

**Implementation Manual**  
**For**  
**Gender Equality and Social Inclusion Strategy and**  
**Operational Guidelines 2020**

**Nepal Electricity Authority**

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# Table of Contents

ACRONYMS.....	IV
SECTION 1. INTRODUCTION TO THE IMPLEMENTATION MANUAL .....	1
1 INTRODUCTION .....	2
1.1 PURPOSE OF THE IMPLEMENTATION MANUAL .....	2
1.2 WHO IS THE MANUAL FOR? .....	2
1.3 HOW AND WHEN TO USE THE IMPLEMENTATION MANUAL .....	3
1.4 INSIDE THE IMPLEMENTATION MANUAL.....	3
2 ESSENTIAL GESI TERMS.....	4
3 GESI ISSUES IN NEPAL’S POWER SECTOR .....	6
3.1 POLICY CONTEXT FOR GENDER EQUALITY AND SOCIAL INCLUSION.....	6
3.2 THE RELEVANCE OF GESI IN POWER SECTOR .....	6
SECTION 2. PRACTICAL STEPS FOR INTEGRATING GESI IN NEA PROJECT CYCLE .....	9
4 PROJECT DESIGN AND PREPARATION .....	10
4.1 CONDUCTING A GESI ASSESSMENT .....	10
4.1.1 <i>What is the purpose of a GESI assessment?</i> .....	11
4.1.2 <i>Steps in conducting a GESI assessment</i> .....	12
4.2 INTEGRATING GESI CONSIDERATIONS IN COMMUNITY ENGAGEMENT PROCESS .....	19
4.2.1 <i>Engaging with communities</i> .....	20
4.2.2 <i>Issuing Public Notices</i> .....	21
4.2.3 <i>Conducting public hearings</i> .....	21
4.3 SETTING UP A GESI RESPONSIVE GRIEVANCE REDRESS MECHANISM .....	<del>22</del> 23
4.3.1 <i>GRM for resolution of grievances of affected people</i> .....	23
4.3.2 <i>GRM for resolution of grievances of workers</i> .....	23
4.4 INTEGRATING GESI IN PROJECT SUPERVISION PROCESS .....	24
4.5 INTEGRATING GESI IN THE BIDDING AND CONTRACTING PROCESSES .....	24
5 PROJECT SUPERVISION, MONITORING AND EVALUATION .....	27
5.1 PROJECT MONITORING .....	27
5.1.1 <i>Develop a GESI monitoring Plan</i> .....	30
5.1.2 <i>Prepare progress reports</i> .....	31
5.2 EVALUATION .....	31
5.3 PROJECT MANAGEMENT AND SUPERVISION TASKS .....	32
5.3.1 <i>During preparation/ pre-construction phase</i> .....	32
5.3.2 <i>During construction phase</i> .....	33
5.3.3 <i>During project completion and evaluation</i> .....	33
SECTION 3. INTEGRATING GESI IN THE HUMAN RESOURCE STRATEGY .....	34
6 INTEGRATING GESI IN THE HUMAN RESOURCE STRATEGY .....	35
6.1 INTRODUCTION: GENDER AND ETHNIC DIVERSITY WITHIN POWER SECTOR .....	35
6.2 NEA’S AFFIRMATIVE ACTION FOR WOMEN AND EXCLUDED COMMUNITIES .....	35

6.3	GESI RESPONSIVE POLICIES FOR RECRUITMENT.....	<del>36</del> 37
6.3.1	<i>Reaching out to women and men: Talent outreach</i> .....	37
6.3.2	<i>Posting advertisements</i> .....	37
6.3.3	<i>Content of the Advertisement</i> .....	37
6.3.4	<i>Conducting interviews</i> .....	38
6.3.5	<i>On-boarding</i> .....	38
6.4	BENEFITS AND FAMILY FRIENDLY POLICIES.....	39
6.4.1	<i>Leave and allowances</i> .....	39
6.5	PROFESSIONAL DEVELOPMENT FOR WOMEN AND EXCLUDED GROUPS: LEADERSHIP DEVELOPMENT .....	40
6.5.1	<i>Mentoring</i> .....	41
6.6	GESI SENSITIVE WORK ENVIRONMENT: ORGANIZATIONAL CULTURE, WORKING ENVIRONMENT AND PRACTICES .....	42
6.6.1	<i>Working conditions in the NEA offices</i> .....	42
6.6.2	<i>Corporate culture and leadership</i> .....	<del>43</del> 42
6.6.3	<i>Zero-tolerance policy for sexual harassment at work</i> .....	<del>43</del> 42
6.7	IMPLEMENTING THE GESI RESPONSIVE HR STRATEGY.....	<del>45</del> 44
<b>SECTION 4. CHECKLISTS AND OTHER TOOLS FOR DATA COLLECTION .....</b>		<b>47</b>
<b>7</b>	<b>CHECKLISTS AND TOOLS .....</b>	<b>48</b>
7.1	ADDITIONAL QUESTIONS TO BE COLLECTED FROM WOMEN DURING HOUSEHOLD DATA COLLECTION .....	48
7.2	GUIDE FOR CONDUCTING FOCUS GROUP DISCUSSIONS .....	49
7.3	TOOL: ACCESS AND CONTROL PROFILE TOOL .....	52
7.4	TOOL: VULNERABILITY MAPPING .....	53
7.5	CHECKLIST OF QUESTIONS FOR GATHERING INFORMATION FROM LOCAL INSTITUTIONS .....	55
<b>SECTION 5. SAMPLES OF TERMS OF REFERENCE .....</b>		<b>56</b>
<b>8</b>	<b>SAMPLE TERMS OF REFERENCE .....</b>	<b>57</b>
8.1	TERMS OF REFERENCE: GESI COORDINATOR .....	57
8.2	TERMS OF REFERENCE: DIRECTORATE-LEVEL GESI TEAM.....	59
8.3	TERMS OF REFERENCE: GESI OFFICER WITHIN THE PROJECT TEAM .....	60
8.4	TERMS OF REFERENCE: GESI SPECIALIST DURING PROJECT PREPARATION PHASE .....	62
<b>ANNEX 1. GLOSSARY OF TERMS AND CONCEPTS .....</b>		<b>65</b>
<b>ANNEX 2. KEY REFERENCES .....</b>		<b>69</b>
Figure 1.	Structure of the Implementation Manual.....	3
Figure 2.	Principles of GESI mainstreaming .....	5
Figure 3.	GESI informed project cycle .....	10
Figure 4.	Distribution of Staff.....	36
Table 1.	Elements of a GESI inclusive community profile .....	13
Table 2.	Basic Checklist for conducting meaningful FGDs .....	17

Table 3. Checklist for holding community consultations .....	20
Table 4. Checklist for conducting public hearings .....	22
Table 5. Checklist for preparation of contracts and bid documents .....	26
Table 6. A list of possible indicators for NEA projects .....	28
Table 7. Checklist for developing a GESI monitoring plan .....	30
Table 8. Checklist for developing the Terms of Reference for the evaluation team .....	32
Table 9. Checklist for HR directorate to promote an inclusive HR strategy .....	36
Table 10. Guidance for designing advertisements.....	38
Box. 1. What is a GESI Assessment .....	11
Box. 2. Information to be collected through GESI Assessment .....	12
Box. 3. Utilizing the results of GESI .....	18
Box. 4. Broad themes for enquiry in GESI monitoring .....	27
Box. 5. Tips for GESI- responsive indicators.....	28
Box. 6. Possible flexible work arrangements .....	40
Box. 7. Characteristics of mentoring programmes .....	<del>42</del> <u>41</u>
Box. 8. Definition of sexual harassment .....	43
Box. 9. DOs and DONTs in handling sexual harassment cases.....	44

## Acronyms

ADB	Asian Development Bank
CBO	Community based organization
CoC	Conditions of Contract
DoED	Department of Electricity Development
DCSD	Distribution and Consumer Service Directorate
DMD	Deputy Managing Director
EIA	Environmental Impact Assessments
ESMU	Environmental and Social Monitoring Unit
ESMP	Environmental and Social Management Plan
ESSD	Environment and Social Studies Department
GoN	Government of Nepal
GESI	Gender Equality and Social Inclusion
GRC	Grievance Redress Committee
GRM	Grievance Redress Mechanism
HR	Human resources
IEE	Initial Environmental Examination
IPP	Indigenous Peoples Plan
KPI	Key Performance Indicator
LCF	Local Consultative Forum
MoEWR	Ministry of energy, water resources and irrigation
M&E	Monitoring and evaluation
NDHS	Nepal Demographic Health Survey
NEA	Nepal Electricity Authority
NGO	Non-governmental organization
NLSS	Nepal Living Standards Survey
PMO	Project Management Office
PSC	Project Supervision Consultant
PwD	Person with disabilities
RAP	Resettlement Action Plan
RP	Resettlement Plan
SC	Supervision Consultant
SIA	Social Impact Assessment
ToR	Terms of reference

## Section 1. Introduction to the Implementation Manual

1

### INTRODUCTION

- Purpose of the Implementation Manual
- Who is the Manual for
- How and when to use the Implementation Manual
- Inside the Implementation Manual

2

### ESSENTIAL GESI TERMS

3

### GESI ISSUES IN NEPAL'S POWER SECTOR

- Policy context for gender equality and social inclusion
- The relevance of GESI in power sector

# 1 INTRODUCTION

The Nepal Electricity Authority (NEA), established in 1985, has a mandate to generate, transmit and distribute power by planning, constructing, operating and maintaining all generation, transmission and distribution facilities in Nepal's power system.

In line with its commitment to gender equality and social inclusion, the NEA adopted a “**Gender Equality and Social Inclusion Strategy and Operational Guidelines**” for mainstreaming and institutionalizing GESI considerations in its overall portfolio and operations in early 2020. The development and adoption of the GESI Strategy and Operational Guidelines is in accordance with Article 35 of the Nepal Electricity Authority Act, 2041 (1984), which allows the NEA to frame necessary by-laws without prejudice to this Act, for the purpose of managing its business.

The Guideline is accompanied with this Implementation Manual, developed to support NEA staff and partners operationalize the GESI strategy.

## 1.1 Purpose of the Implementation Manual

The Implementation Manual provides practical guidance on how to mainstream gender and social inclusiveness into NEA's operations and as an institution. This includes development, execution, monitoring and evaluation of NEA projects as well as institutional aspects of NEA. It contains the measures that need to be considered in determining the implications of its activities for women and men, girls and boys, including those from socially excluded and vulnerable communities.

Specifically, it includes:

- detailed description of gender and social inclusion issues in the context of power sector, including both project level and institutional issues in power sector organizations;
- practical steps and approaches for the implementation of NEA's GESI strategy and operational guidelines 2020; and
- tools and checklists that may be used in each stage of NEA's project cycle when integrating GESI considerations

## 1.2 Who is the Manual for?

The direct target audience for this manual includes:

- NEA staff formulating and implementing different types and components of power projects
- All NEA staff including those engaged in other functions such as administration, finance and legal departments
- Consulting firms and contractors/sub- contractors engaged in tasks assigned by NEA
- Other service providers including Non-Governmental Organizations (NGOs) engaged in NEA projects

Apart from the above, the following stakeholders engaged in NEA's projects may also benefit from the Implementation Manual.

- Donor agencies/development partners
- International and national organizations associated with power sector

- Experts supporting GESI mainstreaming in the energy sector
- Federal/Provincial/Local Governments

### 1.3 How and when to use the Implementation Manual

In general, integrating GESI considerations is not to be viewed as an isolated or one-time exercise but integral part of all work. As much as possible, teams should identify the different sources of inequalities in the society before designing the project.

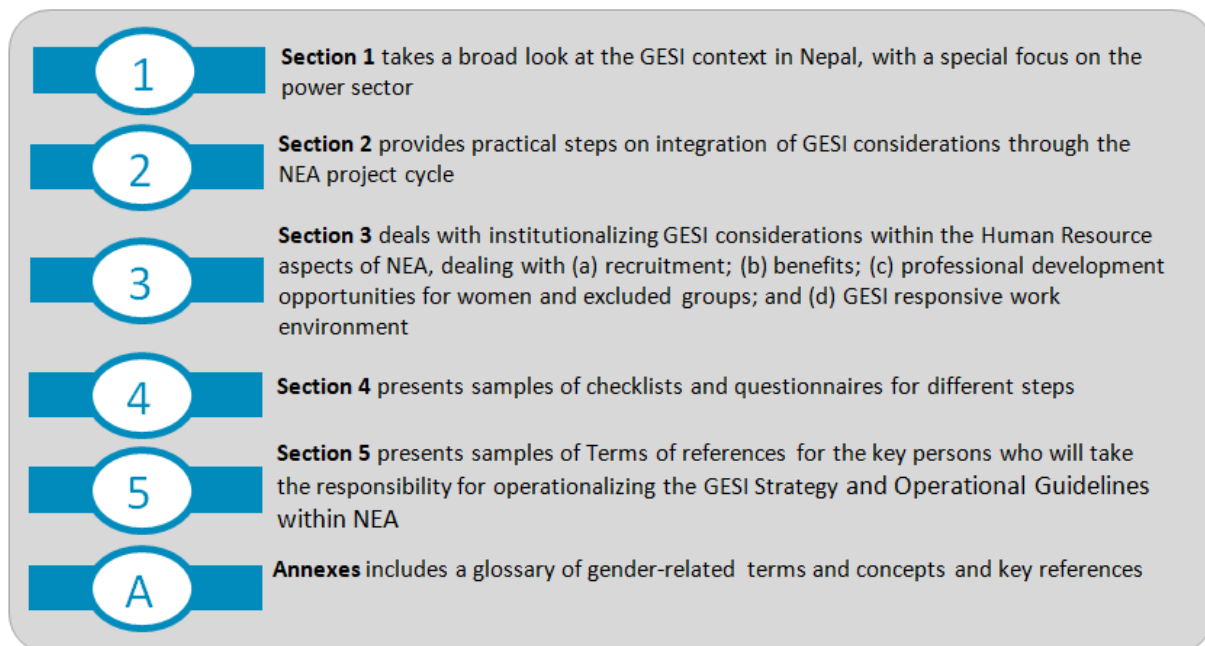
For NEA projects, it is important to utilize the tools described in this Manual from the very beginning of a project. Early recognition of GESI Issues, including the concerns, interests, rights and aspirations of women and excluded communities will help avoid/ minimize negative impacts and maximize benefits for them. However, if, for some reason, it has not been considered at this stage, there are still opportunities to integrate a GESI perspective at later stages, including during operations or in evaluation as this can feed into designs of future projects.

This manual is to be used together with the “Gender Equality and Social Inclusion Strategy and Operational Guidelines” of NEA. It is also accompanied with training resources for NEA trainers, containing power-points, good practice examples, and case studies.

### 1.4 Inside the Implementation Manual

The Implementation manual is composed of five sections, with each section providing guidance and resources for a different aspect of NEA functioning. The sections may be used separately or sequentially, one after another, following the project cycle of NEA. At the end of each section, a list of additional resources is included.

Figure 1. Structure of the Implementation Manual





## 2 ESSENTIAL GESI TERMS

A conceptual clarity on GESI themes is essential to the design, implementation and evaluation of NEA projects. Below are some key definitions of GESI terms that will be helpful in utilizing this toolkit. More definitions and terms are available in the separate Annex: Glossary of Terms and Concepts.

**Gender** refers to the culturally based expectations of the roles and behaviors of males and females. The term refers to the social relations between men and women. It is about their socially determined roles, socially learned behaviors, the responsibilities, and the power and other relations between them. The definition of gender has now been expanded to include transgender or third gender categories, i.e. those individuals who do not identify with some (or all) of the aspects of gender that are assigned to their biological sex of being a woman or a man.

**Gender is NOT synonymous with just women and girls and NOT just for action or the benefit of women and girls only.**

**Gender equality** refers to equality under the law, equality of opportunity (rewards for work, equality of access to human capital, and other productive resources), and equality of voice (ability to influence and contribute to the development process). This means that all human beings are free to develop their personal abilities and make choices without the limitations set by strict gender roles.

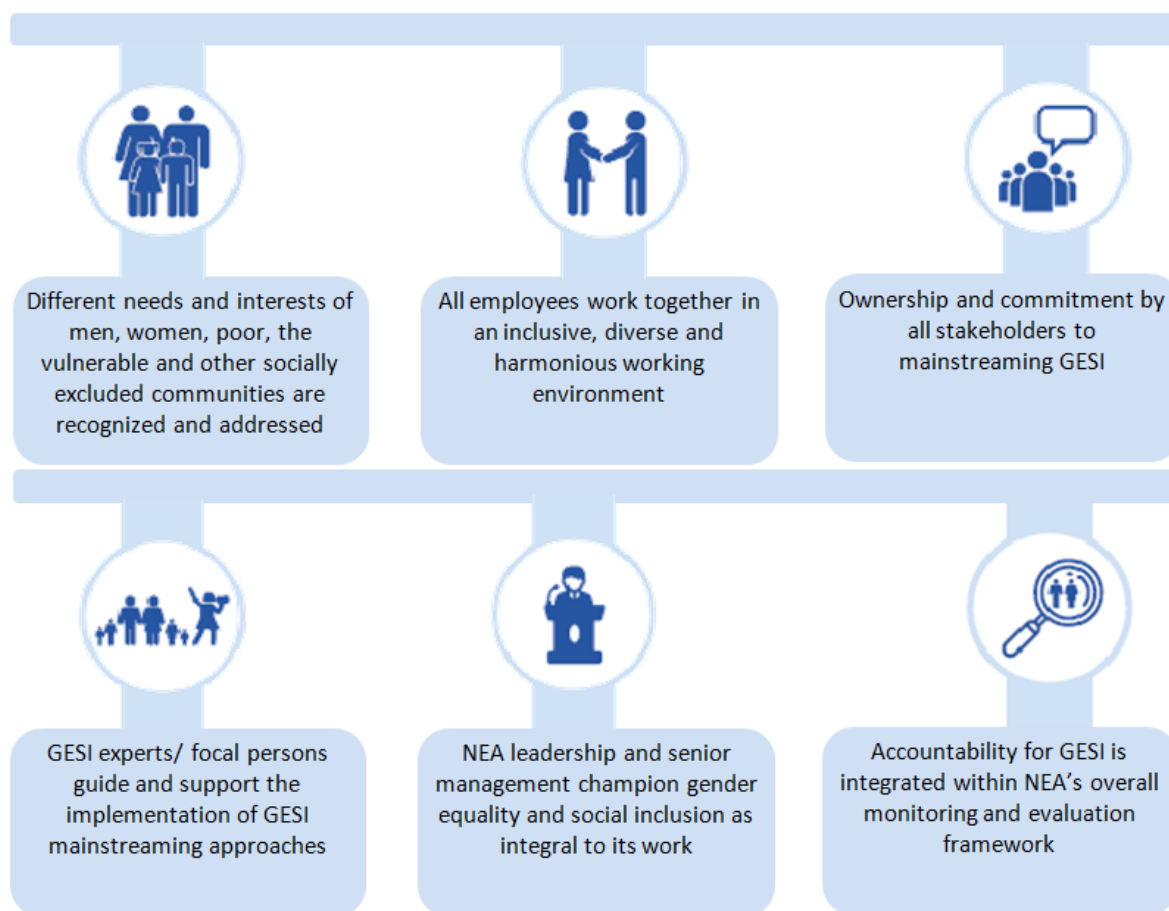
**Gender equity** means fairness of treatment for men and women according to their respective needs. This may include equal treatment or treatment that is different but which is considered equivalent in terms of rights, benefits, obligations, and opportunities.”

**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 actively in decision making on matters that affect them and on access to resources, opportunities and services to enjoy their fundamental rights. It involves development of inclusive institutions, policies, social norms, and behaviors that provide an opportunity for previously marginalized groups to increase their voice and access to assets.

**Empowerment** refers to change in relationships among individuals and groups. Empowerment is a process of enhancing an individual’s or group’s capacity to make strategic choices and transform those choices into desired actions and outcomes. This involves improving their assets and their capabilities so they can become agents of positive social change on their own behalf.

**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 policies, institutional systems, work environment and culture, programme and budget formulation, service delivery, and monitoring and evaluation.

Figure 2. Principles of GESI mainstreaming



### 3 GESI ISSUES IN NEPAL'S POWER SECTOR

#### 3.1 Policy Context for Gender Equality and Social Inclusion

In 2015, Nepal adopted its new constitution which displays a strong commitment to gender equality and social inclusion (GESI), and aims to achieve “gender equality, proportional inclusion, participation and social justice” for its people. The constitution highlights (a) affirmative action for women and historically disadvantaged communities; (b) the right to inclusion and participation in the state structures for all communities in the country; and (c) the right to equality of women, Dalits, indigenous people, minorities and other excluded communities. The 2015 Constitution defines excluded groups as those consisting of women, Dalits, Adivasi Janajatis (the indigenous nationalities), Madhesis (natives of the fertile Madhesh plains of southern Nepal), Muslims, members of the third gender, people with disabilities, and people living in geographically remote areas. See further details and breakup in Annex 1.

Nepal is a signatory to various international conventions, and is legally committed to gender equality and social inclusion. The 2030 Agenda and the Sustainable Development Goals, SDG 5 in particular, underscores that gender equality and the empowerment of women are integral to the achievement of sustainable development.

Accordingly, the government has made it a priority to adopt measures that involve excluded groups in the formulation, implementation, monitoring and evaluation of sectoral policies, plans and programmes. These include communities who have been excluded over a long time based on economic, caste, ethnic, gender, disability, and geographic location.

Over the years, considerable progress has been made in poverty reduction, and the multidimensional poverty, which includes under-nutrition and other SDG related parameter, dropped sharply between 2006 and 2014. Nonetheless, inequalities persist, and the performance on socioeconomic indicators is variable across gender, caste, ethnic groups and geographic location. Poverty rates differ significantly by gender and social groups in Nepal; it also differs by rural versus urban areas, by ecological belt, and by provinces. Women lack equitable access to, and control over, productive resources such as land, credit and technology. According to a 2017 report, the literacy rate for men 15 years and older was 77.8%; while for women, it was 57.2% (20% lower). Additionally, as per the Nepal Demographic Health Survey 2016, working men are more likely to be paid in cash for their work (77%), while working women are more likely to not be paid for their work (52%). Despite the adoption of various legal reforms, persisting discrimination against women and some social groups causes a barrier to their empowerment. Disadvantaged groups include Dalits, Madhesis, Muslims, and indigenous Janajatis, who experience multiple levels of exclusion based on income, gender, caste, ethnicity, and location. Earlier, the Nepal Demographic Health Survey (NDHS) 2011 reported that 60% of Terai women were educated as compared to 80% in the Hills and 64% in the Mountains, indicating geographical disparities.

#### 3.2 The relevance of GESI in power sector

**The development of power projects frequently impacts local communities. Women and disadvantaged communities bear a higher burden of these impacts.**

- When power plants, transmission lines, distribution lines and electricity substations are constructed, it can cause loss of land, loss of residential and commercial structures, loss of crops, trees, community forests and pastures, and water bodies. All these can affect the income, livelihood and living standards of local communities.

- When individuals or communities need to be moved out and resettled, local communities may lose their land, which is their direct sources of livelihoods and incomes, and it is mostly the poorer and more vulnerable sections of the society who are affected more than others. Since women tend to have responsibilities for basic needs like fuel, fodder, nutrition, water and sanitation, loss of these has a far greater impact on women than men.
- Traditionally, fewer women own property than men and their property rights are less secure. According to the population census 2011, in only 10.17% of households, women have official ownership of land and residential property. Since mostly men hold land titles, they are the ones entitled by the law to receive a compensation for loss of their land. Women, not holding land titles, don't receive compensation, but continue to be deeply affected by loss of access to fresh water, vegetable gardens, and firewood growing on their lands. Similarly, there are other people like sharecroppers, daily wage labourers and squatters, who do not receive compensation<sup>1</sup>. Such people, mostly poor, may not be living on the lands, but are affected by land loss through loss of livelihood.
- When forest patches are cleared, indigenous people who depend on forests may lose their livelihood (through forest based produce like fruits, medicinal plants etc) and access to natural resources (drinking water, fuelwood). Since the Land Acquisition Act does not recognize such traditional/customary use and tenure, such communities do not receive monetary compensation for land loss.
- Power projects may lead to influx of workers into the project area, which is known to expose girls and women to sexual exploitation and abuse. This may also lead to spread of sexually transmitted and other diseases. Influx of labour can also mean an increase in demand for existing social infrastructure such as schools, hospitals, transport in the area, and this increased pressure may affect the excluded communities more than others.
- At times, water resources may be tapped/ diverted by hydropower projects, and this may impact the livelihoods of downstream communities, more to poor and excluded that rely on the water for fishing, riverbed farming etc.

**The benefits from power projects do not automatically reach all sections of the society in an equitable manner.** There are several factors that hinder women and socially excluded groups from accessing electricity and from participating in decision-making and planning processes (ADB, 2018) and eventually accessing electricity.

- Existing social relationships and power structures often determine how people are able to benefit from any service, including electricity. Local committees formed to support project design and implementation are generally dominated by men from influential groups, which means that project benefits may benefit some people more than others.

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<sup>1</sup> In case the land to be acquired under this Act is a tenancy holding, fifty percent of the amount of compensation payable for such land is paid to the tenant. In case a house constructed by the tenant with the consent of the landowner is also acquired, the tenant receives the entire amount of compensation paid for such house.

- Geographical conditions play a role in who benefits from electricity. In rural areas, the socially excluded and poor communities typically live on the outskirts of habitations. When grid electricity is extended, it usually starts from the main village and households living on the outskirts may get left out.
- For the poor (for example, farmers dependent on agricultural income and migrant labourers), the ability to pay for connection costs and the monthly energy bills can be a hindrance to get electric connections. Another aspect of affordability is that with limited incomes, the poor may have to prioritize spending on items such as food or children's education, and have to forgo electricity.
- When electricity is provided to households, the vast majority of households use electricity for lighting and mobile phone charging and some for watching televisions. It is only in a few cases that the electricity is used for enterprises or for any other form of livelihood generation including cooking in the household. There is limited awareness regarding diversified use of electricity among rural communities, including productive applications that can potentially help increase incomes.
- One way in which the local communities benefit from power projects is working as labour in the projects. However, it is seen that when local labour is hired, it is mostly men who are hired and very few women get employment, both as skilled and as unskilled labourers. This is because local women are not equipped with necessary skills, are loaded with household responsibilities and are mostly hesitant to take up such employment.

**Since the Impacts and access to benefits of energy projects may be different for men and women, rich and poor, elite and excluded, their views and concerns need to be heard in community consultations and project meetings.** In reality, this is difficult to achieve.

- Gender norms, especially those around household responsibilities, mobility and social acceptance of women in public spaces, constrain women's participation in public consultations, project meetings and training programmes. This is particularly when meetings are held in places far from home, or during times when women are busy with household chores or agricultural activities. Remoteness and difficult terrain only increases this difficulty.
- Even when women attend meetings, they hesitate to make their voices heard. Mostly, consultations are structured in a formal way that is more conducive to men participating actively. In many consultations, one person from each household is invited, which means that the men (who are land owners) participate and women don't.
- For the poor and vulnerable, the opportunity cost of participating in meetings can be quite high. The poor are less concerned about the project because of their necessity to engage in day-to-day livelihood activities.

## Section 2. Practical steps for integrating GESI in NEA project cycle

4

### PROJECT DESIGN AND PREPARATION

- Conducting a GESI assessment
- Integrating GESI in community engagement
- Setting up a GESI responsive grievance redress mechanism
- Integrating GESI in project supervision and contracting

5

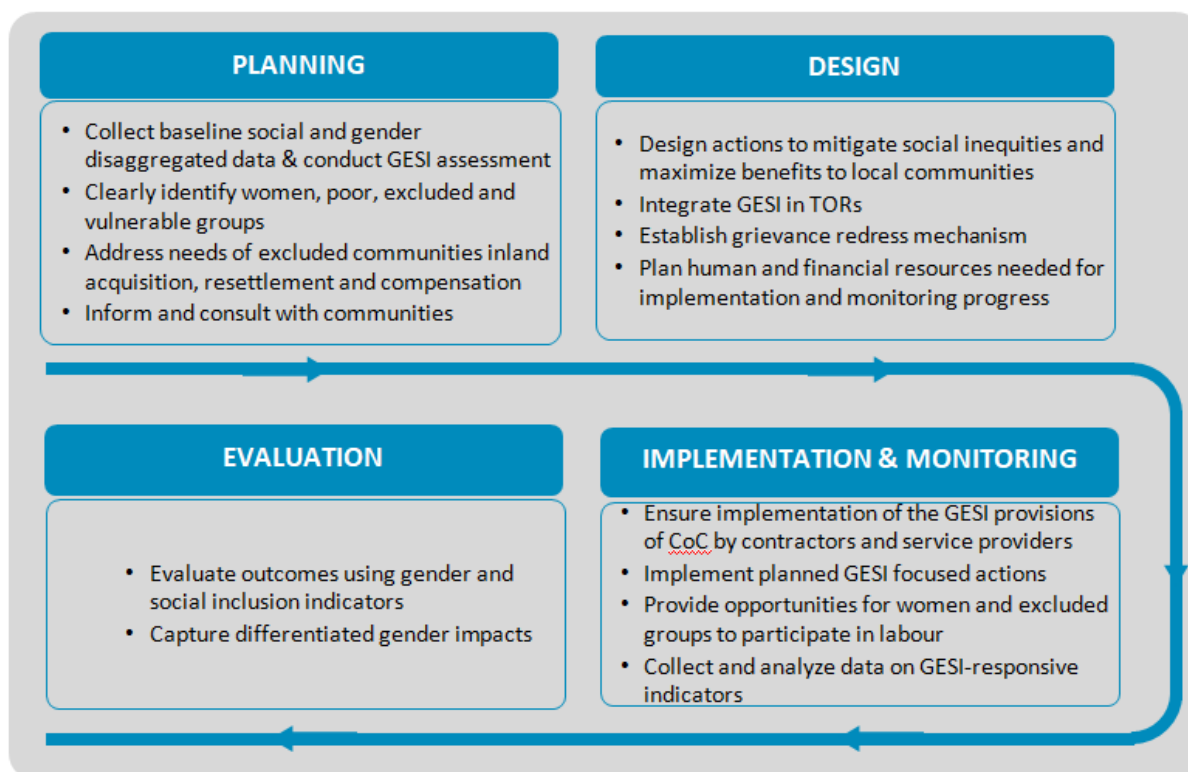
### PROJECT SUPERVISION MONITORING AND EVALUATION

- Ongoing project monitoring
- Evaluation
- Project management and supervision

## NEA's Project Cycle

Throughout the project cycle, it is necessary to identify how gender- and socially- determined exclusion impact the project objectives and processes, either as barriers or opportunities. This information should be utilized to explicitly address any relevant gender and social gaps and inequalities that may affect project design, implementation and monitoring and evaluation (M&E). Integrating GESI is an ongoing process and it includes several key elements in the project cycle. The chart below describes how GESI can be integrated into each step of NEA project cycle.

Figure 3. GESI informed project cycle



## 4 PROJECT DESIGN AND PREPARATION

### 4.1 Conducting a GESI assessment

Before implementation, it is important for any project to understand the local context in order to plan accordingly and ensure operational effectiveness. Carrying out a GESI assessment prior to the launch of project activities can provide information on social and gender based imbalances that exist in local communities and how these may affect the project's outcomes and ultimate impact.

From a GESI perspective, the project preparatory phase is critical, as this is when consultations with the project affected communities begin. In order to ensure that the views of the women, poor, the vulnerable and other socially excluded in the community are taken into account, a GESI assessment must be undertaken at this stage.

### Box. 1. What is a GESI Assessment

A GESI assessment is the collection and analysis of quantitative data (numbers, percentages, proportions, ratios) and qualitative information (preferences, beliefs, attitudes, behaviors, values, scope, etc.) through GESI lens.

GESI assessment has three basic components:



**Gender and social-disaggregated data and information collection**



**Analysis: What does the information mean**



**Planning: How to use the information for planning**

#### 4.1.1 What is the purpose of a GESI assessment?

A GESI assessment provides the necessary information base for mainstreaming GESI considerations into a project. It helps understand the priorities of the women and men, and various community groups that are living in or working in the areas affected by the project.

In designing and planning power projects, a GESI assessment can help answer the following questions:

- What is the composition of the community that is going to be affected by the project? Who, among the community, are socially and economically disadvantaged?
- What are the root causes for unequal gender and social norms and practices (social relations, institutions, and structures)?
- In what ways the project is likely to impact women, the poor and the excluded groups including indigenous people, in the community, both positively and negatively?
- What provisions should the project make to mitigate possible negative impacts on the affected men, women, poor and socially excluded groups (see definition in Annex 1)?
- What provisions should the project make to ensure an equitable distribution of project benefits among all, including men, women, poor and excluded groups?



## Box. 2. Information to be collected through GESI Assessment

- Roles and responsibilities within households and communities, including workloads and mobility.
- Access to and control of assets, resources and opportunities, and obstacles in seeking common services.
- Decision-making and power relations at household and community levels.
- Needs, priorities and perspectives of different groups and their ideas on appropriate and sustainable ways of addressing their needs.
- Participation and leadership in community activities, leadership views on gender equality and social inclusion and barriers to women's leadership.
- Knowledge, cultural beliefs and perceptions which affect women, men, boys and girls, persons with disabilities and other excluded groups differently.
- Legal frameworks, laws or other barriers that prevent women and men, boys and girls, persons with disabilities and other excluded groups from having equal opportunities.

**When to conduct a GESI assessment:** To be conducted during the project preparatory phase, either as part of the EIA/SIA (Environmental/social impact assessment)/ IEE, or independently.

**Who should conduct it:** A GESI specialist, hired for the purpose in project preparatory team (see sample ToR included in section 5).

### Data and information sources

- Desk review and secondary data collection
- Socioeconomic household survey
- Focus group discussions targeting women, especially poor women; and with excluded groups in isolated settlements including indigenous communities
- Key informant interviews, including with government organizations, women and excluded groups represented NGOs, CBOs

Please note that the questions/ checklists included here are not intended at replacing the tools being currently used for IEE/EIA/SIA, but to complement them.

### 4.1.2 Steps in conducting a GESI assessment

#### 4.1.2.1 Before going to the field

##### Review secondary literature

To start with, review available secondary data on the region and the site, to build a basic profile of the community. Secondary data is a good way to start gathering information about the context in which the project will be conducted. These include project documents: feasibility studies, baseline studies,

monitoring and evaluation plan and other project reports; demographic and health surveys, data from the World Bank, United Nations, and government statistics on GESI domains and third-party GESI studies: GESI analyses or research reports. Data on indigenous communities can be obtained from Central Bureau of Statistics, Ministry of Agriculture and Livestock Development, Ministry of Health and Population, NFDIN offices, National Inclusion Commission and Local Government Offices), international organizations (e.g., ADB, World Bank and ILO).

**Table 1. Elements of a GESI inclusive community profile**

<b>Location</b>	What is the exact location of the project and the areas within which (a) the communities are likely to be affected, and (b) communities within proximity of the project site who can benefit from the opportunities created by the project. Are there any specific marginalized, vulnerable, ethnic, and/or indigenous groups that may require special attention?
<b>Population</b>	What is the population likely to be affected by the project and what is its demography (population size, age/ sex structure, number of women headed households, migration pattern, ethnicity and caste, religion and education)? What different social categories exist in the project area (e.g. persons with disabilities, ethnic, religious, occupational, socio-economic status, indigenous people, etc.)?
<b>Land ownership</b>	Which members of the community are the primary owners of land? Do women have individual or joint land titles? Who are the landless? Which communities don't own land, but are likely to be affected by land acquisition?
<b>Livelihood sources</b>	What are the main occupations in the locality? What are the primary livelihood and income sources for the socially excluded communities? For women? What kind of employment are they engaged in? What could be other employment possibilities?
<b>Social setup</b>	What is the social structure of the community? Which sections are more powerful? Are there migrant labourers? Are there any specific ethnic, and/or indigenous groups living in the locality? Are there any specific issues related to women headed households, single women, single mothers, widows, the old and the disabled?

<b>Women's status</b>	What is the level of education, training and other skills among women and girls in the community? How is decision making organized within the household? Who controls income? Are there any variations in women's status between different social groups?
<b>Cultural heritage</b>	What are the religious and cultural practices, including sites and resources people want to preserve (shrines and temples, sacred locales, historic sites, etc) and belief systems?
<b>Infrastructure and developmental priorities</b>	What is the status of roads, electricity, communication, water supply and sanitation, health facilities, schools, and other public services? What are the priorities of men and women, as far as new infrastructure is concerned?

### Form the assessment team

- Make sure to include women enumerators, and a GESI expert in the team
- Each team member should—
  - understand and if possible, speak the local language
  - appreciate the need for involving women in community level discussions
  - be comfortable doing fieldwork and working with local people
- Examine if some representatives from local organizations can be engaged to support the team in reaching out to local communities as well as for data collection
- Conduct an orientation for the team, including on the use of digital means of conducting surveys

### Scope the GESI assessment

Based on the literature review, it is advisable to scope/ plan the GESI assessment, which includes defining the focus/ scope of the study, the methods to employ for consultations with affected groups. This scoping may be combined with the scoping for the IEE/EIA/SIA study.

Before going to the field, make an assessment of the following questions. This can be done through a conversation with the project manager from NEA, representatives from local communities and through literature review.

- Make a preliminary assessment of what are the likely social and gender issues in the area.
- Is the assessment team likely to face any constraints in engaging with women or with people from some communities during the GESI assessment? What are the implications of hosting meetings in a common, public place? Would the discussions be more meaningful if discussions are held separately with village men and women?
- Who are the key people and organizations who should be consulted for assistance in mobilizing people in the community to participate in the consultations?

- Which is an appropriate timing and duration of community meetings?
- In case the GESI assessment is undertaken as part of the EIA/SIA,
  - Review the ToR from a GESI perspective. The NEA and respective department's GESI Coordinator and focal person can do this.
  - Ensure that the formats, questionnaires and checklists used for primary data collection for EIA/SIA include information requirements regarding issues affecting women, the poor and the excluded.

#### **4.1.2.2 Conducting the GESI assessment in the field**

##### **Integrate additional sex-disaggregated data in household survey**

Detailed sex-disaggregated data is necessary for making informed decisions about planning GESI strategies, and a household survey is a good means to do that. Household survey is already a key data collection instrument used in the EIA/SIA to collect baseline information about project affected communities as well as identification and management of potential impacts. According to the 2018 Hydropower Environmental Impact Assessment Manual, the sample size for the household survey as part of EIA should include a full census (100%) of every household that is impacted by involuntary resettlement as part of the Land Acquisition, Livelihood Restoration and Involuntary Resettlement Action Plan (RAP).

It is suggested that additional gender and caste/ethnic diversity based data be collected through the same survey questionnaire, which can be modified.

Specific GESI-oriented questions that must be collected, either as part of the EIA/SIA household survey or separately are included in section 4 (Checklists and Tools) of this manual.

While interviewing women and persons from excluded communities, keep the following in mind:

- Before conducting the actual interview, make sure to 'pilot' the questionnaire with a small number of participants. Preferably, you should test the questionnaire on the same type of people you will include in the real study. This can reveal unanticipated problems with question wording, instructions to skip questions and so on. Crucially, it can help you see if both interviewers and participants understand the meaning of your questions in the way that you understand them.
- Make sure that you talk to women separately, so that they are able to speak freely. A woman facilitator should interact with women respondents.
- In general, it is good to start with the most important questions so that if a person gives up halfway through and still returns the questionnaire, or agrees that an interview can be used, at least you might get the most essential information.
- It is better to leave personal or sensitive questions until the end of the interview, since by then the participant should have built a 'rapport' with the interviewer which will encourage honest responses to such personal questions.
- Leave a space at the end of the questionnaire for 'Other comments' and always ask respondents if there is anything at all that they would like to add.

##### **Conduct focus group discussions and key informant interviews**

In addition to the household survey, it is useful to conduct focus group discussions. At the minimum, the following groups should be covered:

- Men (general community)
- Women (general community)
- Men (each excluded community separately)
- Women (each excluded community separately)

A focus group facilitator or moderator (from GESI assessment team) will lead a loosely-structured discussion among a group, usually 10-20 people. A focus group is a small-group discussion guided by a trained leader. It is used to learn about opinions on a designated topic, and to guide future action. **Make sure to hold separate discussions with each of the groups.**

Who should be consulted in the community to understand GESI issues?

- Representatives from different neighborhoods or different villages in the project area
- Excluded groups and indigenous people, including those without legal title to land and assets
- Local women in the communities who are likely to be affected by the project

The above may be consulted through focus group discussions. In addition, you will need to consult the following through interviews.

- Women NGOs, CBOs and other institutions active in the project area or with an interest in natural resources and social welfare
- Elected representatives from local, provincial, or national governments
- Traditional authorities such as village headperson, elder women, and religious leaders

A list of questions/ issues to be discussed through focus groups and through key informant interviews is included in section 4 (Checklists and Tools). These should be consistently applied across men, women and different communities, as each individual community will have different perspectives and circumstances and as such will experience impacts uniquely. In addition to collecting baseline data on the community's socio economic characteristics, mapping the issues that the project will introduce/impact from a GESI perspective, this discussion should also highlight men's and women's developmental needs and interests. And from this consider how the project can respond to these needs.

**Table 2. Basic Checklist for conducting meaningful FGDs**

- ☐ If you want to share any documents, have you translated documents into a language and form that women and all sections of the community can understand as well as men?
- ☐ Have you provided for women facilitators and Have you set up separate meeting opportunities with women's groups?
- ☐ Have you made sure that women of different status, age, ethnicity will be able to speak freely?
- ☐ Have meetings been planned conducted at times of day, and with seasonal busy periods in mind, that respect women's multiple work responsibilities?
- ☐ Have you used methods to communicate about the assessment and the meetings that takes into account mechanisms that women and vulnerable populations are able to use e.g. through local leaders/ women's groups?
- ☐ Would the facilitator be able to manage any conflicts and tensions over sensitive issues that may arise between groups?
- ☐ As a facilitator, you need to ensure that respectful language is used. Sometimes, community members may use derogatory and discriminatory language for others, which must be watched out for.

#### ***4.1.2.3 Using and reporting the data collected from the field***

The twin purpose of the GESI assessment is to ensure that the adverse impacts from the project that fall disproportionately on women and excluded communities are mitigated, and that the potential benefits for the women, poor, the vulnerable and other excluded community members are maximized.

The information collected on the status of women and excluded communities through the GESI assessment should be included in the section on 'Women Status' under Socio-economic and cultural assessment. In addition, specific GESI measures suggested should be included as part of "Measures to enhance Beneficial Impacts and Mitigate Adverse Impacts" in the EIA/SIA report. This will contain: Measures to enhance beneficial impacts; minimization and mitigation or corrective measures; resettlement and rehabilitation measures; benefit sharing measures and community development plans. In case the expected GESI impacts are significant, it is advisable to prepare a standalone GESI Action Plan report (in addition to including a chapter in the EIA/SIA report), which is also required by some donors like the ADB. This should include clear GESI objectives, GESI design features and quantifiable performance indicators.

### Box. 3. Mitigating GESI based risks: Possible strategies

<b>Developing the resettlement action plans</b> , which should pay attention to	
	<ul style="list-style-type: none"><li>○ The needs and issues of women, who may not be holding land titles</li><li>○ Resettlement measures for female-headed households</li><li>○ Additional counseling that women and the excluded may need regarding the use of compensation money, including supporting them to open bank accounts</li><li>○ Compensating the poor and excluded for their loss of land and access to common property resources, such as grazing lands or community water sources</li></ul>
<b>Planning community development interventions:</b>	
	<ul style="list-style-type: none"><li>○ In planning, take into account the existing inequalities in the community, which may lead to unequal access to employment opportunities, training or business opportunities.</li></ul>
<b>Mitigating gender based risks:</b>	
	<ul style="list-style-type: none"><li>○ Mitigate the risks of gender-based violence, including sexual exploitation, human trafficking, or sexually transmitted diseases, both during construction and implementation of projects.</li></ul>
In payment of compensation: (i) both spouses as well as all adult family members should be fully informed about compensation amounts; (ii) compensation amounts should be handed to the household head in the presence of the spouse; (iii) subject to the consent of the landowner, explore whether the compensation amount can be transferred into joint bank accounts of both spouses; (iv) in addition to cash compensation, where applicable take into account women's and men's preferences in terms of compensation mechanisms; and (v) take into account other adult female household	

Specific topics to be included in the GESI assessment report are:

- **Clear identification of the excluded communities** including indigenous people, including details on their numbers, location, the risks they face because of the project, and their skills and potential for benefitting from the project.
- **Explanation of causes of exclusion and how it will affect the project**, including:
  - Socio-cultural and gender norms of local communities in the project area in terms of decision making between men and women, and access to and control over economic resources
  - Livelihood pattern of community including vulnerable communities, disaggregated by sex, caste and ethnicity
  - Access to and use of services related to energy, water, sanitation, education, health, and transport

- Assessment of work patterns, employment (unskilled, semi-skilled and skilled) and related training opportunities, and energy-based livelihood opportunities for women and how the project could enhance women's opportunities in these areas.
- **Recommendations on GESI focused actions**, including those in risk mitigation measures as well as in community development
- **An implementation plan including**
  - specific, measurable and targeted interventions that will enhance the participation of and/or ensure tangible benefits to the excluded sections including women(e.g., additional capacity-building for vulnerable groups and for women; creation of opportunities for women to participate in decision-making; increased access to resources, support for entry into non-traditional roles and spaces)
  - budgetary requirements for capacity-building; working with men and women and other marginalized people and training project staff, and
  - An monitoring and evaluation plan that collects and analyzes data sex-, disability- and age-disaggregated (and on any other form of exclusion)

#### Additional Resources

- CARE, Social Analysis and Action Global Implementation Manual. [https://www.care.org/wp-content/uploads/2020/08/saatoolkit\\_final\\_rights\\_reserved.pdf](https://www.care.org/wp-content/uploads/2020/08/saatoolkit_final_rights_reserved.pdf)
- African Development Bank, 2009. Checklist for gender mainstreaming in the infrastructure sector [https://www.afdb.org/sites/default/files/documents/policy-documents/checklist\\_for\\_gender\\_maintstreaming\\_in\\_the\\_infrastructure\\_sector.pdf](https://www.afdb.org/sites/default/files/documents/policy-documents/checklist_for_gender_maintstreaming_in_the_infrastructure_sector.pdf)
- Oxfam Australia and CPWF, 2013. Balancing the scales: using gender impact assessment in hydro power development. <https://asia.oxfam.org/policy-paper/gender-impact-assessment-gia-manual>
- DoED, 2005. Manual for Addressing Gender Issues in Environmental Impact Assessment/Initial Environmental Examination for Hydropower Projects, <http://www.doed.gov.np/documents/Manual-for-Addressing-Gender-Issues.pdf>

## 4.2 Integrating GESI considerations in community engagement process

In any project, stakeholders include all persons, groups or institutions that are directly or indirectly affected by the project, as well as those who may have interests in a project or can influence its outcome, either positively or negatively. The most important stakeholder in a power project is the local community, and it is necessary to ensure that their interests are safeguarded. Within communities, there may be different needs, dependencies, vulnerabilities and opinions about a project, based on gender, ethnicity, age, education levels, language skills, social status and other cultural nuances. The stakeholder identification and engagement plan help understand and acknowledge these differences and ensure representation from various groups.



#### 4.2.1 Engaging with communities

Engaging with the community starts during the early stages of project (ideally during the scoping phase of the EIA and preparation of RIPP, IEE, SIA) and includes disclosing project information to them as well as an ongoing consultation while the project is on. In practice, it is often difficult to reach all the people that may be affected by or may potentially benefit from a particular project.

In identifying stakeholders, specifically seek out the following groups:

- Vulnerable groups within the project area of influence, such as those who - by virtue of gender, ethnicity, age, physical or mental abilities, or social status - may be more adversely affected by negative impacts, including the following: - Elderly (all citizens above the age of 60) - Janajatis/ethnic groups and people/Indigenous People - Dalits (especially, elderly, women and children) - Single women (especially unmarried, divorcees and widows) - People with disability
- Local community groups who represents particular disadvantaged sections of the community
- Poor people who are not landowners but dependent on land for their livelihoods such as share croppers, squatters etc
- Users of land/resources within a specific area that may not be members of the local community

**Table 3. Checklist for holding community consultations**

When holding consultations, make sure that:

- Make sure to talk to a range of local leaders who represent all sections of the community (including excluded groups), indigenous people etc.
- In many communities, you may need to have separate meetings with socially excluded persons, who may not feel comfortable voicing their views in front of others.
- The interactions are fully aligned with the level of education/literacy of the people. Hence, the consultations should be in the local language, the use of technical terms and jargon should be minimized.
- Be conscious of existing local conflicts, power dynamics and vulnerabilities within and between communities. Make sure that consultation groups are organized in a manner that the participants are comfortable in voicing their views in front of others. Accordingly, you may need to organize several separate consultations, instead of one big meeting.
- Identify possible representatives of women and the excluded and include them as spokespersons in various committees.
  - At least one-third of the spaces in committees must be reserved for women and representatives from the excluded community.
  - At least one woman and one person (either male or female) from the excluded groups must be represented in the key posts of the Users Committee.

### 4.2.2 Issuing Public Notices

A Public Notice is a notice or announcement posted in a daily newspaper to inform concerned local organizations and individuals about the upcoming project and to solicit public reaction, comments and suggestions.

In using public notices, the following practices may be adopted in order to reach women and the socially excluded:

- In addition to national newspaper, publish the notice in the popular local/ regional newspapers in local language.
- Newspapers are definitely not sufficient. In addition, use other methods of informing the public as well. These include notices posted at offices of concerned nagarpalikas, gaupalikas, municipalities, at other district offices, schools and public service centers such as health posts etc. Ensure that localities where the excluded reside (may be the outskirts of the village) are covered as well.
- Use local language in Public notices. Keep them simple and without technical jargon. The lettering should be in large sizes, with large print so that even school children can read them.
- Indicate clearly in the public notice how further information can be obtained and how suggestions can be made. Give a post box, project office location, telephone hotline number and/or e-mail address.

### 4.2.3 Conducting public hearings

A public hearing must be conducted by the proponent in the area of nagar and gaupalikas where the project is planned to be implemented and collect public opinion /comments/suggestions on it.

#### 4.2.3.1 *Preparing for the public hearing*

Advance public notices (at least 15 days prior) should be provided with adequate information regarding the project and the importance of public participation. As part of preparation, make a reconnaissance visit to the affected communities to inform these communities and interact with their leaders and identifiable groups. Interactions during these visits give indications about the key areas of concern that are likely to come up during the hearing.

- Distribute pamphlets in the local language at least one week before the public hearing.
- Make announcements through loudspeakers in the local language 1-2 days in advance to holding the public hearing to ensure maximum participation.
- In the announcements, inform that the team would like to meet specifically with women and excluded community representatives.
- Seek the opinion of local leaders on what would be best way of engaging with excluded communities, indigenous communities. Also ask whether women would be comfortable in coming for public meeting conducted at a common place, or whether separate meetings must be conducted, and at what locations.
- In case people feel very strongly about a project and there are potential signs of serious public disturbance arising from the meeting, this is the time to be aware of such a possibility and prepare

for it, in terms of ensuring that complete information is available with the team that conducts the public hearing.

#### 4.2.3.2 *Conducting the meeting*

The public hearing must include the following parties:

- Affected local individuals or households, ensuring that all excluded communities are represented.
- Elected officials of concerned nagar- or gaupalika
- Local NGOs, members/ leaders of women's self help groups, health workers, social workers
- Influential individuals from affected area, such as informal or community heads, school teachers, social and religious leaders and other notable women and men, Project developer/proponent themselves
- A representative from the project management (senior manager at site)

**Table 4. Checklist for conducting public hearings**

- ☐ Do NOT schedule public hearing during rainy season, peak agricultural seasons, local and national festivals, and other inconvenient periods to the extent possible.
- ☐ DO NOT prolong the public hearing for more than three hours so that participants can return conveniently to their homes before nightfall. The appropriate time to start would be around mid-morning. This will provide enough time for eating, travelling and returning home.
- ☐ Collect names, signatures, gender and telephone number of all persons attending. Make sure that the public hearings have at least participation of 33% of women and a representative number of people from excluded groups as per population size.
- ☐ Take photos, videos of meetings – especially the interaction session.
- ☐ In case this is not possible in large gatherings, conduct small gatherings with women and the excluded before the last large public consultations so that their inputs can be shared.
- ☐ Use poster displays and other illustrative and graphic material for sharing information and to provide the public with a better understanding of the proposal, and of the potential risks and opportunities.

When completed, a copy of the approved EIA/SIA is sent to the offices of concerned rural municipalities or municipalities.

### 4.3 **Setting up a GESI responsive Grievance Redress Mechanism**

A grievance redress mechanism is put in place during early phase of the project for receiving and addressing project related grievances of all direct workers and contracted workers (and, where relevant,

their organizations) and the project affected communities. The following factors should be considered in setting up a GESI responsive grievance mechanism:

#### **4.3.1 GRM for resolution of grievances of affected people**

- Ensure that the Grievance Redress Committee (GRC) has representation of women, poor and excluded, from among the affected communities, in accordance with prevailing government norms.
- Appoint a woman as core member of the GRC. In disseminating information about the grievance redress mechanism, ensure that the local community women (who may need to approach the GRC) are well aware that they can approach and discuss their problems freely with a woman.
- The GRC will register complaints and concerns about ownership disputes, inheritance of assets, distribution of compensation for affected assets etc. Complaints from women are registered with the woman member of GRC where applicable.
- Orient the GRC members fully on GESI issues, including:
  - Legal frameworks on the protection of women and excluded
  - Their responsibilities and the processes to follow, in terms of how to deal with the complainants, especially women and others who may be vulnerable and may face fear of intimidation or retribution from other community members
  - Respect for the dignity and self-esteem of complainants is critical
- Make sure that the community members are fully aware of the GRM. Information on the GRM should be shared through:
  - display of posters in public places such as in government offices, project offices, community centers, etc.
  - distribution of brochures
  - village-level government officers to hold small-group discussions
  - community-based organizations
- Ensure that the GRC members are available to all sections of the community. For this, the office must be located at a place where women and all sections of the community feel comfortable in approaching.

#### **4.3.2 GRM for resolution of grievances of workers**

A grievance mechanism should be set up for all direct workers and contracted workers (and, where relevant, their organizations) to raise concerns regarding sexual harassment and gender based violence at workplace.

- Project staff and workers should be informed about the grievance mechanism at the time of recruitment.
- The committee to deal with grievances at workplace should include the project team leader, focal person, and an HR representative.

- Measures should be put in place to make the grievance mechanism easily accessible to all such project workers.
- Measures should also be put in place to maintain confidentiality and to protect them against any reprisal for its use.
- Special mechanisms for preventing and responding to sexual harassment and gender-based violence issues should be put in place. An external expert on such issues may be inducted in GRC to deal with and take mitigation steps in case of sexual harassment cases.

#### **4.4 Integrating GESI in project supervision process**

During the project preparatory phase, a Project Supervision Consultant (PSC) is hired whose responsibility is to support in project implementation, supervision, monitoring and reporting. The PSC provides technical, managerial and project management advice to the project implementation unit and the contractors. From a GESI perspective, the tasks of PSC should include the following:

- Allocate resources for a GESI specialist in the team from the beginning of design phase up to completion phase.
- Include and allocate resources for a GESI assessment during the design phase of the project.
- Allocate necessary resources for identified GESI specific activities in the mitigation plans and in community development work. In development partner funded projects these activities could be included as a GESI action plan in the project document. Resource should be allocated to implement this action plan.
- Ensure that public consultation processes include women, poor and excluded communities, during preparation and implementation of mitigation measures as per the section on “Measures to enhance Beneficial Impacts and Mitigate Adverse Impacts” in the EIA/SIA report.
- Ensure that the project monitoring system includes indicators on GESI specific activities with sex-disaggregated and social inclusion data.
- Oversight of the contractors’ performance vis-a-vis all GESI aspects including labor influx and workers’ camps, grievance handling on sexual harassment at work.
- Supervise the implementation of a GESI sensitive GRM and action on grievances received from women and excluded communities.

#### **4.5 Integrating GESI in the bidding and contracting processes**

Project Managers and procurement specialists should ensure integration of GESI related provisions in the bid documents and call for EOI in coordination with GESI focal persons of the directorate and the project implementation team. GESI focal points at the directorate level and the project GESI officer should be responsible for providing support and guiding the contractors and project supervision consultants to meet GESI requirements of the project. Specific responsibilities are as follows:

- Before contracting, GESI focal points at the directorate level should review the contract document from GESI lens and suggest inclusion of necessary clauses in the contract.
- GESI Officer in the project implementation unit should facilitate GESI sensitization for contractors before commencement of their work and agree with them on the specific points in the work

process that will be followed. They should also monitor that the activities are GESI inclusive as conditions of the contract (CoC) mentioned in the contract quarterly.

- The employment of project workers should be based on the principle of equal opportunity and fair treatment – equal pay for equal value of work, should be explicit in women getting equal pay
- The contractor should not employ or engage children (under the age of 14) in the project work
- The contractor should give priority to local employment including employment for women headed household where applicable. Reporting of employment should be done in sex-disaggregated formats
- The contractor should provide separate, safe and easily accessible facilities for women and men working on the site. Lavatories and bathing rooms should be located in separate areas, well-lit and include the ability to be locked from the inside.
- The contract conditions should clearly specify what type of penalty the contractor and sub-contractors will face if CoCs are not adhered
- The contractor should comply with relevant mitigation measures in the ESMP/RIPP including relevant sections of GESI action plan and budgeted in the contract
- Include a requirement in the contract that all workers sign 'Codes of Conduct' governing behavior, and identifying sanctions if the CoC is violated.

**Table 5. Checklist for preparation of contracts and bid documents**

#### **Additional Resources**

- DoED, 2005. Manual for Public Involvement in the Environmental Impacts Assessment (EIA) Process of Hydropower Projects.
- DoED, 2005. Manual for Conducting Public Hearing in Environmental Impacts Assessment Process for Hydropower Projects
- Munch-Petersen, J. 2017. Public participation in environmental impact assessment of hydropower plants in Nepal: a context-specific approach. Colombo, Sri Lanka: International Water Management Institute (IWMI). 32p. (IWMI Working Paper 175). doi: 10.5337/2017.215. [http://www.iwmi.cgiar.org/Publications/Working\\_Papers/working/wor175.pdf](http://www.iwmi.cgiar.org/Publications/Working_Papers/working/wor175.pdf)
- World bank, 2011. Stakeholder Consultations in Investment Operations. Guidance Note. <https://documents.worldbank.org/en/publication/documents-reports/documentdetail/809831468151781543/stakeholder-consultations-in-investment-operations-guidance-note>

## 5 PROJECT SUPERVISION, MONITORING AND EVALUATION

### 5.1 Project monitoring

The respective directorates routinely monitor the performance of their projects, verifying and comparing project progress with the scheduled plan, through all phases of a project. This includes the technical aspects as well as the planned environmental and social safeguard activities and mitigation measures.

Monitoring is an integral part of the project cycle, and three types of monitoring activities are currently in practice, with respect to NEA projects:

#### Baseline Monitoring

Project baseline captures the basic socio economic parameters in the area surrounding the proposed project BEFORE construction begins. Baseline monitoring assesses the changes taking place in these socio economic parameters over time. The baseline should include women and excluded groups specific parameters, and sex and social groups-disaggregated data collection.

#### Impact Monitoring

Impact monitoring measures the impacts resulting from the project interventions in the lives of women, the poor and socially excluded communities. These impacts may be in terms of their quality of life, livelihoods, their skills, social and economic empowerment.

#### Compliance Monitoring

This form of monitoring focuses on ensuring compliance with actions identified for mitigation of adverse social impacts and actions for local community development or GESI action plans.

#### Box. 4. Broad themes for enquiry in GESI monitoring

- Are women, poor and excluded consulted, represented, compensated, participated in activities as outlined in the project document? What obstacles are there and how that can be mitigated to support them?
- What is the overall progress of the implementation of activities?
- Who is likely to be affected adversely by the project? What constraints do women face? Men? Excluded communities? How can these be removed?
- Is there a need for additional activities? Need among women? Need among men? Excluded communities?
- Are the excluded communities actually benefitting from the project activities? Is there anything that can be done to make benefits more equally distributed?.

There are two main steps in monitoring results on GESI:

- Develop GESI responsive indicators and set targets, as part of the project planning process, and
- For each of these, track performance through data collection, analysis and reporting

**An indicator is a pointer. It can be a measurement, a number, a fact, or a perception that points at a specific condition or situation, and measures changes in that condition or situation over time.**



Indicators are of four types: inputs, process, outputs and impact.

- Input indicators concern resources (staff, infrastructure, funds etc.) devoted to the project/programme.
- Process indicators track progress in implementing plans (e.g. proportion of training programmes conducted as planned).
- Output indicators track immediate results of intervention (e.g. changes in knowledge, attitudes and skills apparent through pre- and post-workshop questionnaire).
- Outcome or Impact indicators track long term impact of the intervention (e.g. what changes have participants brought about in the community after training)

#### Box. 5. Tips for GESI- responsive indicators

- ☐ Include at least one GESI indicator at the outcome level.
- ☐ At the same time, keep GESI indicators and targets to a limited number so as not to overload the project. However care must be taken not to select only the ones that are easiest to collect, but may be limited in terms of reflecting meaningful results on GESI.
- ☐ When identifying GESI indicators, pay attention to how to verify these.
- ☐ Go beyond participation. Ensure that at least some indicators capture developmental results of the project on men and women, for example income gains for men and women resulting from employment at project site; improved access to and reliability of energy service etc.

Table 6. Checklist for GESI monitoring in NEA projects

Phase	GESI Indicators
Pre-construction phase	<ul style="list-style-type: none"> <li>• A Gender and Social Inclusion assessment completed part of IEE/ EIA/ SIA by a dedicated Social Development (GESI) Specialist and a section on GESI analysis included in the final report submitted</li> <li>• A Gender Equality and Social Inclusion Action Plan, approved by the donor <u>or NEA, GoN?</u></li> <li>• Inclusion of budget for implementation of specific GESI-based modalities as part of project cost</li> <li>• Inclusion of a Social Development/ GESI Specialist, with local knowledge and experience on Community-Based Development, in project team of ESMP/ESMU</li> </ul> <p><b>In consultations and awareness raising,</b></p> <ul style="list-style-type: none"> <li>• Atleast 33% representation of women and a representative number of people from excluded groups as per population size in all consultations during project preparation</li> </ul>

	<ul style="list-style-type: none"> <li>• Atleast 33% representation of women and a representative number of people from excluded groups as per population size in information disclosure/ public hearing meetings</li> </ul> <p><b>In compensation payment,</b></p> <ul style="list-style-type: none"> <li>• Percentage/ proportion of families from socially excluded categories among the displaced/ affected households who have received compensation</li> <li>• Percentage/ proportion of women headed households among displaced/ affected households who have received compensation</li> <li>• Percentage/ proportion of households where both spouses as well as all adult family members have been informed about the compensation amount and mode of payment</li> <li>• Percentage/ proportion of men and women among those affected who have received financial awareness training</li> </ul> <p><b>In grievance redress mechanism,</b></p> <ul style="list-style-type: none"> <li>• Inclusion of women and excluded in the GRC</li> </ul>
Construction phase, community development	<p><b>Overall</b></p> <ul style="list-style-type: none"> <li>• Budget allocated for GESI implementation</li> </ul> <p><b>In job creation,</b></p> <ul style="list-style-type: none"> <li>• Percentage of total jobs created for men, women and excluded communities, during project implementation</li> <li>• Percentage of women/ excluded communities in local labour engaged for skilled work and for unskilled work</li> </ul> <p><b>In training,</b></p> <ul style="list-style-type: none"> <li>• Total number of persons trained, and among these</li> <li>• Number/ percentage of women</li> <li>• Number/percentage of socially excluded</li> </ul> <p><b>In implementation of Contractors Code of Conduct,</b></p> <ul style="list-style-type: none"> <li>• Record of wages paid shows no gender disparities for work of equal value</li> <li>• Provision of separate facilities required for women employees at the construction site such as separate toilets</li> <li>• Provision of child care facilities in case of mother of under five year children during construction and operation</li> </ul>
Post construction/ operations	<ul style="list-style-type: none"> <li>• Number of households headed by men, women and excluded communities connected with electricity and level of electricity usage in these</li> <li>• Number of energy based enterprises established or trained (and percentage of total) that are owned or operated by women and by excluded community representatives</li> <li>• Energy consumption by women-owned and male-owned businesses over time (for productive use applications)</li> <li>• Percentage of women represented in electricity user groups, committees, cooperatives, utility management, energy board, and other decision-making bodies</li> <li>• Increased income for women and men</li> </ul>

	<ul style="list-style-type: none"> <li>• Improved women's participatory and decision making skills in community infrastructure management issues</li> </ul>
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### 5.1.1 Develop a GESI monitoring Plan

Each project should have a monitoring plan. The monitoring plan should be developed at the planning stage and should specify the following:

- The person responsible for program monitoring (at the project level, this is the GESI officer)
- Indicators to measure gender and social inclusion results
- Baseline situation with respect to GESI indicators
- Data collection methods e.g. surveys, secondary data, focus group discussions, etc
- How often various data will be collected to track indicators
- How data will be reported and shared

**Table 7. Checklist for developing a GESI monitoring plan**

- Have GESI indicators been identified and incorporated in the M&E system during project design and planning?
- Check whether the GESI indicators help to **measure GESI results**, such as the participation levels of women, socially excluded persons in project implementation?
- Does the M&E system enable tracking of differences in project benefits for women, men, and other marginalized groups?
- Does the M&E system allow for **making comparison over time**?
- Does the M&E System enable collection of data that show whether the interests of women, men, and other marginalized groups have been addressed?

### 5.1.2 Prepare progress reports

All NEA progress reports must specifically assess whether (or not) women, the poor and the excluded have benefitted from the project and how to improve their access to resources and benefits. After data have been collected and analyzed, prepare progress reports. To the extent possible, these should be integrated within the social safeguard monitoring reports (quarterly report, semestral report, six monthly reporting) or as required by the financing agency agreed with NEA. In the reports, make sure to disaggregate information by sex, caste, ethnic group, social status, disability etc. Discuss progress reports with field staff implementing the activities, participants, and other stakeholders and seek their suggestions on how to improve program implementation. Progress reports need to have the following information:

- How the project affects women, men, socially excluded communities and vulnerable groups;
- Any unanticipated consequences of the project;
- How the project is performing in terms of promoting GESI and transforming lives and
- Recommendations for needed actions that will strengthen implementation and ensure GESI goals are achieved.

## 5.2 Evaluation

Evaluations are essentially an instrument for learning, accountability, and making course corrections. The GESI aspects an Evaluation must examine are:

- Is the project reaching women/ excluded communities? What is the impact of the project on women? Which of women's/men's activities does the project affect?
- How have new services and infrastructure—electricity, health services, water facilities, education (schools) — been accessed and used by men, women and excluded community representatives? Who controls its use?
- Who is benefitting from the employment opportunities made available by the project?
- Do the employment conditions at work sites address the needs of women adequately?
- Have both men and women been able to get benefits from the compensations provided to affected communities?
- Are women and excluded communities able to access and resolve their problems through the GRM set up under the project?

**Table 8. Checklist for developing the Terms of Reference for the evaluation team**

- Make sure GESI analysis is indicated in all scope of work (SoW) or terms of reference (ToR) in project evaluation contracts
- Include at least one GESI expert in the evaluation team. The person should have experience in designing or leading GESI-responsive evaluations and in conducting GESI analysis.
- The evaluation sample should include equitable representation of women and other marginalized people, as well as men and women field staff
- Ensure that the approach for data collection in the field is appreciative of local customs and tradition.
- Employ mixed (both qualitative and quantitative) methods appropriate to addressing GESI issues.
- Ensure that when interacting with communities, women are able to engage in the discussions freely. This may involve setting up separate discussions with women and at time convenient to them.
- Questions of a sensitive nature (for example, on the grievance redress mechanism) should be explored in total privacy, and care is taken that there is no backlash against women or marginalised community representatives

### **5.3 Project management and supervision tasks**

#### **5.3.1 During preparation/ pre-construction phase**

- Following the completion of the detailed design and the tender documents, confirm that all the proposed GESI oriented actions on mitigation, compensation and rehabilitation measures have been incorporated in the ESMP.
- Provide specific guidance on GESI issues to consultants undertaking IEE/EIA/SIA. Include GESI assessment as part of the ToR for IEE/EIA/SIA or as an independent part where possible.
- Ensure that women, their groups and the excluded communities have been provided complete information about the project: the provisions, the upcoming opportunities and benefits.
- At the time of land acquisition, ensure that affected families, especially women have received appropriate compensation within the stipulated time.
- During contract negotiation, confirm that the design and working methods proposed by the contractors have taken into account relevant GESI considerations.
- Include relevant GESI provisions (workers, camps, child and forced labor, safety, grievance redress, etc.) as part of the CoC of the contractor.

### 5.3.2 During construction phase

During construction, confirm on a regular basis that all the agreed working conditions and procedures regarding various GESI considerations are followed satisfactorily. This includes the following:

- Have CoCs signed by all those with a physical presence at the project site
- Orient civil works contractors (including sub-contractors and suppliers), supervision consultants, other consultants who may have a presence in the project adjoining communities, regarding the GESI provisions to be followed during the construction phase. At a minimum, the orientation should include the roles and responsibilities of actors involved in the project (the standards of conduct for project-related staff captured in CoCs)
- Orient all project staff on the obligations under the CoC, including the steps to be taken in case of violation of the code of conduct
- The provisions under the GRM should explicitly include addressing sexual harassment and gender based violence cases, and be reflected in the incident reporting and addressing mechanisms.

### 5.3.3 During project completion and evaluation

While managing a project evaluation,

- Ensure that the Terms of Reference (ToRs) for evaluators include a clear brief on relevant GESI issues.
- The TOR must specify that the evaluation process must reach out to all stakeholders, including diverse groups (of men and women), whose opinions must be gathered and reported.
- The evaluation must analyze specific obstacles that might have prevented certain groups of the population from participating in the project activities, and how the project has addressed them.
- The TOR must specify that the evaluation examines the extent to which project results have contributed to improving gender equality and social inclusion.
- The ToR must include preparation of a management response plan that includes actions to address GESI related findings and gaps and recommendations.
- The evaluation team must have gender expertise. This should be an evaluation criterion and ranked while selecting evaluation consultants.

### Section 3. Integrating GESI in the human resource strategy

6

- Gender and ethnic diversity within power sector and NEA
- GESI responsive policies for recruitment
- Benefits and family friendly policies
- Professional development
- GESI sensitive work environment
- Implementing the GESI responsive HR policies

## 6 Integrating GESI in the human resource strategy

### 6.1 Introduction: Gender and ethnic diversity within power sector

Like many engineering and infrastructure sectors, power sector is mostly dominated by men. Even though the situation is changing now, the number of women in technical positions and in field postings in power plant operations is typically low. This is primarily because of remote locations and absence of facilities such as safe accommodation, separate toilets for women and child care facilities for young mothers.

Having women as well as socially excluded communities represented throughout the corporate structure is an important step towards their social empowerment: all sections of staff, especially the women and excluded community representatives, should be well trained, resourced and able to move up the organizational hierarchy. This section makes suggestions for HR policies in the following four dimensions:

- Recruitment
- Benefits and family friendly policies
- Professional development for women and excluded groups: Leadership development
- GESI sensitive work environment: organizational culture, working environment and practices

### 6.2 NEA's affirmative action for women and excluded communities

The Nepal Electricity Authority (NEA) is implementing a policy of reservations (gender, ethnicity, marginalized groups) in accordance with the prevailing law of the Government of Nepal. The bylaw governing the NEA staff, the *Karmachari Sewa Niyamavali*, includes several affirmative actions for women and persons belonging to excluded communities in recruitment, benefits and facilities for NEA staff as well as human resource policies. As per government provisions of the Civil Service Act:

- Allocate 45% of the new positions to women and people from excluded groups (within this, 33% of the positions will be reserved for women; 27% for Adivasi/Janajati; 22% for Madhesi; 9% for Dalit; 5% for persons with disability and 4% for backward areas).
- When applying for a new position, the incumbent's age on the date of application submission can be maximum 35 years for men and 40 in the case of women.
- Upon joining, women shall serve a probation period of 6 months and men a period of one year.
- As per government provisions, women staff, Adivasis/Janajatis, Madhesi, Dalits and persons with disability and those from remote areas shall be eligible for promotion after 3 years of service in the same position. Others will be eligible for promotion after 4 years of service in the same position.

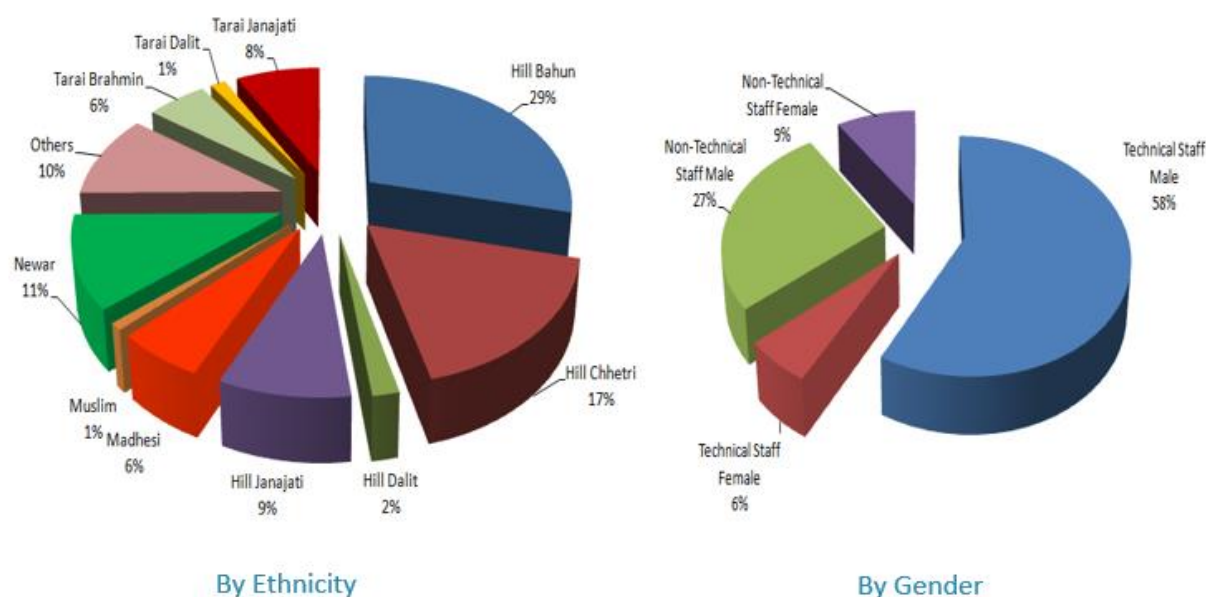
In addition, a number of other benefits are provided to its women employees, in line with the government provisions, which shall be continued.

Despite this, as of July 2019, only 1193 (12.64%) of the 8934 individuals as staff were women. Majority of the women are concentrated at levels 2, 3, 4 and 5. Among the technical staff, the percentage of women is 6.19%, and among the non-technical staff, the percentage of women is 23%. The presence of women is highest as support staff and assistants, while there are very few women at senior management, and only small percentages of women are at mid- and lower levels of professionals. Similarly, as far as ethnic diversity is concerned, data collected in 2019 shows that there is over-representation of advantaged



groups, such as Bahun, Chhetri and Newar and a under-representation of Dalits, Muslims, Janajatis, and Madhesis, especially at the higher levels of the organizational hierarchy.

**Figure 4. Distribution of Staff**



**Table 9. Checklist for HR directorate to promote an inclusive HR strategy**

- ☐ HR policies must set out a clear commitment to GESI issues in all stages of employer-employee relationship (recruitment; compensation; performance management; family friendly policies; leadership development; and working environment).
- ☐ The policies and commitments should be effectively communicated to managers and supervisors and are applied consistently.
- ☐ There is a zero tolerance to sexual harassment. Acknowledge that sexual harassment can be an issue in any workplace and be prepared to discuss it openly.
- ☐ Men, women and excluded community representatives have access to grievance mechanisms alike, particularly with respect to gender-sensitive issues such as sexual harassment.
- ☐ Channels are established for regular, open communication with workers, including staff meetings and consultation with worker representatives.

### 6.3 GESI responsive policies for recruitment

A major challenge in the recruitment of female staff in a largely technology dominant sector is the lack of female engineers in various disciplines and even less applying for NEA jobs, many of which are field-based.

Hence attracting female candidates for this sector must begin early, even at schools and colleges. Here are some means of doing so:

### **6.3.1 Reaching out to women and men: Talent outreach**

- Identify suitable educational institutions and develop outreach programmes using GESI responsive messages
- While reaching out to students and prospective employees, highlight NEA's equal opportunity efforts and make clear that women are welcome and encouraged to grow their career in the industry
- Explore whether men and women in senior positions can visit colleges and highlight the advantages of having a more diverse workforce in their talks.
- Interest young persons in a job with a Utility. Invite children, especially daughters of employees or girls in general, for a one-day event hosted at the utility, such as "Bring Your Daughter to Work Day".

### **6.3.2 Posting advertisements**

- Disseminate the notice of vacancy widely, to reach women and men including excluded groups (with focused attention to ensure that the message reach persons with disabilities), including in remote locations, colleges and educational institutions in smaller towns.
- Provide sufficient time between the posting and the application deadline.
- Post job advertisements in a variety of media including the NEA web page, national newspapers, job and recruiting websites and LinkedIn, in order to reach men and women.
- The notice of vacancy must explicitly encourage qualified men and women and people with disabilities to apply.

### **6.3.3 Content of the Advertisement**

As per government provisions of the Civil Service Act, ensure that the following provisions are displayed prominently in the advertisements:

- Allocate 45% of the new positions to women and people from excluded groups (within this, 33% of the positions will be reserved for women; 27% for Adivasi/Janajati; 22% for Madhesi; 9% for Dalit; 5% for persons with disability and 4% for backward areas).
- When applying for a new position, the incumbent's age on the date of application submission can be maximum 35 years for men and 40 in the case of women.
- Upon joining, women shall serve a probation period of 6 months and men a period of one year.

These provisions must be highlighted in advertisements. Apart from these,

- Ensure that the vacancy announcements use simple language, and to the extent possible, are in local languages.
- Include a brief candidate profile in the advert, and any qualifications or experience you require.

- Include as much relevant information as possible, such as a job description, salary guide, location, ideal-candidate profile, contact details and basic information about NEA.
- Provide clarity on the exact nature and practical requirements of a job, especially if the practical requirements of a job dictate the need for employees of a particular sex.
- Ensure that the application forms for jobs are simple and available in different languages.

**Table 10. Guidance for designing advertisements**

In designing job advertisements, DO NOT

- ☒ Assume that EITHER men OR women alone are suitable for the post.
- ☒ Specify that men (drivers, watchperson) or women (e.g. sweeper, cook, Gender Coordinator) are preferred for any particular post in job advertisement.
- ☒ Put advertisements in only places where women candidates may have lesser access (e.g. internet, more internet users are men than women in rural areas).
- ☒ Ask non-job related, gender specific questions to women candidates like plans for marriage, plans for having children, whether husband will allow her to work etc.
- ☒ Hold interviews of candidates late into the evenings, or in places where women may hesitate to come.

#### 6.3.4 Conducting interviews

When conducting interviews for new staff, the process is governed by an interview panel. It is possible that unconscious biases can come into the interview process.

In order to minimize unconscious bias during face-to-face interviews:

- In interview panels, along with technical staff, members from a different department, such as HR should be included.
- Orient interview panel members on gender and social sensitivity for the members of the selection committee.
- Look at other methods of interviewing, if resources allow, like video interviews and telephone interviews, to cover women who may not be able to travel far for an interview.

#### 6.3.5 On-boarding

- Do not assign task to men and women based on their sex. Pay special attention to supporting women and excluded community representatives in terms of welcome, orientation, introduction to senior staff and infrastructure facilities.
- Announce NEA's commitment to GESI during on-boarding and share expectations regarding respect for diversity and attention to gender equality by employees.
- Integrate into routine on-boarding information about the organization's GESI policies, including the provisions in the GESI strategy and operational guidelines, opportunities for growth, sexual harassment policy and norms of professional behavior expected in the workplace

## 6.4 Benefits and family friendly policies

### 6.4.1 Leave and allowances

NEA is implementing the following benefits to women employees, in line with the government provisions, which should be continued.

- **Transfers:** In case both spouses are in service with the NEA, when one is transferred to a certain location, the other may also be transferred to the same district provided there is an opening.
- **Maternity leave:** Provide 98 days of maternity leave to women employees, which can be taken before or after delivery. Provide an additional 6 months of unpaid leave, which can be taken as a continuity of maternity leave. This leave is permitted only twice during the service period.
- **Mother and childcare leave:** Provide 15 days of leave to male staff.
- **Childcare allowance:** Provide a lump sum amount of NPR 5000 per child as a childcare allowance to employees. This allowance may be provided for up to two children. In case both spouses are in service with the NEA, only one of the spouses is eligible for the childcare allowance.
- **Mourning leave:** In the event of the death of a family member, permit 15 days of leave during the mourning period for both female and men staff. In case the husband is in mourning, the wife is allowed mourning leave for 15 days.
- **Financial support:** Establish a fund for the interest and welfare of the staff, which they may use for academic purposes, health, cultural purposes such as conducting mourning rights, critical health treatment, and resolving problems of natural disaster. Any staff can apply for this financial support for themselves or for a family member.

In order to ensure that the above arrangements work well for both the organization and the employees, the following measures are necessary:

- Communicate the above benefits to all employees
- Inform supervisors and managers about their role in creating a supportive climate in which employees feel comfortable using leave
- Encourage NEA leadership to take appropriate leave in order to encourage employees to do the same
- Create and implement processes to maintain full staffing while employees are on leave

#### 6.4.1.1 Flexible work arrangements

Especially during childcare years, both men and women employees may need the time and flexibility to juggle their work and family commitments. The following options can be provided, without compromising on the work.

#### Box. 6. Possible flexible work arrangements

Policy	Features
Flexi-hours	Employees choose their start and end time of work daily, as long as they complete the agreed-upon number of hours over an accounting period e.g. 40 hours in 1 week.
Compressed work schedule	Employees work full-time hours in fewer than the usual number of days e.g. working 10 hours a day for 4 days. This allows employees to take time off, by working more number of hours prior to taking time off.

In order to ensure that flexible working arrangements work well for both the organization and the employees, the following measures are necessary:

- Clearly convey that productivity is prioritized over physical presence.
- Lay down very clear rules and conditions under which leave and flexible timing options can be applied for.
- Regularly highlight the various policies through NEA's intranet, to create awareness and acceptance for them.
- Encourage managers to have conversations with their employees early about their family commitments to reiterate NEA's support for both men and women employees.
- Emphasize clearly that these options are available if and only if performance and outcomes can be maintained as before.

#### 6.4.1.2 Return to work programme for women

Implement options for women who are returning after maternity leave. Some good practices are:

- Flexible work schedule
- Shorter workday for returning parents
- Longer lunch break for baby feeding
- Clean, comfortable, private and safe lactation room
- Return to work program offering catch-up training on topics to enable competitiveness for job promotions Establish a reintegration program to help women returning from maternity leave to transition back into work and their teams.

### 6.5 Professional development for women and excluded groups: leadership development

In order to enhance the performance of women and excluded community representatives within the NEA,

- Encourage women to take on the responsibilities at decision making levels in both technical and non-technical fields.
- Provide career counseling for women at all levels and for employees from excluded communities, including support staff.

- Hold regular coaching for both male and female high- performing individuals within the organization to prepare them for senior leadership roles.
- Provide on-the-job learning opportunities, such as job shadowing, job rotations especially for business areas in which women are underrepresented, for example, project management.
- Include GESI topics in all basic and organizational training courses.
- Ensure that women and socially excluded employees are proportionately represented in technical skills and project management training programmes and in career advancement opportunities at all levels (for example, if 30% of the eligible candidates for a training programme are women, ensure that 30% of the participants selected for the training are women)

### 6.5.1 Mentoring

Mentoring involves leaders, both men and women, sharing about their own life and work experiences with the junior staff to help them better cope with the challenges. Some tips for starting a mentoring programme are as follows.

- Assign one person to coordinate the program, and act as point of contact for mentors and mentees
- Publicize the mentorship programme and invite senior managers (above L9) to sign up as mentees.
- Organize an orientation for mentors (covering, for example, mentoring topics and boundaries, expected frequency, and format of meetings)
- Mentors have to be provided clear instructions on benefits, targets and roles, and establishing a relationship with the staff they are mentoring. Interaction targets may be in terms of the minimum number of engagements per quarter with the mentee.
- Have frequent meetings separately with the mentors and mentees to constantly evaluate the initiative, integrating feedback and suggestions from mentors, mentees and their supervisors

### Box. 7. Characteristics of mentoring programmes

CHARACTERISTICS OF INEFFECTIVE FORMAL MENTORING PROGRAMS	CHARACTERISTICS OF EFFECTIVE FORMAL MENTORING PROGRAMS
<ul style="list-style-type: none"><li>• Mentor and mentee matching is ad-hoc, not based on assessment</li><li>• Lacks formal goals or objectives</li><li>• No clear time frame or time commitment required</li><li>• No monitoring or check-ins</li><li>• No accountability</li><li>• No clear tie to business efforts exist</li></ul>	<ul style="list-style-type: none"><li>• Mentor and mentee matched based on skills / development needs</li><li>• Formal goals are outlined and tracked</li><li>• Minimum time commitments are designated</li><li>• Formal process exists for monitoring the relationship</li><li>• Both parties are held accountable; links to talent management exist</li><li>• Strong links to organizational strategy and goals</li></ul>

#### 6.6 GESI sensitive work environment: organizational culture, working environment and practices

Organizational culture refers to the values, beliefs and practices that are shared by organizational members. Tips for promoting an open and diverse organizational culture are as follows:

##### 6.6.1 Working conditions in the NEA offices

- Make benefits such as leave to look after sick children, flexible working and subsidized childcare available to women as well as men employees and encourage men to take advantage of them as much as women.
- Provide facilities responding to gender-based needs at ALL worksites and offices, including separate toilets, rest areas, nursing rooms and medical facilities for women. This must be done regardless of the number of women employees at the particular site/ office.
- Ensure women's health and safety by providing safe transport, limiting travel for pregnant women and giving staff the right to refuse assignments that pose undue risk to their safety.
- Consider the possibility of introducing a crèche or contributing to the provision of childcare facilities nearby.
- Consider arranging accommodation during field visits and at project sites for women and Dalit employees who may experience trouble in renting houses.
- Ensure the workplace is friendly for persons with disabilities in the offices, to the extent feasible.
- Provide time and resources for informal networking or events and raise awareness of managers to include men and women

### 6.6.2 Corporate culture and leadership

- Ensure that the final responsibility of mainstreaming GESI lies with the project managers/ Directorate Chief in charge of implementation, who can be assisted by the GESI focal person.
- Familiarize senior leadership with global evidence for the business case and good examples in GESI mainstreaming in human resource practices.
- Coordinate periodic directorate and project level dialogues and interactive training where men and women may discuss GESI related issues in small groups.
- Join a professional network of utilities, like WePower, to receive guidance on advancing gender equality and women's empowerment. Joining such networks can help gain access to resources such as learning material, best practice examples; online discussions, online and offline events. It also gives a signal to other stakeholders that gender equality and women's empowerment is important to the organization.

### 6.6.3 Zero-tolerance policy for sexual harassment at work

The NEA will establish an anti-discrimination and anti-harassment policy that protects staff from discrimination and harassment based on personal characteristics, such as race, ethnicity, sex, age, sexual orientation, gender identity, and disability, among others.

#### Box. 8. Definition of sexual harassment

##### What constitutes sexual harassment?

Pursuant to Section 4 of the Sexual Harassment Prevention Act any of the following unsolicited acts committed by, or caused to be committed by, any person in abuse of his/her position, power or by imposition of any type of coercion, undue influence, or enticement would constitute sexual harassment:

- (a) Physical contact and advances;
- (b) Showing or displaying of pornographic material,
- (c) Expressing sexual motives by way of written, verbal, or non-verbal means,
- (d) Demand or proposal for sexual favours; and
- (e) Flirting or harassing with sexual motive.

In line with The Sexual Harassment at Workplace Prevention Act, 2015 (2071) ("[Sexual Harassment Prevention Act](#)" or "[Act](#)") enacted on February 20, 2015 (Falgun 08, 2071):

- Incorporate the necessary provisions relating to the prevention of sexual harassment as well as gender-based violence (as per law) into the internal employment rules.
- A clear definition of the various forms of sexual harassment to help employees call out instances when they feel unsafe.
- Establish a committee, which handles investigation of sexual harassment cases. Suggested members of this committee can be DMD, admin directorate, Director HR, and a woman officer from NEA, Representative from Trade union and respective Department head.



- In addition, a GESI related grievance and grievance redress cell will be formed in each office, which will coordinate with the central Committee, for all related functions.
- Implement a confidential complaint handling mechanism for complainants. The procedures should include:
  - where to file the complaint to, including a designated telephone number and/or email address to report a complain
  - description of investigation process
  - description of individuals' responsibilities (e.g., employees, managers, supervisors and HR) in upholding/ enforcing the policy
  - Description of rights of victims and witnesses with a survivor-centered approach to respect, safety, and confidentiality
- Take appropriate disciplinary action including immediate termination of employment and referral for criminal prosecution and legal action, where appropriate if the complaint is substantiated.
- Provide the victims with psychological support and treatment, as required.
- Build staff awareness on sexual harassment at workplace and the available response services that employees can access.
- At the time of recruitment, require staff to sign codes of conduct vowing not to engage in unethical, illegal, abusive or disrespectful behavior towards women or any other colleagues and to intervene and report such behavior if they witness it.
- Provide training for supervisors and managers on how to recognize and deal with sexual harassment.

Apart from the above, some ways of handling sexual harassment cases are as follows:

**Box. 9. DOs and DONTs in handling sexual harassment cases**

DO NOT	DO
Write off "minor" acts: What may seem insignificant to someone may be severely distressing for another	Demonstrate care and convey empathy for the victim, irrespective of the magnitude of the offense
Accuse the victim of making a false report	Actions taken must prioritise the victim's health and well-being with prompt investigation
Make the victim feel as if it was their fault	Take action to resolve the issue immediately if possible. If remedial actions are beyond the manager's authority, he/ she should escalate the matter
Take action only after "investigation" is complete	

**Resource:** Government of Nepal, 2015. Sexual Harassment at Workplace Prevention Act, 2015 (2071) ("Sexual Harassment Prevention Act" or "Act")

## 6.7 Implementing the GESI responsive HR strategy

In order to launch the HR related actions, the HR directorate will implement the following actions:

- Issue clear ToRs, as part of their job descriptions or separately, to GESI Coordinator, all GESI focal persons and teams
- At the central level, set up a GESI monitoring committee. Comprising of:
  - o DMD Admin directorate, Coordinator of committee
  - o Director, HR
  - o Officer level women staff
  - o Representative from Trade union
  - o Department head, central admin dept
- During the launch of GESI strategy and operational guidelines, conduct a half-day awareness raising session in the central office and in each of the regional and provincial offices
- Conduct atleast one training/ GESI refresher course every year, in which all GESI focal teams/ GESI focal persons and project level GESI officers must participate
- In annual budgeting, include budget for GESI training
- Include information on caste, ethnicity and gender for each staff member in staff database

Once the HR actions are underway, the HR department will have to monitor, on an ongoing basis, how the organization is performing on HR issues.

It is suggested that the following indicators be tracked by the HR directorate to assess how the organization is performing in terms of its HR management, and report it to management.

### Human resources

- NEA GESI coordinator, GESI teams and GESI focal persons issued clear terms of reference
- Annual budget allocated for GESI actions
- Clearly articulated GESI measures in the HR policy on recruitment, promotion, transfer and benefits.
- All employee data are disaggregated by sex, caste and ethnicity and systematized in the NEA database, updated annually
- For all projects, indicators are established at the onset, monitored against baseline conditions and reported on a regular basis, focusing on improvements to quality of life parameters

### Reporting and communications

- Regularly shared data with upper management to inform decision making regarding allocation of resources and commitment to initiatives or goals
- Annual report and website present data on the proportion of women and socially excluded employees overall, including senior executives and board members

- Annual report to include a section on update of implementation of GESI strategy and operational guidelines

### Capacity building

- Design and implement an ongoing training program, which would be available for developing GESI competencies of all staff
- Annual GESI training carried out for the staff (target: at least Atleast 33% representation of women and a representative number of people from excluded groups as per population size) and facilitated by GESI training experts
- Staff Induction package includes GESI training modules and sessions

### Organizational Culture

- % of staff giving satisfactory performance grading in GESI performance in Staff surveys

### Additional Resources

USAID, 2019, Engendering utilities delivering gender equality: a best practices framework for utilities. [https://www.usaid.gov/sites/default/files/documents/1865/Delivering-Gender-Equality\\_A-Best-Practices-Framework-for-Utilities.pdf](https://www.usaid.gov/sites/default/files/documents/1865/Delivering-Gender-Equality_A-Best-Practices-Framework-for-Utilities.pdf)

Gender Mainstreaming in Human Resource Toolkit An Assessment Tool for Human Resource Practitioners. <http://ww1.csc.gov.ph/phocadownload/userupload/root/GENDER%20MAINSTREAMING%20toolkit.pdf>

Murthy, Ranjani K. and Mercy Kappen, 2007, Institutionalizing gender within organization organizations and programmes: A training manual. [https://www.researchgate.net/publication/281267457\\_Institutionalizing\\_gender\\_within\\_organisationor\\_ganizations\\_and\\_programmes\\_A\\_training\\_manual/link/55dd6e3408ae3ab722b1c185/download](https://www.researchgate.net/publication/281267457_Institutionalizing_gender_within_organisationor_ganizations_and_programmes_A_training_manual/link/55dd6e3408ae3ab722b1c185/download)

## Section 4. Checklists and other tools for data collection

7

- Additional questions for household survey
- Guide to conducting focus group discussions
- Checklist for gathering information from local institutions

## 7 Checklists and tools

### 7.1 Additional questions to be collected from women during household data collection

The questions below may be incorporated within the standard socio- economic survey questionnaire; however, the questions for women must be discussed with them separately by a woman facilitator/interviewer. It is advisable to include atleast 30% women among the respondents of the socio economic survey. Make sure to leave enough space while printing the questionnaire so that the interviewer's impressions can be recorded as well.

Expected duration: 30 minutes

Name of respondent:

Address and contact details:

Time and date of interview:

Signature and name of interviewer:

#### Available resources and access to services

1. How much land does your family own? How much of this is agricultural land? In whose name? Is there any land in your name?
2. What are the main sources of income in your family? Prioritize the top 3.
3. How is cash used and managed in the households? Who controls monetary resources and who 'generates' money?
4. What is your household's nearest water source (pl tick, more than one if necessary)?
5. Piped water supply within the household premises
  - Compound / household borehole or well
  - Community borehole or well
  - River
  - Spring
  - Water vendor
  - Other (please specify)
6. If water is not available within home premises, who collects it? How many times in a week? How many hours does the water collection take?
  - Less than 1 hr
  - Between 1 & 2 hrs
  - Between 2 & 3 hrs
  - More than 3 hrs
7. Do you have any cattle? Where do you graze them? How far is the communal grazing land?
  - Are you connected to electricity?
  - Grid connection

- Generator
- Solar system
- None at all

8. What is your household's main source of cooking fuel? (select top 3 options)

- Wood
- Cow dung cakes
- Liquid Petroleum Gas
- Kerosene
- Other (specify)
- Are there any women's organizations in which women are engaged in?
- What are current labour options in your village/ community? In which of these, women are engaged?

9. Do electricity-based enterprises exist in the project area? Which types of enterprises? Who owns them? Can women start such enterprises or be employed by them?

- Do women have access to finance to start such enterprises?

10. Anticipated project impacts

- In your view, once the project is implemented,
- How will men's and women's, and boy's and girl's roles be affected?
- What assets (for the household, community, and for you personally) will be impacted?
- What lands will be required for the project?
- Will men and women be able to benefit equally from
- New labor opportunities?
- Compensation amount?

## 7.2 Guide for conducting focus group discussions

A focus group is a small-group discussion guided by a trained leader. It is used to learn more about opinions on a designated topic, and then to guide future action. The group's composition and the group discussion should be carefully planned to create a nonthreatening environment, so that participants feel free to talk openly and give honest opinions. Organize separate focus groups of women and men. Be sure that each group includes people from a specific socio-economic group.

Ideally, an FGD should be between 60 and 90 minutes. If the FGD is shorter than 60 minutes, it is often difficult to fully explore the discussion topic. If the FGD is longer than 90 minutes, the discussion can become unproductive (as participants get weary) and the discussion can start to impose on participants' time.

After the discussion, depending on the time available, two participatory tools may be applied, which are explained in this section.

### Checklist of issues to be discussed at the focus group discussions

Focus group discussions must be carried out with a number of groups, including with women separately.

1. Who are the main social groups living in the community? What is the ethnicity make up? Where do the socially backward live? Are there any indigenous groups? Who are the vulnerable groups, who are likely to be more adversely affected by negative impacts, including the following: -
  - Elderly (all citizens above the age of 60)
  - Janajatis/ethnic groups and people/Indigenous People
  - Dalits (especially, elderly, women and children)
  - Single women (especially unmarried, divorcees and widows)
  - People with disability
2. Who are the people who are going to be directly and indirectly affected by the project? This may include families who are living in the village and may lose their house, commercial establishment, agricultural land, or people practicing a trade/occupation in the project-affected area; agricultural laborers and non-agriculture laborers, landless and squatters.
3. What are the prevalent enterprises in the community? Owned/ run by men? Owned/ run by women? What electricity services would be most useful for men and for women and the excluded e.g. three-phase electricity for grinding mills, use of rice cookers, sufficient energy for women-led businesses.
4. What do communities express as their priorities? For men? For women? For general community? For the socially disadvantaged?
5. What are current labour options in the village? What are the employment, unemployment levels, skills base, current work practices, pay rates for different roles, and variations across social class, age and gender for each of these indicators? How will the project affect current labour in the community? What will be the impact on men's and women's labour?
6. What specific facilities and support will workers from local communities (both men and women) need if they are to be employed by the project)?
7. What are the responsibilities of men and women in your community?
8. What development activities do different people propose? Men? Women? Excluded groups? Which of these activities can realistically be implemented? Which of these are likely to benefit the disadvantaged the most? For each proposed development activity, who are the stakeholders? Is there conflict between stakeholders?
9. For future employment, make an estimate of what is the size and skill level of the existing local workforce? Make an assessment of whether the project can hire workers from the local workforce? If the skill level of the local workforce does not match the needs of the project, can they be trained within a reasonable timeframe to meet project requirements?
10. Are there any financial mechanisms are in place to help disadvantaged households afford the cost of installation and consumption of energy? If there are no financial support mechanisms, where do disadvantaged households get the funds to pay for energy installation and consumption?
11. Are women likely to have access to the compensation received by the families? If not, what special arrangements need to be made to ensure women also have access and voice over the use of the compensation and decisions regarding resettlement?

12. How do women see project's impacts on their lives and livelihoods (benefits, social and environmental impacts, compensation)? How are they likely to be affected through the impacts on common resources like pastures and forests?
13. Would the proposed project intervention likely to increase gender-specific risks (e.g., indebtedness, job loss, HIV and other communicable diseases, human trafficking, increased workload) or have adverse impacts disproportionately affecting women (environmental degradation, resettlement)?
14. What prevention and/or mitigation measures should be included to ensure the above impact channels for gender benefits?



### 7.3 Tool: Access and control profile tool

**Purpose:** This tool, to be administered separately for each focus group discussion, will facilitate an understanding of the current practices and roles of women and men in regard to accessing resources. It looks at who has control over those resources, meaning who makes decisions about those resources and their use, who has rights under law and/or under household, and community practice.

**Materials Needed:** Flip chart paper, markers

**Human Resources Needed:** One facilitator, one note-taker

**Time:** 45 minutes- 1hour

#### How to use this tool:

At the end of asking the above questions, probe further on which communities/ sections of the society has use of resources in the community? Who controls the decision making over those natural and person-made resources? Who controls the benefits (such as cash) from use, sale or exploitation of those resources?

The responses to these questions may be recorded in the following table, in the form of notes by the interviewer

Resources	Access		Control	
	Women	Men	Women	Men
Land for cropping				
Labour				
Household assets: equipment				
Resources that may be affected by the project: <ul style="list-style-type: none"> <li>• Forests</li> <li>• Wetlands</li> <li>• River</li> </ul>				
Benefits <ul style="list-style-type: none"> <li>• Income from cropping</li> <li>• Assets</li> <li>• Education</li> </ul>				

## 7.4 Tool: Vulnerability mapping

**Purpose:** This tool, to be administered separately for each focus group discussion, helps in collecting and documenting data on vulnerabilities that certain social groups may face in a community and factors that may limit their participation in a project, or that may limit their opportunities. The goal is to identify vulnerable groups in the community; to understand the extent and level of vulnerability or exclusion of a certain groups; to locate vulnerable or excluded groups for further interviews and targeting and to stimulate discussion on the causes and forms of vulnerability and exclusion.

**Direction:** Write down the age, sex, disability status, marital status, mother tongue, location and religion for each of the group participants. There is no need to take names of members.

**Materials Needed:** Flip chart paper, marker and beads or stones, map of the community

**Human Resources Needed:** One facilitator, one note-taker

**Time:** 1- 1.5hours

### How to use this tool

1. Ask participants what their community's definition of 'vulnerability' is. This will anchor people's minds and set the right tone. Make note of this definition.
2. Place a piece of flip chart paper on the ground. Draw three separate boxes (representing 'most vulnerable', 'vulnerable' and 'not vulnerable' people in their communities) on the paper. You may modify the matrix depending on how much detail you want to collect.
3. Based on participants' definition of 'vulnerability', probe participants what criteria they use to categorize people as 'vulnerable' and 'non-vulnerable'. Then ask them to characterize 'most vulnerable', 'vulnerable' and 'not vulnerable' people in their communities (for example, the group may identify landless people, single mother/female-headed household, ethnic minorities, poor etc.). Critically attend to points of agreement and disagreement and jot them down in your notes. This will help to: a Characterize each vulnerable or excluded group.
4. Ask participants why those groups are vulnerable. Probe for the vulnerabilities in terms of food security, access to land, education, health, water sources, income earning ability etc.
5. Ask the participants to discuss how each vulnerable group can participate, be included and targeted in an intervention.
6. Ask the participants how and in what way the vulnerable or excluded groups can benefit from the project.
7. Display the matrix and complete it as a group. Now that you have thought and discussed more deeply about the vulnerability, facilitate the group to fill out the matrix below as an output or summarized result on the information collected in the FGD

Vulnerable category	Characteristic of the group differentiate their level of access, decision-making, participation, opportunity and well-being)	Causes of vulnerability	Proportion of each category in the community	Who are the individuals/ families?	Suggested strategies to include the vulnerable groups in the project and enhance their participation as much as possible
Most vulnerable					
1.					
2.					
3.					
Vulnerable					
1.					
2.					
3.					
Not vulnerable					
1					
2					
3.					

## 7.5 Checklist of questions for gathering information from local institutions

Engaging with local institutions as part of social impact assessment helps to identify power structures, rules, practices, policies, activities and the influence of institutions. It is also necessary to identify allies who can play a role in executing the project.

- Which are the important local institutions that are relevant to your life and needs? Which institutions currently interact with community? Who is involved in using, accessing and guiding such interaction?
- Which government departments and institutions of government have an authority over community activities? For example, the provincial government, gaupalikas, and agricultural departments, rural affairs, women's and youth unions.
- What community institutions exist? For example, community cooperatives, community-based organizations, community fisheries committees, and land and water user groups.
- Which levels of government are most active in community or at local level — district, provincial, national?

## Section 5. Samples of Terms of Reference

8

- ToR for the GESI coordinator
- ToR for Directorate level GESI team
- ToR for GESI officer
- ToR for GESI specialist during project preparation phase

## 8 Sample Terms of Reference

### 8.1 Terms of reference: GESI Coordinator

#### Introduction

A GESI Coordinator positioned within the NEA's Managing Director's Secretariat will be responsible for overseeing the overall implementation, monitoring and evaluation of the GESI Strategy and Operational Guidelines. He/she will report directly to the Managing Director. He/she will coordinate and provide technical guidance for the GESI strategy implementation, with support from designated GESI teams within each directorate. The GESI Coordinator will work closely with the Deputy Managing Directors (DMDs) heading the directorates, the GESI teams, project managers, GESI officers within projects and partner organizations to mainstream GESI into the projects.

#### Qualifications

The GESI Specialist should have experience in GESI/gender analysis and gender planning and demonstrated experience and expertise in mainstreaming gender/ social inclusion in infrastructure, especially in the energy sector, including experience in conducting primary research. More specifically, this includes (a) knowledge of GESI dimensions of the energy and electricity sector; (b) experience in conducting GESI analysis and consultation, and developing and leading GESI action plans and activities; (c) capacity to work across all levels – from working at the community level, to working directly with the most senior levels of client management; and (d) good writing skills; fluency in written and spoken English and Nepali.

#### Scope of work

##### Technical support and capacity building on GESI

- Coordinate capacity building of operational staff, including directorate level GESI teams and project level GESI officers to address GESI considerations in project planning, implementation, supervision and monitoring. This should be done through identification of training needs of different units and staff at all levels, including external partners, and development and delivery of appropriate training program based on identified needs, roles and responsibilities
- Design and conduct periodic orientation sessions on the GESI strategy and Operational Guidelines for staff.

##### Support to directorates and projects

- Provide on-call assistance for project developers in need of support for GESI mainstreaming
- Ensure GESI considerations are appropriately mainstreamed in tools and frameworks used in identification and development of projects.
- Coordinate all GESI related project activities at the organizational and field levels e.g. initiating and overseeing GESI needs assessments, review of findings from a GESI perspective.
- Develop necessary data collection instruments and M&E reporting formats for all levels and for all Directorates based on GESI Operational Guidelines.
- Ensure that GESI considerations are properly referred to in the ToRs for Consultants and Contractors, and implemented fully.

- Support the Administration directorate in the implementation and monitoring of human resource provisions, as suggested in the GESI Operational guidelines.

#### **Coordination and reporting**

- Prepare an annual work plan and budget on the implementation of the GESI Guidelines.
- Co-ordinate with all directorates, collect and compile GESI data and analysis for inclusion in NEA annual report and reporting to MD
- Liaise with the Finance directorate on budget allocation for the implementation of the GESI operational guidelines.

#### **Knowledge and communications**

- As required, prepare GESI analytical reports and statistics, GESI-disaggregated data, project briefs.
- Contribute to web content for the GESI section on the NEA website and coordinate with the responsible sections (e.g. data base and ICT) to ensure the section is updated regularly.
- Liaise with the Ministry of energy, water resources and irrigation (MoEWR), Department of Electricity Department (DoED), and other Ministries and stakeholders (development partners, user organizations) for advocacy on GESI issues related to changes in policies, acts, regulations and directives, etc.
- Represent NEA's experience on GESI (i.e. efforts and lessons learned plus the benefits of GESI mainstreaming) in relevant events, conferences and forums at the national, regional, and international levels.

#### **Reporting**

The GESI Coordinator will report directly to the NEA MD

#### **Duty station**

Kathmandu, with travels to project sites, as per requirement

## 8.2 Terms of reference: Directorate-level GESI team

### Introduction

In the Directorates of Generation; Transmission; Distribution and Consumer Services; Engineering Services; Planning, monitoring and IT; Project Management and Administration, a GESI team comprising of three persons will support the integration of GESI issues within the projects being undertaken by the respective Directorates, under the overall guidance of the GESI Coordinator. One of the team members will be a GESI officer from one of the projects being implemented within the Directorate.

### Scope of work

The team's responsibilities include:

- Support the GESI Coordinator to orient the project teams (project manager, team members, GESI Officer) within the various departments on the GESI strategy and operational guidelines.
- Support project's GESI Officer on the implementation of GESI operational guidelines, through various stages of the project cycle.
- Ensure that GESI implementation progress is incorporated in overall project progress management system.
- Review project progress reports from a GESI perspective and share feedback with the GESI Officer and the project manager.
- Report the implementation status of GESI guidelines in the regular reports to the DMDs and to the GESI coordinator.
- In the Directorate of NEA Subsidiary Company Monitoring and Finance, the GESI Focal Person will:
  - Identify specific intervention areas where GESI can be meaningfully incorporated,
  - Make necessary arrangements for coordination, and liaise with other Directorates as needed.

### Reporting

The GESI team members will report to the DMD of the respective directorate, and will work in close coordination with the GESI Coordinator.

### Duty station

Kathmandu, with travels to project sites, as per requirement



## 8.3 Terms of Reference: GESI officer within the project team

### Introduction

Each project will appoint a GESI Officer with the team, who will report to the project manager, who has the final responsibility for the implementation of GESI strategy and operational guidelines within the project. The responsibilities of the GESI Officer include Ensure that the planning processes, including land acquisition, compensation provision, grievance redress mechanism, stakeholder engagement and livelihood restoration are in accordance with the GESI operational guidelines and monitor and report on the status of GESI mainstreaming in the project cycle in the project progress reports.

### Qualifications

The GESI Officer should have a university degree in social sciences or anthropology. She/he should have experience in GESI/gender analysis and gender planning and demonstrated experience, skills, and expertise in mainstreaming GESI in infrastructure, especially in the energy sector, including experience in conducting primary research. More specifically, this includes (a) knowledge of GESI dimensions of the energy and electricity sector; (b) experience in conducting GESI analysis and consultation, and developing and leading GESI action plans and activities; (c) capacity to work across all levels – from working at the community level, to working directly with the most senior levels of client management; and (d) good writing skills; fluency in written and spoken English and Nepali.

### Scope of work

- Include GESI considerations in the Terms of Reference for Consultants and Contractors.
- Ensure the quality of GESI assessments and/or social and gender analysis as part of IEE/EIA/SIA
- Lead proper implementation of GESI focused activities, ensuring that:
  - GESI focused activities are designed with active involvement of all sections of the community, and encourage participation and maximize benefits for women, the poor and excluded communities.
  - GESI actions are properly incorporated into project management plans, budgeted, and responsibilities clearly assigned.
  - Project staff receives clear directions on expectations, opportunities and minimum standards for GESI actions.
- During project planning and implementation, Coordinate with the concerned local level stakeholders (municipalities, community based organizations, NGOs) so that the provisions on the GESI operational guidelines are followed.
- Ensure that the contractors adhere to the requirements in the CoC and GESI-sensitive work condition requirements, as stipulated in their contracts.
- Provide ongoing support on GESI aspects to project staff, government counterparts, private contractors and NGO implementers.
- Routinely monitor GESI -related targets and activities

### **Reporting**

The GESI Officer will report to the project managers of the respective projects, and will work in close coordination with the GESI focal persons from the respective directorates and GESI Coordinator.

### **Duty station**

Project site with travel to Kathmandu, as per requirement

## 8.4 Terms of Reference: GESI specialist during project preparation phase

### Background

Include project overview

The project seeks to hire a GESI (gender equality and social inclusion) specialist for a period (intermittent) of a year (... to...), who will work with the team conducting the EIA/ SIA, and report to the .....

### Qualifications

The GESI Specialist should have a postgraduate university degree in social sciences or anthropology. She/he should have experience in GESI/gender analysis and gender planning and demonstrated experience, skills, and expertise in mainstreaming GESI in infrastructure, especially in the energy sector, including experience in conducting primary research. More specifically, this includes (a) knowledge of GESI dimensions of the energy and electricity sector; (b) experience in conducting GESI analysis and consultation, and developing and leading GESI action plans and activities; (c) capacity to work across all levels – from working at the community level, to working directly with the most senior levels of client management; and (d) good writing skills; fluency in written and spoken English and Nepali.

### Scope of work

The GESI Specialist will be responsible for undertaking a social assessment for the proposed Project. Focusing on gender and social inclusion aspects, this assessment will cover the following key areas: (a) overall project impact analysis, (b) development of a socioeconomic baseline, (c) a stakeholder analysis, (d) a political economy analysis, (e) identification and consultation with vulnerable and indigenous communities. The scope of the detailed GESI analysis will be guided by NEA as well as the donor, identifying formal or informal barriers to poor women's and men's and the vulnerable groups benefitting from project activities; their access to energy services and use of energy services and gender division of labor, control of energy sources and technologies, and women's and men's energy needs and preferences.

She/he will be responsible for the following key tasks:

- Review project documents, related policy and legal framework as necessary as well as donor requirements on the requirements for gender/ GESI mainstreaming
- In the project area, ensure that socially excluded communities (including women, vulnerable and indigenous peoples' communities) among the affected population are systematically identified
- Prepare a baseline socio economic profile of the local communities, including socially excluded communities, in terms of their demographics, social cultural features, major constraints and opportunities faced by them, livelihood and employment patterns, use of natural resources, formal and informal institutions and disaggregate data by sex, social and income groups that can be used to monitor potential project benefits and impacts on women and excluded communities.
- In consultation with the community in the project site, design local community development activities that would be relevant for women and excluded communities in terms of design, access, appropriate technology and access; cultural appropriateness and acceptability.

- Identify government agencies, nongovernment and community-based organizations, and women's groups that can be utilized during project preparation and implementation. Assess their capacity.
- Identify and assess and identify potential GESI -differentiated impacts of the project, and prepare a GESI chapter to be included in the Environment and Social management Plan, recommending key GESI elements in mitigation measures.
- For ADB supported projects, develop a GESI action plan, that provides clear directions to the project staff, mirrors the design and monitoring framework outputs and includes GESI responsive design features, targets and indicators, time lines, assigned responsibilities, implementation arrangements and cost estimates for implementation.
- Development of a management plan for social and environmental impacts in consultation with affected communities
- Integrate the GESI Action Plan design features in the project design and relevant project documents, including those for donors.
- Prepare terms of reference for GESI Officer to implement GAP or project GESI features, including for any NGOs to be recruited for implementation.

#### Approach for GESI assessment

The analysis will make use of a combination of multiple, locally appropriate tools including in-house reviews, field surveys and planning activities, stakeholder consultations and development of the necessary interventions. Sources of Information include secondary as well as primary sources of information, including discussions with relevant institutions and stakeholders including local government, private developers, and contractors. The field planning activities will employ sample surveys and suitable sociological/anthropological tools, including focus group discussions and key informant interviews.

#### Deliverables

- A brief (max 5 pages) inception report, outlining the approach for conducting the GESI analysis, including tools for data collection, analysis and reporting and a field plan
- A report on the GESI Assessment, containing information and data on: (i) Socio-cultural norms and practices of local communities in the project area in terms of gender division of labor, rights and responsibilities, access to information and services, access to and control over economic and financial resources and services, with focus on gender, caste and ethnicity. (ii) GESI based livelihoods patterns of local communities, incl. access to energy, water, sanitation, education, health, and transport services, disaggregated by sex, caste and ethnicity; and (iii) Access and use of energy resources and services and the role of women and men in the management of community and household energy resources. (iv) Assessment of work patterns, employment (unskilled, semi-skilled and skilled) and related training opportunities, and energy-based livelihood opportunities for women and how the project could enhance women's opportunities in these areas. (v) Clear recommendations on key GESI elements in risk mitigation measures and opportunities for local employment
- GESI chapter, to be included in the Environment and Social management Plan.

GESI specialist reports to the team leader of the project preparatory phase and will work in close coordination with the team

## Annex 1. Glossary of terms and concepts

1. Access and control over resources: Access refers to the ability to use and benefit from specific resources (material, financial, human, social, political, etc.) whereas control over resources also entails being able to make decisions over the use of that resource. For example, women's control over land means that they can access land (use it), own land (can be the legal title-holders), and make decisions about whether to sell or rent the land (UN-INSTRAW, undated).
2. Adivasi Janajatis refers to distinct communities having their own mother tongues and traditional customs, distinct cultural identity, social structure and written and unwritten histories. The government thus officially recognized 59 groups as Adivasi janajatis (indigenous people) and these are categorized into 5 groups based on their economic and socio-cultural status (ADB, 2010).
3. "Compensation" is payment in cash or in kind of the replacement value of the property acquired under Land Acquisition Act, 1977 (Government of Nepal 1977).
4. "Customer" means a person who consumes electricity.
5. "Dalit" is commonly known as untouchable in traditional Nepalese society. The Dalit Commission has defined dalits, "a community discriminated on the basis of caste and marginalized in terms of social, economic, educational, political and religious sectors."
6. Environmental and social impact assessment (ESIA) is an instrument to identify and assess the potential environmental and social impacts of a proposed project, evaluate alternatives, and design appropriate mitigation, management, and monitoring measures.
7. Environmental and social management plan (ESMP) is an instrument that details (a) the measures to be taken during the implementation and operation of a project to eliminate or offset adverse environmental and social impacts, or to reduce them to acceptable levels; and (b) the actions needed to implement these measures (World Bank 2016).
8. "Excluded Groups" refer to women, Adivasis, Janajati, Dalit, Madhesi, Muslim, persons with disabilities, elderly people and people living in remote areas, who have been excluded over a long time due to economic, caste, ethnic, gender, disability, and geographic reasons and include sexual and gender minorities (i.e. Lesbian, Gay, Bisexual, Transgender and Inter-sex (LGBTI)). Transgender is an umbrella term for people whose gender identity and/or expression is different from cultural expectations based on the sex they were assigned at birth. Being transgender does not imply any specific sexual orientation (National Foundation for Development of Indigenous Nationalities, 2002).

According to the 2001 Census, the main caste and ethnic groups are as follows:

	Main Caste/Ethnic Groups (7)	Caste/Ethnic Groups with Regional Divisions (11) and Social Groups (103) (2001 Census)
Caste Groups	1. <i>Brahman/Chhetri</i>	1.1 Hill Brahman Hill Brahman
		1.2 Hill Chhetri Chhetri, Thakuri, Sanyasi

		<b>1.3 Tarai/Madhesi Brahman/Chhetri</b> Madhesi Brahman, Nurang, Rajput, Kayastha
	<b>2. Tarai/ Madhesi Other Castes</b>	<b>2.1 Tarai/Madhesi Other Castes</b> Kewat, Mallah, Lohar, Nuniya, Kahar, Lodha, Rajbhar, Bing, Mali Kamar, Dhuniya, Yadav, Teli, Koiri, Kurmi, Sonar, Baniya, Kalwar, Thakur/Hazam, Kanu, Sudhi, Kumhar, Haluwai, Badhai, Barai, Bhediyar/ Gaderi
	<b>3. Dalits</b>	<b>3.1 Hill Dalit</b> Kami, Damai/Dholi, Sarki, Badi, Gaine, Unidentified Dalits <b>3.2 Tarai/Madhesi Dalit</b> Chamar/Harijan, Musahar, Dushad/Paswan, Tatma, Khatwe, Dhobi, Baantar, Chidimar, Dom, Halkhor
Adivasi/Janajatis	<b>4. Newar</b>	<b>4 Newar</b> Newar
	<b>5. Janajati</b>	<b>5.1 Hill/Mountain Janajati</b> Tamang, Kumal, Sunuwar, Majhi, Danuwar, Thami/Thangmi, Darai, Bhote, Baramu/Bramhu, Pahari, Kusunda, Raji, Raute, Chepang/Praja, Hayu, Magar, Chyantal, Rai, Sherpa, Bhujel/Gharti, Yakha, Thakali, Limbu, Lepcha, Bhote, Byansi, Jirel, Hyalmo, Walung, Gurung, Dura
		<b>5.2. TaraiJanajati</b> Tharu, Jhangad, Dhanuk, Rajbanshi, Gangai, Santhal/Satar, Dhimal, Tajpuriya, Meche, Koche, Kisan, Munda, Kusbadiya/Patharkata, Unidentified Adivasi/Janajati
Other	<b>6. Muslim</b>	<b>6 Muslim</b> Madhesi Muslim, Churoute (Hill Muslim)
	<b>7. Other</b>	<b>7 Other</b> Marwari, Bangali, Jain, Punjabi/Sikh, Unidentified Others

9. “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 (Narayan 2002).
10. Focus group discussion, refers to a group workshop technique used in qualitative research. Among the qualitative techniques, FGD is preferred for its in-depth approach and functionality. Groups can be constituted and reconstituted in order to get an objective as well as in-depth understanding of the issue under investigation
11. “GESI Guidelines” refers to Gender Equality and Social Inclusion Strategy and Operational Guidelines 2019.

12. “Gender” refers to the socially constructed roles and identities of men and women as well as the relationship between them. The definition of gender has now been expanded to include transgender or third gender categories, i.e. those individuals who do not identify with some (or all) of the aspects of gender that are assigned to their biological sex of being a woman or a man. These roles change over time and vary by culture. In Nepal, women face unequal power relations and gender-based barriers due to a patriarchal society (Government of Nepal, 2017).
13. Gender and sex: Sex refers to the biological differences between men and women. Gender refers to the roles, responsibilities and relationships taken up by women and men and the social differences which are imposed on men and women within societies and between societies.
14. “Gender Equality” means that all human beings are free to develop their personal abilities and make choices without the limitations set by strict gender roles. The different behaviors, aspirations, and needs of women and men are considered, valued and favored equally (Government of Nepal, 2017).
15. “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 (Government of Nepal, 2017).
16. “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, program and budget formulation, service delivery, monitoring and evaluation and research (Government of Nepal, 2017).
17. “Land acquisition” is the process whereby private land and properties are acquired for the purpose of public interest by the state and compensation is provided to the affected landowners. The Government of Nepal may acquire necessary lands and hand them over to the Authority according to the prevailing law in case the Authority requires such lands for the purposes of: (a) Construction of dams or embankments; (b) Construction of canals and channels; (c) Construction of power generation, transmission and distribution centers and sub-sections; (d) Installation of electric cables or transmission lines either over or underground; (e) Erection of electricity poles; (f) Construction of other electricity-related facilities; and (g) Performance of any other function to fulfill the objective of the Authority (Government of Nepal, 1977).
18. “Livelihood” refers to the full range of means that individuals, families and communities utilize to make a living, such as wage-based income, agriculture, fishing, foraging, other natural resource-based livelihoods, petty trade and bartering.
19. “Livelihood restoration” refers to measures for ensuring that displaced persons are assisted in their efforts to improve their livelihoods and standards of living or at least to restore them, in real terms, to pre-displacement levels or to levels prevailing prior to the beginning of project implementation, whichever is higher.
20. “Madhesi” in broad terms refers to the people who have languages such as Maithili, Bhojpuri, Awadhi, Urdu, and Hindi as their mother tongue and are considered of Madhesi origin. They include Madhesi Brahman Chhetris, Madhesi other caste groups, and Madhesi Dalits. Their exclusion is based primarily on regional identity and language.
21. “Poor” refers to households or persons who consume an average of less than 2,220 calories of food per person per day. The poverty line for Nepal, based on average 2010-11 prices, has been estimated



at NPR19,261; the food poverty line is NPR11,929 and the non-food poverty line NPR 7,332 per person per year.

22. “Productive use of energy” is used to mean “utilization of energy, both electric and non-electric energy in the forms of heat or mechanical energy, for activities that enhance income and welfare.
23. Public hearing: (as mandated in EPR54) a gathering of interested and affected people or whole communities at which information is exchanged and views expressed.
24. “Social Exclusion” describes the experience of groups that are historically disadvantaged because of discrimination based on income, gender, caste, ethnicity or religion or location.
25. “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. It involves development of inclusive institutions, policies, social norms, and behaviors that provide an opportunity for previously marginalized groups to increase their voice and access to assets.
26. “Vulnerable Groups” refer to groups of people whose disadvantage or risk of disadvantage is situational rather than structural. Typically, these include those below the poverty line, the landless, the elderly, women and children, indigenous peoples, ethnic minorities, or other displaced persons who may not be protected through national land compensation legislation.

## Annex 2. Key References

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