Gender Equality and Social Inclusion (GESI) Operational Guidelines, 2013

Government of Nepal

Ministry of Urban Development

Singh Durbar, Kathmandu

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Foreword

I am very happy that the Ministry of Urban Development (MoUD) is publishing "Gender Equality and Social Inclusion (GESI) Operational Guidelines, 2013". Established as a backbone for infrastructure development in the country, MoUD is implementing Water, Sanitation and Hygiene (WASH) and Building Construction, Housing and Urban Development (BCHUD) sector programs in Nepal. I wish every success for the effective implementation of this GESI Operational Guidelines by the Ministry in the course of mainstreaming and institutionalizing GESI in its overall portfolios and operations.

I would like to express my sincere thanks to the personnel of the Social Coordination/GESI Section of the Ministry of Urban Development, GESI Consultant Team and others who were directly or indirectly involved in preparing, reviewing, updating and publishing the Guidelines. I believe that the direction provided by this guideline will be a milestone in implementing GESI process in the ministry and its institutions, and similarly, other sectors in the country will also benefit by adopting the same approach.

Date: 27th December, 2013.

Chhabi Raj Pant
Minister
Ministry of Urban Development

नेपाल सरकार

सहरी विकास मन्त्रालय

(.. शाखा)

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सिंहदरबार,
काठमाडौं, नेपाल ।

पत्र संख्या:-
चलानी नं.:-

Best Wishes

It is my utmost pleasure that the Ministry of Urban Development is going to publish "GESI Operational Guidelines 2013" for mainstreaming and institutionalizing GESI in its portfolios and operations in an integrated manner. The Ministry of Urban Development is implementing Water, Sanitation and Hygiene (WASH) and Building Construction, Housing and Urban Development (BCHUD) sector programs in the country. It is the need of the day to integrate GESI approache in these sectoral programs of the Ministry.

Gender inequality and social exclusion are issues of global concern. Since last decade, Nepal has been stepping forward by fulfilling all commitments made in the international arena towards non-discrimination, gender equality and social justice. The main objective of this guideline is to provide guidance on implementation of gender equality and social inclusion in all aspects of MoUD policies, institutions and in its program/ project implementation processes in an integrated manner in compliance with the ratification provided at International conventions and commitments made, and also in accordance with the spirits of Interim Constitution of Nepal, 2006. It is my belief that the operation of this GESI Guidelines will be instrumental in creating GESI friendly environment in the portfolios and operations of the Ministry.

I expect effective implementation of this "GESI Operational Guidelines 2013" in all portfolios and operations of the Ministry and would like to thank the concerned personnel of the Ministry, Experts of GESI Consultant Team and others who were directly involved in preparing, reviewing, updating and publishing this Guideline.

Date: 27th December, 2013.

Er. Kishor Thapa
Secretary
Ministry of Urban Development

नेपाल सरकार

सहरी विकास मन्त्रालय

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सिंहदरबार,
काठमाडौं, नेपाल ।

पत्र संख्या:-
चलानी नं.:-

Few words

This GESI Operational Guideline has been prepared in the context of mainstreaming and institutionalizing GESI in various portfolios and operations of the Ministry of Urban Development in an integrated approach. This Operational Guidelines was initially prepared by the task force of the then Ministry of Physical Planning and Works (MoPPW), with technical support of Human Resource Development Centre (HURDEC) and financial support of Asian Development Bank (ADB). The GESI Operational Guideline, 2013 was ultimately finalized by the concerted efforts of the Social Coordination/GESI Section of the Ministry and the GESI Consultant Team of GESI Project under MoUD through intensive discussions and extensive consultation processes.

I am very much indebted to Mr. Kishor Thapa, the Secretary of the Ministry of Urban Development (MoUD) for his invaluable suggestions and encouragement in the course of preparing and finalizing this Operational Guideline and would like to extend my sincere thanks to him. I would also like to thank the personnel of the ministry, its departments and institutions and central level projects under MoUD who provided their critical comments and feedbacks in the course of preparing and finalizing this GESI Operational Guidelines. I would also like to thank Mr. Rama Nand Das, Engineer and Mrs Shakuntala Rai, Section Officer of Social Coordination/ GESI Section and the Experts of GESI Consultant Team, as it would not have been possible to prepare and finalize this Operational Guideline without their concerted efforts.

Date: 27th December, 2013.

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Post Raj Dhungana
Project Manager
Gender Equality and Social Inclusion Project

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Chapter-I
Preliminary

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1.1. Preamble

Gender inequality and social exclusion are issues of global concern. Over the last decade, the Asia and the Pacific region has made a remarkable progress on these issues. Nepal is not an exception to this regard. Since last decade, it has been moving ahead by fulfilling all commitments made in the international arena towards non-discrimination, gender equality and social justice.

Ministry of Urban Development (MoUD) of Government of Nepal has been executing Water, Sanitation and Hygiene (WASH) and Building Construction, Housing and Urban Development (BCHUD) sector programs throughout the country. It has recognized that the programs in these sectors have not adequately incorporated gender mainstreaming and other social development concerns in their policies, programs, services and institutional arrangements so far. This gap has also been increasingly realized by all the stakeholders and there is an ever increasing demand and need for mainstreaming GESI in 'hard sector' projects especially because of the large amount of development investment in the sector. The ministry has felt a need for capacity building in social development works and also realized that infrastructure sectors need practical guidance for addressing gender equality and social inclusion issues. In this context, MoUD has developed and implemented "Gender Equality and Social Inclusion Operational Guidelines" for mainstreaming and institutionalizing GESI in its overall portfolio and operations.

1.2. Name of the guideline and Commencement

- The name of this Guideline is "Gender Equality and Social Inclusion Operational Guideline, 2013" intended for mainstreaming Gender Equality and Social Inclusion under the Ministry of Urban Development.

- The guideline shall be effective from the date of approval or endorsement.

1.3. Definitions

Following terms used in the guideline have been defined as follows:

1) **"Guideline"** refers to Gender Equality and Social Inclusion Operational Guidelines, 2013.

2) **"Ministry"** refers to Ministry of Urban Development, Government of Nepal.

3) **"Gender"** refers to the socially constructed roles and identities of men and women as well as the relationship between them.

4) **"Poor"** refers to households or persons who consume an average of less than 2,220 calories of food per person per day. (according to Nepal Living Standard Survey, 2010/11).

5) "**Excluded Groups"** refer to women, dalit, indigenious ethnic groups, madhesi, mushlim, persons with disabilities, elderly pepole and people living in remote areas. who have been systematically excluded over a long time due to economic, caste, ethnic, gender, disability, and geographic reasons and include sexual and gender minorities.

6) "**Vulnerable Groups"** refer to groups that experience a higher risk of poverty and social exclusion than the general population. Ethnic minorities, migrants, person with disabilities, the homeless, those struggling with substance abuse, isolated elderly people and children all often face difficulties that can lead to further social exclusion, such as low levels of education and unemployment or underemployment.

7) "**Gender Equity**" refers to the process of being fair to women and men. Gender equity means steps taken to achieve fairness and justice in the distribution of benefits and responsibilities between women and men.

8) "**Gender Equality**" refers that all human beings are free to develop their personal abilities and make choices without the limitations set by strict gender roles. The different behaviours, aspirations, and needs of women and men are considered, valued and favoured equally.

9) **"Gender Equality and Social Inclusion (GESI)"** refers to a concept that addresses unequal power relations between women and men and between different social groups. It focuses on the need for action to re-balance these power relations and ensures equal rights, opportunities and respect for all individuals regardless of their social identity.

10) "**GESI Mainstreaming**" refers to the process whereby barriers and issues of women and poor and excluded people are identified and addressed in all functional areas of infrastructure development system: policies, institutional systems, work environment and culture, programme and budget formulation, service delivery, monitoring and evaluation, and research.

11) "**Gender Impact Analysis/Assessment**" examines policies and practices to ensure they have beneficial effects on women and men. It identifies the existence and extent of differences between women and men and the implications of these differences for specific policy areas.

12) "**Social Exclusion**" describes the experience of groups that are systematically and historically disadvantaged because of discrimination based on gender, caste, ethnicity or religion.

13) "**Social Inclusion**" refers to a process that ensures that those at risk of poverty and social exclusion gain the opportunities and resources they need to participate fully in economic, social and cultural life and to enjoy a standard of living and well-

being that is considered normal in the society in which they live. It ensures that they participate more in decision making on matters that affect them and on access to resources, opportunities and services to enjoy their fundamental rights.

14) "**Empowerment"** refers to the enhancement of assets and capabilities of diverse individuals and groups to function and to engage, influence and hold accountable the institutions that affect them. It is about the people - both women and men - taking control over their lives, setting their own priorities, gaining skills, building self-confidence, solving problems, and developing self-reliance.

15) "**Gender Responsive Budget"** refers to government planning, programming and budgeting that contributes to the advancement of gender equality and the fulfillment of women's rights. It entails identifying and reflecting interventions to address gender gaps in sector and local government policies, plans and budgets.

16) "**Public Auditing"** is a tool taken up for the purpose of enhancing governance, particularly for strengthening accountability and transparency of service providers towards beneficiaries/stakeholders by publishing the program including financial information. It values the voice of stakeholders, including marginalized/poor groups whose voices are rarely heard. Public Audit is not only an event but also a process to ensure beneficiaries/stakeholders right to know of the activities of their concern.

17) "**Social Auditing"** is a process that enables an organisation to assess and demonstrate its social, economic, and environmental benefits and limitations. It is a way of measuring the extent to which an organisation lives up to the shared values and objectives it has committed itself to.

18) "**Disaggregated Data"** refers to distinguishing men and women, ethnic minorities, people with a disability, people with HIV and other excluded people in the data to reveal quantitative differences between them.

19) "**Poverty Mapping"** refers to the methodology for providing a detailed description of the spatial distribution of poverty and inequality within a country. It combines individual and household (micro) survey data and population (macro) census data with the objective of estimating welfare indicators for specific geographic area as small as village or hamlet.

20) "**Social Mapping"** is a method to identify households based on predefined indicators relating to socio-economic conditions (e.g. status, skills, property, education, income, etc.). It results in information about households' relative well being, rather than an absolute assessment.

1.4. Objective of the Guideline

The main objective of the guideline is to provide guidance on implementation of gender equality and social inclusion in all aspects of MoUD policies, institutions and in its program/ project implementation processes in an integrated manner. The specific objectives are to:

a)   ensure that a gender and social inclusion responsive approach is adopted in MoUD and monitored accordingly in order to improve the access of WPEs to resources, opportunities and benefits from the infrastructures based development programs/ projects.

b)   ensure GESI issues are addressed in all infrastructure based program/project interventions and GESI issues are well institutionalised throughout the program/project cycle.

1.5 Essential Pre-requisites and Core Requirements for Mainstreaming GESI

Pre-requisites for mainstreaming GESI are:

(i)   concepts of gender, gender equality, empowerment and social exclusion/inclusion will have to be clearly defined in simple language so as to make these understandable to the staff at all levels;

(ii)   a cadre of staff will have to be trained to develop their analytical skills on gender and inclusion issues in the course of providing technical support to others;

(iii)   adequate time must be allocated at all management levels to identify issues, design processes and implement activities;

(iv)   resources need to be identified and made available timely;

(v)   a gender empowerment/inclusion perspective needs to be integrated into all policies, and enforced in all activities and regular functions in the operations of the MoUD and its departments, with appropriate management structures in place, followed by monitoring and evaluation methods that are responsive to empowering WPEs.

Core requirements for mainstreaming GESI are:

(i)   all data should be disaggregated by sex, age, caste, ethnicity, religion, education, class, economic status, place of residence, and any other relevant variables (e.g. disability, minority community outside of caste and ethnic groups, urban poor, people displaced due to development activities, where required).

(ii)   characteristics of division of labour, access to productive resources and decision-making power (who does what, where and why; who has access to what productive resources, who has the ultimate authority to make decisions) will have to be assessed before planning the programs and projects that may have differential impact on women and men of different social strata and economic groups.

(iii)   assessment of policies, programming and budgeting, institutional arrangements, human-resources issues and M&E system should be done from a GESI perspective of MoUD and its departments for programs/projects, partner organizations and community groups.

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Chapter-II

Institutional Arrangement for GESI Implementation

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There should be appropriate institutional arrangements at all levels starting from the Ministry and Department at the Central level to Regional, Divisional/Sub-Divisional Offices. For the effective implementation of the Guidelines, it is also imperative to improve and build up the existing institutional arrangements and their capacities from the ministry to the division/sub-division levels respectively. Furthermore, It also requires common understanding about GESI and its operationalization process between the MoUD and other stakeholders. The specific responsibilty with ToR should be provided to all levels. To get the desired level of priority at the institutional level, allocation of resources for GESI implementation should be adequate enough and common efforts need to be harnessed for the collaborative actions in the course of mainstreaming GESI. In addition, the institutional arrangements should have sufficient resources with well capacitated stakeholders. Regular enforcement and monitoring should be done.

2.1 Ministry Level

At the Ministry level, a Social Coordination/ GESI Section has been formed on a permanent basis under the Planning, Monitoring and Foreign Aid Division. This section is headed by Senior Sociologist and assisted by an Engineer, a Section Officer and an Assistant Officer. This section is responsible for all Gender and Social Inclusion based activities of the Ministry.

The terms of reference of the Social Coordination/GESI Section will include following activities:

- Coordinate with the Departments, other line Ministries and Stakeholders (MWCSW, NPC, Donors, Contractors) and

monitor the progress of implementation of GESI Operational Guidelines.

- Review the progress, monitor and report the operational status of GESI guidelines on regular trimester and annual basis.

- Revise checklists, forms and formats for all levels based on GESI Operational Guidelines.

- Facilitate the Ministry for GESI issues related changes in policies, acts, regulations and, directives, etc.

- Formulate short term and long term implementation plan for operationalization of GESI related activities.

- Facilitate in establishment of GESI related section in the Department of Water Supply and Sewerage and Department of Urban Development and Building Construction.

- Facilitate to make the NPC monitoring forms and formats GESI responsive.

- Make arrangement for the collection of disaggregated data and information.

- Coordinate with MoF in regard to GRB.

All the central level projects and the organizations which are directly implemented and supervised by the Ministry i.e. Kathmandu Valley Development Authority, Kathmandu Valley Water Supply Management Board (KVWSMB), Kathmandu Upatyaka Khanepani Limited (KUKL), Town Development Fund (TDF), Nepal Water Supply Corporation (NWSC), Melamchi Water Supply Development Board (MWSDB) and High Powered Committee for Integrated Development of the Bagmati Civilization and other offices will each establish a GESI Unit for the operationalization and mainstreaming of GESI related activities. Provision of Sociologist will be made and mobilized in respective GESI Unit. If there is no Sociologist, the concerned Unit can outsource as required.

The terms of reference for these GESI Units will include, but will not be limited to the following activities:

- facilitate in the implementation of GESI related terms and conditions as reflected in the contract agreements made between the Project and the contractors;

- provide orientations on GESI mainstraming issues to the Users Committees, laborers and the contractors at the time of making contract agreements;

- monitor the progress of GESI mainstreaming activities in compliance with the contract made in Special Contract documents, and

- prepare and submit the reports containing GESI based disaggregated data and description of the progress made in GESI related issues.

Apart from this, all Committees, Sub-committees, Commissions etc. to be formed under the ministry should be inclusive in nature with proper representation of women and different caste/ethnic groups. Similarly, selection process of participants for all kinds of training, exposure visit and scholarship (both in and outside the country) should be GESI friendly.

2.2   Department Level

At present, Department of Water Supply and Sewerage and Department of Urban Development and Building Construction are under the Ministry of Urban Development. A GESI related Community Mobilization Section headed by the Senior Sociologist has already been established in the Department of Water Supply and Sewerage. This Section will be responsible for the implementation and overseeing of GESI related activities of the Department. Similarly, a GESI related Section to be headed by Senior Sociologist will also be established in the Department of Urban Development and Building Construction. The responsibility of this Section will be to implement and oversee the GESI related activities of this department.

The terms of reference of the GESI related Section will include following activities:

- Prepare the short term, medium term and long term plans for implementing the GESI Operational Guidelines of the Departments.

- Facilitate in mainstreaming GESI in all project cycles of both Departments.

- Review progress and report operational status of GESI guidelines.

- Make arrangement for the collection of GESI friendly disaggregated data in the prescribed formats of NPC.

- Monitor the selected projects status and construction sites (through contractor or Users Committee) for the enforcement of special condition of contract from GESI perspective, analyze the preceived gaps, identify problems and provide suggestions for further improvements.

- Provide orientations on making common understanding about the GESI concept and mainstreaming GESI in the Programs/ Projects to the personnel of the respective Department.

- Ensure monitoring (by Sociologist and Engineer) of all projects from GESI perspective implemented under each Department and the enforcement of SCC in project implementation. Monitoring outcomes must be included in the regular reports of the sociologist and engineer.

- Prepare GRB guidelines in consultation with MoUD.

2.3   Regional Level

A GESI Unit will be formed in each regional offices of DWSS (DUDBC lacks such offices) which will be made responsible for ensuring the implementation of GESI guidelines in project cycles of all selected projects. A Sociologist will be deputed in such Units and

s/he will be responsible for the implementation of GESI guidelines and other GESI related activities. The main responsibility of implementing of GESI Operational Guidelines will rest on respective Regional Directors.

The Terms of Reference (ToR) of the GESI Unit at regional level will include following activities:

- Ensure the implementation and monitoring of GESI Operational Guidelines at the project level from Division/Sub-divisions (DUDBC has provision of Division Offices only whereas the DWSS has provision of both Divisional/Sub-divisional offices) of the Departments.

- Review and report the operational status of GESI Operational Guidelines.

- Ensure incorporation of GESI perspective in the reporting formats provided.

- Prepare GRB guidelines in consultation with Ministry and respective Departments.

2.4   Divisional/Sub-divisional Level

Besides central level, all projects are implemented through the Divisions/Sub-divisions. Therefore, there should be a clear explanation of structure and responsibility for the implementation of GESI guidelines in the programs and projects of the Division/Sub-division. A GESI Unit will be established in each Divisional/Sub-divisional offices. The GESI units thus established will comprise of Division/ Sub-division Chief, Engineer and Social Mobilizer. The respective Division/Sub-division Chief will coordinate the functions of such Units. The Division/Sub-division can outsource GESI Specialist on short term contract basis if there arises over burden of the works in the Unit or to supplement the capacity of the Unit.

The terms of reference of the GESI Unit will include following activities:

- Coordinate with the concerned district line agencies and district based other stakeholders (Users Committee, NGOs, donors, private contractors) and monitor the progress status of GESI mainstreaming in the project cycle.

- Progress review and reporting of operational status of GESI guidelines.

- Ensure GESI mainstreaming in the project cycle (planning and implementation) in accordance with the GESI guidelines.

- Capacity development of Division/Sub-division staff on concept of GESI, the process of implementation of GESI guidelines in project cycle and on GESI monitoring checklists.

- Develop capacity development plan of Division/Sub-division on GESI mainstreaming and allocate the resources accordingly.

- Prepare ToR for outsourcing the GESI Specialist and monitor the performance of such specialists accrodingly.

- Ensure the incorporation of GESI related activities in the reports to be submitted to the respective regional offices and the department.

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Chapter-III

GESI Mainstreaming in Project Cycle Steps

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This section outlines the basic steps to be followed by the MoUD in the process of project identification (3.1), need assessment (3.2), project preparation (3.3), project appraisal (3.4), project implementation (3.5) and benefit monitoring & evaluation arrangements (3.6). These steps must mainstream GESI during the process of preparing annual plan and program which in turn, must integrate GESI related objectives, activities, gender budgeting and results.

3.1   Project Identification

Project identification defines the objectives and scope of a potential project. In this step, studies of all possible options of pre-feasibility and screening of social and environmental aspects are to be carried out.

In the course of identifying the feasible project, it is imperative to identify the existing excluded groups and their appalling situations through extensive community (both men and women) and stakeholders' consultations in the project area. Understanding their situation involves using available qualitative and quantitative data to answer questions, like, "Who will be affected by the project? Who will benefit most and what form of resources generated by the project? Who will lose what? Which women and men? What barriers are faced while accessing the resources, opportunities and benefits generated by the project and in influencing project identification, design and implementation?"

Stressing on identification of barriers that constrain the access of excluded groups to benefits of the development projects alone is not

enough. It is equally important to identify all possible steps to be taken or provisions to be made by the MoUD in order to mitigate these constraints and barriers that are likely to be faced by these groups.

A. *Analysis of Barriers:* To understand the barriers faced by these excluded groups in gaining access, the barriers need to be identified at each phase of project development cycle. The table presented below provides the level, the analytical tools and guidelines on performing this task.

Table 1 : Project Identification: Analysis of Barriers

S.N.	Level	Analysis of Barriers	Guidelines
1.	Plicy	▪ What policies exist ? How have these impacted WPE groups? ▪ What policies have the potentiality to transform existing relations of inequality related to the resources and benefits generated from the Ministry's interventions, i.e. bring change in the socially prescribed division of labour, access to resources and decision-making power between women and men, and between people of excluded and non-excluded groups?	▪ Review concerned Government, MoUD policies, Acts, Regulations (refer for policy analysis matrix, **Annex-1**); program/ project logframe, other policy statements; guidelines; partners' logframes, project guidelines etc. ▪ Identify the existing gaps to deal with the barriers.

S.N.	Level	Analysis of Barriers	Guidelines
2.	Progra-mming and Budgeting	▪ What have been the main interventions by the MoUD? How have these interventions affected WPE groups (e.g. how gender, caste and ethnic differences have promoted or constrained access to opportunities created by the interventions)? Did these interventions have explicit inclusion goals and outcome indicators? Did they have an M & E system that included collection of sufficient disaggregated data to track differential outcomes for different social groups? ▪ What is the budget allocation and expenditure pattern from the total project cost on activities to address issues of WPE?	▪ Review the annual budget (refer for format, **Annex-3**) of MoUD, program/ projects/ partner organization; identify how well activities are addressing GESI issues and the percentage of budget allocated for GESI activities. How transformative are the budgeted activities, and what is the percentage of such activities? ▪ Review the M&E system and a sample of periodic and special reports and studies from the main interventions in the sector.

S.N.	Level	Analysis of Barriers	Guidelines
3.	Institu-tional Structures (MoUD) and Processes	▪ What kind of institutional / organizational structures, mechanisms and processes are there in MoUD, and how responsive are these to the needs and interests of the excluded (e.g. how representative are the committees, project offices, other bodies formed under the project at the local to national levels) of the project area? What are the responsiblilities of different institutions particularly on GESI? ▪ What kinds of structures, mechanisms exist to enable women and the excluded to be part of the planning and monitoring processes of the project ? ▪ Human Resource policies for recruitment, transfer, promotion, staff performance evaluation: How diverse is the staff profile in terms of gender, caste,	▪ Develop a disaggregated staff profile of those concerned with the project identification, project office, partner organizations, local Government partner (refer to format, **Annex- 2**). ▪ Review job descriptions of departments and divisions/sub-divisions and staff such as project manager, sociologist, planning officer, field facilitator, M&E (and other relevant staff), and ToRs of the consultants and other teams. ▪ Review existing policies to cater for specific needs of women highlighted under barriers. ▪ Facilitate interactions and dialogue with staff, particularly female staff and staff from socially excluded groups to identify issues regarding their working environment.

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S.N.	Level	Analysis of Barriers	Guidelines
		ethnicity, religion, region and other variables? The hypothesis here is that diversity will bring in different perspectives and experiences. What provisions are there to recognize specific issues and constraints of women, e.g. facilities for maternity leave, breast feeding, child-care facilities, separate toilets, flexible hours, security? How does the performance-evaluation system capture the efforts of staff on addressing gender and inclusion issues?	
		▪ What is the working culture in the Ministry and its departments? How supportive is it for women, and excluded to work comfortably? What is the behaviour of the non-excluded towards these groups?	

S.N.	Level	Analysis of Barriers	Guidelines
4.	Political Institutions, Social/ Community Groups and Local Organisation	▪ What are the income, social and welfare characteristics of the groups identified as excluded for the project that create barriers for them from access to project benefits? ▪ What are the existing employment options in the project, and what barriers exist for women and other excluded groups in terms of skills, mobility, social norms, etc., to benefit from these opportunities? ▪ Who has access to and control over what resources of the project? ▪ Are political parties interested in the project? At the national level what are their linkages with the MoUD and other key related organizations? ▪ What is the level of political commitment?	▪ Analysis of disaggregated social and economic data. ▪ Consultation/ Interaction with non-excluded and excluded groups. ▪ Establish employment generating opportunities created by the project; identify reasons for which women and socially excluded groups failed to benefit from the project in consultation with the project personnel and the intended beneficiary groups. ▪ Analysis of interests of different economic and political actors in the project since MoUD projects usually involve large amounts of funds and hence generate a lot of interest amongst politicians and business people.

S.N.	Level	Analysis of Barriers	Guidelines
5.	Community and Household	▪ Status of WPE (What social and cultural practices, beliefs, values and traditions exist at the household and community levels that constraint WPE from accessing to resources, opportunities and services? What are the different rules, practices, divisions of labour, social expectations, and differences which affect their access to the project benefits?)	▪ PRA/PLA tools (social mapping, labour, access and control profile, mobility maps, migration status etc.) during pre-feasibility stage of project design. ▪ Use of different tools like SARAR, PHAST etc. ▪ Social impact assessment during pre-feasibility and feasibility stages of proposed projects. ▪ Review census, NLSS, DHS data; GoN, MoUD documents, Infrastructure related progress reports, project/program related documents and information, gender and social analysis. ▪ Collect disaggregated data and substantive evidence to examine the existing status of WPE in the project area, and assess areas and level of disparities. ▪ Identify the availability of labour, disaggregated by sex, age, education, caste/ethnicity, religion and poverty levels and skills that can be used by the project.

3.2   Need Assessment

Need assessment must identify the needs of WPE in the project area and inform the project preparation team about their current situation. Ensure participation of WPE in need assessment, disaggregated by gender, caste and ethnicity. Whether the needs and aspiration of WPE has been ensured or not? Use appropriate tools such as social mapping, FGD, public hearing etc so as to assess the needs of different levels of WPE.

3.3   Project Preparation

Project preparation involves conducting detailed feasibility studies of technical, economic, financial and institutional aspects; on site appraisal and social and environmental assessments. These help to define the project's objectives, rationale, scope and costs and also to assess potential impacts of the project (both positive and negative) on the target groups.

Project preparation must develop responses based on the needs assessment; recognize the socio-cultural barriers and weaknesses in the policy framework or delivery system by strengthening policies, program activities, resource allocations, institutional arrangements and staff incentives, as well as develop self sustaining monitoring and reporting mechanisms and systems. Project design must address the specific barriers of the excluded groups at the different levels as discussed above. Key steps include:

Table 2 : Project Preparation: Responses Addressing Barriers

S.N.	Level	Responses Addressing Barriers	Guidelines
1.	Policy	▪ Ensure policies (e.g. directives at national level, project criteria/ guidelines at community levels, program goals and objectives), explicitly address the constraints of WPE, and mandate action to address them. ▪ The results planned in the project plans/log frames must aim to improve assets, capabilities and voice of WPE. They must address the formal and informal practices that are inequitable and persistently discriminatory, and must aim to transform the existing structural framework that disadvantages women and/or the excluded. ▪ The policies can direct a targeted approach or can address GESI issues in a non-targeted manner by developing mitigation measures to overcome the barriers	▪ Organize participatory workshops and consultations with stakeholders–WPE of different social groups (time, venue, methodology, language and tools should be suitable for WPE). ▪ Provide objectives, outputs, activities and indicators statements integrating technical and social issues. ▪ Review to confirm the beneficiaries (with sex, age, caste/ethnicity, class, location disaggregation). Who is likely to have access to the benefits from the project? Who is likely to control them? Who is likely to benefit less from this intervention? Are the targeted groups defined in clear terms, or are general terms such as 'disadvantaged' or 'vulnerable' used without clear definition of who they are?

S.N.	Level	Responses Addressing Barriers	Guidelines
		faced by WPE groups from accessing the services, opportunities and benefits generated by the project.	What assumptions are being made on women's roles, responsibilities, time, access to and control over resources and on the capacity of the people from excluded groups?
2.	Institutional Structures and Processes (MoUD)	▪ There must be GESI related Sections in the ministry and its departments and GESI Units in the Regional offices, Divisional/Sub-divisional Offices including central level projects under MoUD with specific responsibility on gender equality and social inclusion located within the institutions/organizations responsible for the project. These aforesaid Sections and Units should be adequately resourced and mandated to provide technical support for addressing GESI issues.	▪ Identify GESI work responsibilities at different levels; review existing mechanisms: how are they addressing the identified responsibilities – what has worked and what has not worked and why; identify through participatory process what existing structures can take on GESI responsibilities effectively, identify what new skills and approaches are needed and prepare project design accordingly. ▪ Review, revise / develop ToRs/JDs of key technical and non-technical staffs of different concerned

S.N.	Level	Responses Addressing Barriers	Guidelines
		▪ The terms of reference /job descriptions of all including policy makers and technical staff, must allocate responsibility to work on GESI issues, integrating it into their responsibilities. ▪ Efforts must be made to make the staff profile inclusive, with WPE groups in positions of responsibility. ▪ The human-resources policies in terms of recruitment, promotion, capacity building must be gender and inclusion sensitive, and the personnel policies must support gender-specific responsibilities. ▪ The performance evaluation system must capture efforts made by staff to address gender and inclusion issues.	agencies under MoUD to assess level of GESI responsibilities. ▪ Integrate recognition and incentives for staff that are successful in improving GESI outcomes. ▪ Review HR policies: for recruitment, identify issues constraining applications from WPE groups; adopt alternative strategies of informing about vacancies through networks, in local languages; define 'merit' to include language skills, understanding of local community cultures, etc.
3.	Institutions, such as Households, Political Parties, Social/	▪ Activities (e.g. sustained dialogue and advocacy) must be developed and implemented by informal institutions in	▪ Through consultations and review of previous efforts, identify what has hindered implementation; what

S.N.	Level	Responses Addressing Barriers	Guidelines
3.	Community Groups and other Local Organisations	impacting the WPE from the project outcome and in not violating the human rights of WPE. ▪ Strategies to work with the local elites for changing existing norms, values and attitudes are necessary and have often been successful in bringing change.	behavioural issues, social norms and values and attitudes have been challenges. ▪ Identify measures necessary to work with WPE and with the family decision-makers, community leaders, local leaders and 'elites', e.g. poverty analysis with leaders, decision-makers; sustained dialogue with men on women's empowerment; advocacy campaigns against social evils like gender based violence, *chhaupadi, dowry, boksi and so on*.
4.	Program-ming and Budgeting	▪ There must be programmatic activities and budget allocations that specifically address the issues experienced by WPE groups. Budget must also be allocated for activities that can create a supportive environment to address gender/caste/ethnicity and	▪ Review program activities and budget in detail; assess the likely impact of each activity on WPE. ▪ Find out whether these activities are addressing the barriers identified. Will WPE have access to the resources and benefits created through this

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S.N.	Level	Responses Addressing Barriers	Guidelines
		other dimensions of exclusion. ▪ 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 the 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 by the people of excluded groups. ▪ Allocate sufficient resources for gender-balanced staffing, training and institutional capacity building; include sufficient budget and time to build linkages and for networking to strengthen different interest groups.	activity? What will be their benefits? Will they get these directly? Will these activities help to address the structural issues constraining the progress of WPE, e.g. violence against women or untouchability? Or will they provide immediate benefits of improving livelihoods? Identify percentage of budget allocated to different activities addressing the barriers, and assess whether these will enable the groups to benefit equally.

3.4 Project Appraisal

The studies, options considered, recommendations and project implementation plan developed in the project preparation stage are critically reviewed before the project is approved for funding. The GoN and the donor/s appraise the project against a list of established criteria (policy, technical, financial, economic, social, etc.) before giving approval.

Project Appraisal Criteria must ask: How well are gender equality and social inclusion issues addressed in the proposed project? Within these main criteria, the aspects to assess must include:

- What is the level of involvement of WPE in the design of the project? Were there mechanisms and processes which will enable these groups to voice their interests and views concerning design of the project?

- How well has the project recognized the existing situation of WPE?

- What steps have been identified to address the barriers and strengthen capacity of WPE to access project resources and opportunities and benefit from the project?

- What are the policy mandates and institutional arrangements to address gender and inclusion issues?

- What interventions have been proposed to address the socio-cultural barriers constraining WPE from accessing project resources and opportunities, for building their capacity to influence and enjoy benefits from the project, for enhancing the capacity of service providers to be GESI responsive?

- Do the M&E and reporting mechanisms require disaggregated data and are results monitored for their impact on WPE?

3.5 Project Implementation

Implementation involves final engineering design, preparation of tender documents, other pre-construction activities (e.g. land acquisition, approvals from other concerned agencies, coordination with other infrastructure development activities), tendering/ agreement with user committees, construction and/or installation of equipment. Non-construction activities may include sensitization, orientation, training and institutional development. Implementation also involves project management, quality assurance, and progress reporting and monitoring, and the participation of target groups (both beneficiaries and project-affected groups.)

The key GESI aspects to consider during this phase include:

Table 3: Project Implementation: Steps to Mainstream GESI

S.N.	Project Cycle Sub-phases	Guidelines to Mainstream GESI
1.	Final Engineering Design	▪ Design to include inputs of all, including WPE where possible and relevant (e.g. for land development, Water Supply and Sanitation, housing and building construction etc); the design must be gender and disabilities friendly. ▪ Selection criteria for subprojects encourage use of local labour. Avoid construction camps.
2.	Preparation of Tender Documents	▪ Ensure tender documents to have instructions in CoC that recognise and enable women and people from different social groups to submit bids, within the framework of existing policies and regulations.
3.	Pre-construction Activities	▪ Notice for land acquisition to be in local languages and public to be informed through different media; survey and compensation to be estimated with disaggregation and process facilitated for WPE; coordination with local agencies and government bodies; local materials, labour, tools and technologies to be used.
4.	Tendering/ Agreement with Users Committees	▪ Review complimentary acts in order to later develop affirmative action rules for tendering to provide favourable condition for women. ▪ Review public procurement act to enhance women empowerment and licensing criteria to make them supportive for women.

S.N.	Project Cycle Sub-phases	Guidelines to Mainstream GESI
		▪ Women employment in civil works should be ensured with equal wage as men.
		▪ Safe working conditions for both men and women workers.
		▪ Contractors must not employ the children in construction works.
		▪ Ensure that women, Dalits, Janajati and other excluded social groups can benefit from the construction works by making it as one of the conditions in contractors' contract.
		▪ Maintain daily work attendance sheet for verification by concerned authorities.
5.	Construction and/ or Installation of Equipment	▪ Train WPE groups on construction works such as mason, carpenter, plumber, gabion weaver, and bituminous works; and operating construction machines.
		▪ Meaningful women participation should be ensured and monitored that it is used properly or not.
6.	Non-construction Activities	▪ Advocacy with men and advantaged groups for shifts in attitudes, non-formal education classes, micro-credit support to labourers, child care, breast feeding facilities etc.

3.6 Benefit Monitoring & Evaluation Arrangements

Benefit Monitoring & Evaluation (BM&E) is a process to assess the progress whether the expected development results of the project are being achieved. For this, the BM&E system must collect disaggregated data on outputs, outcomes and development results. Reports prepared based on the findings of BM&E exercise must be submitted to the relevant management authorities on time. This will help project managers/planners to identify areas where the project design can be further improved to achieve its desired objectives, and more importantly, to use this information to better design future projects.

Current monitoring and evaluation formats of Ministry/Department/ Regional Directorate do not adequately capture GESI aspects and hence, these formats need to be reviewed and revised. Apart from the NPC formats for reporting, MoUD will develop the reporting formats, monitoring process and criteria to reflect GESI disaggregation and information areas; and these will be made mandatory for the Departments to report on. Ministry and its Departments will need to complete these as routine attachments to the quarterly and annual reports. Monitoring should be done more regular in order to assess implementation of GESI related issues in projects. In addition, BM & E will be done regularly by third party. Provision of incentives/ awards need to be managed for the projects that have addressed GESI in the best possible manner.

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Chapter-IV

Guidelines for Mainstreaming GESI in Water, Sanitation and Hygiene (WASH) Sector

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This section portrays the guidelines for mainstreaming gender equality and social inclusion in the Water, Sanitation and Hygiene (WASH) sector.

4.1 Policy Issues

Table 4 : Policy Issues for GESI Mainstreaming in WASH

S.N.	Project Stage	Policy Guidlines
1.	Project Preparation and Development Phase	▪ Prioritize the areas where DWSS and other concerned agencies have not reached including areas with high population of poor and excluded groups. ▪ Mandatory disaggregation of data and evidence in assessments and surveys. ▪ Mainstreaming GESI in all aspects of project cycle. ▪ Ensure there are budget heads for social activities like advocacy against discriminatory practices affecting the sector, education/ awareness/ capacity building programs for women for increased participation in projects, for facilitating the participation of poor and other excluded groups.

S.N.	Project Stage	Policy Guidlines
2.	Implementation Phase	▪ Conditions of contract should specify GESI related conditions. ▪ Affirmative action and promotion of women's groups and cooperatives of excluded groups as local material suppliers with revisions in the users' committee guidelines. ▪ Collaboration with MoHP and MoWCSW for training of FCHVs on WASH issues and service delivery to HHs. ▪ Recruitment of local project staff to reflect population diversity. ▪ Project completion report to report on GESI issues according to a developed format.
3.	Operation and Maintenance Phase	▪ Inclusive representation in O&M committees. ▪ Specifically indicate level of coordination with Ward/Village Citizen Fora constituted by local bodies for joint monitoring of projects. ▪ Reward arrangements for successful GESI integration in projects; also for successful/ effective projects with all women WUSC.

4.2 Institutional Arrangements

▪ A GESI related Community Mobilization Section headed by the Senior Sociologist has been established in the Department of Water Supply and Sewerage. This Section is responsible for operationalizing the GESI Operational Guidelines and mainstreaming GESI at the Department level.

▪ An appropriate structure (GESI Unit) will be formed in the regional offices (DWSS has provision of regional offices while DUDBC lacks such provisions) which will be made responsible for ensuring the implementation of GESI guidelines in project cycle of all selected projects. The Sociologist will assist in the implementation of GESI guidelines and other GESI related activities. The Regional Director will be ultimately responsible for the implementation of GESI operational guidelines.

▪ At the Division/Sub-division level, a GESI Unit will be formed consisting the Division/Sub-division Chief, Engineer, Social Mobilizer as part of the team. The concerned Division/Sub-division Chief will coordinate the functions of the Unit with the support of Engineer and Social Mobilizer.

▪ In WUSC, representatives of women and the excluded groups will be placed in decision making positions. There should be at least 33% (preferably 50%) representation of women in such committees. The representation of at least one woman and one person (either male or female) from the excluded groups in the key post of Users Committee will be made mandatory. Project sub-committees will represent at least one person (either male or female) from the excluded groups and one woman in the key post. Guidelines and ToR will be provided to Users Committee and GESI related capacity building trainings will be provided to the representatives of the user committees.

4.3   Mainstreaming GESI in the Project Phase of WASH

Table 5 : GESI in Different Phases of WASH Project

S.N.	Stage	Guidlines
1. Project Preparation and Development Phase		
1.1.	Perspective Plans and Master Planning	▪ Prioritise the areas in Nepal with less coverage of WASH and increase budget allocation accordingly and also prioritise areas with high population of ultra-poor and poor. Use the DAG mapping procedures followed by MoFALD/DDCs to identify the least developed VDCs. ▪ Project completion report to be submitted in prescribed format to address GESI issues.
1.2.	Project Need Identification	▪ Review request from local bodies and identify related disaggregated data. Conduct well being ranking. Usually, requests for projects come from the local elite groups – check if WPE in the area will benefit from the project or not. ▪ Conduct social mobilization in entire HHs in the area to ensure that each household understands the implications of joining/or not joining the scheme and participates in prioritising projects. ▪ Develop a project request form which will require that at least 33% (preferably 50%) of the signatories should be women. Ensure maximum participation of WPE in the project identification and other activities such as Community Action Plan (CAP). ▪ Form sub-committees from among the WASH groups to work on gender and inclusion issues and lobby with the main committees.

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S.N.	Stage	Guidlines
1.3.	Interaction Program with Beneficiary Committee (BC)	▪ Ensure participation of women, children, poor and the excluded groups in interaction programs. ▪ Timing, methodology, language in public meetings and FGD to suit women, children, poor and the excluded. ▪ Household survey to ensure that households of the poor, and the excluded and women-headed households are identified. Sociologist must be included in the survey team. The GESI expert should have properly consulted with the WPE beneficiaries. ▪ Minimum 33% (preferably 50%) women to be included in the WUSC with at least two in key-posts, of whom one each should be woman and from the excluded social groups. ▪ Minimum 33% women participation must be made mandatory for WUG general assembly.
1.4.	Development of PFS/FS Report and Appraisal	▪ All feasibility studies must assess the issues of WPE by using disaggregated data; assess what their barriers and strengths are and how these can affect/support their access to services/benefits from the project; Social mapping should be included.
1.5.	Environmental Impact Assessment	▪ Environmental, biological, socio-economic and cultural impacts based data must be disaggreagated on the basis of sex, caste/ethnicity and location. ▪ Group discussion among water users is a must. Ensure that the views and issues

S.N.	Stage	Guidlines
		of WPE are recognized and indigenous coping mechanisms to deal with environmental impacts strengthened.
		▪ Detail baseline survey is essential, such survey groups must include women, Dalit and other socially excluded groups.
1.6.	Social Impact Assessment	▪ Local structural issues of exclusion of WPE must be assessed; specific barriers of these groups in accessing resources and benefits of the project and the potential positive or negative impacts on them must be carefully assessed.
1.7.	Detail Engineering Survey	▪ Discuss findings with community during study and before finalization. There should be transparency in the detailed design and estimate of the project. The findings should be shared with the stakeholders.
		▪ Community confirmation through Users Committee of location and design must be included in the report before approval.
		▪ Use social mapping as a tool.
1.8.	Engineering Design and Estimate	▪ Taps must be accessible to person with disabilities. Design and orientation of toilets should be women, chilidren and persons with disablility friendly. Design should be discussed with Users Committee and shared with community through the committee before approval.
		▪ Cost estimate to include contribution and support provisions.
		▪ Include/ ensure Water Safety Plan in all WASH projects design and estimates and it should be GESI friendly.

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S.N.	Stage	Guidlines
1.9.	WUSC Appraisal and Registration	▪ Reconfirm the representation of WPEs in the composition of WUSC.
1.10.	Project Appraisal and Approval	▪ After appraisal of Users Committee, DWSS/ Ministry should approve drinking water projects. Ensure GESI indicators and GESI action plan are prepared and included in the appraisal.
1.11.	Social Preparation	▪ Awareness campaign on drinking water and sanitation to be mandatory. Participation of WPE must be compulsory in all training; Training on GESI should be given to women motivator, women volunteer and WUSC. Priority should be given to WPE. ▪ Leadership qualities and basic know how on subject matters of women officials must be strengthened. ▪ GESI related awareness should be in all phases and be customised to address phase related issues. ▪ Criteria for VMW and Sanitation Mason selection should be GESI friendly.
1.12.	WUSC Aggreement; O&M Fund Collection	▪ Aggreement must have conditions for WUSC to address issues of WPE. ▪ User groups to further consider issues of the extreeme poor with low or very low income.

S.N.	Stage	Guidlines
2. Implementation Phase		
2.1.	Budget Allocation	▪ The project proposal should include bugetary provisions to implement GESI related activities. Sufficient budget to be allocated for activities in line with addressing needs and aspirations of WPE, building capacity of these groups to undertake skilled works within the sector. ▪ Budget allocation to be disbursed on time to avoid delays in project completion as this may have negative impacts on the intended beneficiaries.
2.2	Procurement Work	▪ Increase involvement of users and WUSC to ensure that there is transparency in procurement. ▪ Strengthen capacity of community to identify tools and other construction items (this will also support their work in the O&M phase). ▪ Women cooperatives and other WPE groups to be promoted as local suppliers of materials in the users' committee guidelines.
2.3	Construction	▪ Local people's employment opportunities to be promoted during construction phase including WPE in the project area. If contractors are used, conditions in their contract must ensure equal pay for both male and females for the equal volumes of the work performed, support for gender specific issues like child care, and opportunities to WPE for building their skills.

S.N.	Stage	Guidlines
		▪ WUSC must be involved as witness when agreement is made between the government agencies and contractors.
		▪ Percentage of community/beneficiary household contribution towards project implementation should be fixed well in advance of construction. Contribution of identified marginalised households by the community will pay a lower percentage of contribution (to be decided by the project implmentation committee and the WUSC). Beneficiary contribution will be less than 20 percent but not less than 10 percent. Cash contribution will not be compulsory for the extreme poor households. These households will contribute through providing labour (to be decided by the project implementation committee and the WUSC).
2.4	Supervision/ Monitoring	▪ Make it regular with a team of implementing partner and WUSC representatives, including WPE.
		▪ Ensure participation of women, children, poor and the excluded in in Monitoring team.
		▪ Public audit must be done regularly with transparency and proper process. Third party monitoring and evaluation team to ensure that GESI issues are addressed, as per the public audit guidelines.
		▪ Develop and implement system of joint monitoring by users (including WPE) and implementers.

S.N.	Stage	Guidlines
2.5	Project Completion	▪ Include GESI related issues in existing training packages; develop and deliver separate training on GESI where required; build capacity of WPE in sector related skills. Exchange visits for WPE to get exposure of best project practices.
		▪ O & M group with inclusive representation must be provided with appropriate training.
		▪ Project Completion Report (PCR) must include reporting on progress for WPE and the inequality issues addressed. PCR to be disseminated.
		▪ Practices and lessons learned must be well documented and disseminated.
3. Operation and Maintenance Phase		
3.1	Recruitment of Staff	▪ Fortyfive percent of staff are to be from WPE groups (with required skills) ensuring that at least 33% are women.
		▪ Recruitment of VMW with emphasis to WPE.
3.2	Capacity Building of Staff	▪ Design & execute special training for skills building including GESI issues.
3.3	Financial Arrangement	▪ Provide toilet, meter, initial connection charge and water tariff to extreme/ultra poor in subsidised rate.
		▪ Matching fund must be provided as prize money to those who have been successful in effective maintenance of drinking water projects and in addressing inclusion issues.

S.N.	Stage	Guidlines
		▪ O&M fund to be raised by community in advance.
3.4	Benefit Monitoring and Evaluation	▪ Form joint monitoring team with representation of WPE and make regular follow up of the program. ▪ Organise Public/ Social Auditing and Third Party Evaluation with responsibility to address GESI issues. ▪ GESI sensitive evaluation to be done timely. ▪ Monitor Water Safety Plan in all WASH projects to insure whether it is GESI friendly or not.
3.5	Impact Evaluation	▪ To be done with GESI focus and with WUSC's participation.

4.4   Monitoring and Evaluation

The Social Coordination/GESI Section in the Ministry will be responsible for overall monitoring of GESI issues and activities carried out by its department. The Department will be responsible for monitoring programs and projects accordingly and will report to the Ministry as per the guidelines. At District level, GESI issues should be highlighted in discussions in District Water, Sanitation and Hygiene Coordination Committee (D-WASH-CC) and Regional Water, Sanitation and Hygiene Coordination Committee (R-WASH-CC) at Regional level. GESI related activities should be incorporated in progress reports which will require developing a set of GESI indicators. Project performance, in terms of its achievements in outputs, outcome and impact will be measured against a well-defined set of indicators established in the project design & monitoring framework.

The MoUD will establish a rigorous reporting system to prepare and distribute reports on time to the relevant authorities on progress of the project. General reporting of the progress made on GESI related activities should be done quarterly as part of the regular reporting process, and disaggregated reporting should be done in an annual basis. Social Coordination/GESI Section of MoUD will ensure regular data flow from the district to the central level and its reporting in regular progress reports of MoUD and coordination with the M&E unit of the MoUD.

Currently, several projects under DWSS collect data disaggregated by gender and caste/ethnicity but the focus on outputs, and the capacity to track GESI outcomes, is still lacking. This needs to be integrated in routine activities of DWSS. Some potential improvements include:

a)   **Objectives and indicators need to be disaggregated by gender and caste/ethnicity**: It is important to measure who benefits from Water Supply and Sanitation programs and projects, and hence disaggregated data about who has water supply systems, who has built latrines, whose is being used,

needs to be collected and updated. The project preparation, information collection must have disaggregated baselines against which progress can be monitored. Formats for collecting disaggregated baseline data will be developed and used properly.

b)   **Monitoring and reporting formats need to be disaggregated***:* Monitoring formats need to be revised to collect disaggregated data and evidences. Integrate GESI related information and data, and facilitate its reporting as per the requirement of the NPC monitoring system. GESI Section will provide necessary GESI indicators and GESI disaggregated data and establish a system of applying these methods from the central to the regional to the divisional/sub-divisional offices.

c)   **Public audits and public hearing to be institutionalized***:* This is essential for auditing to be transparent and to contribute towards establishment of good-governance practices in downward accountability approach. This should be done with active participation of WPE groups. A guideline related to pubic audit and public hearing needs to be prepared.

d)   **Good practices and lessons learnt:** GESI practices in the MoUD infrastructure development projects should be properly documented and shared with sector level stakeholders through the Sector Stakeholder Group. Capacity to prepare case studies to be documented and analyzed for positive pro-inclusion change needs to be strengthened.

Chapter-V

Guidelines for GESI Mainstreaming in Building Construction, Housing and Urban Development (BCHUD) Sector

This section presents the guidelines for gender equality and social inclusion mainstreaming in the Building Construction, Housing and Urban Development (BCHUD) Sector.The following steps (as outlined in the PWD) provide more operational guidance for mainstreaming GESI.

5.1. Policy Issues

Some policy guidelines for the sectors are:

- Mandatory requirement to identify poor clusters through poverty mapping and adjust program intervention accordingly in land and housing infrastructures development.

- Identification of projects based on GESI requirements.

- Building designs should be revised to the local context and must be gender, disabilities and environment friendly.

Table 6: Policy Issues for GESI Mainstreaming in BCHUD

S.N.	Project Cycle Stage	Policy Guidelines
1. Building Construction		
1.1.	Formulation	• Integration with local level plans/ programs.
1.2.	Mobilization/ Construction	• Consultations with WPE to be ensured preparation of plans and designs for constructing buildings.

S.N.	Project Cycle Stage	Policy Guidelines
2. Housing		
2.1.	Planning	▪ Mandatory representation of women and the excluded in the different levels of committees. ▪ Selection of target groups with required budget allocation ▪ Budget for activities like training and loans for strengthening WPE's capacities as skilled workers and suppliers of construction related materials.
2.2.	Implementation	▪ Mandatory inclusion of WPE in O & M committees; M & E indicators and reporting to be disaggregated with evidence of benefits to WPE.
3. Urban Development		
3.1.	Planning	▪ In urban development projects, it must be ensured that affected female headed households, the poor and the excluded people are timely and adequately compensated. These population groups must not be negatively impacted by project interventions.
3.2.	Implementation	▪ Budget for social activities (child care, responding to needs of WPE) to be incorporated in the project cost.

5.2   Institutional Arrangements

A GESI Section headed by the Senior Sociologist will be established in the Department of Urban Development and Building Construction. This Section is responsible for operatinalizing the GESI Guidelines and mainstreamonmg GESI at the Department level. At the division level, a GESI Unit will be formed consisting the Division Chief, Engineer and Social Mobilizer as part of the team. The Division Chief will coordinate the functions of the Unit with the support of Engineer and Social Mobilizer. The Division Chief can ask any staff of the division to work as a Social Mobilizer until and unless the Social Mobilizer is recruited. The Division Chief can outsource Sociologist on contract basis if there arise over burden of the works in the Unit.

In case of Users Committee, representatives of women and the excluded groups will be placed in decision making positions. Representation of at least one woman and one person (either male or female) from the excluded groups in the key post of Users Committee will be made mandatory. Project Sub-committees will appoint at least one person (either male or female) from the excluded groups and one woman in the key post. Guidelines and ToR will be provided to Users Committee; GESI trainings will be made compulsory for all; skills and competencies of the units will be enhanced, sections and persons responsible will be strengthened for mainstreaming GESI in their routine work.

5.3   Mainstreaming GESI in the Project Phase of BCHUD

5.3.1   Building Construction

At present, DUDBC normally carries out the design and supervision of government buildings. In large projects, a pre-feasibility study has to be carried out: use of topographical maps, aerial photos, land use maps, geological maps and relevant documents from similar projects to determine site selection; information on the condition of the construction site; determine the area, height and shape of the building; size of openings (door and windows) of the building; foundations to be adopted; type of structure to be built and materials to be used.

Table 7 : Project Stages: Builiding Construction

S.N.	Stage	Guidlines
1. Formulation Stage		
1.1.	Project Conception	▪ National/local level needs should be captured: identify building design priorities of WPE. Programs must be part of local level development plan.
1.2.	Feasibility Studies	▪ Consult local people including WPE. Explore using local quarry sites and promoting WPE as material suppliers. ▪ Assess management cost of infrastructure after construction in feasibility studies. ▪ Consider the following factors: ramp for persons with disabilities, smokeless cooking stove, low cost technology in building construction.
1.3.	Investment Appraisal	▪ Include what investment is required for addressing construction requirements of WPE. ▪ Include in cost estimates for disablties friendly infrastructure, child care centre and separate toilets for women and for proper lighting to increase safety.
1.4	Project Preliminary Plan	▪ Discussion of the building and budget requirement; consultation for field survey, site selection; and space use to include views and issues affecting women, poor, person with disabilities and the excluded and should follow regulations. Floor Area Ratio (total covered area of all floors/ plot area) to be defined for open space and height control.

S.N.	Stage	Guidlines
1.5.	Design, Drawings and Cost Estimate	▪ Assess the client's requirements to address the issues of WPE. ▪ Consider the requirements of WPE during the selection of construction site. ▪ Design to include women, child and disabiliites friendly construction (for instance electrical switch, toilet, podium etc.). ▪ Child care centre to be provided wherever necessary (office complex, vegetable market centres and places where more women are involved).
1.6.	Resources Mobilization	▪ Resources to be mobilized for disaggregated data collection, social activities, gender specific/disabled friendly infrastructure facilities; Budget to be allocated as per design.
2. Construction Stage		
2.1.	Planning, Management and Controlling Execution	▪ Project works which do not require high skill (like E/W, Gabion etc) should be carried out through CBOs with WPE without compromising quality and quantity of the work. Women participation in skilled labour to be promoted by allocating specific budget for building capacity of women skilled labour. They should be equally encouraged to participate as per their physical ability in construction works.
2.2.	Environmental Assessment and Social Assessment	▪ Ensure views and issues of WPE; recognize the existing indigenous skills, knowledge, local technology & materails and strengthen indigenous coping mechanisms. ▪ Health, cultural and bio-physical impacts must be sex, caste/ethnicity, location disaggregated.

S.N.	Stage	Guidlines
		▪ Local structural issues of exclusion for WPE must be assessed; specific barriers of these groups in accessing resources and benefits of the building construction and the potential positive or negative impacts on them must be carefully identified.
2.3.	Procurement	▪ WPE should be encouraged to participate in procurement process.
2.4.	Building Construction and Supervision	▪ Training to women construction workers, ethnic groups and minorities for skilled construction works. ▪ Conduct ToT for concerned staffs. ▪ Compulsory representation of WPE groups in the construction and supervision team. ▪ Required facilities such as gender friendy toilet, child care centre etc. during construction works.
2.5.	Establishment of Building Maintenance Program	• Build capacity of local organizations, WPE groups to be involved in maintenance work.

5.3.2 Housing

Table 8 : Project Stages: Housing

S.N.	Stage	Guidlines
1. Planning of Land and Housing Development		
1.1.	Identification and Provision of Finance	▪ Make provisions for grant and soft loan to improve the housing condition of WPE. ▪ Provision should be made to encourage the Financial Institution for providing loan to WPE.
1.2.	Identification and Provision of Land Acquisition for Housing.	▪ Focus on creating employment opportunities for WPE when developing resettlement areas.
1.3.	Preparation and Approval of Plan	▪ Plan should include GESI aspects; plan to include social mobilization activities and public information campaigns for WPE; ensure representation of WPE groups in different committees.
1.4.	Design, Cost Estimation and Budgeting of Housing Project	▪ Prioritise the use of indigenous local materials and technology for cost effective construction as per requirement. Allocate budget for activities to strengthen WPE's capacities as skilled workers and suppliers of raw materials and influence on the decisions. ▪ Adopt a methodology which enables women to provide inputs in the design of the housing project to benefit from their perspectives. ▪ Provide technical khowledge and skills for WPE as beneficiary group to involve in the process of 'Self-help Housing' construction.

S.N.	Stage	Guidlines
2. Implementation		
2.1.	Establishment of Project Office and Implementation Committee, Steering Committee, Users' Committee	▪ WPE representation in committees and involvement in decision-making. ▪ Ensure enabling environment for effective participation of WPE in the meetings.
2.2.	Finalization of Design and Cost Estimates	▪ Consultation with WPE groups to ensure that their priorities and needs are met and to create a sense of ownership.
2.3.	Finalization of Implementation Procedures	▪ Implementation partners to include women led organizations, civil society organisations, private sector; responsibilities of implementing agencies must include GESI related activities.
2.4.	Completion and Handover	▪ Handover agreement to include clauses for infrastructure management and maintenance and promotion of female participation in decision making positions.
3. Operation and Maintenance		
3.1.	Maintenance, Monitoring & Evaluation	▪ Concerned users should be trained and briefed about the services for appropriate use. Train WPE as maintenance workers. ▪ M&E indicators must include services and benefits to WPE; disaggregated indicators are needed for monitoring progress against social inputs, skills of WPE, strengthening their capacities to access benefits from the sector must be done. M&E must be carried out by the Ministry.

5.3.3 Urban Development

Table 9 : Project Stages: Urban Development

S.N.	Stage	Guidlines
1. Planning		
1.1.	Social / Poverty Mapping	▪ Disaggregated data and evidence about urban development requirements of communities, including WPEs have to be collected.
1.2.	Project Identification (Regional Development Plan, Physical Development Plan, Urban Growth Corridor Study, Periodic Planning, Integrated Compact Settlement Study.)	▪ Programs addressing WPE to be identified. ▪ Adopt tools, methods and criteria to ensure active participation of the WPE.
1.3.	Pre-feasibility and Feasibility	▪ Identify existing skills, availability, economic status and interest of WPE which can be used for project; assess capacity building needs and assess feasibility of using women's groups, local organizations in project implementation. ▪ When analyzing the project, easy access to benefit by WPE should also be studied. Based on this, only those projects should be classified feasible which can provide/offer sufficient amount of benefit to the WPE.
1.4.	Environmental Assessment	▪ Assessment must be disaggregated (in terms of sex, caste, ethnicity and location) and identify health consequences of pollution and other environmental impacts

S.N.	Stage	Guidlines
		on poor women and men of different social groups.
		▪ Roles of WPE in environmental management must be identified.
1.5.	Social Assessment	▪ Assessment must include differentiated priorities for design of human settlements, the location of housing and the provision of urban services. Gender/caste/ethnicity/location-differentiated access to employment and income-earning opportunities, access to public park, public toilets, public taps, public hall and temples should be assessed.
		▪ Levels of crime and violence in urban areas and implications on WPE must be assessed.
		▪ Ensure about the provisions of proper lighting, police station, telephone booths etc.
		▪ Consultations/discussions at local level with WPE are essential.
		▪ Degree of impact of resettlement of poor should also be assessed, along with the impact of alternative arrangement, employment and job security.
1.6.	Detailed Engineering Design	▪ Engineering design to include disabled and gender specific facilities: adequate/comfortable waiting space, separate toilets, ramps, brail tiles, child care centres (ensuring the operation of centre after construction and if necessary create posts in public offices to look after child care centre) and disabilities friendly road access.

S.N.	Stage	Guidlines
1.7.	Pre-construction Activities	▪ Labour survey, including WPE; supporting women's groups/cooperatives to become suppliers for construction activities.
1.8.	Design Cost and Estimating and Budgeting for ToR	▪ Discuss with all concerned stakeholders to develop the ToR. Include responsibilities to identify and address issues of WPE in the ToR.
1.9.	Preparation of Development Plan	▪ Inclusion of GESI Action Plan in the overall plan. ▪ In addition to infrastructure related aspects, cover economic, social and disaster risk management issues. ▪ Priority to WPE during the process of land aquisition, compensation distribution and rehabilitation to the disaster affected people.
2. Implementation		
2.1.	Final Engineering Design and Drawing	• Must be elderly, women, child and person with disabilities friendly.
2.2.	Preparation and Approval of Detail Cost Estimates and Specifications	• Cost estimates to include budget for social activities, building skills of WPE, support for gender specific needs.
2.3.	Construction and Supervision	▪ Construction support committee at local level with representation of women and excluded groups, and to involve WPE at different working level based on their efficiency and capability. ▪ Make necessary arrangement for the involvement of WPE placing it on priority

S.N.	Stage	Guidlines
		in constructions work to be implemented by the Construction Committee.
		▪ Capacity building of WPE members to raise relevant issues and influence decisions.
		▪ Training to women construction workers and ensure their involvement in construction work.
		▪ Conduct ToT for concerned staffs.
2.4.	Work Completion and Handover	• Provide complete information about functional utility and then only handover for appropriate use and project/plan sustainability.
2.5.	Repair and Maintenance	• Train WPE for repair and maintenance works, create local employment.
2.6.	Monitoring and Evaluation	• Membership to be inclusive in users/ management committee formed to monitor the project. Monitoring to include whether CoC and GESI action plan has been followed or not.

5.4   Monitoring and Evaluation

The Social Coordination/GESI Section in the Ministry will be responsible for overall monitoring of GESI issues and activities carried out by its Department. The Department will be responsible for monitoring programs and projects accordingly and will report to the Ministry as per the guidelines. All GESI related activities should be incorporated in quarterly progress reports which will require developing a set of GESI indicators. Project performance, in terms of its achievements in impact, outcome and output will be measured against a well-defined set of indicators established in the project design & monitoring framework.

The MoUD will establish a rigorous reporting system to prepare and distribute reports on time to the relevant authorities on progress of the project. General reporting of the progress made on GESI related

activities should be done quarterly as part of the regular reporting process, and disaggregated reporting should be done in an annual basis. Social Coordination/GESI Section of MoUD will ensure regular data flow from the divisional to the central level and its reporting in regular progress reports in close coordination with the M & E unit of the MoUD.

Several projects under DUDBC need to collect data disaggregated by gender and caste/ethnicity. This needs to be integrated in routine activities of DUDBC. Some potential improvements include:

a) **Objectives and indicators need to be disaggregated by gender and caste/ethnicity:** It is important to measure the benefits from urban development, building construction and housing programs and projects. Hence, disaggregated data needs to be collected and updated. The project preparation and information collection must have disaggregated baselines against which progress can be monitored. Formats for collecting disaggregated baseline data will be revised/developed and used properly.

b) **Monitoring and reporting formats need to be disaggregated***:* Monitoring formats need to be revised to collect disaggregated data and evidences. GESI related information and data must be integrated, and its reporting must be facilitated as per the requirement of the NPC monitoring system. GESI Section will provide necessary GESI indicators and disaggregated data formats and establish a system of applying these methods from the centre to the divisional offices.

c) **Public audits and public hearing to be institutionalized***:* The activities of public audit and public hearing will be carried out as applicable in the program/projects. This is essential from the point view of transparency and accountability. These activities should be done with active participation of WPE groups. A guideline related to pubic audit and public hearing will be prepared.

d) **Good practices and lessons learnt:** GESI related good practices of infrastructure development projects of MoUD should be properly documented and shared with sector level stakeholders through the sector stakeholder groups. Appropriate case studies must be collected and prepared for this purpose.

Annexes

Annex- 1: Policy Analysis Format Matrix

Policy, Provision, Article Acts No.	GESI Analysis of Policy Statements, Provisions, Criteria, Guidelines etc.		
	Addresses human condition within existing division of responsibilities, doesn't make structural changes	Establishes rights & promotes transformation	Neutral

Annex- 2: Format for Disaggregate Diversity Profile

S.N.	Post	Dalits				Janajatis						Brahmin/Chhetri				Other Backward class Group		Muslims		Others		Total	
		Hill		Madhesi		Newar		Other				Hill		Madhesi									
								Hill		Madhesi													
		F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M	F	M
1																							
2																							
3																							
4																							
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15																							
16																							
17																							
18																							
19																							
20																							
Total																							

Annex-3: Format for Reviewing MoUD's Annual Budget

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 backward class								
Location (rural, remote, Karnali, Tarai etc								
Poor								
Disabled								
Total								

Abbreviation and Acronyms

ADB/N	Asian Development Bank/Nepal
BC	Beneficiary Committee
BCHUD	Building Construction, Housing and Urban Development
BM & E	Benefit Monitoring & Evaluation
CAP	Community Action Plan
CBOs	Community Based Organizations
CoC	Condition of Contract
DAG	Disadvantaged Groups
DDC	District Development Committee
DDG	Deputy Director General
DHS	District Health Survey
DUDBC	Department of Urban Development and Building Construction
DWSS	Department of Water Supply and Sewerage
E/W	Earth Work
FCHV	Female Community Health Volunteer
FGD	Focus Group Discussion
FS	Feasibility Study
GESI	Gender Equality and Social Inclusion
GoN	Government of Nepal
Govt.	Government
GRB	Gender Responsive Budget
HH	Household
HR	Human Resource
HURDEC	Human Resource Development Centre
JDs	Job Descriptions
KUKL	Kathmandu Upatyaka Khanepani Limited
KVDA	Kathmandu Valley Development Authority
KVWSMB	Kathmandu Valley Water Supply Management Board

M & E	Monitoring & Evaluation
MLD	Ministry of Local Development
MoFALD	Ministry of Federal Affairs & Local Development
MoHP	Ministry of Health and Population
MoPPW	Ministry of Physical Planning and Works
MoUD	Ministry of Urban Development
MWCSW	Ministry of Women, Children and Social Welfare
MWSDB	Melamchi Water Supply Development Board
NLSS	Nepal Living Standard Survey
NPC	National Planning Commission
NWSC	Nepal Water Supply Corporation
O&M	Operation and Maintenance
PAF	Project Affected Family
PCR	Project Completion Report
PFS	Pre Feasibility Study
PHAST	Participatory Hygiene and Sanitation Transformation
PLA	Participative Learning and Assesment
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Paper
PWD	Public Works Directive
SARAR	Self-esteem, Associative Strengths, Resourcefulness, Action Planning and Responsibility
SCC	Special Condition of Contract
SDE	Senior Divisional Engineer
TDF	Town Development Fund
ToR	Terms of Reference
UN	United Nations
VDC	Village Development Committee
VMW	Village Maintenance Worker
WASH	Water Sanitation and Hygiene
WPE	Women, Poor and Excluded
WUG	Water Users Group
WUSC	Water Users and Sanitation Committee