggregated indicators. The recent Rural Water Supply and Sanitation Project (RWSSP) in western Nepal includes a specific indicator at the outcome level for monitoring GESI-responsive strategies, policies and guidelines. At the output level, access to WSS facilities is disaggregated by social and geographical categories. The project also requires data to be disaggregated by gender, age (children), caste/ethnicity, economic status and disability.

In their reporting, all the major programs use a disaggregated database by gender, caste/ethnicity and economic status. These include social mapping, WSUC composition, participation in training and technical paid jobs. The M&E systems use varying categories (see Table 2.6), which makes it challenging for sectoral comparisons. NEWAH and the Fund Board are applying disaggregated monitoring and reporting according to the three domains of change:[73] access to assets and services; increased voice and influence; and changing the rules of the game.[74]

The MPPW has recently established a rural WSS sector M&E unit,[75] which could help to strengthen monitoring of sector performance and move towards a SWAp. The DWSS, the Department of Local Infrastructure and Agricultural Roads (DOLIDAR) and the Fund Board have signed a memorandum of understanding to share their project information data.

Table 2.5: **Gender Equality and Social Inclusion Budget Analysis of District Water Supply and Sanitation Office Budget in Kavre and Morang, FY 2008-2009**

Targeted groups	Directly supportive		Indirectly supportive	
	% of budget	Examples of activities	% of budget	Examples of activities
Kavre (total budget Rs 26,972,576)				
NA	–	–	–	–
Morang (total budget Rs 105,082,000)				
Women	0.74	GESI training, exposure visits	–	–
Location (rural, remote, Karnali, Tarai)	2.00	Infrastructure repair in remote VDCs (Letang and Warangi VDCs, Morang)	–	–

Source: DWSSO Kavre and Morang; analysis by study team, March 2010.

However, the system currently does not include disaggregated data, apart from "gender representation—percentage of women on WSUC." In addition to other indicators, those measuring shifts in the voice of women, the poor and the excluded as well as changes in discriminatory policies need to be developed and monitored. As WSS is a technical field, qualitative data, though important for capturing socioeconomic issues, are often perceived as ad hoc or anecdotal (UN-Water/Interagency Network on Women and Gender Equality 2006). But there have been efforts to capture such data in a more systematic way, e.g., NEWAH uses community-level self-assessment tools, which include assessing participation in WSUCs. This is a positive effort but needs to be further developed to establish systems and procedures through which these data can influence project and sector-level analysis and program interventions.

The Fund Board is the only program reviewed that carries out sustainability impact studies after three and five years to measure institutional, social/environmental, financial and technical indicators. This is helpful to identify where improvements need to be made. However, the indicators are not disaggregated and the social indicators do not reflect the sustained representation of women and excluded groups in the WSUCs. The Fund Board has also been involved in various studies that measure changes in empowerment of women and excluded groups as well as changes in social inclusion as institutionalized by the project. These are important initiatives that should be further supported and the findings shared and translated into effective programming action.

2.7 Good Practices and Lessons Learned

There have been major efforts by different actors in the sector to recognize and respond to issues of exclusion. This section discusses some practices that have been effective to address the structural barriers limiting access to WSS services for women, the poor and the excluded, and the lessons that can be drawn from these efforts.

2.7.1 Good practices[76]

Good practices are divided into practices aimed at improving the delivery of WSS services (supply side) and those which seek to increase the ability of potential consumers to influence the type of services they receive and get effective access to them (demand side).

Demand side

- *Social mapping* is used to identify the caste/ethnic profile of each household and ensure that all settlements are included. Most carry out social mapping but programs such as the Fund Board and CBWSSP actually report on the correlation between the social profile of households as measured in the initial social mapping and those that are actually served by the system.

Table 2.6: **Comparison of Categories for Disaggregation of Data**

S.N.	Project/organization	Categories used for disaggregation of data
1	DWSS	–
2	CBWSSP	Dalit, ethnic, other caste (Brahmin/Chhetri)
3	Fund Board	Scheme level*: Brahmin/Chhetri, Dalit, indigenous people, other excluded groups
4	STWSSSP	Dalit, ethnic, other caste (Brahmin/Chhetri)
5	NEWAH	Upper caste, advantaged Janajati, disadvantaged Janajati, Dalit, Tarai middle caste, religious minority
6	RVWRMP	Dalit, Janajati, other (Brahmin/Chhetri)

* When measuring the percentage of people who have access to WSS facilities according to their population, the Fund Board uses the livelihood and social inclusion categories like NEWAH: upper caste; advantaged Janajati; disadvantaged Janajati; Dalit; other excluded groups; and religious minority.

- *Pro-poor urban mapping.* For services in the urban sector, the needs of poor households and women are identified through poverty mapping, enumeration, gender assessment and needs identification. The mapping that WaterAid Nepal carries out with its local partners allows programs to respond to the needs of the different categories of the poor and can enable citizens to hold service providers accountable for delivering adequate water supply and sanitation services to them.
- *Well-being ranking* has become an established practice across many sectors and all the WSS projects include this activity. The process is key to identifying who is in most need and has allowed programs to customize their activities and target subsidies. Since this is meant to be done in a participatory manner, communities develop an increased feeling of ownership. However, specific efforts are needed to ensure that members of all socioeconomic groups are involved.
- *Identification of group-specific and gender-differentiated needs and interests.* The RVWRMP forms separate gender groups to discuss and identify needs before the selection of WSUC members; this has given women and excluded groups space to voice their opinions in a supportive environment.
- *Establishing firm quorums for key meetings.* The RVWRMP sets quorums for key meetings to ensure that all households are adequately represented and informed. If the quorum is not met, the project staff will postpone the meeting until the required number of households is present.

Supply side

- *Guidelines/efforts to ensure access to project benefits.* Sector actors have developed specific guidelines to ensure representative WSUCs. The Fund Board requires at least 33% of women as general members but all the other projects (e.g., RVWRMP, CBWSSP and NEWAH) require 50% women as well as proportionate representation of excluded groups. All the reviewed projects have specific guidelines to prevent elite capture of project benefits and allow women, the poor and excluded groups to have priority in paid jobs (e.g., sanitation masons and maintenance caretakers) and training.
- *Selection criteria* to target remote areas. The RVWRMP includes one criterion of remoteness to prioritize its scheme selection while the Fund Board reports on this to measure the level of inclusiveness in its projects.
- *Subsidies* are provided to the poorest for their labor contribution, for transport costs for communities in remote areas and for building household toilets. However, the application of subsidies needs to be closely monitored by support organizations as it can be a source of corruption.
- Efforts to *disaggregate monitoring and reporting information* have increased. All projects disaggregate data by sex, caste and ethnicity. Recent efforts by the MPPW to develop a common M&E framework that will assess sector performance is a good initiative but further development to ensure GESI indicators are fully integrated is needed.
- *Use of local languages.* Translation of key project documents into local languages is important to ensure that certain groups understand the processes and opportunities available. The Fund Board has translated the RWSS policy into seven languages and it has been found to be useful. However, there is room for improvement as people have stated that the language is not clear and it would be preferable in their own script. In addition, the Fund Board broadcasts radio programs in the Nepali language on issues related to Adivasi Janajatis. These

need to be broadcast in other local languages through regional radio stations.

- *Policies for working with people with disabilities.* Often overlooked, policies that recognize the specific barriers these groups face in accessing safe WSS facilities are important. As indicated in Section 7, however, no budget is allocated for this. NEWAH is the only project that has specifically addressed this issue and is providing disability-friendly facilities as required in its schemes.
- *The School-led Total Sanitation approach* promoted by UNICEF recognizes that schoolchildren can be effective agents of change to improve hygiene at the household level. This successful approach could be scaled up by strengthening coordination with other relevant ministries, namely, education, health and local development. The SLTS approach places emphasis on gender issues, ensuring that girls have access to separate and private latrine facilities at schools. Another good practice has been the introduction of *menstrual hygiene management* in schools to promote school attendance through the provision of sanitation, water supply and washing facilities; this has addressed a key barrier of girl students.
- *Citizen engagement tools* (e.g., social auditing, public hearings and community scorecards) have provided increasing opportunities for user groups and communities to advocate for accountability from service providers. *Setting quorums* for social audit meetings by RVWRMP has been successful in ensuring that all groups are present. Community scorecards, which NEWAH and the Fund Board are using, also provide an opportunity for groups to give feedback on the quality of services received. However, in practice, these tools are not always regularly implemented—and even when they are it is not clear that there are any negative consequences for providers which perform poorly in the eyes of their clients. Capacity building in understanding and applying these tools and close monitoring to ensure they are being used are needed.
- The provision of *literacy/NFE classes*, especially for women and excluded groups, addresses one of the major factors that limit the involvement of these groups in community development activities. It also increases their awareness and builds self-confidence and literacy skills.
- Integrating *livelihood activities* with WSS projects can contribute to improved nutritional status and increase the income-generation potential of households. The Fund Board, through its Jeevika Karyakram, provides women's groups with skill enhancement and business development training, and linkages to markets and micro-finance institutions. The increased income and exposure to and engagement in activities outside the home can help promote economic and social empowerment.

Sectoral learning

- *A demand-led approach* does not always reach the poorest and most excluded people since they are not in a strong position to demand services. The elite have access to NGOs and projects, and thus are able to access information and project benefits. Social mobilization in the pre-project phase is necessary to ensure that all are informed of potential projects and are facilitated to fulfill the necessary requirements to demand resources.
- *Integrating GESI must be done at both project and organizational levels.* Most projects view and integrate GESI at the project and community levels while less attention is given to institutional issues, staff diversity and changing attitudes. It may not be possible for technical projects to do such social transformation work by themselves but partnerships with NGOs

to promote GESI are necessary as these issues impact the effectiveness and sustainability of technical outcomes.

- *Multisectoral approaches to addressing barriers are required.* Despite many years of work, multisector coordination has been very challenging and not implemented well. But there is a strong need to collaborate with different sectors such as education and health to ensure increased access to and utilization of WSS facilities.
- *There is a major gap in supporting capacity-building skills and transformative empowering processes that can lead to sustainable inclusive societies.* While GESI strategies may improve access during the project period, it is not always sustainable unless attitudes change in the community. The current focus on building the voices of women and the excluded through group processes is inadequate, while systematic work among men and advantaged groups is yet to be planned. While technical sector specialists often view such activities as peripheral, leadership is needed to help redefine the core work of WSS to encompass a focus on not only the service delivered but *who* it is delivered to.
- *For the ultra-poor, further support is required to address their self-exclusion from development processes.* Despite the provision of subsidies and quotas for their representation on user committees, some still do not benefit due to, for example, lack of time to attend meetings or sufficient income to build the toilet superstructure. Their opportunity costs need to be understood and, through discussions, solutions identified that are sustainable.
- *Political economy has a strong influence on who has access to project services and benefits* though this is often not given due consideration in feasibility studies. Projects need to take responsibility for understanding the political economy of the community in which they are working, particularly for mechanisms that ensure that support organizations can recognize and deal with the local power dynamics.
- *Low downward accountability and limited incentives to promote GESI issues in their work.* The main objective of NGOs, support organizations and social mobilizers is to organize groups and ensure that they are able to complete schemes on time. As such, they are accountable to projects/donors rather than the community in which they are working. The time-bound project approach also complicates strengthening excluded voices as it takes more time to work with women, the poor and the excluded. No specific incentives are provided to staff to reward the extra effort necessary to work with them. Staff performance evaluation does not capture such aspects in any of the projects.
- *Despite formal rules and regulations to ensure representation, it is the informal structures that influence the participation of excluded groups.* For instance, although affirmative action has increased the number of women in technical posts during project implementation, they are unable to retain these jobs because men have more power and influence to obtain them. Socio-cultural norms, prescribed gender roles and safety issues (i.e., the need to fix water systems located in isolated places) also limit women's job opportunities and increase resistance from communities.
- *Sanitation has received little priority, with an uneven spread of programs and distribution of available resources.* The areas where these are most needed have been underserved due to a combination of factors: a lack of systematic planning and coordination at the central and local levels and the fact that remote areas have far less political influence. In addition, sometimes it is the better-off who benefit from subsidy approaches targeted for the poor. A national sanitation program is required to harmonize the various financing models,

keeping in mind that the very poor and marginalized need additional support and effective monitoring.

- *Support for initiatives (e.g., FEDWASUN's citizens' action program) that advocate for accountability* and address the needs of women, the poor and excluded groups has helped to build inclusive service delivery through local bodies. Likewise, social accountability tools such as social audits and community report cards encourage representation and participation from all social groups.
- *Specific efforts are needed to reach the poorest and most excluded groups in urban and emerging small towns* since they tend to live in outlying neighborhoods and are often not included in the service area envisioned by the project. New policy development will address this gap through the provision of performance-based subsidies.

2.8 Mainstreaming Gender Equality and Social Inclusion: The Way Forward

Measures on mainstreaming GESI in the sector are discussed for each phase of the project cycle (Table 2.7). For the broader sector level, recommendations are grouped under the GESI framework of the three stages of identifying barriers, design and implementation and monitoring.

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 WSS sector are linked to the wider socio-cultural and politico-economic contexts. First, identify the key socioeconomic constraints and harmful social and cultural practices that limit access to WSS for women, the poor and the 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 WSS programs work with these systems and try to improve them so that they can deliver services more effectively. 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 individual WSS projects. Likewise, the more "informal" institutions, which are deeply embedded in values, beliefs and norms, can also block needed change and need to be considered. Though not all 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 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 the informal systems may 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 getting equal access to the universal services and benefits the project/program we are supporting is intended to deliver.

Step 2: Design and implementation

GESI mainstreaming requires that whatever plans are developed must consciously recognize and address, at each stage, the issues experienced by women, the poor and the excluded, and must build on existing strengths. 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.

Table 2.7: Measures to Mainstream Gender Equality and Social Inclusion at the Project Level

Activities	Measures necessary for mainstreaming GESI in the project cycle
Project phase: Planning/preparation/pre-development	
Identification of barriers	
Project request	• Map which wards/settlements have WSS facilities in joint consultation with the VDC integrated planning committee and FEDWASUN, and through representative consultations with communities; use participatory/rapid rural appraisal tools like poverty pocket mapping to identify high-priority areas • As the excluded have less access to traditional information flow, local women's and excluded group organizations must be mobilized to reach the poor and excluded for the initial application phase • The process of making an application for a system needs to be facilitated for the poor, excluded groups and women
Design and planning	
Feasibility study/ social mapping	• Information to locals about the feasibility study and social mapping is necessary, and facilitators who can speak in local languages can ensure that communication is clear for all • Information needs to be provided in writing and widely distributed, as oral communication can be distorted or forgotten, and can build dependence on powerful educated community members; even those who cannot read have someone in their household or locality who can read for them • Pre-feasibility survey criteria should include gender and social inclusion criteria • It is essential to recognize the caste/ethnic, region, religion, and gender-differentiated issues, and the existing power dynamics which impact access to resources and benefits • The feasibility team must have a common understanding on GESI before they start work, and feasibility instruments must be reviewed from a GESI perspective • Social mapping must list caste/ethnic identity of each household within the proposed scheme, to ensure that no settlement is left out; this also provides a baseline to assess proportionate representation on the WSUC • Conduct participatory well-being ranking to identify the poorest and most excluded, and ensure that subsidy and other support reach the correct households; effective advocacy by support organizations and change agents in the community needs to be promoted to increase understanding of and support from the better-off households for pro-poor targeted subsidies
Partner/support organization selection	• Criteria in selection of support organizations must include demonstrated experience on addressing GESI issues, while added attention should be given to staff diversity and knowledge of local languages • Award new projects based on evaluation of previous GESI performance
Selection of community or social mobilizer	• Community/social mobilizer to be local and reflect sex and caste/ethnic diversity of the district/VDC • Selection process should be transparent and done through a committee with representation of DDC/VDC, all party mechanisms, and WSS sector actors • Capacity building of social mobilizers to include GESI concepts and skills building
Social mobilization process	• Social empowerment approaches (i.e., REFLECT, appreciative inquiry) that build the capacity of women and excluded groups for social action against identified issues should be built into the process of mobilization
Water and sanitation user committee formation	• WSUC to reflect population and socioeconomic diversity of catchment area/VDC, and 50% women representation (including at least two key posts, one of whom should be from an excluded caste/ethnic group) • Separate meetings for women and men to select their user committee representatives • Set quorum for meeting to select user committee members
WSUC training	• Training arranged at suitable time and venue for women and the poor, using appropriate methodology and language • Training content to include gender and inclusion aspects of WSS and related responsibilities of WSUC • Translate relevant project documents, manuals, information/education/communication materials, and procedures in local language(s)
Health, hygiene and sanitation	• A commonly applied GESI-sensitive national-level support mechanism policy (for the poorest, socially excluded, and people with disability), with adequate resources to guide the sector • Ensure all services and facilities (both software and hardware) are child, gender, and disabled friendly • Localized behavior change communication materials are necessary in local languages • Develop appropriate interventions to address women and girls' specific health-related issues arising out of poor access to WSS; priority should be given to address norms that limit access to WSS facilities in relation to reproductive health issues • Include HIV/AIDS awareness in health and hygiene package, especially in districts with more at-risk population • Include community-specific health, hygiene, and sanitation topics in hygiene and sanitation program, such as reproductive health, nutrition, etc • Use socioeconomic and geographically appropriate tools and methods for hygiene promotion
Project phase: Implementation/construction	
Water supply	• Separate meetings for women, the poor and the excluded to decide location of tap stand/tubewell (at least one woman from each household mandatory) • Disability-friendly designs: building appropriate handrails and height of surrounding well or tap can improve accessibility for physically impaired people

Activities	Measures necessary for mainstreaming GESI in the project cycle
Project meetings	• Agenda of meetings to be useful for women, the poor and the excluded; meetings to be held at times convenient for those with high work burden, and be as short as possible to save time • Set quorums (of women and excluded groups) for key community meetings, and postpone when not met
Construction, technical jobs and training	• Ensure work conditions are conducive to women and excluded groups (e.g., equal wage rates, toilets and childcare facilities) • If special payments are made to the very poor who are giving their labor, make sure this is administered in a transparent way, and possibly made subject to public audits • Ensure construction and training are scheduled with consideration of agricultural and seasonal labor demand • Ensure paid jobs are socially appropriate and compatible with women's responsibilities
Project phase: Post-construction	
Accountability tools	• Mainstream local citizen engagement tools to improve transparency, accountability and governance
O&M	• Ensure participation of women, the poor and the excluded in O&M committees • Provide additional support for women and excluded groups if they are involved in O&M activities (i.e., leadership, management, technical training)
IGA/livelihood/ savings and credit	• Link sanitation programs with micro-finance institutions and savings groups to increase opportunity to access affordable financing for sanitation • Go beyond just starting up savings and credit groups, and ensure that IGA programs are designed and managed in accordance with best practices • Identify ways to link community with income generation, literacy, agricultural promotion and other activities to support an integrated approach to poverty reduction and empowerment

- *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 providing a common framework would ensure that certain principles are commonly applied by all sector actors. The umbrella Water Supply and Sanitation Act under preparation by the government must ensure that gender and inclusion aspects are dealt with for all stages and aspects of WSS programming.
- *Promoting diversity in service providers.* There are very few women and people from excluded communities in the WSS sector, highlighting the need for affirmative action. This will require long-term investments through scholarships as well as individual coaching to prepare technically qualified people from excluded social groups. Simple measures to create a supportive working environment like childcare or flexible timings can be very effective in attracting and retaining women professionals.
- *Develop skilled service providers to deliver GESI-sensitive services.* Support for mainstreaming GESI issues in tertiary and technical institutions for WSS-related courses will build the technical capacity of professionals. GESI-sensitive WSS messages also need to be integrated in related training impacting the sector, e.g., education and health.
- *Job descriptions and strengthening GESI arrangements.* Work needs to be done with the Ministry of General Administration to revise the job descriptions of all positions to integrate GESI-related tasks. GESI units and desks are required in the ministry, the DWSS and DWSSOs to provide technical support for mainstreaming gender and inclusion in the sector. This is also necessary in programs which have not provided dedicated responsibilities to identified structures. Mechanisms for coordination between these different structures are essential. Additionally, 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 integrating gender and inclusion in everyday work. Gender and social development specialists need to have the relevant techni-

cal expertise to respond to and guide technical staff on how to mainstream GESI while technical staff need to be able to respond to social issues linked to their work. The Central Human Resource Development Unit and the SEIU are optimal institutions to facilitate this but require government leadership and commitment.

- *Promote and support partnership with civil society* to monitor investments in the sector, investigate governance aspects at each step of the project cycle, and invest in community education for behavioral change on both sector-specific and social transformation issues.
- *Mechanisms to encourage greater downward accountability need to be strengthened.* Across sectors, NGOs/CBOs (i.e., support organizations) are partnering with the government and donors to implement certain tasks like social mobilization, needs identification, etc. Yet, these agreements tend to focus accountability upward rather than downward to the community. Sectoral learning from the Fund Board's social accountability pilot (Jagaran Karyakram) can contribute to improving accountability and transparency in the sector. In addition, GESI performance incentives need to be developed and included in the evaluation of support organizations.
- *GRB and GESI budgeting.* GESI budgeting as a tool can identify the kinds of activities budgeted/spent for. The government budgeting criteria and the process requires revision for it to be more effective. GESI budget analysis should be done not only after the program has been designed and funds allocated; it must be done *simultaneously* with program development to ensure that activities/subprojects to address the barriers constraining access for women, the poor and the excluded to services are identified and an adequate sum allocated in the work plans. Activity planning and budgeting must be linked to the information generated from the use of tools like poverty mapping and social mapping.
- For gender-responsive budgeting, the sub-indicators for WSS for participation, capacity building, and time use are presented in Annex 2.5. For GESI budgeting, it is important to develop with the GRBC a set of criteria and guidelines clarifying what to categorize and how to score. Also, there needs to be one system with relevant and specific sub-indicators which incorporates the gender, inclusion and poverty perspectives instead of three different ones. All the different systems need to be brought together and organized to provide information about what is directly or indirectly supporting women, the poor and the excluded in the programs. Standard terminology with clear definitions also needs to be developed and used commonly.
- For gender-responsive budgeting followed by the GoN, there were no sub-indicators to guide the classification of WSS activities earlier and hence sub-indicators are identified for WSS (Annex 2.5). Based on the inputs of the district officials, revised indicators and their weighting in the WSS sector are suggested, based on consultations with sector officers.

Step 3: Monitoring and reporting

Many projects are disaggregating data by gender and caste/ethnicity but the focus is on outputs, and the capacity to track GESI outcomes is still lacking. Some potential improvements are listed below.

- Gradually, a practice for disaggregated monitoring and reporting according to the *three domains of change* (discussed above and in Chapter 1) needs to be established. This is very challenging at the national level as the monitoring and reporting formats of the National Planning Commission (NPC), which all minis-

tries have to follow, do not use this framework or demand such information. The Fund Board and NEWAH have this framework but it has not become a common practice in the sector.

- *Objectives and indicators need to be disaggregated by gender and caste/ethnicity*. To measure sanitation outcomes, we need to know *who* (caste/ethnicity and poverty status) built latrines (on their own or with support from the project), and whose latrines are still functional after three years. Similarly, for water supply schemes, GESI-responsive indicators with the required disaggregation need to be specified at outcome level and integrated into the results matrix of the program.
- *Uniform management information systems and disaggregated data* would improve information sharing and inclusive targeting. The new RWSS M&E unit in the MPPW provides an excellent opportunity to achieve this as the sector moves towards a SWAp.
- *Monitoring and reporting formats need to be disaggregated* as relevant and practical. Access to all outputs and benefits of the project should be presented in this way, including information on access to the core outputs as well as other opportunities provided by the project (jobs, training, etc). To capture greater depth of GESI issues, selective research studies need to be supported (issues of labor, and access to resources and decision-making of women, the poor and the excluded).
- *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 have full support from top-level management. To ensure this, social mobilization may be necessary until this kind of feedback becomes a familiar activity for the excluded. This will also require that top-level management pay attention to the results when judging the performance of staff and facilitating NGOs. There should be consequences for doing a poor job on inclusion and rewards for doing well.
- *There are many practices across sectors* that the WSS sector can benefit from, e.g., joint monitoring, peer review and appreciative inquiry. The role of user committees needs to be better understood, as does their potential linkages with other structures at the VDC and DDC levels.[77]
- *Good practices and lessons learned* need to be documented and shared by sector actors through the Sector Stakeholder Group. Enhanced capacity to prepare case studies that document and analyze positive pro-inclusion change will accelerate the pace of change. The SSG needs to specify the requirements for disaggregated information and cover power relations issues as well as the dynamics of gender and social inequality and water use.

2.9 Conclusion

Nepal has made significant progress in increasing the proportion of population with access to improved drinking water supply. Sanitation coverage has also improved although it remains much lower than water coverage and requires more political priority and resources. Affirmative action policies have assisted women, the poor and the excluded in accessing the sector's services and benefits though there are still barriers that affect excluded groups. Women's participation in projects has improved, but socio-cultural and political structures limit their engagement. Income, caste/ethnicity, language and location-based barriers also continue to constrain many Nepalis from benefiting from the sector. Institutional issues such as limited diversity and GESI capacity of sector staff require focused attention in the future. Monitoring has improved with regular reporting and with some disaggregation, but disaggregated outcome monitoring is lacking.

This chapter has identified the gaps in address-

ing GESI issues in the sector and measures required to improve the operationalization of GESI in the program cycle. Targets for the MDGs, Three-Year Interim Plan, and National Water Plan are unlikely to be achieved unless GESI perspectives are integrated into planning and implementation activities—because it is women and the excluded groups who are likely to remain unreached unless sectoral approaches are deepened. Again, sectoral approaches will require a greater emphasis on the analysis of social relations and how these relations constrain access for some groups. In response to this, interventions to address these barriers need to be designed and adequately funded, and finally disaggregated monitoring of inputs, outputs and outcomes is needed to ensure more systematic and inclusive sectoral approaches. In addition, policy directives, along with mechanisms/tools and organizational and human capacity, are all essential for effective GESI mainstreaming.

Notes

1 Goal 7 (Environmental Sustainability), Target 10 of halving, by 2015, the proportion of people without sustainable access to safe drinking water and basic sanitation.

2 The chapter was developed based on secondary document review, budget review, field visits to Community-based Water Supply and Sanitation Program (CBWSSP) and Fund Board project sites in Dang district, and consultations and interactions with people representing the Ministry of Physical Planning and Works (MPPW), the Department of Water Supply and Sanitation (DWSS), program/project staff, district water supply and sanitation offices (DWSSOs) of Kavre and Morang, the Federation of Drinking Water and Sanitation Users Nepal (FEDWASUN), nongovernmental organizations (NGOs) and civil society, and other sector actors.

3 Based on Nepal Living Standards Survey (NLSS) 2003-2004.

4 UNDP (2004) based on 2001 Census data.

5 According to UNICEF (2006), access to improved sanitation among the richest quintile is about 79%, while access among the poorest quintile is nearly eight times lower, with only 10% of the poorest households having access to improved sanitation.

6 There are many donors operating in the sector, who over the years have moved towards a common project cycle approach. This generic approach is discussed here, though there are project- and donor-specific variations. See Section 2.3.2 for project-specific approaches.

7 Consultations, 2010.

8 Fieldnotes, 2009.

9 The perceived costs and benefits in participating in meetings may influence the decisions of women and men. Women may feel they have little time to participate due to housework, while men may feel that the household work will be neglected if women become involved in community work. Also, with high male migration, sometime there are no men to assist and share responsibilities.

10 Caste/ethnicity disaggregation of women's participation was unavailable.

11 In the Parsa project (see ADB 2009b), the project evaluation found that women's participation in key project-related activities was 31%, but only 13% participated in drafting the main agreement.

12 In the Rautali-2 project, Dalit women were unable to decide the location of the tubewell, since it was placed on land provided by a better-off household. In another project (Dhobauli), local elites bribed men from poor households to influence the location of tubewells. In a third project (Ajambari), all the tap stands were placed in very public spaces, which gave no privacy for women to bathe.

13 See WaterAid Nepal (2009c). Field interviews found that both women and men worked as caretakers during the project, but after the project was completed, people wanted to retain the male caretaker.

14 The NLSS II found that female-headed households (FHHs) have lower poverty levels than average, probably as a result of remittances from abroad. Identification of FHHs should be differentiated between de facto (those women whose husbands have migrated) and de jure (women who have no husband) FHHs. Although the de facto FHHs may be less poor than other households, they may still require some physical support in labor contribution or in constructing their latrines.

15 These include milk products, based on the belief that the cow will no longer produce milk.

16 The Supreme Court has given a directive order banning *chhaupadi* and has requested the government to formulate a law to stop the practice.
17 Along with other dangers such as rape or accidental attacks by animals.
18 This refers to only standing water sources, such as a pond, well, or natural spring, and not rivers.
19 A study in three Tarai districts identified a reduction in discriminatory practices, but still 62% of the 610 Madhesi Dalit respondents of all age groups said they experienced discrimination in some form.
20 In one Rural Village Water Resources Management Project (RVWRMP) scheme, staff found during the social assessment phase that there were three different Dalit taps, as they practice untouchability within their own castes as well.
21 In Jarbuta (ADB/WaterAid Nepal 2006), three community taps providing water to the Dalit households had remained out of operation for years. In Chuladhunga (WaterAid Nepal 2009c), a broken tap stand in the Dalit community remained unrepaired by the caretaker until Dalit households threatened the WSUC.
22 In the Narikot project, Dalits were paid only Rs 150 compared to Rs 200 paid to non-Dalits for transporting sand to the construction site.
23 Shah's (2009) study found that in one project, the support organization ideologically aligned with the Unified Marxist-Leninist party had managed to create a WUSC that was dominated by the party.
24 In Shah (2009), this was evident in the Narikot and Bhulwai projects.
25 These include cash contribution subsidies, opportunities for paid jobs, sanitation provision of free hardware up to the pan level, skilled labor and revolving loans.
26 See ADB/WaterAid Nepal (2008).
27 The identification of groups requiring support is made through participatory well-being ranking activities. However, this process must be well facilitated and requires participation from all groups in the community.
28 In two districts, 13 out of 104 VDCs (approximately 12%) did not have any WSS project.
29 Here "urban" refers to and includes small or emerging small towns.
30 Slum/squatter settlements in Bharatpur were denied access to services because they did not have legal land certificates. See Lumanti (2006).
31 Some organizations have identified criteria to target areas that are more remote from the roadhead. For example, the Fund Board has around 52% of schemes located more than 8 km and 33% located more than 15 km from all-weather roadheads (based on Batch V and VI). In the RVWRMP, VDC selection is prioritized with remoteness from roadhead as one of the criteria.
32 This section is based on and referenced to WaterAid Nepal (2008a).
33 Here impairment refers to having no or limited physical, sensory, or cognitive functionality. It also includes elderly people, pregnant women, and children who may also have specific impairments and resulting needs when accessing WSS services and do not identify themselves as disabled but have varying abilities—"differently abled."
34 Article 13, Part 3 (Interim Constitution) stipulates everyone is equal before the law; see also Child Act 1991, Disabled Protection Welfare Act 1982, and Disabled Protection and Welfare Regulation 1994.
35 The main sources for this section are ADB (PPTA Small Towns); WaterAid Nepal (2009b); and NEWAH (2008).
36 The Water Resource Act (1992), National Water Plan (2005), Rural Water Supply and Sanitation Policy (2004), and Urban Water Supply and Sanitation Sector Policy (2009).
37 See Annex 2.3 for an overview of GESI focus in relevant WSS policies and legislation.
38 Excluded groups for this sector are identified as "backward" Janajatis (indigenous nationalities), economically backward groups, Dalits, Madhesis and conflict-affected communities. Improving WSS access for people with disabilities is visibly absent in this section of the Three-Year Interim Plan.
39 These figures are based on sector agency support from 2005 to 2007 and sanitation coverage in 2001.
40 According to one project team leader, this is especially relevant in the more remote VDCs.
41 WaterAid Nepal is working with local partners, such as the Environment and Public Health Organization and the NGO Forum for Water Supply and Sanitation (with support from UN-Habitat) to carry out these poverty mappings. See WaterAid Nepal (2006).
42 GSEA field visit notes, 2009.
43 Fieldnotes, 2010.
44 This is a four-year project (2008-2012) funded by the governments of Finland and Nepal. The project is implemented in nine districts in western Nepal. The project approach differs from other actors in the sector, as it provides technical advisory support to DDCs to implement WSS services in communities. It also aims to build the accountability of both communities

and service providers in service delivery. For more information, refer to http://www.rwsspwn.org.np/index.php.

45 See WaterAid Nepal (2009c) for examples.

46 In one NEWAH project (Sandhane), one male community leader who had worked in the army abroad played a central role in encouraging and mobilizing the participation of women in the project.

47 The WTSS program provided modest support for training and capacity building to women's groups, and aimed to link the women to other programs and organizations that could provide access to formal credit for income generation. However, the majority of groups wanted funds to be allocated for their savings and credit loan fund, and there was a tendency for funds to go primarily to women from dominant caste and ethnic groups. This led to a major effort to redesign this component through the new Livelihoods Program.

48 FEDWASUN is an apex body for water and sanitation user groups.

49 The staff profile is of only the civil personnel in the DWSS. It does not cover the other program/project staff, as complete information required for sex and caste/ethnicity disaggregation of the different programs was unavailable.

50 Records of civil servants maintained by Nijamati Kitabkhana were reviewed and disaggregated according to the surnames place of permanent residence. Rules applied were those developed by the World Bank Social Inclusion Index development team, and caste/ethnicity groupings were drawn from the Census. This process can to a certain extent be erroneous, as the same surnames is used by different social groups. We appreciate that a participatory process facilitated by Nijamati Kitabkhana, Ministry of General Administration, for the self-identification of employees has been initiated.

51 The national population of these groups is Dalits 12.0%, Brahmin/Chhetris 32.5%, Janajatis (excluding Newars) 31.8%, Newars 5.4%, OBCs 14.0%, and Muslims 4.3% (CBS 2001).

52 Discussions with sector stakeholders found that women and excluded groups from remote VDCs sometimes had difficulty in understanding the project staff and expressing themselves in Nepali.

53 The SSG was established in 2003 by the government, and is chaired by the MPPW. It is meant to meet at least twice a year and members include ministries, development partners, and civil society organizations.

54 This is based on discussions with various agencies working in the sector.

55 This has the mandate to act as a focal unit for planning and training in the sector. It has developed training modules, including on gender, and provides training to DWSS staff as well as other sectoral agencies.

56 The SEIU is meant to improve and enhance sector performance and coordination.

57 Although the government has adopted positive discriminatory policies, such as a four-year period for promotion versus five years for men, the maternity leave policy is not recognized as a service period for promotion. Udas (2008) found that female government staff were reluctant to take their full maternity leave, for fear of losing their post or being relocated to an undesirable district field office. Likewise, women professionals faced jealousy and harassment from their male colleagues due to the promotion policy.

58 A recent study found that male staff in water-related departments felt the presence of female staff would lead to a higher quality of work, could better facilitate mediation and negotiation processes at the community level, challenge the traditional gender roles, and help men internalize gender issues better with their experience. See Udas (2008).

59 Engineering is the second most expensive education after medicine.

60 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 the 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 their workload (eAWPB 1.0 Operating Manual 2009). In order to measure these categories quantitatively, five qualitative indicators were assigned quantitative values of equal denominations 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 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.

61 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 (Annex 8c, Budget Speech, 2009-2010). But it is not clear how these are scored and what sub-indicators are used.

62 For a detailed framework and methodology of how the budget analysis was carried out, see Chapter 1.

63 We are adapting from gender budget initiatives that have aimed to assess the impact of government expenditures and revenues

using the 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).

64 The budgets of the programs for FY 2009-2010 are RWSSFDB Rs 520,094,000; CBWSSP Rs 1,698,000; STWSSP Rs 2,378,440,000; and DWSS regular program Rs 471,371,000.

65 Implemented budget of districts was 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.

66 Meeting of study team with DWSSO Kavre and Morang, March-April 2010.

67 Universal and targeted free services program, maternity incentive scheme, etc.

68 Morang Rs. 105,082,000; Kavre Rs: 26,972,576; annual budget of DWSSO FY 2065-2066, Morang and Kavre.

69 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.

70 For example, the RWSSFDB has a number of very inclusive provisions that guide site selection and location of WSS infrastructure, and which should guide budget expenditure to be more inclusive.

71 Involvement of users at the time of feasibility study (by sex).

72 The STWSSP-II results framework has adopted an indicator for tracking the number of households served through performance-based subsidies for WSS connections, which ensures that poor households receive services.

73 The domains of change refer to the areas where interventions can support inclusion. This is based on the notion that the three domains are interrelated and change cannot happen in any one domain without change in the other two. See Chapter 1 of this volume for a more detailed definition of this concept.

74 In the WSS sector assets and services refer to the WSS facilities; voice and influence refer to opportunity for excluded groups to be represented, voice their opinion, and have influence in decision-making bodies such as the WSUCs; and "rules of the game" refer to the formal policies and informal practices and norms that have tended to favor the advantaged. In the WSS sector, this can relate to affirmative action policies to ensure representation and access of excluded groups to the WSUCs or to changes in untouchability practices at community levels strengthening the rights of Dalits to water. The informal "rules of the game" could be the influence that local politics and elites have on deciding, for example, where projects are implemented or who gets access to project jobs and membership of the WSUCs.

75 See http://www.rwash.gov.np.

76 Refer to the discussion in Section 2.5 for examples.

77 These are mandated by the VDC Grant Operational Guidelines of the Ministry of Local Development (2066). Ward citizens' forums are a space for community-based groups to identify, plan, negotiate and coordinate, while the integrated planning committee is part of the VDC structure to assist in planning and coordination at the VDC level.

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 water supply and sanitation 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 Gender Equality and Social Inclusion (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 sites[1] 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	• 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?	• 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	• 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.	• 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]	• 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?	• 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	• 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?	• 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	• 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?	• 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)	• 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?	• Consultation/interaction • Political science, economic, sociological and anthropological literature on Nepal

Table 3.2: **Responses to Exclusion**

S.N.	Level	Responses	Process
1	Policy	• 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	• 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	• 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-	• 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
		sensitive, and personnel policies must support gender-specific responsibilities • Performance evaluation systems must capture responsibilities for GESI dimensions and efforts made by staff to address gender and inclusion issues	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
3	Informal institutions	• 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	• 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	• 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	• 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	• 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	• Review existing formats; identify strengths and areas of improvement; advocate for revision; create pressure for change
2	Ministry	• 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	• 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 • Information management system to be reviewed and strengthened • M&E officers to be trained on GESI-sensitive M&E
3	Department	• 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	• 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	• 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	• 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	• 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	• 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
		• 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	• All of the above • Incorporate GESI dimension in all processes, mechanisms and progress of project/program activities	• 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, DPMAS: GESI aspects in formats, process
Monthly	• 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	• Regular supervision • Assessment of progress as per plans • Basis of monitoring to be three domains of change (services, voice, rules)	• 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		• Monitoring visits • Review with disaggregation as per the three domains of change	• Analyze reports of VDCs • Integrate progress and learning to inform decision makers for strategic change • Report as per three domains of change		
Six-monthly	Public hearing, covering program implementation and social mobilizers' work	• Public hearing • Public audit	• Participation in public hearing and audit • Quarterly report to cover GESI		Supervision and review	
Annual	Gender and social audit	Gender and social audit	• 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 definitions[1] 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 subgroups 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	• Commercial Livestock Development Project, ADB • Project for Agriculture Commercialization and Trade, WB • Regular program of MOAC: extension services
Education	5	• 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)	• Annual budget of FY 2009-2010 of MOHP
Forest	Annual plan (covering 18 programs) + 2	• Annual budget of FY 2009-2010 of MOFSC • Annual program budget of Kavre and Morang, FY 2008-2009
Water supply and sanitation	6	• 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	• 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	• 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 Major Programs and Funding in the Sector**

Program	Donor	Period	Total cost	Project components	Working area
RWSSP II/Fund Board	World Bank	2004-2009	$41.5m	• Capacity building of support organizations/ support agencies (SAs)/WSUCs/Fund Board • Water supply coverage • Sanitation coverage • Hygiene • Sector knowledge development	74 districts (all except Mustang)
CBWSSP/DWSS	ADB	2004-2010	$35.7m	• Community mobilization and capacity building • Construction of WSS facilities • Health and hygiene program • Gender, caste and ethnic minority program • Strengthening capacity of DDCs and DWSS	21 districts
NEWAH	DFID/AusAid	1999-2008	$10.4m	• Capacity building of local NGOs • Water supply coverage • Sanitation coverage • Hygiene • Sector knowledge management	42 districts
GWS	DFID	1999-2009	$17.7m	• Water supply coverage • Sanitation coverage • Hygiene	21 districts in Eastern and Western regions
Helvetas	DFID	2004-2009		• Capacity building of local NGOs • Water resource management • Water supply coverage • Sanitation coverage • Hygiene	11 districts
RVWRMP with Helvetas	Governments of Finland and Nepal	2006-2010	$17.5m	• Capacity building of DDCs • Water resource management • Water supply coverage • Sanitation coverage • Hygiene	9 districts in Mid- and Far-Western regions
UNICEF		2004-2006 current		• Water supply, sanitation and hygiene as component of integrated Decentralized Action for Women and Children (DACAW) program • Capacity building of FEDWASUN	23 districts 6 districts
NEWAH	WaterAid	2005-2010	$3.8m	• As above	
Japan International Cooperation Agency (JICA)[1]		2006-2009	$0.5m	• Capacity building	Adviser in MPPW/ DWSS

1 The program's main focus is on urban and peri-urban water supply in Kathmandu and towns in the Eastern region.

Annex 2.2: **Linkage of Environmental Goal to Other Millennium Development Goals**

Why reaching the environmental goal is important for the other goals.

Goals	Links to environment
MDG 1: Eradicate extreme poverty and hunger	• Poor people's livelihoods and food security often depend on ecosystem goods and services • Poor people tend to have insecure rights to environmental resources and inadequate access to markets, decision-making and environmental information, limiting their capability to protect the environment and improve their livelihoods and well-being • Lack of access to energy services also limits productive opportunities, especially in rural areas
MDG 2: Achieve universal primary education	• Time spent collecting water and fuelwood reduces time available for schooling • Lack of energy, water and sanitation services in rural areas discourages qualified teachers from working in poor villages
MDG 3: Promote gender equality and empower women	• Women and girls are especially burdened by water and fuel collection, reducing their time and opportunities for education, literacy and income-generating activities • Women often have unequal rights and insecure access to land and other natural resources, limiting their opportunities and ability to access other productive assets
MDG 4: Reduce child mortality	• Diseases (such as diarrhea) tied to unclean water and inadequate sanitation and respiratory infections related to pollution are among the leading killers of children under five • Lack of fuel for boiling water also contributes to preventable waterborne diseases
MDG 5: Improve maternal health	• Inhaling polluted indoor air and carrying heavy loads of water and fuelwood hurt women's health and can make them less fit to bear children, with greater risks of complications during pregnancy • Lack of energy for illumination and refrigeration, as well as inadequate sanitation, undermine healthcare, especially in rural areas
MDG 6: Combat major diseases	• Up to 20% of disease burden in developing countries may be due to environmental risk factors (as with malaria and parasitic infections) • Preventive measures to reduce such hazards are as important as treatment, and often more cost-effective; new biodiversity-derived medicines hold promise for fighting major diseases
MDG 8: Develop a global partnership for development	• Many global environmental problems—climate change, loss of species diversity and depletion of global fisheries—can be solved only through partnerships between rich and poor countries • Predatory investments in natural resources can greatly increase pressure to overexploit environmental assets in poor countries

Source: UNDP (2003).

Annex 2.3: **Overview of Gender Equality and Social Inclusion Focus in Relevant Water Supply and Sanitation Policies and Legislation**[a]

Date	Act/Policy	Scope	Gender and inclusion focus/gaps
1992	Water Resource Act (2049)	• Umbrella act governing water resource management • Prioritizes water use • Provides for formation of water user associations • Establishes a system of licensing	• No specific reference to gender and social inclusion issues • Assumes that all people will benefit from water resources automatically
1998	National Water Supply and Sanitation Policy	This policy has been revised as the RWSS National Policy (2004)—see below	
2004	Rural Water Supply and Sanitation National Policy, Strategy and Action Plan	• Defines role of sector institutions and other stakeholders and establishes sector coordination mechanism • Emphasizes community management of WSS system and facilities • Hygiene promotion and sanitation as a specific objective	• Identifies need to target and support disadvantaged and ethnic groups for WSS services, but does not specify these groups • Proportional representation of gender, caste and disadvantaged ethnic groups on water user committees, with minimum 30% women • Separate child-friendly toilets for school facilities • Targeting out-of-school children for health and sanitation education • Gender-disaggregated indicators • Special subsidies for latrine construction for poor households • Does not define "disadvantaged" and "marginalized" groups • Lack of disaggregation of data by caste/ethnicity
2000	15-year Development Plan (for small town WSS projects)	• Identified 209 priority small towns for support[b] • Many priorities have already been achieved • Requires development of a new medium-term development plan for sector	• Phase 1 Small Towns provides important lessons (including safety nets, regulation and maintenance)
2002	National Water Plan (2002-2027)	• Target to provide water supply and sanitation for all by 2017 • Prioritizes provision of universal basic service, then upgrading • Describes need for improved coordination, increased resources, improved cost recovery in urban schemes, and improved monitoring	• Participation and equity identified as major doctrines of National Water Plan • Emphasizes expansion of water resources development programs in districts with low human development indicators
2002	Water Resource Strategy	• Defines principles and strategy to promote an integrated approach to water resource development with sustainable social and economic development over a 5-, 15- and 25-year strategy	• Identifies social equity as guiding principle • Balanced participation of women and men • Targeted assistance for disadvantaged and vulnerable groups (e.g., poor, disabled) • Water resource development should benefit rural and urban areas equally
2008	National Urban Water Supply and Sanitation Policy (2065)	• Aims to ensure adequate and safe water and sanitation facilities to urban population • Redefines roles of government, NGOs, donors, private sector and user groups in accordance with decentralization policy and public-private partnership policy (2003)	• Special focus on poor and disadvantaged to access WSS facilities • Social inclusion as a core principle • Cross-subsidies for poor • Proposes proportional representation of women on WSUCs and affirmative action for executive positions • Focus on poor and marginalized groups for water conservation, health education and hygiene promotion

[a] Based on WaterAid Nepal (2005), NEWAH (2008) and ADB (2009b).

[b] According to the 15-year Development Plan for Small Towns Water Supply and Sanitation, emerging small towns are defined as having a service area population of 3,000-40,000 people.

Date	Act/Policy	Scope	Gender and inclusion focus/gaps
1999	Local Self-Governance Act and Regulations	• Establishes decentralized governance structure • Sets out powers, functions and duties of VDC, municipality and DDC in relation to water and sanitation • Sets out which natural resources are assets of local bodies and empowers levying of natural resource tax • Establishes procedure for formulation of water-related plans and project implementation	• 20% representation of women on village and ward-level development committees • Provisions for inclusion of women, the poor and the excluded in development activities but no involvement in planning processes
2007	Three-Year Interim Plan (2007-2010)	• Sets out strategies to achieve economic and social transformation by establishing peace and reducing unemployment, poverty and inequality • Promotes effective service delivery • Aims to increase access of WSS services and quality of drinking water	• Priority for schemes will ensure regional balance and inclusion of socially and economically disadvantaged groups • Affirmative action to ensure women's representation in decision-making posts in user committees • Targeted programs for Dalits, Adivasi Janajatis, Madhesis and conflict-affected communities

Annex 2.4: **Assessment of Logframes and Monitoring Tools**

A. Analyses of program logframes for WSS chapter

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
DWSS		
Technical aspects Social aspects	For list of indicators, please refer to end of document (see DWSS benefit monitoring evaluation reporting format)	All indicators not disaggregated by sex/ caste/ethnicity
CBWSSP		
Goal: Human development through sustainable improvement in WSS sector	• Measurable improvement in national WSS availability for all residents of remote areas • Improved sanitation, hygiene and health practices in local communities • Reduced incidence of waterborne disease and child mortality due to diarrheal diseases	
Purpose: Provide improved WSS services through community-based approach to support government's poverty reduction and decentralization program	• 3% national increase in availability of safe drinking water attributable to project • 20% reduction in time spent collecting drinking water in participating communities • Participating districts ranked in lower half using district selection criteria • Low sanitation risk status for all participating communities achieved (more than 50% coverage) • 50% reduction in incidence of waterborne disease in participating communities	
Component 1: RWSS Improved WSS facilities in remote poverty-afflicted districts	• Approximately 1,200 communities will benefit from 571 water supply schemes constructed by user committees • Approximately 30,000 household and school latrines constructed • Participating districts and communities within these districts are in most remote, sanitation/hygiene high-risk and poorest areas	
• Community to mobilize to apply for WSS schemes • Communities to establish legally recognized WSUCs • Communities to develop and sign community action plans (CAPs) for implementing WSS projects • Community members to receive and apply training in support of sustainable operation of WSS • Communities to contribute to WSS construction in cash and kind according their ability to pay (ATP), not penalizing women, the poorest and marginalized groups • WSUCs to implement WSS projects (procure materials and manage construction) • WSUCs to establish revolving funds to provide credit for latrine construction • VDC and community leaders to train in planning, M&E, and sanitation and hygiene improvement • Project communities to implement health and sanitation improvement programs • Caste and ethnic minorities to benefit from improved WSS in proportion to community size • WSUCs to be composed of at least 50% women with at least one in a management position • WSUCs with proportional caste and ethnic minority beneficiaries	• 2,600 communities apply for WSS projects • All participating communities establish WSUCs • All participating communities prepare and sign CAPs • All participating communities and their members receive WSUC training, health and hygiene education, and awareness training • All project beneficiaries contribute in cash and kind to construction accounts and in cash to O&M accounts in accordance with community contribution policy • All participating communities procure materials, hire skilled labor, and otherwise manage and implement their WSS projects • All participating communities establish and use revolving funds • 5 people in each community, including health promoter, receive health and sanitation improvement training • Health and hygiene programs are implemented during development and construction phases of community projects • Caste and ethnic minorities in all project communities receive improved WSS service • At least 50% of WSUC members in all participating communities are women • Caste and ethnic minorities in all project communities are represented in WSUCs	Data disaggregated in project performance management system Project area population disaggregated by sex/ caste/ethnicity and number of population below poverty line

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
Component 2: Institutional strengthening: Government capacity to manage community-based WSS projects increased • DDCs to apply selection criteria to prioritize requests for project selection • DDCs to complete technical, social and financial evaluation for each participating community • DDCs to establish capacity to engage and manage NGOs to support community-based project implementation • DDCs to complete knowledge, facilities and practices survey • DWSS to maintain list of NGOs prequalified to assist communities • DWSS to orient interested NGOs to qualify them to assist communities • DWSS to create or update community-based implementation sector manuals and guidelines and associated training packages • DWSS to provide training and technical assistance to DDCs • DWSS to monitor and evaluate project implementation • DWSS to complete special studies • MPPW to enact policy and strategy recommendations of SSG • MPPW/DWSS to rationalize DWSS staffing	• 21 DDCs are capable of planning and managing community-based WSS projects • DWSS becomes a facilitator of sector activities • All participating communities are priority ranked and selected based on selection criteria • Appraisal reports for all participating communities are completed with copies submitted to the Project Management Unit (PMU) • Each DDC signs contract with NGOs to assist communities during development phase, and tripartite contracts (DDC, NGO and WSUC) during implementation phase • DDCs complete performance reports for each NGO at least twice a year and provide them to the concerned NGO • Knowledge, Facilities and Practice (KFP) survey is completed in each district during first and last year the district participates in project • List of prequalified NGOs is updated annually • DWSS provides orientation training to 20 NGOs annually • 10 manuals and guidelines are created or updated and approved by MPPW • DWSS gives training in use of manuals and guidelines to all participating DDCs • DWSS designs and implements project performance management system with updated data twice a year • DWSS completes two special studies annually • SSG meets at least twice annually with policy and strategy items on agenda • Rationalization plan is developed, approved and first implementation steps completed	
Fund Board		
Sector-related CAS goal • Decentralized delivery of public services • Empowered communities to control resources and make decisions • Improved health for rural population	• Management and maintenance of facilities by communities • Increased sustained infrastructure development • Functioning community organizations • Lower child mortality rates • Lower malnutrition rates	
Objectives 1. To improve RWSS sector institutional performance and mainstream Fund Board approach in government's system	• % increase in number of households with improved access to water supply • % increase in number of households with improved access to improved sanitation facilities • Number of schemes in operation and functioning satisfactorily with community O&M	
2. To support communities to form inclusive local WSS user groups that can plan, implement and operate WSS infrastructure that delivers sustainable health, hygiene and productivity benefits to rural households	• % decrease in prevalence of diarrheal disease morbidity among young children • % increase (from baseline) in number of individuals who practice hand washing with soap at critical junctures—before eating, after defecation, after cleaning child's bottom, and before child feeding • % of population in project area with access to water supply points within 15-minute round-trip walk from their residence • % of population in the project area with access to hygienic sanitation facilities within 30 m of their residence • Fit between caste and ethnic profile of households in catchment area as measured in initial social mapping and caste and ethnic profile of households actually served by system • Number of WSUCs with greater than stipulated number of women members	Gender-wise it can be assumed that both women and men will have access (although need for FHH), but require disaggregation across caste/ethnicity

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
Output from each component Sector policy framework strengthened and an effective M&E system established and operational	*Common guidelines* • Establish a common set of guidelines for all projects in the sector • A sector-wide minimum cost recovery norm of 20% and 10% for poor and disadvantaged groups *M&E* • NPC and MPPW effectively monitor and evaluate sector *Performance-based budget allocation* • Government links budget allocation among competing approaches to evaluation outcomes *Fund Board Act* • Fund Board established as regular institution under separate Act of Parliament	
Strengthened and more autonomous Fund Board to support and monitor delivery of improved WSS services	• Fund Board has autonomy and exercises it • Reduced turnover of trained staff • Schemes are completed within scheme cycle • Board and its secretariat able to monitor and evaluate performance of staff, support organizations and schemes, and also select them more effectively and efficiently	Need to disaggregate by sex and caste/ethnicity
Strengthened capacity of community organizations to plan and manage demand-driven programs and empower women with increased livelihood opportunities	• 100% of participating communities have operational CAPs that explicitly reflect community needs, especially of women and the poor • 100% of WSUCs holding regular meetings and maintaining financial documents • Increased linkages with other organizations • Increased number of communities able to manage and assume full O&M responsibility after one, three and five years of scheme completion	Good practice which should be adopted by DWSS and all projects, as it measures whether proportionate representation is achieved in accessing WSS facilities
Sustainable water supply and sanitation schemes delivered in a cost-effective and inclusive manner	• Number of functioning water supply facilities constructed/ rehabilitated to provide access to water supply points within 15-minute round-trip walking distance • Percentage of population in project area with access to hygienic sanitation facilities	Although not included in logframe, WSUCs are disaggregated by caste/ ethnicity in Fund Board reporting formats
Institutional development enhanced and completed study report findings and lessons incorporated into operation practices	• MPPW is better able to monitor RWSS sector • Fund Board operations improved as result of lessons learnt from various studies, as shown by compliance with service standards	
	STWSSSP-I	
Outcome: Improved water supply, health and sanitation in 40-50 town projects benefiting 600,000 population	• 100% of families have access to WHO guideline safe drinking-water facilities • 100% of ultra-poor families (12,600 households) have increased access to WHO guideline safe drinking-water facilities • 100% of ultra-poor and non-poor households have sanitation facilities	
Support participation of local beneficiaries in all stages of project	• 40% of women involved in selection and design of projects • 50% of women participate in all health and sanitation activities from baseline • 20% of cash/kind contribution by WSUC • Collection of tariff undertaken as per design • Increased community ownership of completed town projects, depicted by repayment of 30% cash contribution	
Build capacity of WSUCs and promote community-based water quality monitoring	• Improved technical, financial and management capacity in WSUCs for sustainability • WSUCs able to monitor water quality • Capacity for operation and maintenance enhanced • Establishment of small business in meter repair and resale	

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
Water supply and sanitation	33 water project completed serving 600,000 population • 40,000 fully plumbed private house taps connected • 40,000 yard private house taps connected • 3,600 community taps constructed and connected • 2,400 institutional taps connected • 18,000 latrines constructed for non-poor households • 13,000 latrines constructed for ultra-poor households • 70 public latrines constructed • 20,000 m of surface drainage constructed	
Public awareness campaigns and health and hygiene education	• Public awareness campaign undertaken in 33 town projects • 3,600 users receive health and hygiene education training • 1,800 women receive health and hygiene education training • Community action plan developed for 33 town projects • Health awareness raised among 52,000 users • 33 WSUCs established quality monitoring system and timely reporting	
Technical support for WSUCs	• 5 regional technical support centers established • Capacity of 200 TPO staff built • Orientation training provided to 660 members of WSUC • Training on accounting procedures provided to 33 accountants and 33 members of WSUC • Financial training provided to 66 members of WSUC • 100 DWSS staff made aware about project	
	STWSSSP-II	
Impact: Improved health and economic and environmental living conditions of people in 20 small towns in Nepal	• Reduction in reported cases of water- and sanitation-related diseases (by 30%) • Quality of life index to be developed by SEIU and compared between pre- and post-project period	
Outcome: Improved, affordable and sustainable water supply and sanitation services which are governed and managed by locally accountable representative bodies	• 240,000 people have access to high-level water service • Reduced time for fetching water (essentially to zero in all towns) • 270,000 people have access to and use improved sanitation facilities • Wastewater in at least three towns is disposed of in a way that meets environmental standards • Operation of water supply and wastewater services with full O&M cost recovery is implemented by WSUCs	
Outputs 1. Efficient, effective and accountable urban water supply and sanitation sector developed	• SEIU established • Service standards established and performance monitored for 80% of urban water supply systems, documented and published by 2012 • Service standards improved against initial performance (collected by 2012) for 30% of water supply systems • National standards for sewerage and wastewater management formulated • Regional water quality and meter calibration laboratories test water quality on regular basis for all 29 towns under STWSSSP-I	
2. Safe, accessible and adequate water supply and sanitation facilities developed 2.1 Water supply facilities expanded and rehabilitated 2.2 Sanitation facilities expanded and improved 2.3 Households connected to water supply and sanitation system	• Water extraction (surface/groundwater), treatment, storage, transmission and distribution facilities constructed • 1,400 km of network for water supply pipes installed or upgraded • Sanitation (household, on-site sanitation, public toilet, septic tank sludge disposal and stormwater drainage) facilities constructed • 16,000 households newly connected to piped water supply within first year of operation • 24,000 households served with new sanitation connections within first year of operation	

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
	• 12,000 households served through Output Based Aid (OBA) for water and sanitation connections • Wastewater management facilities constructed in at least three towns • 1,500 cubic meters (40% of wastewater in these towns) collected and treated to meet environmental standards	
3. Governance and capacity strengthened for project management and operation 3.1 WSUCs strengthened and fully address concerns of diverse groups of users 3.2 Regional monitoring and supervision offices/ WSS sub-divisional offices strengthened 3.3 Public awareness on health and hygiene increased	• WSUCs raise capital funds, participate in decision-making during implementation, and operate and manage systems upon commissioning • Town water supply systems operated in accordance with high-level water service, tariff raised to cover at least O&M and repayment, and loan repayment to Town Development Fund (TDF) as scheduled • Collection and management system for data disaggregated by sex, caste and ethnicity established • At least 33% representation of women among WSUC members upon first election • Women, poor and vulnerable groups appropriately represented in general assembly or other water user subgroups in accordance with GESI action plan • At least 50% of WSUC members trained on project implementation, operation and management by commissioning • At least two key managers for operation engaged by WSUCs and trained before construction completion • Technical support of regional monitoring and supervision offices/WSS sub-divisional offices to WSUCs increased • Gender/social development officer designated in Project Management Office (PMO)/Water and Sanitation (WSS) sub-divisional offices • Personal and communal hygiene behavior improved	
NEWAH		
Goal: Improve living standards of Nepali people in greatest need through equitable and sustainable access to safe water, health and sanitation services		
Purpose Ensure equitable and sustainable access of Nepali people in greatest need to safe water, health and sanitation services, complemented with livelihood opportunities through effective empowering processes	• Approximately 390,000 people, at least 50% of whom are from poor and excluded (P&E) groups, in five development regions covering 20 districts benefit from 660 water, health and sanitation (WHS) and health and sanitation projects with integrated social inclusion and equity strategy • At least 60% of project beneficiaries (women, men and children, inclusive of P&E) continue practicing proper health and hygiene-related behavior three years after project completion • Water-fetching time reduced to 15 minutes per round trip for a collector in all project areas, including P&E collectors • Approximately 30,000 people, including at least 50% P&E, have continued access to safe WHS services from 60 rehabilitation projects • 25% of 600 new projects provide meaningful livelihood opportunities to communities, including P&E, with increased income against baseline data • All WHS and health and sanitation user committees capacitated to manage projects independently in a gender and socially inclusive manner • Capacity building and advisory service unit established within NEWAH • District-based approach applied in five districts for sustainable and universal coverage of WHS facilities	

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
Output 1 People in greatest need have access to sustainable and safe drinking water, and health and sanitation services	1.1 660 communities (of which 50% need to be P&E beneficiaries) benefit from 600 new and 60 rehabilitation projects (WHS/health and sanitation), out of which 620 are rural and 40 are urban, 390 are in hill/mountain and 270 are in Tarai areas, having sustainable services of set standards; of 600 new projects, 420 are integrated WHS projects while 180 are health and sanitation 1.2 At least 90% of latrines in hills projects and 80% in Tarai areas are functional three years after project completion, with same proportion of P&E households built with support of the projects 1.3 Arsenic mitigation measures in 10 Tarai projects help in maintaining water quality to national standards 1.4 At least 60% NEWAH projects (including 50% P&E beneficiaries) are selected from or integrated in district plan 1.5 At least 90% of completed projects (of which 90% are P&E beneficiaries) remain fully functional three years after project completion	
Output 2 People in crisis receive water, health and sanitation services through quick response projects	2.1 Reserve fund amounting to Rs 500,000 established and additional contribution in cash or kind is sought and mobilized to address quick response projects 2.2 Functional alliance with at least two like-minded organizations working in relief operations in place and address at least two issues of people in crisis	
Output 3 Social inclusion and equity are promoted in all NEWAH programs	3.1 Social inclusion and equity strategy serves at least 50% poor and excluded 3.2 WHS/health and sanitation user committees represented by 50% women, of which 50% are key positions, and P&E representation on pro-rata basis; increased participation of diverse socioeconomic and ethnic groups in NEWAH programs 3.3 At least 40% of paid jobs created by projects are secured for women 3.4 40% of women and men from Dalits, Janajatis and Tarai middle-caste groups say that discrimination against them, in relation to access to service and decision-making process in WHS, by others in their community has decreased	
Output 4 Livelihood opportunities are supported in all NEWAH programs, especially for P&E	4.1 Livelihood promotion activities are integrated in all projects and benefit at least 30% of P&E households, indicated by an increase in their income 4.2 Integrated water resources management is piloted in each region and best approaches replicated in 10 additional projects 4.3 Skill training for increasing livelihoods and gainful employment to caretakers and masons meet defined objective (as stated in concept paper) 4.4 10% of household beneficiaries are linked to other livelihood promotion agencies (e.g., micro-irrigation, biogas, etc) for greater economic gain 4.5 At least 75% of project-created jobs and training opportunities are secured for the poor and the excluded	
Output 5 Capacity of local institutions, communities, and individuals to provide P&E-sensitive services in sector is strengthened	5.1 Capacity building and advisory service unit is established and produces results as per plan 5.2 NEWAH contributes to knowledge management as envisaged by Resource Center Network Nepal 5.3 Recommendations of four major research studies, of which at least one must be related with P&E, are shared and applied internally for capacity development of institutions and individuals	

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
Output 6 Governance and management of sustainable water, health and sanitation services are improved through effective sectoral coordination and collaboration	6.1 Functional sector alliance with NEWAH's involvement is in place for learning, lobbying and advocacy 6.2 NEWAH is invited as a representative on three national-level committees/groups 6.3 District-based approach or scaling up in five selected districts is applied by all district-based stakeholders to contribute to sustainable and universal coverage in WSS sector 6.4 At least 10% of advocated suggestions by NEWAH are incorporated in national policy, of which at least 25% must concern P&E 6.5 More than 50% of user committees are affiliated to district-level FEDWASUN (where district FEDWASUN has been established) and are advocating policy and strategy-related issues 6.6 90% of NEWAH's WHS hill projects registered in district water resource committees	
Output 7 NEWAH is recognized as a leading institution in sector for its efficiency, effectiveness and inclusiveness	7.1 Human resource development strategy refined and implemented to meet capacity gap of NEWAH 7.2 Staff performance appraisals indicate enhanced performance 7.3 Performance appraisals of all NEWAH staff show increased sensitivity as per checklist towards social inclusion and equity as a result of Gender and Poverty (GAP) approach and other interventions 7.4 At least 75% of vacant staff positions are secured for women representing different social groups, and NEWAH board/Senior Management Team (SMT) is represented by 25% women 7.5 33% of staff from P&E groups 7.6 Staff turnover remains under 5% per year 7.7 Findings of self- and mid-term evaluations are affirmative to operational modalities taken up by NEWAH 7.8 Transparent financial management system of NEWAH sets examples of user/committee/partner/donor satisfaction	
	RVWRMP	
Overall objective Improved quality of life and environmental conditions and increased opportunities to improve rural livelihoods and in the Mid- and Far-West regions through rational, equitable and sustainable use of water at village level	• Quality of life indicators: improved health conditions, improved housing conditions • Environmental improvement indicators: quality and volume of water in existing natural water bodies are maintained (or improved); solid wastes are properly collected and disposed of (i.e., not dumped near river banks) • Economic growth and opportunity indicators: improvements in agricultural productivity and variety of crops (including kitchen gardens) in project villages, presence of new IGAs in project area	
Purpose: Increased availability of water resources with improved capacity for planning, management and use of resources in nine districts	• Sustainable water use indicators: availability and quality of water at sources not declining, water production increasing, communities are able to manage water resources effectively • Planning capacity indicators: utilization of all water resources is based on comprehensive VDC-level water use master plans which reflect priorities from users' point of view and appropriate technical consideration of options • Implementation capacity indicators: districts have increased capacity to implement decentralized WSS sector facilities, including support to users in operation and maintenance, and to facilitate full use of available financial and other resources	

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
	• Resource use indicators: district water resources development funds are efficiently and effectively mobilized and utilized • Social participation indicators: users take responsibility for planning, implementing and maintaining local water resources activities and facilities, new methods, technologies and systems have been developed to ensure better sustainability and easier access to service for poor and deprived consumer groups	
Improved access to safe drinking-water supplies and sanitation services	• 120,000 people served by water supply facilities (i.e., 8% of population residing in area) • 60,000 people served by sanitation facilities (i.e., 4% of population residing in area)	
Results Integrated water resources management concepts and management systems implemented at district and village levels	• 80 VDCs have formulated comprehensive water use master plans which are endorsed by DDCs for implementation • Clear responsibilities at DDC and VDC levels on management and regulation of use of water resources; central-level roles are defined • Community is well informed about water and environment policies • More multipurpose water resources projects are considered, proposed and implemented • System and guidelines for regular updating of water use master plans established • Systems for water resource data accumulation, analysis, storage and retrieval established (in coordination with geographical information system of CBWSSP/ADB)	
Improved institutional capacity and coordination among central agencies, DDCs, VDCs and user groups on water resources issues	• District water resource committee (or equivalent) is fully functioning at district level • Formal system for accepting, reviewing and approving water permit applications is in place and enforced • Linkages and coordination established on regular and ongoing basis with central-level agencies on water issues—Department of Irrigation, MPPW, DOLIDAR, MLD, etc	
Service improvement—water supply 120,000 people to be served by water supply facilities (i.e., 8% of population residing in project area)	Effective use, as indicated by • Optimal use (number and characteristics of users, quantity of water used and purposes, time taken to use facilities, management of water resources) • Hygienic use (water quality at home, water transport and storage practices, home practices to improve water quality, site and home cleanliness, personal hygienic practices) • Consistent use (pattern of daily use, pattern of seasonal use) Sustainability, as indicated by • Reliability of systems (number of facilities in working order, maintenance) • Human capacity development (management abilities, knowledge and skills, confidence) • Local institutional capacity (autonomy, supportive leadership, systems for learning and problem solving) • Cost sharing and unit costs (community contribution, external contributions, unit costs) • Collaboration among organizations (planning, activities) Replicability, as indicated by • Community ability to expand services (additional water facilities built, upgraded facilities, new development activities initiated) • Transferability of project strategies (proportion and role of specialized personnel, established institutional framework, budget size, documented administrative/implementation procedures, other special/unique conditions)	

Goal/purpose/objectives/outcomes	Indicators	Strengths/gaps
Service improvement—sanitation 60,000 people to be served by sanitation facilities (i.e., 4% of population residing in project area)	Effective use, as indicated by • Optimal use (number and characteristics of users, quantity of water used and purposes, time taken to use facilities, management of water resources) • Hygienic use (water quality at home, home practices to improve sanitation, site and home cleanliness, personal hygienic practices) • Consistent use (pattern of daily use, pattern of seasonal use) Sustainability, as indicated by • Reliability of systems (quality of water at source, number of facilities in working order, maintenance) • Human capacity development (management abilities, knowledge and skills, confidence) • Local institutional capacity (autonomy, supportive leadership, systems for learning and problem solving) • Cost sharing and unit costs (community contribution, external contributions, unit costs) • Collaboration among organizations (planning, activities) Replicability, as indicated by • Community (or household) ability to expand facilities (additional sanitation facilities built, upgraded facilities, new development activities initiated) • Transferability of project strategies (proportion and role of specialized personnel, established institutional framework, budget size, documented administrative/implementation procedures, other special/unique conditions)	

Source: DWSS Progress Monitoring Indicators, CBWSSP Project Administration Memorandum (2003), Fund Board Project Appraisal Document (2004), STWSSSP-I Project Completion Report (2009), STWSSSP-II Grant Implementation Memorandum (2010), NEWAH Project Logframe (2006-2010).

B. Department of Water Supply and Sewerage: Benefit M&E of Completed Water Supply and Sanitation Subproject

District: Benefit M&E surveyor:

Name of subproject:	Total no. of schemes:	Name:	
Project type (DL/CL):	Wards covered:	Post:	
District:	Year of completion:	Date:	
VDC:		From:	
		To:	

S.N.	Description		Scheme No. 1		Scheme No. 2		Scheme No. 3	
			Record*	Existing	Record*	Existing	Record*	Existing
A	TECHNICAL ASPECTS							
1	**Scheme details**							
i.	***Population coverage***							
	Households served	Nos						
	Population served	Nos						
ii.	***Subproject's components***							
a.	*Intake: total nos/lps*							
	Type of intake spring/stream/tubewell/sump well	Type/Nos						
	Yields	Lps						
b.	*Stand posts: total nos*							
	Public	Nos						
	Private	Nos						
	Institutional	Nos						
c.	*Reservoirs*							
	Capacity and total nos	m3/Nos						
d.	*Break Point Tanks BPTs*	Nos						
e.	*Valve chamber*	Nos						
2	**Effectiveness of design, construction, and operation**							
a.	*Intake*							
	In a good physical condition	Nos						
	Defective or non-operating	Nos						
b.	*Reservoirs*							
	In a good physical condition	Nos						
	Flow into reservoir	Lps						
	Flow out of reservoir	Lps						
	Well protected by fencing with lock and key	Nos						
c.	*Stand posts*							
	Average flow (average flow of at least)	Lps						
	3 strategically located taps in the scheme							
	Average daily hours of supply	Hrs						
	Revenue collected (Rs./household/tap)							
	Taps not getting flow	Nos						
	Taps not earning revenue	Nos						
	Taps physically damaged/repairable	Nos						
	Taps without effective drain/bib-cock	Nos						
d.	*Pipelines*							

S.N.	Description		Scheme No. 1		Scheme No. 2		Scheme No. 3	
			Record*	Existing	Record*	Existing	Record*	Existing
1	**Transmission main**							
i.	***Total nos of exposed portion of pipes and their total***							
	length (approximate)	M						
I	**BPTs**							
	Physically damaged/repairable	Nos						
	Unauthorized use	Nos						
II	**Valve chambers**							
	Physically damaged/repairable	Nos						
	Unauthorized use	Nos						
	Any other defect (specify)							
2	**Distribution main**							
i	***Total nos of exposed portion of pipes and total length***							
	(approximate)	Nos						
ii	***Leakage points***							
I	**BPTs**							
	Physically damaged/repairable	Nos						
	Unauthorized use	Nos						
iii	***Unauthorized private/public tap***	Nos						
3	**Water quality: general observations at following points**							
a	*Intake*							
i	Color	Yes/No						
ii	Taste	Yes/No						
iii	Odor	Yes/No						
iv	Turbidity	Yes/No						
b.	*Reservoirs*							
i	Color	Yes/No						
ii	Taste	Yes/No						
iii	Odor	Yes/No						
iv	Turbidity	Yes/No						
c.	*Typical taps of maximum use*							
i	Color	Yes/No						
ii	Taste	Yes/No						
iii	Odor	Yes/No						
iv	Turbidity	Yes/No						
B.	**SOCIAL ASPECTS**							
1	**Sustainability/reliability of system**							
1.1	***Community participation/involvement (fully, partially, not at all)***							
1.1.1	Request for schemes	Yes/No						
1.1.2	Involvement of users at time of feasibility study (M/F)	Nos						
1.1.3	Design discussion	Yes/No						
1.1.4	Fixation of tap stand and its location	Yes/No						
1.1.5	Fund collection	Yes/No						
1.1.6	Contract agreement	Yes/No						
1.1.7	Construction work	Yes/No						
1.1.8	Contribution of voluntary labor	Yes/No						

S.N.	Description		Scheme No. 1		Scheme No. 2		Scheme No. 3	
			Record*	Existing	Record*	Existing	Record*	Existing
1.1.8.1	Digging and filling trench line	Yes/No						
1.1.8.2	Transportation of materials	Yes/No						
1.1.9	Monitoring and supervision	Yes/No						
1.1.10	Recording, bookkeeping, and reporting system	Yes/No						
1.1.11	Meeting (monthly/quarterly/annually)	Nos/MQA						
1.2	***Management abilities, leadership quality, confidence/capacity building (WUSC members, VMWs, and volunteers)***							
1.2.1	Training							
1.2.1.1	WUSC pre-construction	No/Date						
1.2.1.2	WUSC post-construction	No/Date						
1.2.1.3	Volunteers	No/Date						
1.2.1.4	VMWs	No/Date						
1.2.1.5	Teachers	No/Date						
1.2.2	Institutional capacity development (accountability/ autonomy)							
1.2.2.1	WUSC accountable to user community	Yes/No						
1.2.2.2	WUSC free from external interferences	Yes/No						
1.2.2.3	WUSC in command, control, and raising funds	Yes/No						
1.2.2.4	WUSC introduce, devise, follow rules and regulations	Yes/No						
1.2.2.5	WUSC contact with DWSSO (frequency)	Yes/No						
1.2.2.6	Taken corrective action to solve problems and raise funds	Yes/No						
1.2.3	Users know and understand their roles and responsibilities							
1.2.3.1	WUSC members	Yes/No						
1.2.3.2	VMW members	Yes/No						
1.2.3.3	Volunteers	Yes/No						
1.3	***Maintenance of system (operation and maintenance)***							
1.3.1	How appointed VMW (WUSC, mass meeting, others)	WUSC/ Meeting						
1.3.2	Nos of VMWs	Nos						
1.3.3	Salary of VMW (monthly)	Rs/Month						
1.3.4	Water tariff (cash/kind) per month	Rs/Month						
1.3.5	Maintenance tools to VMW (provided/not provided and condition)							
1.4	***Financial position of WUSC***							
1.4.1	Cash in bank on date of benefit M&E	Rs.						
1.4.2	Total income in last year	Rs.						
1.4.3	Total expenditure in last one year	Rs.						
1.4.4	Any outstanding dues remaining	Rs.						
1.4.5	Breakdown of expenditure of last year							
a.	VMW salary	Rs.						
b.	Repairing	Rs.						
c.	Others	Rs.						
1.4.6	Accounts audited annually	Yes/No						
1.5	***No. of repairs undertaken/maintenance (time and interval) in the last... (regularly, timely, never)***							
1.5.1	BPT (no./time)	Nos/Time						

S.N.	Description		Scheme No. 1		Scheme No. 2		Scheme No. 3	
			Record*	Existing	Record*	Existing	Record*	Existing
1.5.2	Intake (no./time)	Nos/Time						
1.5.3	Reservoir tank (no./time)	Nos/Time						
1.5.4	Replacement	Nos/Time						
1.5.5	Availability of spare parts	Yes/No						
2	**Health, sanitation, environment, and socioeconomic activities (effect of water services)**							
2.1	***Water use consumption in quantity (lit./capita/day)***							
2.1.1	Body wash bathing	lit/capita						
2.1.2	Hand washing	lit/capita						
2.1.3	House and yard cleaning	lit/capita						
2.1.4	Washing of clothes	lit/capita						
2.2	***Use of wastewater***							
2.2.1	Vegetable growing, kitchen gardening	Yes/No						
2.2.2	Fish pond	Yes/No						
2.2.3	Livestock use	Yes/No						
2.2.4	Others	Yes/No						
2.3	***Use of time saved (minute/hour/day)***							
2.3.1	More time for personal grooming and care	Time/Day						
2.3.2	More time for childcare	Time/Day						
2.3.3	More time for family members	Time/Day						
2.3.4	More time for socialization	Time/Day						
2.3.5	More time for household cleaning	Time/Day						
2.3.6	More time for recreation	Time/Day						
2.3.7	Income-generation activities (type and approximate income)	Time/Day						
2.4	***Water quality (improved, same, declined)***							
2.4.1	Improved/same/declined (I/S/D)	I, S, D						
2.4.2	Source protection	Yes/No						
2.4.3	Home	Yes/No						
2.4.4	Taps	Yes/No						
2.4.5	Source	Yes/No						
2.5	***Water use practice***							
2.5.1	Transport (drawing, carrying) (safe/unsafe)	Safe/Unsafe						
2.5.2	Storage/covered	Yes/No						
2.5.3	Type of container (bucket, gagro, gallon [jerrycan], tin, other)							
2.5.4	Cleanliness of container before fetching water	Yes/No						
2.5.5	Store place	Safe/Unsafe						
2.5.6	Place for washing	Safe/Unsafe						
2.5.7	Bathing place	Safe/Unsafe						
2.6	***Environmental sanitation***							
2.6.1	Village and household sanitation condition (sanitation/ house and yard cleanliness, washing place, household free of excreta, household waste disposal, drainage, and flies)							
2.6.2	Afforestation and sanitation around intake source	Yes/No						
2.6.3	Awareness about and effort for forestation	Yes/No						
2.6.4	Water source protection	Yes/No						

S.N.	Description		Scheme No. 1		Scheme No. 2		Scheme No. 3	
			Record*	Existing	Record*	Existing	Record*	Existing
2.7	***Change in morbidity and mortality pattern (decrease/same)***							
2.7.1	Illness	Decr/Same						
2.7.2	Diarrhea	Decr/Same						
2.7.3	Skin	Decr/Same						
2.7.4	Cholera	Decr/Same						
2.7.5	Typhoid	Decr/Same						
2.7.6	Malaria	Decr/Same						
2.7.7	Dysentery	Decr/Same						
2.7.8	Jaundice	Decr/Same						
2.7.9	Worms	Decr/Same						
2.7.10	Evil spirit	Decr/Same						
2.8	***Personal hygiene practice***							
2.8.1	Hand wash (before and after)							
2.8.1.1	Eating	Before/After						
2.8.1.2	Cooking	Before/After						
2.8.1.3	Feeding	Before/After						
2.8.1.4	After handling of drug	Yes/No						
2.8.1.5	Infant feces	Yes/No						
2.8.1.6	Toilet cleaning	Yes/No						
2.8.1.7	Defecation	Yes/No						
2.8.2	Media used for hand wash (ash/clay/soap/others)							
2.9	***Media used for defecation (stone, cloth, leaf, paper, water, none)***							
3	**Sanitation activities in school (yes/no)**							
3.1	Use of latrine (by teachers and students)	T, S						
3.2	Use and maintenance of tap and stand posts	Yes/No						
3.3	Cleanliness of classroom and its surroundings	Yes/No						
3.4	Use of garbage pit	Yes/No						
3.5	Use of wastewater	Yes/No						
4	**Food sufficiency/affordability**							
4.1	Less than three months	Household						
4.2	Three to six months	Household						
4.3	Six to nine months	Household						
4.4	Nine to twelve months	Household						
4.5	Save after consumption	Household						
5	**Health-seeking practices**							
5.1	Traditional healers (Dhami, Jhankri)	Household						
5.2	Doctor	Household						
5.3	Baidya	Household						
5.4	Health post	hour						
5.5	Others							
6	**Income, affordability, and willingness**							
6.1	Income increased/same/decreased (monthly, annually)	Inc./Decr.						
6.2	Sources of income (tariff/penalty/connection charge)	T, P, CC						
6.3	Willingness to pay fund for emergency	Yes/No						
6.4	Willingness to pay water tariff	Yes/No						

C: DWSS targeted result checklist and implementation-related work details as per plan

District: Organizer's name:

S.N.		Unit	Target	First four-month target	Second four-month target	Third four-month target	Remarks
1	2	3	4	5	6	7	8
A	Targeted result of program						
1	Training	No.					
2	Pipe available	Km	1	1			
3	Intake construction (a) Level intake (b) Deep tubewell		 1			 1	
4	Pipeline installation (a) Transmission (b) Distribution line	 Km Km	 1.5			 1.5	
5	Lake construction: (a) Lake (b) Overhead tank		 2		 2		
6	Community tap construction						
7	Institutional toilet construction						
8	Other construction work		3		1	2	School sanitation
9	Programme handover						
B	Other implementation-related works						
	Initial works						
1	Acquiring land	Hectare					
2	Recruit human resources	No.					
3	Appoint consultant: (a) International (b) National	 No. No.					
4	Other works						
5	Contract for construction and other works/ agreement on contract amount	Rs. in '000	8,050	1,000	3,525	3,525	
6	Send audit report to donor agency						
7	Balancing amount	Rs. in '000					

Annex 2.5: **Proposed Sub-indicators for Gender-responsive Budgeting**

Indicators (score[1])	Sub-indicators
Participation (35)	• Representation of women in executive committees, including major posts • Participation of women in survey and design meetings • Representation of women in district drinking-water and sanitation coordination committees • Representation of women in operation and maintenance committees in urban areas
Capacity-building (30)	• Participation of women in pre- and post-construction training programs • Participation of women in sanitation training • Targeted capacity development for women • Participation of women staff in national and international training • Number of women in village maintenance worker training
Time saved[2] and quality use of time (35)	• Time saved for women due to proximity of water schemes and construction of toilets • Use of time saved • Number of drinking-water schemes constructed and increase in number of beneficiaries

1 In the existing version, the five indicators are scored at 20% each. Our suggestion is that two indicators, income generation and benefit sharing, are not applicable as the WSS sector has no related interventions, and hence these should be dropped. Since participation and time saved are important indicators, they have been scored higher than capacity building.

2 "Time saved" is more applicable in hills and mountains.

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
						Others				Newars												
		Hill		Madhesi		Hill		Tarai				Hill		Madhesi								
		F	M	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 Classes (OBC)								
Location (rural, remote, Karnali, Tarai, etc)								
Poor								
Adolescents								
Elderly								
Disabled …..								

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Tubewell at Bardiya district, 2006.
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