

# Sectoral Perspectives on Gender and Social Inclusion



# EDUCATION

GENDER AND SOCIAL EXCLUSION ASSESSMENT 2011  
SECTORAL SERIES: MONOGRAPH 2

# Sectoral Perspectives on Gender and Social Inclusion

# EDUCATION

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# Preface

## **Background and Objectives of GSEA 2011/ Sectoral Series: Monograph 2**

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

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

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

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

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

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

### **Process of Developing GSEA 2011/Sectoral Series Monographs**

Each of the sectoral assessments consisted of document review, meetings with sector specialists and stakeholders, diversity and budget analysis, some fieldwork, wider consultative workshops, and follow-up meetings. Meetings and interactions were held with more than 100 people from government, civil society, commissions, representative associations/organizations of excluded groups, and projects/programs. Sectoral consultation workshops with approximately 30 participants in each were organized with key stakeholders, namely, government,

project/program staff, donor agencies, and representative organizations. Literature review was a major source of information for the development of these monographs; however, some fieldwork was also done by team members in selected districts.

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

The team members who prepared the different sectoral monographs in this series are as follows: 1) agriculture—Jennifer Appave and Chhaya Jha, with inputs from Yadab Chapagain and Yamuna Ghale (SDC); 2) education—Jaya Sharma and Chhaya Jha, with inputs from Yadab Chapagain (HURDEC); 3) forestry—Bimala Rai-Paudyal (SDC) and Chhaya Jha; 4) health—Chhaya Jha; 5) irrigation—Chhaya Jha and Jennifer Appave, with inputs from Pranita Bhushan and Yadab Chapagain; 6) rural infrastructure—Chhaya Jha, with inputs from Kumar Updhayay (HURDEC)

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

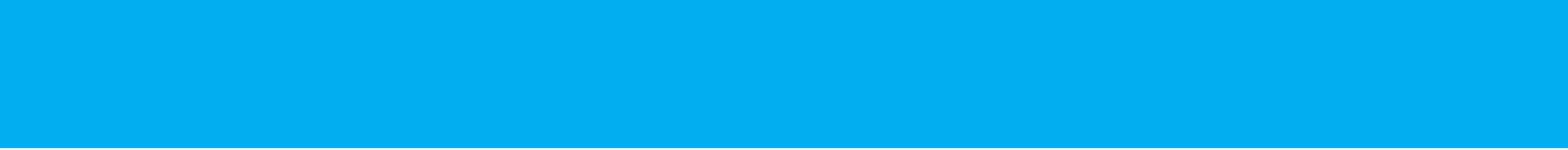
The Sectoral Series Monograph would not have made it to their current published form without the diligence and creativity of the Himal Books team responsible for the final editorial and

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

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

## Notes

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



# Executive Summary

Nepal's education sector is very progressive, and over the years has adopted a spectrum of reform initiatives to address gender and inclusion aspects. There is an increased recognition that due to the strong correlations between education and other indicators like poverty and health, unless gender and social exclusion are addressed in education, it will not be possible to achieve major Millennium Development Goals by 2015. The Interim Constitution of Nepal 2007 has assured free and compulsory education to all citizens up to secondary level as well as the right to receive basic education in one's mother tongue. The Three-Year Interim Plan (2008-2010) and the National Development Strategy Paper (2009) have prioritized education, with specific recognition of gender and inclusion issues and higher investment in the sector. The Education for All core document made significant efforts to enhance quality and improve access, equity, efficiency and enrollment through scholarships and incentives for girls and the excluded, especially Dalits and Adivasi Janajatis. The Vulnerable Communities Development Plan (2004) recommended a number of steps at central and community levels to ensure gender equality and social inclusion in primary education, but unfortunately was never effectively implemented. Various other programs (the School Education Support Program, Community School Support Program, Teacher Education Project) were implemented to cover specific aspects, while the new School Sector Reform Program (SSRP, 2009-2015), under a sector-wide approach, con-

stitutes a long-term strategic attempt to achieve specific goals in basic and secondary education.

Despite improvements in inclusion and measures to widen access to education, social factors such as gender, caste, ethnicity, age and language, interlinked with economic status and geographic location, greatly restrict certain groups' access to education. Poverty is a strong disincentive for sending children to school, especially girls, with data demonstrating that chances of higher education fall as poverty levels rise. There are great differences in literacy, enrollment and gender parity in education between ecological regions, development regions and urban/rural areas. Districts in the Tarai have the lowest net and gross enrollment rates, and also the largest gender gaps in literacy. Though there have been increases in girls' enrollment (including from Dalit and other excluded castes and ethnic groups) at all education levels, literacy rates for males remain significantly higher in all age groups. While high enrollment of girls at the primary level has been influenced by government incentive schemes, without such support for higher education, attendance by girls drops quickly. Overall, girls' access to education is restricted, particularly by gender norms such as acceptance of sons as primary breadwinners; Hindu beliefs that girls should be married early, and, once married, should not contribute to their parents' care; and sexual vulnerability of girls when living away from home before marriage. It is important to realize that these barriers are multilayered and intertwined with caste/religious/language issues.

Educational access varies across ethnic, caste and religious groups. The education and literacy levels of Adivasi Janajati groups have increased considerably, but remain low among some communities, including some that have no children enrolled in school. There has been a considerable increase in primary-level enrollment of Dalits but their continuation to secondary-level classes is low due to the need to earn, lack of adequate financial support, caste-based discrimination, and distance of schools/colleges. Their gender parity index score has increased at the primary and secondary levels, but is much lower at the higher secondary level. The literacy rate of Muslims is lower than that of Hill Dalits and Janajatis. Overall, the Tarai/Madhes region has much lower levels of education across the board, except for the Madhesi Brahmin/Kshatriya caste groups whose men and women have higher average education levels than any other group. Despite the constitutional right to education in the mother tongue, language remains a major barrier for Adivasi Janajatis and Madhesis. For those with disabilities, barriers include lack of friendly physical infrastructure, appropriate learning environment, and positive teacher and student attitudes. Further, for girls and persons of excluded groups experiencing disability, the situation is worse due to existing gender and caste/ethnic discrimination.

To facilitate access to education, good practices that have emerged include decentralized management through school management committees (SMCs), disaggregated information collected through Flash reports and the community-managed information system (CMIS), multilingual education for speakers of languages other than Nepali, and scholarships and in-kind support for girls and students from excluded groups. Yet, all these have room for improvement in implementation from a gender equality and social inclusion (GESI) perspective. For

instance, while the SMC guidelines are followed requiring one parent-member to be a woman, women are often token members without a real voice in decision-making while Dalits and Janajatis are underrepresented. The information from the CMIS requires further disaggregation to represent accurately the make-up and educational achievement of excluded groups, and the system fails to collect qualitative information about inclusion in schools and SMCs. Progress on providing multilingual education has been slow, in part due to unclear policies on language in education. Scholarships are not reliably distributed to eligible children, and necessary information regarding scholarships does not always reach guardians.

Due to centralized and non-transparent recruitment practices, the Nepali education system suffers from a general lack of qualified teachers. This especially affects students in the Tarai, where the student-to-teacher ratio is highest. Yet, an important secondary issue is the limited diversity of teachers, with a very low percentage of instructors from Janajati, Dalit, Madhesi and Muslim communities. One-third of all schools have no female teachers, and head teachers are mostly men. The SSRP fails to incorporate equity and inclusion measures in recruitment and retention of teachers, though there is a mandatory requirement for female teachers at the primary and secondary levels.

Likewise, there is low diversity among the sector's civil personnel. Of 2,188 government employees, 8% are women, and Brahmin/Chhetris and Newars are overrepresented while all other groups are underrepresented (80.94% Brahmin/Chhetris, 8% Newars, 4.20% other backward classes, 0.69% Dalits, and 0.23% Muslims). Overall responsibility to address gender and inclusion issues is not mandated for any structure: the Inclusive Education Section in the Department of Education deals only with dis-

abilities while the Gender Section deals only with gender and Dalit issues. The gender focal person is a gazetted officer but there is an institutional failure to link this focal point to the functions of the ministry/department. While government initiatives to make budgeting and monitoring more inclusive are to be appreciated, much remains to be done. For instance, gender-responsive budgeting practices have been initiated but insufficient clarity has created confusion. There is a similar case with pro-poor and inclusive development budgeting, for which figures are cited in the annual government budget speech even though relevant sections are not engaged in identifying them. Monitoring and reporting provide disaggregated data on students but only of three social groups, which is insufficient to capture ground realities in Nepal.

From a GESI perspective, a key reform in the SSRP is the policy of providing grants to schools based on per capita funding. This will encourage the operation of schools in excluded pockets and enrollment of students from previously excluded communities. The SSRP has strongly focused on access to basic education of all children, particularly from marginalized populations, including cost-free services for admission, textbooks, tuition and examinations. It has also committed to strengthening and institutionalizing traditional modes of education, making them equivalent to the primary level of formal education. In this vein, the SSRP's provisions for the development of appropriate local curricula and the production of learning materials locally are positive steps. In addition, several acts and regulations now support mother-tongue education for children as a fundamental right while secondary education (including admission and tuition fees) is to be made free by 2015. A number of positive non-formal education interventions have been taken to address the barriers of children and housewives who cannot attend schools, and, for the first time, the gov-

ernment is providing free technical education to girl students from underprivileged communities. The SSRP vulnerable community development framework provides some guidance on inclusion but mechanisms to address the needs of the excluded are unclear, and a consistent definition of "excluded" groups is absent.

To operationalize GESI in education, interlinkages with other dimensions of exclusion, such as poverty, location and language, must be recognized. Assessment studies and proper identification tools are thus critical, as they can identify specific barriers. Likewise, the monitoring and evaluation system must be assessed to determine whether it is capturing disaggregated information on issues that are central to increasing access to education for women, the poor and the excluded. For design and implementation, GESI mainstreaming requires that all plans and programs consciously address the issues experienced by these groups, and build on existing strengths. Several particular approaches are important for strengthening GESI in the education sector: mapping of early childhood education and development centers in poverty pockets and targeting disadvantaged communities for this support; improved implementation of scholarships and other incentives; multilingual education to improve access for speakers of languages other than Nepali; curriculum and textbook revision; strengthening of SMCs and revision of SMC operation guidelines to reflect GESI concerns; and the establishment of a unit within the Ministry of Education to ensure GESI mainstreaming and GESI-responsive budgeting. Monitoring must be strengthened through further disaggregation and consolidation, training for schoolteachers and SMCs about the education management information system, and improvement in the current data-collection format to reduce the burden on teachers and the district education offices.

As noted, Nepal has indeed achieved considerable progress in the education sector. Indicators have improved, especially at primary level. A number of reforms and progressive programs that promote GESI have been implemented, and are currently assisting girls/women, the poor and the excluded to access the sector's services and benefits. However, multiple issues continue to affect the excluded: high dropout rates in secondary and higher education, high gender gaps, and a general lag in educational outcomes, especially for groups in the Tarai. Institutional issues such as limited diversity of staff and teachers, unclear policies on multilingual education, misallocation of scholarships, etc, continue to demand focused

attention. While monitoring has improved with regular reporting, including some disaggregation, consistent disaggregated outcome-level monitoring is still missing.

GESI mainstreaming requires that both demand- and supply-side barriers of women, the poor and the excluded be identified and addressed through activities that are adequately funded, and that inputs, outputs and outcomes be monitored with adequate disaggregation as a routine part of program implementation. Policy directives for this, along with mechanisms/tools and organizational and human capacity, are all essential to ensuring effective GESI mainstreaming in the education sector.

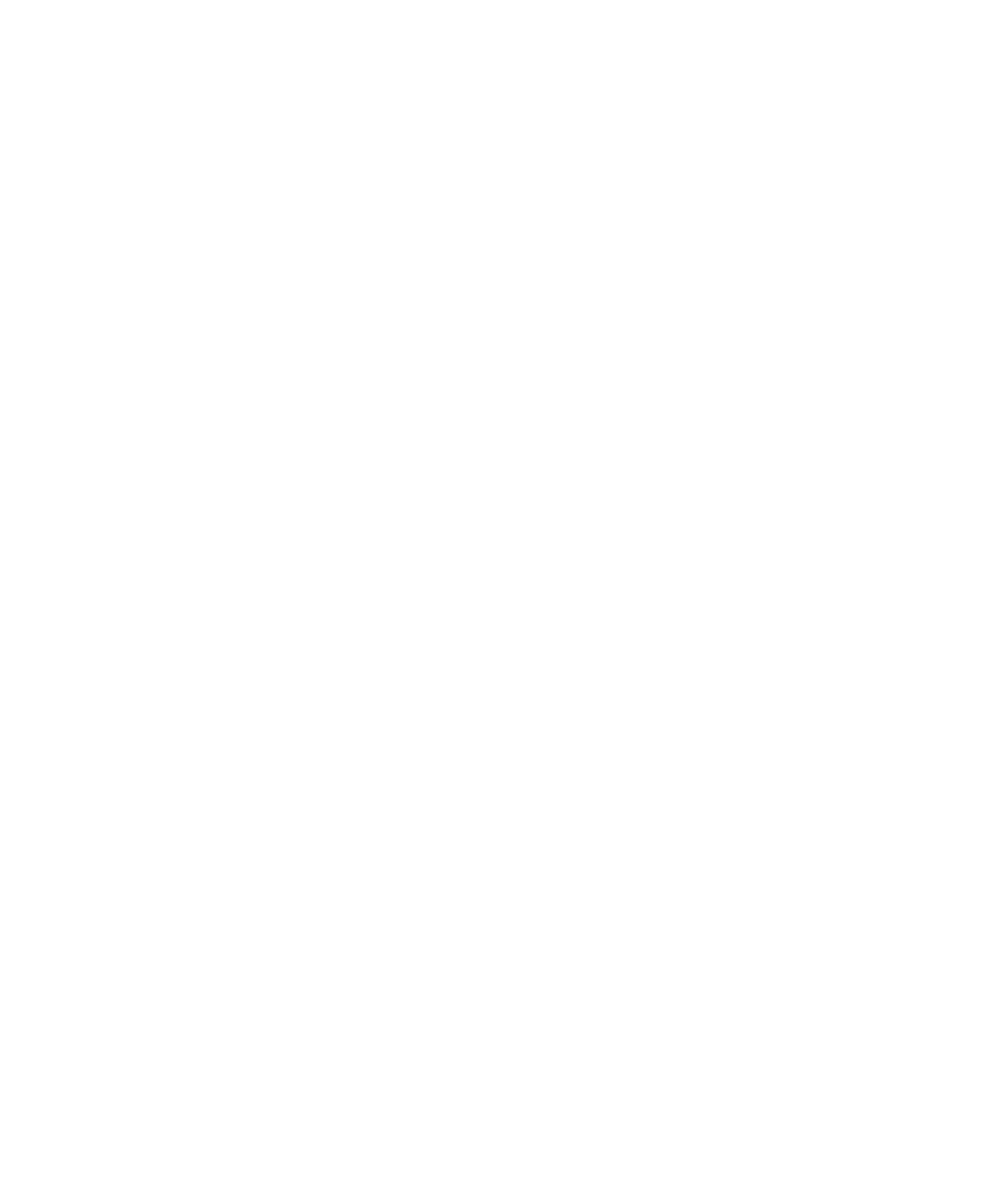
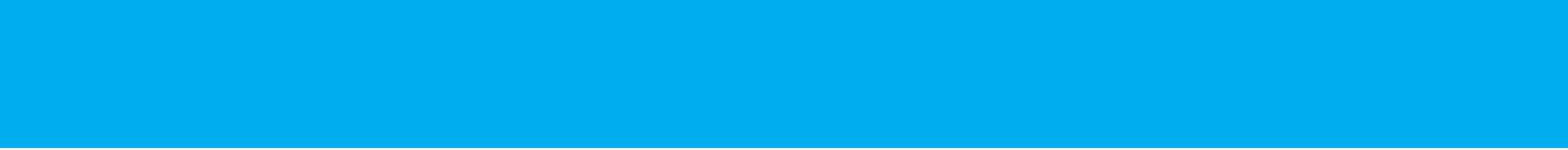
# Abbreviations/Acronyms

ADB	Asian Development Bank
BPEP	Basic and Primary Education Program
CAS	Continuous Assessment System
CDC	Curriculum Development Center
CMIS	Community-Managed Information System
CLCs	Community Learning Centers
COPE/PLA	Client Oriented Provider Efficient/Participatory Learning and Action
DDC	District Development Committee
DEOs	District Education Offices
DFID	Department for International Development
DHS	Demographic and Health Survey
DIDCs	District Information and Documentation Centres
DOE	Department of Education
DPMAS	District Poverty Monitoring and Analysis System
ECD	Early Childhood Development
ECED	Early Childhood Education and Development
EFA	Education for All
EMIS	Education Management Information System
EOP	End of Project
ERO	Education Review Office
FY	Fiscal Year
GEDS	Gender Equity Development Section
GER	Gross Enrollment Rate
GESI	Gender Equality and Social Inclusion
GMCC	Gender Mainstreaming Coordination Committee
GPI	Gender Parity Index
GRB	Gender-Responsive Budget
GSEA	Gender and Social Exclusion Assessment
GTZ/GIZ	Deutsche Gesellschaft für Technische Zusammenarbeit/Deutsche Gesellschaft für Internationale Zusammenarbeit
HURDEC	Human Resource Development Centre
ILO	International Labor Organization
IPC	Integrated Planning Committee
LFP	Livelihoods and Forestry Program
LGCDP	Local Governance and Community Development Program

M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MEC	Minimum Enabling Conditions
MIS	Management Information System
MLD	Ministry of Local Development
MLE	Multilingual Education
MOAC	Ministry of Agriculture and Cooperatives
MOE	Ministry of Education
MOF	Ministry of Finance
MOFSC	Ministry of Forest and Soil Conservation
MOHP	Ministry of Health and Population
MWCSW	Ministry of Women, Children and Social Welfare
NER	Net Enrollment Rate
NFE	Nonformal Education
NHSP-IP 2	Nepal Health Sector Program- Implementation Plan 2
NIR	Net Intake Rate
NLFS	National Labor Force Survey
NLSS	National Living Standards Survey
NPC	National Planning Commission
NSCFP	Nepal Swiss Community Forest Project
OBCs	Other Backward Classes
PARHI	Population and Reproductive Health Integrated
PMAS	Poverty Monitoring and Analysis System
PRA	Participatory Rural Appraisal
PRSP	Poverty Reduction Strategy Paper
PTAs	Parent Teacher Associations
RIDA	Research Inputs and Development Action
SAARC	South Asian Association for Regional Cooperation
SDC	Swiss Agency for Development and Cooperation
SIP	School Improvement Plan
SLC	School Leaving Certificate
SMCs	School Management Committees
SSRP	School Sector Reform Program
SWAp	Sector-Wide Approach
TEVT	Technical Education and Vocational Training
UN	United Nations
UNICEF	United Nations Children's Fund
VCDP	Vulnerable Communities Development Plan
VEP	Village Education Plan
VDC	Village Development Committee
WB	World Bank
WDO	Women's Development Officer
WFP	World Food Program
WSS	Water Supply and Sanitation

## CHAPTER I

# Introduction and Overview



## 1.1 Introduction

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

## 1.2 Gender Equality and Social Inclusion Framework and Defining the Excluded

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

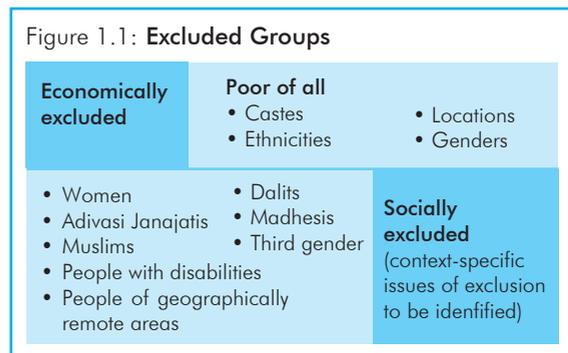
and dependency of women are persistent in a patriarchal culture where, despite the fact that their labor was critical to the subsistence agricultural economy, women were little valued, did not inherit family land, and could be cast out if the husband favored a younger wife.

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

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

ways that bring equal benefit to men and women from all these groups.

This monograph is concerned with two major dimensions of exclusion: economic and social. As shown in Figure 1.1, when it comes to poverty, or economic exclusion, we are concerned with the poor of *all* castes, ethnicities, locations and sexes.



The socially excluded<sup>1</sup> groups include women, Dalits, Adivasi Janajatis, Madhesis, Muslims, people with disabilities and people from geographically remote areas. What we also need to keep in mind is that the dimensions of exclusion are cross-cutting and cumulative. Some of our clients suffer some dimensions of exclusion but not others—for example, a poor Brahmin woman from Gorkha Bazaar is privileged in terms of her caste and her fairly well-connected location, but excluded by her poverty and gender. Other clients suffer from exclusion in almost all dimensions: for example, a poor Dalit woman in Jumla must contend with four dimensions—poverty, caste, gender and remoteness—of exclusion. The fact that these dimensions all interact with each other in different ways to frame the life chances of the different individuals we are trying to reach is why we need to look at exclusion in a holistic way. This is particularly true for gender, as prior efforts have taught us that it is far less effective to target gender and social inclusion separately. Further, looking at men’s and women’s realities is not enough—it is also necessary to ask “which women” and “which men.”

As will be elaborated in greater detail throughout this series, it is essential for each sector to define who the excluded in that sector are and the cause of their exclusion. The GESI framework<sup>2</sup> that is used for the sectoral monographs recognizes that both *formal* institutions (the legal framework, the policies of the sectoral ministry or even the specific procedures and components laid out in the formal project document) and *informal* institutions (the traditional norms of behavior for women and Dalits or the networks of political patronage) can present barriers to inclusion. Therefore, we keep an eye out for both of these dimensions throughout the GESI process.

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

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

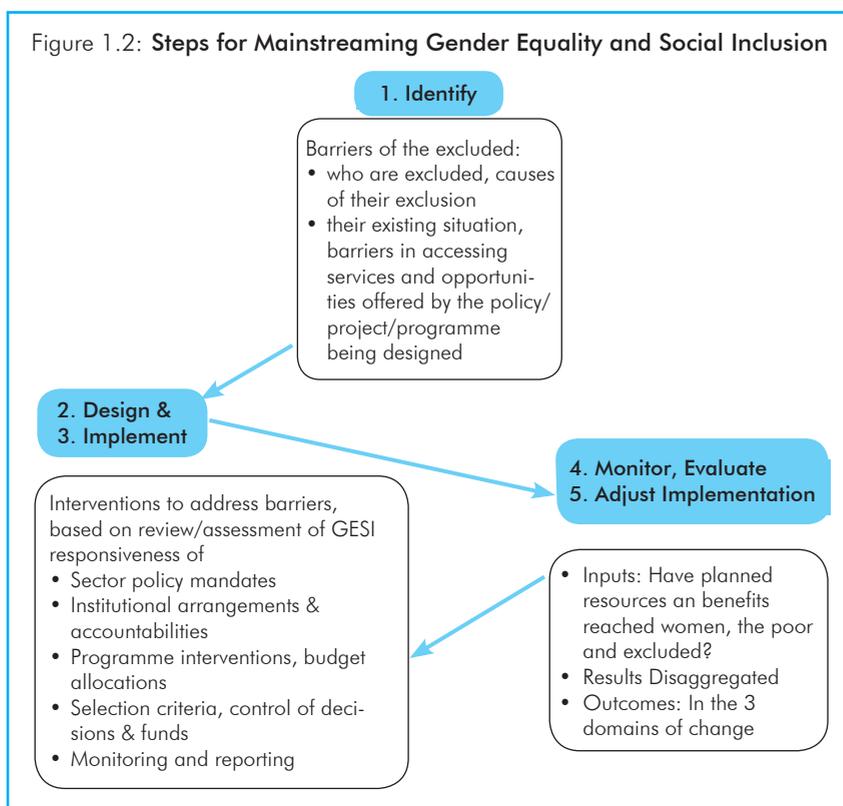
*First step: Identification.* This requires mapping the existing status of women, the poor, and the socially excluded in the sector, based on disaggregated qualitative and quantitative data and assessment of the available evidence. Analysis of existing policies (in the sector and beyond since policies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

works) is necessary to understand exactly how social inequities based on gender, caste, religion, ethnicity and location have been created and/or maintained. The key actors in these existing structures also need to be critically assessed in terms of their ability (and incentives) to change their behavior and values, and to transform processes and mechanisms.

In addition to assessing the barriers constraining each group from enjoying their rights, we need to map existing policy and program responses (if any), and assess whether these are addressing, reducing or reinforcing these barriers (see Annex 1.2 for details). As we begin the design process, the situation prevailing in the sector—the set of policies and formal and informal institutions in place—will almost certainly be benefiting some individuals and groups more than others. Thus, we need to understand the political economy of the sector or subsector both nationally and locally in the sites<sup>3</sup> where our projects or programs will be implemented. The stated intention of policies and procedures will always be positive and aimed at delivering services and benefits to all, but how do the policies work out on the ground for different groups? Do they deliver as intended; if not, what is intervening to prevent or change the intended outcomes? Usually, it is merely gaps in the delivery or communications systems that have been set up, or failure to understand the real needs of certain kinds of consumers, or other economic or social constraints that are preventing them from accessing the sector services. Either way, this is the detective work that needs to be done during the first step of the GESI process.

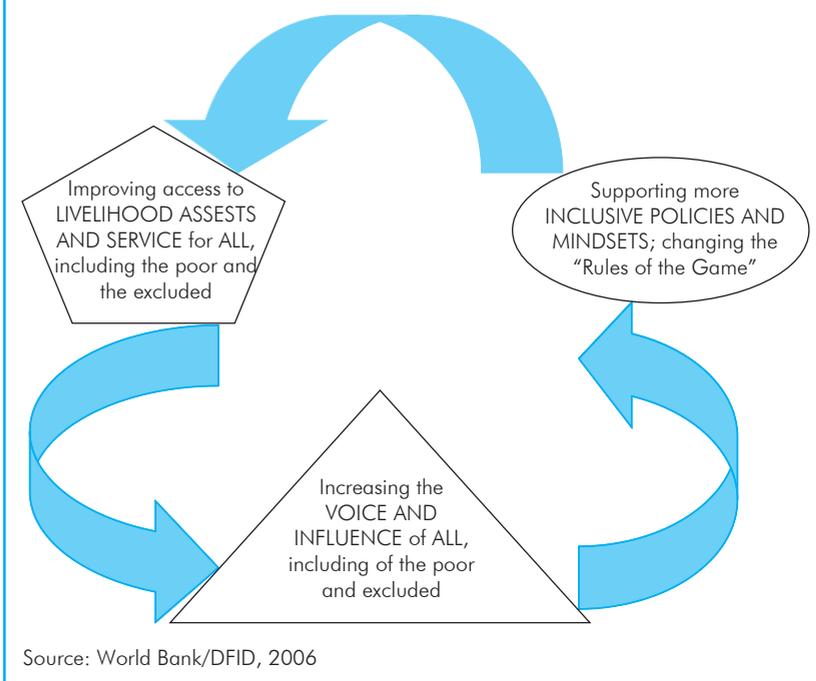
Second and third steps: *Design and implementation*. Once the sociocultural barriers and weaknesses in the policy framework or delivery system are understood, the job is to find ways to address these through interventions. This may require changes in policies, program activities, resource allocations,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

Figure 1.2: Steps for Mainstreaming Gender Equality and Social Inclusion



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Figure 1.3: Domains of Change



structures and mechanisms for routine work on gender and inclusion by technically competent individuals; promote diversity in staff composition; and adopt sensitive human resources policies for recruitment, promotion, transfer and performance evaluation.

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

The second domain has to do with *voice and*

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

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

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

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

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

### 1.3 Current Situation of Gender Equality and Social Inclusion in Nepal

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

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

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

Government initiatives to promote an inclusive

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

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

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

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

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

### 1.3.2 Policy and legal framework for GESI

This section<sup>4</sup> discusses the GESI policy framework and mandates at the international, national, and sectoral levels.

#### *National mandates for GESI*

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

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

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

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

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

#### *International commitments*

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

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

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

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

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

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

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

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

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

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

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

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

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

### 1.3.3 National and institutional mechanisms for gender equality and social inclusion

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

#### *Central level*

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

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

#### *District level*

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

These institutional mechanisms have been

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

### *VDC/municipality level*

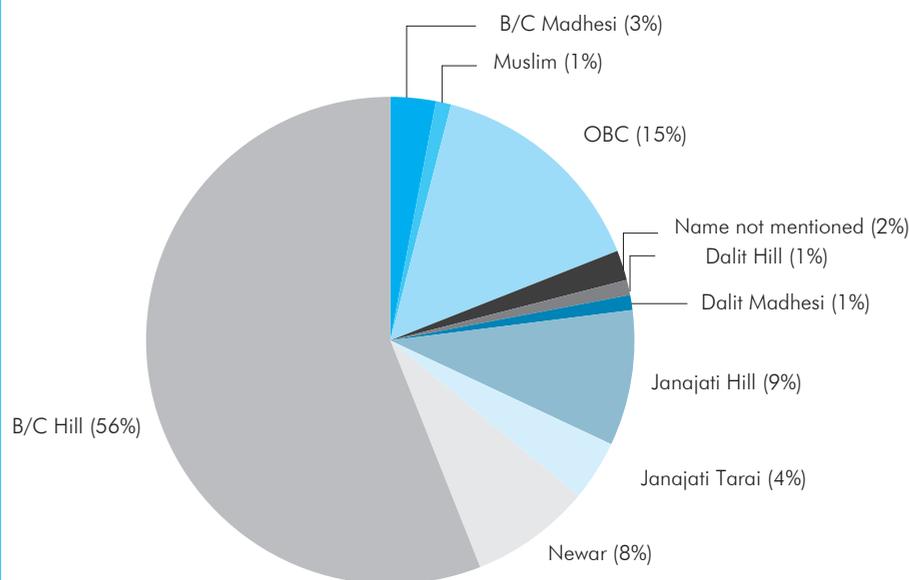
While there is no institutional mechanism with specific responsibility for GESI in VDCs or municipalities, the representative Integrated Planning Committees in each VDC are supposed to have members representing the interests of women, Janajatis, Dalits and NGOs, as mandated in the VDC Grant Operation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

### *Sectoral issues*

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

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

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



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

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

### Workforce diversity

A diverse workforce enhances the ability of government institutions to represent and respond to the needs of specific identity groups and better serve Nepali citizens, including those who have

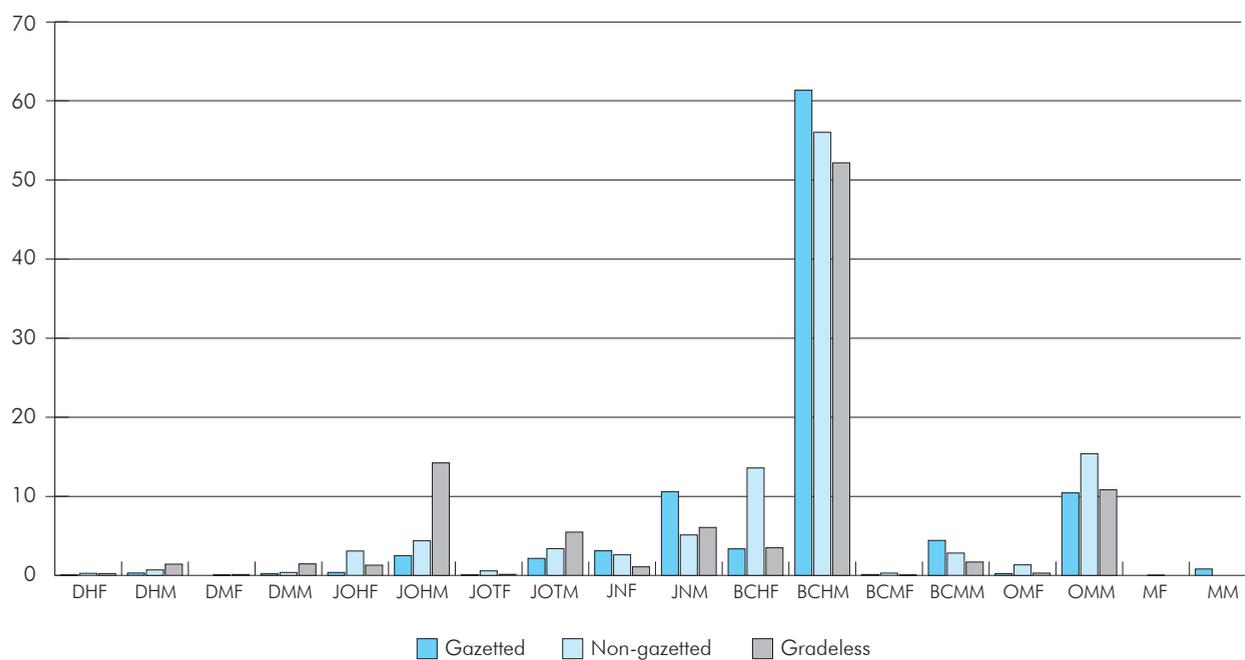
been historically excluded (Social Inclusion Action Group 2009<sup>8</sup>). Efforts are needed to make staff profiles more inclusive with regard to women and people from excluded groups and to develop human resource policies that are gender and inclusion sensitive. A review<sup>9</sup> of personnel of the government in the seven key sectors finds the following.

*Diversity status.* Altogether there are 41,183 staff members (of whom 6,742 are women, i.e., 16.37%) in the sectors we reviewed. Compared to the national population,<sup>10</sup> there is overrepresentation of Brahmins/Chhetris and Newars (who are primarily in key decision-making positions), almost an equal proportion of OBCs (mostly in non-gazetted technical positions), while all the other groups are underrepresented (Figure 1.4).

There are 4,594 staff at the gazetted level, of whom 7.27% are women. Among the women, Brahmins/Chhetris comprise the majority at 69.22%, and Dalits the fewest at only 0.20%.<sup>11</sup> The highest presence of women<sup>12</sup> is in the third-class non-gazetted positions (a majority of which are in the health sector as assistant nurse midwives and mother-and-child health workers; Figure 1.5).

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

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



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

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

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

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

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

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

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

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

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

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

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

tors are not specified for inclusive development/targeted programs, but there are indicators for GRB<sup>13</sup> and pro-poor budgeting.<sup>14</sup> Our discussions with Ministry and line agency staff, however, indicate that the guidelines are not clear, and that, as noted earlier, it is typically left to the budget officer to categorize and score the various budget lines to the best of his (it is primarily men) understanding. Some of the ministries were not even aware of the inclusive development and targeted program analysis while at the district level none of the line agencies had applied these budgeting processes. The budget speech of Fiscal Year (FY) 2009-2010 categorized high percentages of expenditures in all sectors as pro-poor and gender responsive, but with low expenditures for inclusive development and targeted programming (Table 1.1).

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

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

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

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

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

### *Gender equality and social inclusion budget analysis*

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

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

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

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

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

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

Notes:

<sup>a</sup> Excluding contribution of 0.34–0.42% to Janajatis, Muslims, Madhesis.

<sup>b</sup> Excluding contribution of 0.01–0.06% to Dalits, Janajati, adolescents, elderly, disabled.

<sup>c</sup> Excluding contribution of 0.10–0.16% to Dalits, Janajati, adolescents, elderly, disabled.

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

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

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

Notes:

<sup>a</sup> Excluding contribution of 0.34-0.42% to Janajatis, Muslims, Madhesis.

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

<sup>c</sup> Excluding contribution of 0.10-0.16% to Dalits, Janajatis, adolescents, elderly, disabled.

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

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

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

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

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

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

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

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

### 1.3.5 Program responses: Gender equality and social inclusion approaches

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

#### *Increasing access to assets and services*

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

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

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

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

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

### *Building voice and influence of excluded groups*

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

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

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

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

#### **Box 1.1: What is a REFLECT circle?**

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

Source: Field notes discussion with Action Aid 2009.

### *Changing the "rules of the game"*

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

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

### 1.3.6 Monitoring and reporting

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

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

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

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

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

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

### 1.3.7 Good practices and lessons learned

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

#### *Good practices*

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

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

*Establishing firm quorums for key meetings.* The

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

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

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

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

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

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

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

### *Lessons learned*

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

#### 1.4 Mainstreaming Gender Equality and Social Inclusion: The Way Forward

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

##### Step 1: Identifying the barriers

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

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

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

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

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

### **Steps 2 and 3: Design and implementation**

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

#### ***Address policy and organizational change issues***

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

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

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

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

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

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

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

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

### *Designing program/project responses*

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

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

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

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

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

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

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

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

## Steps 4 and 5: Monitor and Adjust Implementation

### *Monitoring and reporting*

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

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

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

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

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

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

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

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

### **Adjust implementation**

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

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

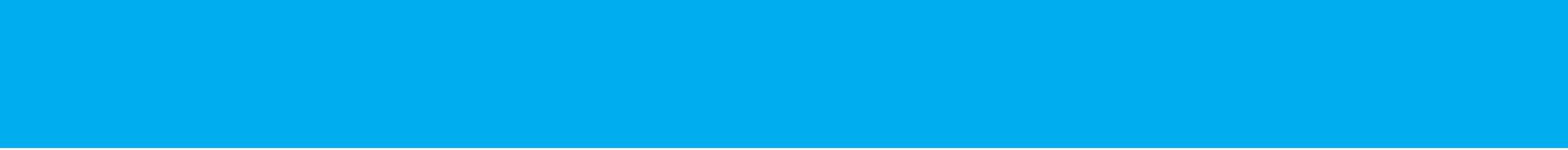
The seven sectors covered in this series have made significant progress in increasing the participation of women, the poor and excluded groups in development efforts, but rather uneven progress in addressing structural causes of gender/caste/ethnicity-based discrimination and issues of social exclusion.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

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

## Notes

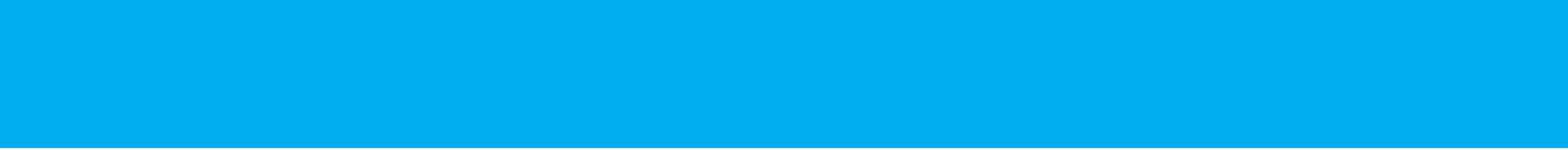
- 1 According to the Interim Constitution and Three-Year Interim Plan, excluded groups refer to those who have experienced exclusion historically and have not been mainstreamed in the nation's development: women, Dalits, Adivasi Janajatis, Madhesis, Muslims, people living with disabilities, and people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

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



## CHAPTER 2

# Gender Equality and Social Inclusion Making it Happen in Education



## 2.1 Introduction

The objective of this chapter is to identify the barriers faced by women, the poor and the excluded in accessing benefits from Nepal's education sector,<sup>1</sup> exploring what has worked and why, and suggesting ways to operationalize gender equality and social inclusion (GESI) systematically in all phases of education programming. The education sector in Nepal is very progressive and over the years has adopted many reform initiatives to address gender and inclusion. There is increased recognition that due to the sector's strong correlations with other indicators like poverty and health, exclusion in education must be addressed in order to achieve the Millennium Development Goals (MDGs) by 2015. The Interim Constitution of Nepal 2007 has assured free and compulsory education to all citizens up to secondary level and the right to receive basic education in the mother tongue. The Three-Year Interim Plan (2008-2010) and the National Development Strategy Paper (2009) have prioritized education, with specific recognition of gender and inclusion issues and higher investment in the sector.

## 2.2 Current Status and Barriers of Women, the Poor and the Excluded

Various social factors greatly influence access to education, as there are minimal targeted strategies to meet the specific needs of the poor, the excluded and children with disabilities, and a general lack of access to information. These factors, interlinked with economic status and geographic location, create significant disparities in education.

### 2.2.1 Income-based exclusion

Poverty is a strong disincentive for parents sending children to school, particularly due to out-of-pocket expenses.<sup>2</sup> The net enrollment rate (NER)<sup>3</sup> of the richest quintile was 87% while that of the poorest was 51% in primary school (see Table 2.1).<sup>4</sup> The steep decline of the three poorest groups beyond the secondary level implies that there are high direct opportunity costs to the poor for higher secondary and tertiary education. Many middle-income families thus shift their children to less expensive schools, while poor households reduce educational expenses or take children out of school for work<sup>5</sup>—patterns that reinforce interlinkages between education and poverty. Further, prevailing gender norms mean that poor girls and women are even less likely to access education. Finally, the indirect costs related to supposedly free education (for uniforms, textbooks,<sup>6</sup> supplies) discourage many parents, especially at higher levels of education.

### 2.2.2 Location-based exclusion

Geographic location is a key determinant of exclusion in education: differences<sup>7</sup> exist between the Tarai and hills/mountains, between east and west, and between urban and rural areas. The gross enrollment rate (GER)<sup>8</sup> and NER at primary level are higher in hill and mountain regions than in the Tarai. Low NERs in the Tarai<sup>9</sup> are primarily a result of language issues, too few schools in relation to the population, and high gender gaps in enrollment. The gender disparity in the primary NER in the Tarai (at 5.1 in 2008) is the highest among

Table 2.1: Net Enrollment Rate by Consumption Quintile and Levels of Education

Consumption quintile	Primary			Lower secondary			Secondary			Higher secondary			Tertiary		
	Boys	Girls	Total	Boys	Girls	Total	Boys	Girls	Total	Boys	Girls	Total	Boys	Girls	Total
Poorest	61	42	51	9	6	7	3	1	2	1	0	1	0	0	0
Second	78	65	72	19	16	17	9	2	6	0	0	0	1	0	0
Third	85	78	81	30	22	27	14	12	13	1	2	1	2	0	1
Fourth	84	82	83	41	39	40	20	14	16	6	3	5	1	0	1
Richest	88	85	87	57	56	56	35	36	35	15	10	13	12	8	10

Source: NLSS 2003-2004.

all eco-development regions. There is a disparity in the number of schools in the districts,<sup>10</sup> as there has been historical bias against the Tarai/Madhes and the more remote districts in resource allocation, and there is still a high prevalence of center/periphery and urban/rural disparity.<sup>11</sup> Across all regions, the gender parity index (GPI) for GER and NER drops as education level rises. But gender parity in lower secondary and secondary is lowest in the Mid- and Far-Western development regions (see Figures 2.1 and 2.2).

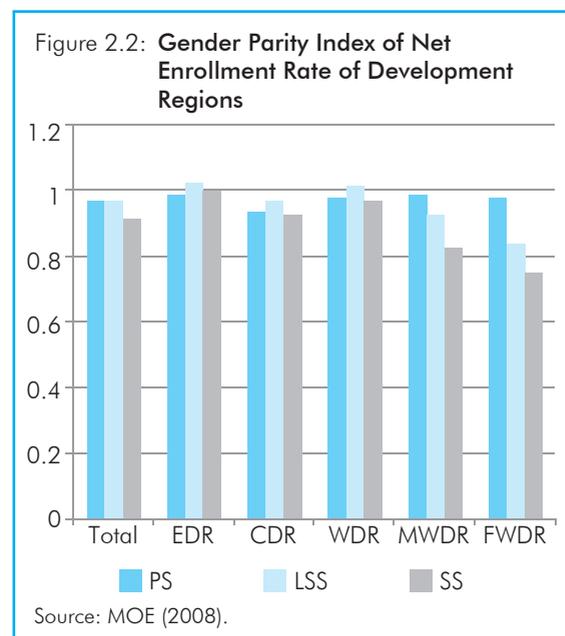
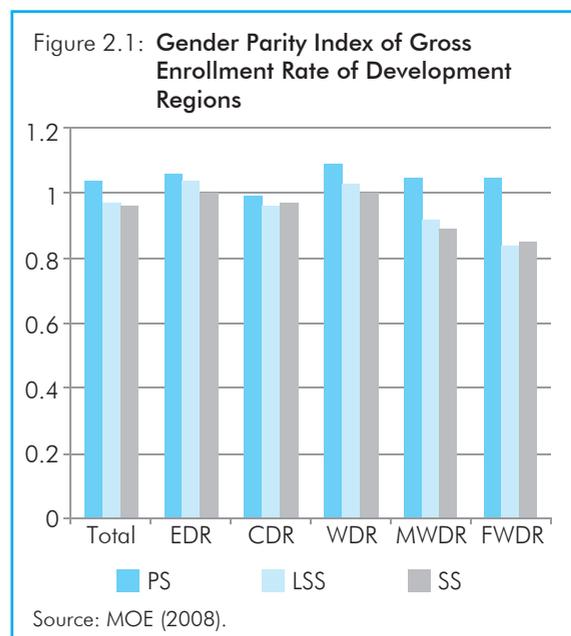
Regional disparity in pass rates for school leaving certificate (SLC) exams indicates low performance and low participation of children from excluded groups.<sup>12</sup> The number of SLC candidates has increased over the years for both Hill and Tarai areas in the Eastern region, but the entire Mid- and Far-Western regions continue to have very low SLC participation and very high gender gaps (Bhatta 2005).

### 2.2.3 Gender-based exclusion

Though there have been heartening increases in the enrollment<sup>13</sup> of girls (including from among Dalits and other excluded caste and eth-

nic groups) at all education levels, literacy rates for males remain significantly higher in all age groups<sup>14</sup>—53.1% for females over five, compared to 74.7% for males the same age.<sup>15</sup> The high primary-level enrollment of girls has been influenced in part by government incentive schemes.<sup>16</sup> In Saptari, for instance, scholarship money and incentives, in the form of food and oil, were reported to be most effective in increasing girls' enrollment and attendance (Acharya and Luitel 2006).

Social and economic factors lead parents to favor investment in their sons' education (Stash and Hannum 2001). Gender norms such as acceptance of sons as primary breadwinners, Hindu beliefs that girls should be married early and, once married, should not contribute to their parents' care (NPC 2010), and sexual vulnerability of girls when living away from home before marriage restrict their access to higher-level education. These barriers are interlinked with caste/religious/language issues. The education and literacy levels of some groups of Adivasi Janajati women are low, e.g., 66% of Tarai Janajati women have no education (whereas only 26% of Hill Brahmin women are uneducated) and



only 1.1% have completed secondary education, compared to 13% of Brahmin/Chhetri women (Bennett and Parajuli 2011). Only 35% of Dalit women are literate, half<sup>17</sup> the percentage of Dalit men; similar patterns are found among Muslim and Madhesi other castes/OBC (other backward classes) women.<sup>18</sup> Due to a reluctance to send daughters to schools without teachers who are either female or at least from the Muslim community, Muslim parents often send their daughters to madrasas, if they send them at all.<sup>19</sup> Apart from poverty and language issues, traditional conservative social and religious practices (such as *pardah*, or female seclusion/veiling) are major constraints for Tarai/Madhesi women.<sup>20</sup>

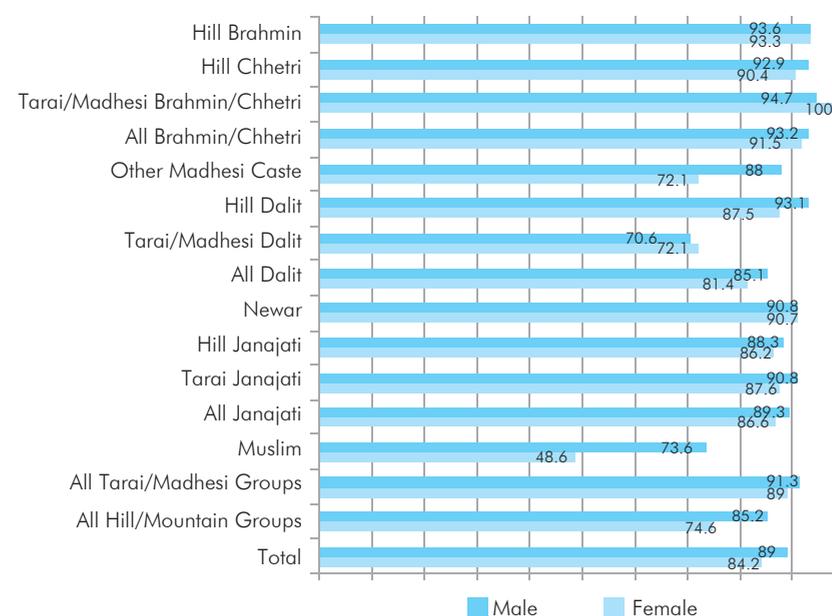
#### 2.2.4 Caste/ethnicity/religion-based exclusion

The education and literacy levels of Adivasi Janajati groups have risen considerably in recent years, though with major differences by subgroup and location. Among the total population of 22 extremely endangered and deprived Adivasi Janajati groups, only 1.81% of the primary-school-age population are enrolled at this level—with no children from Bankaria, Mushibadiya, Raute, Singa or Surel households (DOE 2009a). However, the early childhood development (ECD) and pre-primary enrollment of both Dalits and Adivasi Janajatis is proportional to or even higher than their national population, at 17.4% and 38.8%, respectively, of total enrollment (DOE 2009a). There has been a considerable increase in primary enrollment of both Hill and Madhesi Dalits: 850,000 in 2008-2009,

up from 420,000 in 2004-2005.<sup>21</sup> The government has been working to build consciousness and improve enrollment (for instance, encouraging social boycotts of families that do not send their children to school). But there is high dropout for a multitude of reasons: household work, sibling care, caste-based discrimination,<sup>22</sup> distance of schools and colleges from Dalit settlements, and lack of accommodation for Dalit children when required to study away from home.

The literacy rate of Muslims is lower than that of Hill Dalits and Adivasi Janajatis. Muslim girls have by far the lowest attendance ratios (45.6%) of any group in the country. Language difficulties in mainstream schools are a factor, since many of the children speak Urdu or languages other than Nepali. Madrasas teach in Urdu and are completely free (as compared to formal schools, where hidden costs exist), but they lack capable teachers and materials, and use a different curriculum than mainstream schools.

Figure 2.3: Primary School Attendance Ratio by Caste/Ethnicity and Regional Identity



Source: Bennett, Dahal and Govindasamy (2008).

Overall, the Tarai/Madhes has much lower levels of education across the board—except for Madhesi Brahmins/Chhetris, whose men and women have the highest education levels of any group (Figure 2.3). The largest gender gaps in literacy are in the Tarai/Madhes region.

### 2.2.5 Language-based exclusion

For both Adivasi Janajati and Madhesi populations, the use of only Nepali for instruction is a major barrier.<sup>23</sup> Apart from poverty, the lack of bilingual teaching is the main cause of drop-out among children from linguistic minorities.<sup>24</sup> Studies in other countries suggest that students need at least six years of instruction in a second language before they can successfully use it as a medium of instruction (Ball 2010).<sup>25</sup> Yet, no public school in Nepal provides this level of mother-tongue instruction nor has the promise made in the Vulnerable Communities Development Plan (VCDP) attached to the first education sector SWAp of bilingual education (Nepali and mother tongue) in primary school been fulfilled.

## 2.3. Policy and Legal Framework and Government Response

The Interim Constitution 2007 declared education a fundamental right and recognized that “each community shall have the right to receive basic education in their mother tongue and every citizen shall have the right to receive free education from the state up to secondary level (as provided in the law).”

More generally, significant reforms have been made to increase access to quality education for all, particularly women and the excluded. In 2000, the government signed up to the Dakar Framework of Action, thereby joining in the global commitment to achieve EFA goals by 2015. Nepal has also signed the Beijing Platform for Action,<sup>26</sup> SAARC Development Goals (2005-2010),<sup>27</sup> and the Dhaka Declaration,<sup>28</sup>

all of which bind it to widening access to education. In addition, as a signatory of the MDG framework, Nepal has a commitment to achieve universal primary education for boys and girls by 2015; and to promote gender equality and women’s empowerment by eliminating gender disparity in primary and secondary education by 2005, and at all levels of education by 2015. The Education Act (Seventh Amendment 2001),<sup>29</sup> Education Regulations 2002,<sup>30</sup> Education Law 2008, Scholarship Regulations 2006, Non-formal Education Policy (2006), and Education for All National Plan of Action (2001-2015) are the key policy documents for this sector.

### 2.3.1 Policy and programmatic response

Various policy documents<sup>31</sup> have proposed mainstreaming GESI in the education sector, and have made provisions for a number of affirmative action approaches to ensure the rights of women and the excluded through acts, regulations and national programs.<sup>32</sup> The Education for All (EFA) core document<sup>33</sup> identified gender equality and social inclusion as guiding principles, which has considerably improved access though a number of areas require further attention. An increase in ECD coverage, significant improvements in the enrollment of Dalits and other marginalized communities in primary schools,<sup>34</sup> positive outcomes of school feeding programs, mainstreaming of madrasas, increased numbers of female teachers and teachers from Dalit and Janajati communities, and training teachers of excluded groups were some key achievements (NPC 2010). According to Norad (2009) and ADB assessments, the EFA shortcomings on inclusion can be summarized as follows:

- ✦ There is a lack of conceptual clarity on the terms “special” and “inclusive” education, and on the role of non-formal/alternative schooling. Children most at risk of exclu-

sion have not been identified, and efforts to bring them into the education system are not systematized. Despite the commitments made in the government's EFA VCDP, multilingual education (MLE) has not been practiced by schools due to lack of clear implementation guidelines.<sup>35</sup>

- ✦ The criteria developed for scholarship distribution need further strengthening and monitoring, and there is a need to support schools in poverty pockets and provide disadvantaged children with additional funding. Appropriate tools are required to track changes in student learning outcomes, and in measuring achievement. In addition, the education system needs to be strengthened generally for child-friendliness, gender sensitivity, and diversity.
- ✦ For increasing the reach of ECD, non-formal education, and adult literacy programs, full funding to programs in disadvantaged communities, less reliance on NGO support, and a framework to reach out-of-school children are all required. During EFA, community participation and the participation of disadvantaged and non-literate community members in the school management committees (SMCs), parent/teacher associations (PTAs), and the school improvement plan (SIP) process were inadequate.

Since EFA covered only primary education, other programs were implemented to address other segments: the Secondary Education Sector Program<sup>36</sup> to expand secondary education; the Community School Support Program to strengthen community-managed schools (DOE 2007-2008); and the Teacher Education Project for teacher development (MOE 2009a). The School Sector Reform Program (SSRP) is a long-term strategic plan to achieve basic and secondary education goals for 2009-2010 to 2013-

2014. From a GESI perspective, a key SSRP reform is the provision of grants to schools based on per capita funding, which will help schools in excluded pockets and encourage communities to support the enrollment of excluded students. This includes grants to support the opportunity costs of students, teacher salaries for unserved areas, and other quality interventions through SIPs (World Bank 2009a SSRP: 5).<sup>37</sup>

Developed under EFA, the VCDP recommended a number of steps at the central and village level to ensure gender equality and social inclusion in primary education, but was never effectively implemented. Ministry of Education (MOE) officials claim that it influenced the discourse and certain elements were utilized, but neither the government nor donors took the plan seriously and no one monitored its implementation. The SSRP has attempted to address some GESI-responsive strategies and activities (Table 2.2).

The SSRP also recognizes and supports traditional (cultural and religious) modes of education (e.g., *gumbas*, *vibars*, madrasas, ashrams and *gurukuls*). It is strengthening the education management information system (EMIS) through disaggregated data collection and reporting, commissioning research studies, and conducting learning assessments. An important mechanism for achieving SSRP goals is the Vulnerable Community Development Framework (MOE 2009b), prepared as a "safeguard document to ensure that the SSR Plan is implemented with sufficient attention to issues related to access, equity, quality and sustainability" (MOE 2009b: 3). In addition, a governance and accountability action plan is intended to strengthen related issues in SSRP implementation (World Bank 2009b: 109). Yet a review of the plan's framework indicates that the matrix, key activities and indicators are GESI neutral and do not demand disaggregated information, which is a major gap.

### 2.3.2 Decentralization efforts in the education sector

Under the Education Regulations, the SMC of each school is responsible for operation, management and monitoring.<sup>38</sup> The SMCs are made up of 10 individuals, including the principal and three representatives selected by the students' parents/guardians, one of whom must be a woman. While Flash reports show that all SMCs do include women, they rarely occupy powerful positions.<sup>39</sup> Other disadvantaged groups, such as Dalits, are usually grossly underrepresented while data about Madhesi and Muslim groups is lacking.

Crucially, the SMCs are responsible for designing school improvement plans,<sup>40</sup> appointing head and other teachers, resource generation, approving and executing the school budget, and carrying out various audits, including social audits (World Bank 2009a). However, the Flash reports document that even in 2006-2007 only a third of all districts had SIPs for more than 80% of their schools. Similarly, social audits had taken place only in about 65% of schools. There is growing evidence of SMCs taking initiatives to address gender and inclusion issues (e.g., approaching VDCs for funds to construct separate toilets for girl students, special gatherings and interactions with mothers), but this is not ensured through formal directives. The SMC guidelines assume that services will reach everyone and that all will be represented in critical SMC decisions. However, experience shows that unless clear directives are established, the representation and influence of women, the poor and the excluded remain limited.

Many villagers do not consider lower-status poor, members of excluded groups or women as capable of managing SMC responsibilities. This has allowed school governance to be captured by elite groups, local politicians or local bureaucrats, often for economic, political or social gain. In

the 14 SMCs of Morang we surveyed, members were found to have been selected in mass meetings of parents and teachers, heavily influenced by the SMC chairperson and school principal, who generally have an understanding with political parties.<sup>41</sup>

### 2.3.3 Gender equality and social inclusion in SSRP: The key program in education

This section discusses the SSRP components—early childhood education and development, basic education, secondary, non-formal, technical education and vocational training and higher secondary—from a gender equality and social inclusion perspective.

#### 2.3.3.1 Early childhood education and development and pre-primary centers

Early childhood education and development (ECED) aims to expand access for four-year-old children to prepare them for basic education. Though the government has noted that ethnic minorities, girls, Madhesi, marginalized groups, Dalits, and locations with high disadvantaged populations will be prioritized, reports indicate that there are many more ECED centers<sup>42</sup> in accessible and relatively better-off areas.<sup>43</sup> The EFA evaluation notes that ECED has reached more marginalized and remote communities only when NGOs have been willing to take on the full costs. Although the SSRP stipulates the use of mother tongues for ECED instruction, a mixed profile of children and the capacity of facilitators often limit implementation of this. The enrollment rate of three- to four-year-old children in ECED/pre-primary centers has exceeded the target of 64% (reaching 66.2%), though with a gender gap (67.5% boys to 64.8% girls); however, this figure includes many under-aged and over-aged children.<sup>44</sup> While the number of enrolled children from lower income groups has risen since 2006, the gap still exists for higher-income

Table 2.2: Selected Gender Equality and Social Inclusion Strategies and Activities of the School Sector Reform Program

SN	Program area	Strategies	Activities
1	ECD	<ul style="list-style-type: none"> <li>Establish ECD mainly in extremely backward and vulnerable communities</li> <li>Appoint local female ECD facilitator (as directed by the guideline)</li> <li>ECD centers to be established and managed by local bodies in partnership with nongovernmental and community-based organizations</li> </ul>	<ul style="list-style-type: none"> <li>Establish 2,000 new ECD centers</li> <li>Training to facilitators</li> <li>Support to 24,000 already established ECD centers</li> </ul>
2	Basic education	<ul style="list-style-type: none"> <li>Create opportunities for equitable participation in quality and free basic education</li> <li>Special provisions and incentives to cater to the needs of students in Karnali zone, students from Dalit and marginalized communities, and students with disabilities across the country, paying special attention to girls</li> </ul>	<ul style="list-style-type: none"> <li>Per capita funding to schools for textbooks and SIP grants</li> <li>Girls' scholarship to poorest 50% girl students (Rs 400 per annum to 1,015,509 children)</li> <li>Dalit scholarship (Rs 400 per annum to 1,213,868 children)</li> <li>Karnali scholarship (Rs 1,000 per annum)</li> <li>Scholarship to all children of marginalized groups</li> <li>Midday snack program to 11 districts where malnutrition exists, with WFP support</li> <li>Midday snacks to children of Karnali zone</li> <li>Cooking-oil support to promote girls' enrollment where GPI is lower</li> <li>Provide scholarship to disabled children according to severity of disabilities</li> <li>Inclusive education resource classrooms, mainly targeted towards differently abled children</li> <li>Scholarship to martyrs and conflict-affected children at all levels</li> </ul>
3	Secondary education	<ul style="list-style-type: none"> <li>Provide free education to Grades 9-12 for unreached groups</li> <li>Special incentive package for students in Karnali zone, and from Dalit and marginalized communities</li> </ul>	<ul style="list-style-type: none"> <li>Free education to all Dalits and all girls living in Karnali zone; Karnali scholarship (Rs 1,500 per annum)</li> <li>Targeted group scholarship to all children of Mukta Kamaiya, Haliya and Charuwa; scholarship to martyrs' and conflict-affected children; feeder hostel scholarship to Himalaya zone children</li> <li>Secondary education scholarship to children of Dalit and endangered Janajati groups</li> </ul>
4	Nonformal education	<ul style="list-style-type: none"> <li>Make all illiterate people literate within two years through national literacy campaign</li> <li>Expand access to literacy and lifelong learning to disadvantaged communities and low-literacy areas</li> <li>Mainstream children who have dropped out back into the formal education system</li> </ul>	<ul style="list-style-type: none"> <li>Literacy classes in each ward</li> <li>Focused post-literacy classes</li> <li>Grihini bidhayalaya for adult women as well as for housewives and working mothers</li> <li>Primary education extension program, including nonformal primary education program, school outreach program, and flexible schooling; "open schools" for Grades 6-8, nonformal secondary school</li> </ul>
5	Technical education and vocational training	<ul style="list-style-type: none"> <li>Short-term demand-based self-employment-type skills training</li> <li>Short-term training suitable to national and international job markets</li> <li>Technical skill-based education for training to females, Dalits, Muslim girls and Kamaiya children</li> </ul>	<ul style="list-style-type: none"> <li>In self-employment-type skill-based short training, provision for 50% female and 25% Dalit quotas in training programs</li> <li>Technical education and vocational training to disadvantaged, poor Muslim girls, and youth of Kamaiya families (according to demand and desire of learners/participants)</li> </ul>
6	Higher education	<ul style="list-style-type: none"> <li>Expanding access to higher education for students from disadvantaged communities and girls</li> </ul>	<ul style="list-style-type: none"> <li>Universities and colleges encouraged to ensure incentives schemes to targeted groups</li> <li>Girls' scholarships up to diploma level through Girls Scholarship Trust; scholarship to martyrs' and conflict-affected children</li> <li>In the MBBS scholarship, 45% is reserved for the public schools' SLC-completed students. Of this, 25% is reserved for economically and socially deprived students (including Madhesi, Muslim, disappeared individuals' or martyrs' children), 33% for female students (including Dalit and Muslim), 27% for Adivasi Janajati students, 9% for Dalit students, 4% for students from backward and remote areas, and 2% for disabled students</li> </ul>

Source: MOE programs, FY 2009-2010.

groups (van Ravens 2009). Overall enrollment of excluded groups in ECED/pre-primary centers is good, with 17.4% for Dalits (0.98 GPI) and 38.8% for Janajatis (0.94 GPI).

### 2.3.3.2 Basic education

Community and institutional schools, as well as alternative<sup>45</sup> and traditional<sup>46</sup> schools, provide basic education. Equitable access to free basic education for all children aged 5-12 is now a state responsibility, a response to the demand of the Jana Andolan of 2006, though policies to support girls' education have been in place since the Ninth Plan (1997-2002). Various scholarship funds (see Table 2.3) are released as part of SIP funding,<sup>47</sup> and the budget allocated is quite substantial, at 26% of non-salary costs (GON/MOE 2008: 56). The government has provisions for free textbooks, school uniforms, and free lunch or snacks, while many scholarships and in-kind support<sup>48</sup> target different social groups.<sup>49</sup> Several studies indicate that these scholarships have helped in increasing enrollment and retention of children from disadvantaged communities (Acharya and Luitel 2006).

Still, a number of scholarship implementation challenges exist. Districts and schools have faced difficulties in identifying the "right" students for scholarships and ensuring transparency (MoES 2003: 31). The implementation criteria and guidelines have not been followed effectively (Norad 2009) and schools have misused funds by inflating the number of eligible

students. Many children and their parents are discouraged from claiming benefits by lack of information or intimidation by teachers (in some districts, less than half of eligible Dalit children have received scholarships).<sup>50</sup> There is also no effective system for tracking students from disadvantaged communities or the impact of scholarships on attendance and performance. Despite a growing understanding of the issues, no effort to strengthen the information, education, communication and dissemination strategy to reach parents and students of different social groups is outlined in the SSRP.

Alternative and traditional schools also provide basic education. The SSRP has a provision for free alternative programs and condensed courses for students who must work or are unable to attend formal schools due to disability or any other causes. The SSRP is also committed to strengthening and institutionalizing the 700 traditional<sup>51</sup> schools so that their students have an education equivalent to the primary level of formal education.

### 2.3.3.3 Secondary education

Secondary education is to be made free by 2015, with subsidized curricular materials. There will need to be a four-fold increase in secondary-level schools to accommodate students, which will require government resources (not allocated in the SSRP) and an ability on the part of communities to share costs. As such, the poor and the excluded are most likely to face barriers in gain-

Table 2.3: Types and Amount of Scholarships

Scholarship type	Target	Amount (Rs)
Dalit scholarship	All Dalit students	350 per year per student
Girl scholarship	50% girl students (selection by the SMC)	350 per year per student
Martyrs' scholarship	Children of martyrs (martyrs verified by district education office)	1,000 per year per student
Scholarship for Karnali region	All girl students in Karnali region	1,000 per year per student
Scholarship for students with disability	All students with disability	500-15,000 per year per student (based on severity)

Source: SSRP, 2009-2015.

ing access to secondary education as they are less able to contribute.

#### 2.3.3.4 *Inclusive education*

Neither the SSRP<sup>52</sup> nor the MOE has clearly defined what “social exclusion” is, who is considered socially excluded, or which MOE units or divisions are responsible for addressing it. The Department of Education’s Inclusive<sup>53</sup> Education Section deals only with disability; the Gender Section deals with the social dimensions of exclusion, but covers only gender and Dalit issues. No clear policy mandate or guideline directs either section to address the needs of other excluded groups.

#### 2.3.3.5 *Curriculum and assessments and teaching methods*

Under the SSRP, the Curriculum Development Center (CDC)<sup>54</sup> will mobilize experts to revise curricula in line with the national curriculum framework.<sup>55</sup> This is an important opportunity to ensure that old stereotypes are revised and that the new curriculum is responsive to inclusion issues and promotes cultural diversity. Trade and related subjects have been introduced by the framework and a review indicates that these are articulated on the basis of the existing highly gendered and socially dominant workforce rather than on the differing realities of women and men from different social groups. From a Dalit perspective the curriculum is highly biased as it omits historical Dalit personalities and does not address caste-based discrimination or untouchability, or promote the status of the traditional occupations of Dalits (NDC 2004, 2005-2006). In addition to the need for decentralized curriculum development, participation from broader<sup>56</sup> stakeholders, and revision<sup>57</sup> of the curricular content from an inclusive perspective, the curricula also need strengthening to enhance value-based education that promotes gender equality, social

inclusion and equity, social justice, rights and harmony.

The SSRP’s provision for the development of appropriate local curricula is a positive step towards implementing mother-tongue education and promoting diversity. Yet, a national-level mechanism is still required to ensure that the guidelines are followed consistently, that locally produced materials are of quality, and that institutional technical assistance can support the development of local-level curricula.

#### 2.3.3.6 *Multilingual education*

Various acts and regulations support education in the medium of the mother tongue as a right.<sup>58</sup> The EFA Vulnerable Communities Development Plan had explicit provisions for a program of “language transition” for children whose mother tongue is not Nepali, to support their entry into Nepali-medium education over the first few years of school. For several years very little was done to take these plans forward; but finally, in 2006, the Finnish government stepped in with a pilot project, the Multilingual Education Program for All Non-Nepali Speaking Students of Primary Schools in Nepal, implemented in seven villages in six districts. Progress was painfully slow, however, and the project ended in 2009. The SSRP mentions mother-tongue/multilingual education (MLE) in several places, including setting a goal of implementing MLE in 7,500 schools by 2015. However, it provides no specific definition or guidelines that would allow for the implementation of such education. The budget allocated for MLE in FY 2009-2010 was Rs 680,000 from a total MOE budget of Rs 14,936,192,00 (MOE 2009).

NGOs and indigenous people’s organizations have been running MLE programs around the country, showing that effective MLE interventions are possible. For instance, the number of students in some government schools in Dang

district increased after the schools began MLE.<sup>59</sup> The dropout rate at two other schools in Dang where the mother tongue was introduced as the medium of instruction has fallen to zero.<sup>60</sup> Where all students speak one mother tongue, of course, implementation of MLE is less challenging; however, few schools in Nepal have monolingual student bodies. A pilot with eight language groups in seven schools<sup>61</sup> demonstrated that multiple-language settings require multiple arrangements. This is made more difficult by teachers inadequately prepared for non-conventional settings, inadequate classrooms and unavailability of local mother-tongue teachers. The lack of national consensus<sup>62</sup> on the objective of MLE in schools has negatively impacted the implementation of bilingual/multilingual education.

### *2.3.3.7 Non-formal education, and literacy and lifelong learning*

The government is currently attempting to eradicate illiteracy within two years, reaching out to the estimated 7.8 million who cannot read or write. Among out-of-school children, many more are girls than boys and most come from the bottom economic quintile, many of them Dalits and disadvantaged Adivasi Janajatis and OBCs. All non-formal education (NFE) activities are led by the Non-Formal Education Center,<sup>63</sup> which aims to expand NFE programs to reach unserved and underserved groups—particularly women, who are specifically targeted by selected programs. The SSRP has provisions for using mother-tongue/local languages in non-formal literacy programs, hopefully followed by a bridge course in Nepali. This will help reach Adivasi Janajatis and the many non-Nepali-speaking people in the Tarai, where literacy rates are lower than in the hills. There are also outreach programs for children of 6-8 years, and an alternative schooling program for children aged 8-14 who have dropped out of school, after which students can

join formal schools. Programs for continuous education and life-long learning include community learning centers (CLCs), some 805 of which have been established. NFE courses have been implemented to meet the needs of adults and address language, culture, vocational skills and economic needs of diverse target groups.

### *2.3.3.8 Technical education and vocational training*

The MOE has implemented various technical education and vocational training (TEVT) programs under the Council for Technical Education and Vocational Training.<sup>64</sup> One of the key objectives of the TEVT Skill Development Policy (2008) is to expand training programs to ensure access and inclusion of women, Dalits, Janajatis, Madhesis and deprived communities. For the first time, the government is providing free technical<sup>65</sup> education to Muslim and Dalit girls from eight Tarai<sup>66</sup> districts who suffer from financial constraints.<sup>67</sup> Access to training opportunities and vocational skill development for many is severely limited due to the requirement of a certain level of literacy for most courses offered under the three levels<sup>68</sup> of TVET programs. In the selection criteria for scholarship distribution, 10% weight has been given to women, Dalit and indigenous groups, the disabled, people from the families of martyrs or those injured during the Jana Andolan, former Kamaiyas, Haliyas, and “disadvantaged groups” (which are not defined). However, there are only limited numbers of such scholarships.

### *2.3.3.9 Higher-secondary education programs*

The six universities in Nepal are responsible for the implementation of higher education, delivering academic programs through publicly funded constituent colleges and privately funded affiliated colleges. Community<sup>69</sup> and private<sup>70</sup> colleges account for 27% and 9% respectively of the

total tertiary enrollment, while the constituent colleges make up the rest. The 200 community colleges have been recognized for their success in ensuring participation by women, Dalits, ethnic groups and other disadvantaged social groups, despite minimal government support. The GESI aspects of these community colleges and their management need to be further explored.

A key issue facing higher education is poor access for students from underprivileged households, especially girls, Dalits and the educationally disadvantaged.<sup>71</sup> Participation of the poor in higher education is very low.<sup>72</sup> GPI drops from 0.80 in secondary school to 0.38 in higher education, revealing a decrease in girls' participation in higher education (World Bank 2007: 80). The disparity is also evident in access to higher education by Dalit and Janajati groups.<sup>73</sup> Financial assistance targeting higher education for girls, Dalits and disadvantaged Adivasi Janajatis has been very useful in improving access and equity in higher-secondary and tertiary education but these scholarships and fee waivers are small<sup>74</sup> and insufficient.<sup>75</sup> A number of innovative approaches have been introduced under the financial assistance scheme<sup>76</sup> to meet study costs through a combination of student contribution, income from work-study programs, scholarships and access to commercial loans (for bachelor's degree students only), though the results are yet to be reported. Proxy means testing has been introduced to help ensure eligibility for scholarships is based on objective indicators. This is believed to have reduced malpractice but no in-depth study of the effectiveness and accuracy of the method has yet been carried out.

## 2.4 Institutional Issues of the Education Sector

Institutional arrangements and culture as well as the attitude of service providers all affect the access of women, the poor and the excluded to

education services. Following our framework, we assess the level of inclusion in the staff profile and responsibilities in the job descriptions of key decision-makers and implementers.

### 2.4.1 Teacher recruitment and professional development

*Recruitment.* The government is working to strengthen teacher<sup>77</sup> recruitment, training, development and management processes. However, a long history of centralized, politicized, non-competitive and non-transparent recruitment practices has resulted in a large proportion of inadequately qualified teachers. The overall teacher population contains many more men than women, and has low representation of socially disadvantaged groups. However, affirmative action policies are in place to encourage the hiring of female teachers and those who can provide mother-tongue instruction.

*Professional development.*<sup>78</sup> District education offices (DEOs) are mandated to prepare plans for teachers' professional development in each district. Disaggregated information regarding skills<sup>79</sup> of those from different social groups is not assessed, however, nor do guidelines for upgrading teachers contain inclusive<sup>80</sup> criteria. Male teachers are more likely to get training opportunities due to better access to information and greater mobility. Further, resource limitations often force rural schools to merge grades. Secondary-level community schools have inadequate subject teachers, resulting in high failure rates at the higher grades and poor SLC results—leading to greater difficulties for weaker students, who are often from disadvantaged groups. The National Center for Educational Development (NCED) is fostering special facilities and increasing coverage of women and disadvantaged groups in teacher training, including a two-year concession on minimum education qualification; scholarships for teacher training in 22 “backward”

districts; revision of training materials, process and curriculum; and making physical environments gender friendly. However, limited documentation provides little information on results.

#### 2.4.2 Diversity profile of teachers

One third of Nepal's schools still lack a female teacher, despite the policy requirement of at least one per school.<sup>81</sup> Women constitute 33% of the total teachers (68,859 out of 207,567), but are highly concentrated at the lower levels: 37% at basic level, 15% in secondary, and just 5% in higher secondary. Women's lower participation at intermediate and tertiary levels can partly explain their lower participation in the upper-grade teaching force (NPC 2010). Head teachers are mostly men, and there are no policies reserving head-teacher posts for women or people from excluded groups; the percentage of teachers from Adivasi Janajati, Dalit, Madhesi and Muslim communities is also very low, which the Technical Review of School Education findings have shown to be a major barrier for children's enrollment from these groups.<sup>82</sup>

#### 2.4.3 Level of diversity of civil personnel in education sector

A sex and caste/ethnicity disaggregation<sup>83</sup> of 2,188 civil personnel in the sector indicates that just 8% are women. There is also over-representation<sup>84</sup> of Brahmin/Chhetris and Newars, while all other groups are under-represented<sup>85</sup> (see Figure 2.4). Table 2.4 and Figure 2.5 show representation disaggregation at various levels. Not only have women generally and men and women from excluded groups been denied access to civil service careers but the dominance of Brahmin-Chhetri men also impacts on the Ministry's ability to deliver responsive educational services to the majority of citizens. In recognition, the government has initiated a quota system for the civil service.

#### 2.4.4 Location of responsibility for GESI

Except for the DOE Educational Management Division, no other<sup>86</sup> MOE structure has been given any specific responsibility to address GESI issues (MOE 2009). A gazetted third class officer is the gender focal person but this is not reflected

in the organizational structure, nor is this role evident in integrating gender and inclusion in ministerial policy. Two DOE sections, the Gender Equity Development Section (GEDS) and the Inclusive Education Section, have GESI-related responsibilities but they have little institutional influence and do not cover all groups. GEDS's

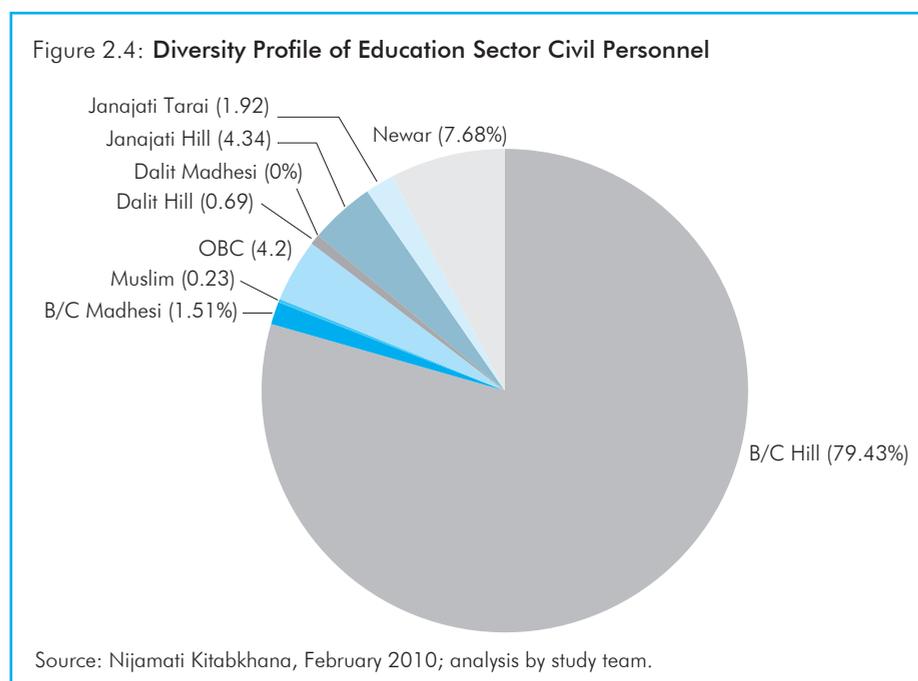


Table 2.4: Women in Education Sector

Level	Women (%)	Men (%)	Total
Gazetted	42 (5.47)	726 (94.53)	768
Nongazetted	128 (9.01)	1,292 (90.99)	1,420
No grade	24 (6.25)	360 (93.75)	384

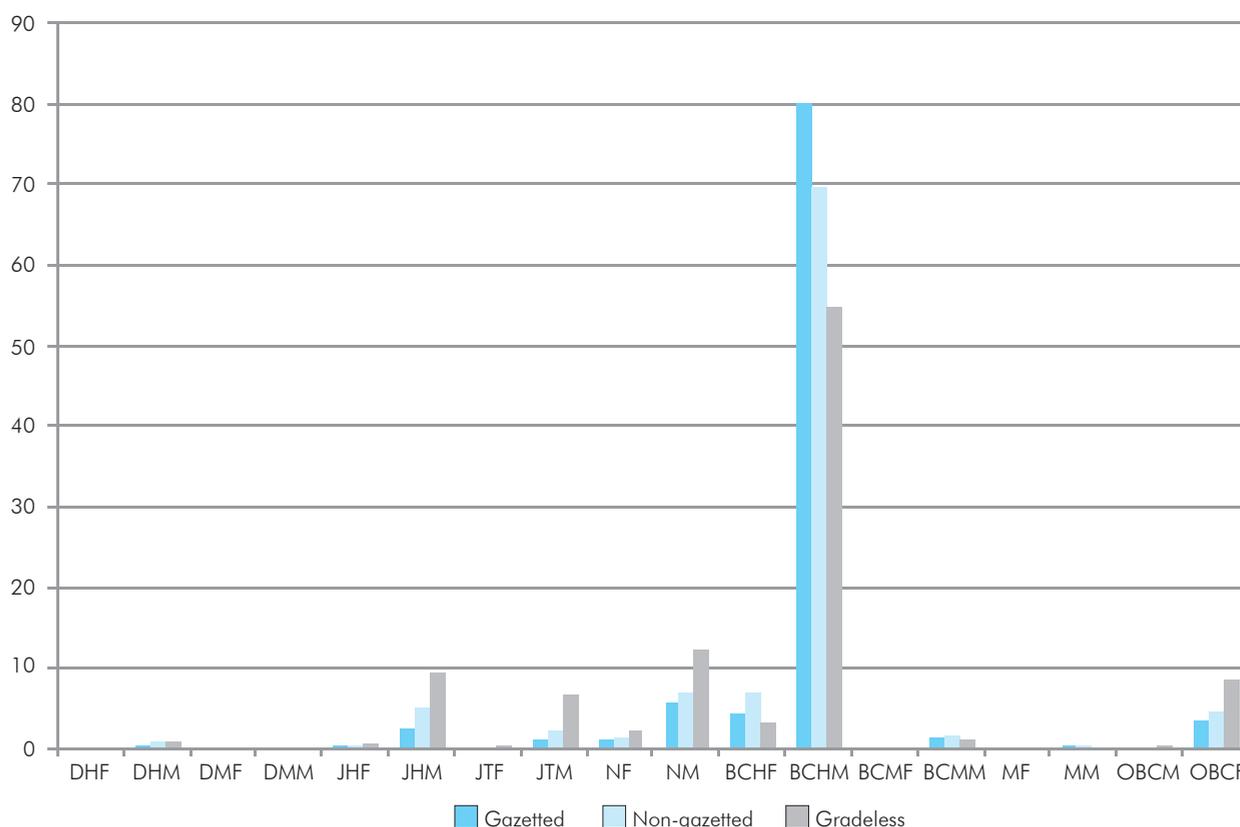
gender mainstreaming functions<sup>87</sup> are limited to giving training<sup>98</sup> to gender focal points now common in various parts of the education bureaucracy and holding workshops at the central and district levels. A review of the responsibilities<sup>89</sup> of the Director-General, Director, DEO and school inspectors indicates that none of them has any responsibility to address GESI issues. A code of conduct emphasizing GESI was developed by the MOE in 2009, covering staff, students, teach-

ers and SMCs, prohibiting discrimination and encouraging the creation of a welcoming environment for disadvantaged groups in schools. This is a good beginning but more detailed guidelines, with practical tools and mechanisms, are necessary for its effective operationalization.

## 2.5 Program and Budget Analysis

This section analyzes government and programs' budget allocation to examine the extent to which resources are being spent on education sector activities that are expected in some way to help women, the poor and the excluded. The objective is to "follow the money" to assess what efforts have been made to address the issues that con-

Figure 2.5: Diversity Profile of Civil Personnel and Levels in Education Sector (%)



Note: DHF/M—Dalit Hill female/male; DMF/M—Dalit Madhesi female/male; JHF/M—Janajati Hill female/male; JTF/M—Janajati Tarai female/male; NF/M—Newar female/male; BCHF/M—Brahmin/Chhetri Hill female/male; BCMF/M—Brahmin/Chhetri Madhesi female/male; MF/M—Muslim female/male; OBCF/M—OBC female/male.

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

strain these groups' access to sector benefits; analyze how much of the budget has been allocated and spent on such issues; and assess the degree to which government funding for these issues is channeled through *targeted programs* or integrated into *mainstream programs*.

The government's annual budget speech presents three different types of analysis of the budget from a gender and inclusion perspective: expenditures in support of "inclusive development and targeted programs" are identified; the gender-responsive budget (GRB) exercise is presented; and pro-poor expenditures are identified (Annex 8a, 8b, and 8c of the annual budget speech 2009-2010, respectively). The government budget speech allocated Rs 46,616,672,000 for education, of which Rs 18,368,433,000 (39.40%) was categorized as "inclusive development/targeted programs," Rs 40,589,748,000 as pro-poor (87% of the total budget), and Rs 23,488,145,000 was categorized as gender responsive (2.79% direct, 47.6% indirect).

We tried to identify how classifications were made and the process followed. Indicators are not specified for inclusive development/targeted programs but there are indicators for GRB<sup>90</sup> and pro-poor budgeting.<sup>91</sup> Our discussions with Ministry and line agency staff indicate, however, that guidelines are not clear, and that in the end it is left to the budget officer to categorize and score the various budget lines to the best of his (it is primarily men) understanding. Since the scoring and indicators were not clear for the other two kinds of budgeting, we have focused on reviewing the government's GRB indicators, identifying what sub-indicators are relevant and whether this approach is effective for tracking GRB expenditures in the education sector.

As noted above, the annual budget speech for FY 2009-2010 identified 2.79% of the education budget as directly supportive to women and another 47.6% as indirectly supportive; the

remainder was neutral. MOE and Ministry of Finance (MOF) staff categorize all expenditure items in the education budget into these three categories (i.e., directly responsive, indirectly responsive and neutral) based on five indicators of gender responsiveness (participation, capacity building, benefit sharing, increased access to employment and income-earning opportunities, and reduction in women's workload). However, these indicators, which were developed in the context of agriculture, are not necessarily applicable in other sectors. There are no sub-indicators to guide the scoring of budget lines or to assess how the activities budgeted contribute to the indicators. Also, the GRB indicators tend to be better at capturing expenditures for targeted women's programs than at picking up expenditures for efforts made in universal programs to mainstream GESI. Finally, of course, the GRB exercise focuses only on gender and does not capture expenditures aimed at increasing outreach to excluded groups.

*GESI budget analysis.* Therefore, while we have assessed the existing GRB practice and indicators used, and identified possible sub-indicators for GRB analysis in education (Annex 3.1), we have also developed and applied our own tentative GESI budgeting methodology.<sup>92</sup> This is intended to capture expenditures that reach and support excluded groups and those that support women. Although there is no single rule about how to determine whether public expenditure is discriminatory or equality enhancing, there are some general principles that are discussed in gender budgeting literature, which we have adapted.<sup>93</sup> Our efforts here are intended as a first step to identify the approximate resource flows to these different purposes; but much more work and wider consultation are needed. We hope that this initial attempt can become the basis for further collective work with the MOF, the Gender-responsive Budget Committee, sectoral

Table 2.5: Gender Equality and Social Inclusion Budget Analysis of Five Department of Education/Ministry of Education Programs\*

Targeted groups	Directly supportive		Indirectly supportive	
	% of budget	Examples of activities	% of budget	Examples of activities
<b>Five DOE/MOE programs (total budget Rs 14,936,192,000)</b>				
Women	4.04	Gender-friendly publications, logistical support for women's literacy, revision of curriculum of women's literacy program, scholarships to girls, nonformal education to girls and adult women, workshops, and training	2.87	Availability of materials and textbooks, welcome to school and enrollment campaign, training and orientation for teachers and trainers, review of curriculum, faculty and staff remuneration and incentives, infrastructural support cost for schools
Poor	10.51	Scholarships, materials for school outreach, flexible school	3.95	Training, materials development for alternative programs
Dalits	3.88	Scholarships, free education	1.73	Material development, inclusive curriculum, training, etc.
Janaajatis	1.26	Mother-tongue education	2.26	Mother-tongue education materials
Persons with disability	–	–	1.00	Training of resource center teachers in sign language, materials development
Location (rural, remote, Karnali, Tarai)	9.24	Free education in Karnali	2.31	Materials development, training
Adolescents	–	–	1.00	Materials, training

\* The five programs reviewed were SSRP, Secondary Education Support Program (district level), School Sector Support Program, EFA (district level), and Capacity Development Program.

Source: DOE and DEO records, 2009-2010, analysis by study team.

ministries, donor agencies such as UN Women, and NGOs which are interested in tracking budget expenditures.

The GESI budget analysis assesses what activities have been planned/implemented that provide *direct* support to women, the poor and excluded social groups to address the barriers they experience in accessing resources to support their education (e.g., scholarships, etc); what are the efforts made to provide *indirect* support (e.g., providing disaggregated evidence of disparities, sensitivity training for teachers, etc); and what amount is *neutral*, as it assumes that everyone will benefit equally. We have followed the GRB practice of three categories but have not followed the GRB indicators as they have not been very effective in application across the sectors.

The GESI budget analysis was carried out at two levels. First, we assessed *national-level program expenditures* in the education sector using the above criteria. The annual budget of five DOE programs reviewed for FY 2009-2010

came to a total of Rs 14,936,192,000.<sup>94</sup> Our analysis resulted in the breakdown shown in Table 2.5. Directly supportive or targeted programs for the poor, for students in remote areas, for girls and for Dalits amounted to nearly 10%, 9%, 4% and 4% respectively of the budget while no directly supportive allocations were made specifically for adolescents. We were also able to identify between 1% and 4% of the budget as indirectly supportive of these groups.

The next step was to move to the *district level* to ground truth both the national-level GRB exercise and our own GESI analysis in two districts, Kavre and Morang.<sup>95</sup> We first worked with the DEO staff to assess the current approach to gender-responsive budgeting that they were using. In consultations at the district level, officers stated that of the five GRB indicators, only participation, capacity building and benefit sharing were relevant to assess the gender responsiveness of education budget items. They were aware of a number of positive policy provisions<sup>96</sup>

Table 2.6: Gender Equality and Social Inclusion Budget Analysis of District Education Office Budget, Kavre and Morang, 2008-2009

Targeted groups	Directly supportive		Indirectly supportive	
	% of budget	Examples of activities	% of budget	Examples of activities
<b>Kavre (total budget Rs 600,490,305.88)</b>				
Women	13.6	Allowance to women who do not have schools nearby, 50% scholarship for girl students, different toilets for boys and girls, relief grant for women	0.35	Teacher orientation on gender equality, social inclusion
Dalits	4.23	Scholarship for Dalit students, different kinds of grants to schools for Dalit students		
Janajatis	0.18	Scholarship for very marginalized ethnic groups		
Persons with disability	0.14	Grants to schools for deaf students, skill-based programs for physically and mentally challenged children, scholarships for physically challenged students		
<b>Morang (total budget Rs 735,876,578.25)</b>				
Women	10.00	Construction of separate toilets for girls and boys, girls' scholarship, informal adult education and housewives education program, different grants	4.41	Training of literacy volunteers
Dalits	5.78	Scholarship for Dalit students, different kinds of grants to schools for Dalit students	–	–
Muslims	0.16	Grants to madrasas	–	
Persons with disability	0.33	Scholarship, resource center	0.03	Resource center room repair/construction

Source: DEO annual budget, FY 2008-2009, analysis by study team.

mandating that benefits reach girls/women, the poor and the excluded, and they felt these automatically ensured that the entire budget would be responsive to women or specific excluded groups. In reality, this has proven to be a problematic assumption.

Next, we worked with the DEO staff to do a GESI analysis of the district-level education budgets, using directly supportive, indirectly supportive and neutral categories.<sup>97</sup> The results are shown in Table 2.6.

*SSRP budget review.* Review of the SSRP development activities budget revealed that about 12% is specifically allocated for the poor, 11% for rural/remote areas, and 0.31-5% each for women and other excluded groups. Only 0.05-5% has been allocated for supportive activities for gender and excluded groups.

*Secondary Education Support Program budget review.* About 20% of the Secondary Education

Support Program district-level budget is specifically targeted to the poor, and 12-17% each to Dalits, Janajatis, Madhesi, OBCs and Muslims. There are no services that specifically support girls' and women's access, so the total budget is spent on neutral activities in terms of gender.

Thus, despite efforts, almost no activities or funds have been planned to address the barriers of women, the poor and the excluded as discussed in Section 2, or the structural issues that constrain their access. This indicates that a more conscious recognition of the need to address such socio-cultural, empowerment and governance issues along with core technical educational services is required. The key issues are the criteria, indicators and process of budget review. Government analysis classifies activities as directly or indirectly contributing to women, based on government directives regarding services to them. A deeper analysis, however, indicates that no

activities are budgeted to address, for example, the specific gender-based barriers that women experience apart from minor measures such as construction of separate toilets for girls or caste-based barriers faced by Dalits. These are necessary even within a universal program so that structural barriers are addressed and a more even playing field created—only then can GESI be considered to have been mainstreamed.

The aim of this analysis was to assess whether activities to address the barriers identified in Section 1 have been programmed and budgeted. If the goal is to mainstream gender and inclusion within the universal programs of the education sector, more conscious effort is required to identify barriers and plan activities/mechanisms to overcome them with sufficient budget resources.

## 2.6 Monitoring and Evaluation

The education sector has established systems of monitoring and reporting that include some disaggregation. The education management information system (EMIS) tracks type and infrastructure of school, enrollment, staff information, financial information, attendance and scholarship, disaggregated by sex and three caste/ethnic categories (Dalit, Janajati and other). Student information is disaggregated by class, gender, caste, disability and number, as well as by who appeared for and passed final examinations. Flash I and II reports<sup>98</sup> are collected at the start and end of the school year. The EMIS also contains information on teachers, ECD and physical infrastructure once every five years, but the information does not capture complete disaggregation by gender, caste/ethnicity, location and income level. Data on GER, NER and enrollment in adult literacy classes are only disaggregated by gender. Progress of groups with particularly low education indicators is not tracked. Qualitative indicator-based monitoring and evaluation are also not a part of the routine system.

It is particularly important to note that differentiation among Adivasi Janajatis is critical because some of the Janajati sub-groups are among the most highly educated in Nepal while many others are among the least educated. Yet, teachers have not received any basic guidance about how to classify different Janajati students (e.g., whether relatively educationally advanced Newars should be classified within the Adivasi Janajati group). Analysis, dissemination,<sup>99</sup> and use of information for planning are other areas for improvement. For MLE purposes, collecting information about language background, including bilingualism, is important. Another major shortcoming is the lack of reliable disaggregated data at the national level on out-of-school children. Currently, some NGOs are using a modified version of EMIS called the community education management information system to collect disaggregated data on various community groups but this has not been used to update the EMIS indicators.<sup>100</sup>

*SSRP logframe assessment.* The overall results statements and indicators as outlined in the logframe of the SSRP (MOE 2009c) are mostly neutral and quantitative in nature. The indicators are not uniformly disaggregated to capture outcomes for different social groups, and so are not very helpful in tracking performance on GESI objectives (e.g., percentage of Grades 3, 5 and 8 completers achieving minimum learning; number of students who received education through alternative provisions; number of students receiving scholarships; number of students completing TVET soft skills course; etc) though there are a few which ask for the number of students from poverty backgrounds receiving scholarships and the number of disabled students receiving scholarships (see Annex 2.1 for an assessment of the SSRP logframe). Various interventions in ECED, basic and secondary education, TEVT and teachers' professional

development do address GESI concerns, but monitoring mechanisms are lacking. Though the MOE has the responsibility to conduct research studies and surveys to generate evidence for policy-making and program management, it is not clear if GESI issues will be adequately covered.

The implementation matrix does not clarify who is responsible for what nor specify the implementation mechanisms and processes, timeline or monitoring responsibilities. It is positive that, for ECED implementation, the development of qualitative parameters in consultation with stakeholders was planned, including the setting up of a community-level monitoring and evaluation system.

## 2.7 Good Practices and Lessons Learned

### 2.7.1 Good practices

We have divided this section into practices aimed at improving the delivery of educational services (supply side) and those that seek to increase the ability of potential consumers of these services to influence and effectively access them (demand side).

#### Supply side

*Favorable education policies* have increasingly become responsive to gender equality and social inclusion. This is indicated by mandates for decentralization, greater community participation and increased responsiveness towards linguistic and cultural diversity as well as the positive provisions and affirmative action policies included in the SSRP plan and the visible change in access of girls and excluded groups to formal schooling.

*Strengthened decentralized management.* SMCs<sup>101</sup> are becoming increasingly effective at increasing accountability of the education system to local communities and improving the quality of education. Efforts are making SMCs inclusive by ensuring representation from teachers, community

members, and at least one woman member. The SIPs are effective at increasing the involvement of community members in improving attendance and the quality of the learning environment.

*Establishing partnerships* with local groups has proven effective in supporting community participation, developing and implementing SIPs, implementing NFE, ECD and adult literacy programs, disseminating information, community mobilization and facilitating interface between community members (especially the excluded) and service providers. NGOs have been local implementing partners for many donor- and INGO-funded NFE, ECD and adult literacy programs. Additional actors, such as VDCs and even political parties, have also helped in strengthening collaboration.

Excellent progress has been made in *building data-collection and EMIS systems*. The EMIS is user friendly, with systemic collection of disaggregated data on gender, Dalits, disability and Adivasi Janajati groups, which have been highly useful in tracking progress.

A number of *innovative, flexible approaches exist to address group-specific issues*, such as those of persons with disability, Dalits, people from remote regions, and out-of-school children. These are being implemented through ECD, “inclusive education,” NFE, continuous and lifelong learning, resource classes, community learning centers, ECED centers, annex schools, open schools, alternative schooling, and approaches like “child-centered learning” and “multilingual education,” which have done much to address inclusion issues.

#### Demand side

*Specific efforts to address barriers and opportunity costs in accessing education.* Financial (scholarships) and in-kind (uniforms, textbooks, meals and oil) support has encouraged households to recalculate the opportunity cost of sending children to school. This could greatly increase the

NER and GER of children from poor households and disadvantaged social groups.

*Social mobilization and advocacy campaigns* on rights to education were successful in increasing the enrollment of students from disadvantaged social groups.

*The community-managed information system* has been developed by communities to support the EMIS data, using local community groups for the collection and validation of disaggregated data.

*Social audits*, including social mapping, have provided increasing opportunities for civil society to monitor the activities of the SMCs and DOE. Social mapping has produced data to identify children who need help to attend and stay in school, and to ensure they get the scholarships intended for them.

The use of *mother tongues in ECED classes* has proved to be highly effective for early childhood development, particularly when classes are run by facilitators who speak local languages.

### 2.7.2 Lessons learned

*Conflicting policies and inconsistencies often hamper the smooth implementation of policies and provisions.* For example, a clear policy on cost sharing is needed to guide communities to contribute to the cost of educating children, but also ensuring that fees and other costs do not keep poor children from attending school; a clearer articulation of the difference between “special” and “inclusive” education will help schools facilitate a targeted approach; and lack of a clear, complete policy on languages in education has restricted the use of MLE in schools.

*Institutionalizing gender and inclusion in budgeting requires further clarity and capacity.* The government’s gender-responsive budgeting is not clear enough and its indicators are insufficiently relevant to the education sector. The process is also not empowering or informing decision-mak-

ers. A methodology with an inclusion dimension beyond gender and clear guidelines on process with more meaningful analytical categories is needed.

*GESI needs to be mainstreamed in the overall programs.* Though equity-related issues are addressed somewhat in the SSRP, inclusion remains a confused concept. Programs like ECD and NFE are still perceived as separate components in achieving access and quality education. Thus, the sector has yet to internalize the fact that GESI issues are to be part of each component of education.

*Institutional structures for GESI need to be functional.* Just creating structures is insufficient as the position of the gender focal person has demonstrated. The GESI unit/focal person must have technical backstopping, funds and access to decision-making forums.

*EMIS is an effective tool for collecting quantitative disaggregated data but more detailed categories for disaggregation are needed and qualitative data are still lacking.* As noted, the current use of just three categories (Dalits, Janajatis and Others) misses several groups with very low education levels that need to be tracked (such as Muslims and many OBC groups from the Tarai), and also conflates highly educated Janajati groups with those with extremely low education indicators. Qualitative information is important to understand classroom exclusion and the local-level political economy of schools and SMCs.

*Improved governance and monitoring are essential for comprehensive delivery of services.* Free education up to primary and now basic level and the range of scholarship incentives have increased access to students. However, many remain out of school. SMCs can be effective in ensuring that those most in need get support. SMCs work best when they are closely engaged with communities, and there is involvement of community members from diverse social groups and political par-

ties in monitoring, ensuring quality control and decision-making. SMC capacity and representativeness can thus greatly influence teaching and learning outcomes.

*Addressing behaviors and attitudes can make a difference in improved education outcomes.* Student behavior and attitude are still guided by traditional beliefs about femininity and masculinity and sometimes by caste-based norms of interaction but guidance in new ways of thinking can be very powerful at this age. *Children's groups* have been extremely effective in bringing about attitude changes.

*Functional linkages with local bodies, SMCs/PTAs and non-government partners are beneficial in both formal and non-formal education.* Partnerships in inclusive education seem possible with increasing responsibilities borne by VDCs, SMCs/PTAs, NGOs and other agencies. Many VDCs have supported the implementation of ECD centers while SMCs are taking on more management responsibilities.

*Schools that generate their own local resources are improving the quality of teaching and expanding their facilities,* particularly schools in better-off communities that can share costs. Often, these schools have good relations with the local community, which plays a significant role in managing construction and maintenance, assuring quality and maintaining transparency and accountability. Parent and community participation in management committees has been one of the major reasons behind the success of many NFE classes. Community orientations during the planning phase and engagement of parents, employers and community leaders in management committees help to build important support. Greater transparency around financial decisions and budgets through social audits help to build trust and generate community support but regular social audits are yet to be institutionalized.

*Attitude of service providers.* Overcoming

deeply set informal resistance to social inclusion in education, including by service providers, remains one of the sector's greatest challenges and is an underlying cause of limited progress in the implementation of affirmative action policies.

*Innovative strategies and affirmative action measures help to achieve educational equity and inclusion.* Government scholarship and incentive schemes have contributed to increased enrollment and retention of girls and boys from excluded groups, thus demonstrating that affirmative action measures do help in addressing exclusion. But to reach a meaningful level these processes need to be sustained and deepened (Acharya and Luitel 2006). Mandatory presence does not necessarily translate into meaningful participation.

## 2.8. Mainstreaming Gender Equality and Social Inclusion: The Way Forward

### 2.8.1 Step 1: Identifying barriers

*Analyze existing power relations and the formal and informal institutions that enforce and perpetuate social and economic inequalities.* Gender inequality and social exclusion in the education sector are linked to the wider socio-cultural and politico-economic context. First, identify the key socio-economic constraints and harmful social and cultural practices that limit access to education for women, the poor and the socially excluded. Often, the "barriers" that need to be removed or worked around are part of interconnected formal and informal institutions that structure Nepali society, allocating privileges and obligations in accordance with different roles or ascribed characteristics. It is generally recognized that changing any of these "rules" upsets some stakeholders and this is why it is important to be aware of the political economy of the education projects. Likewise, the more informal institutions, which are deeply embedded in values, beliefs and norms, can also block needed change and must be con-

sidered. Some of these—like the gender system or caste hierarchy—are so deeply ingrained that people often follow them without even being aware that they are doing so.

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

### 2.8.2 Step 2: Design and implementation

GESI mainstreaming requires that whatever plans and programs are developed must consciously recognize and address the issues experienced by women, the poor and the excluded, and build on opportunities for change. This has to be done at each stage of the project cycle: pre-planning to evaluation (see Chapter 3 of this volume for some generic steps for GESI mainstreaming). The aim of this section is to identify measures for GESI mainstreaming; hence, these are not general recommendations for improvement of the sector<sup>102</sup> but focus more on how GESI issues can be better addressed. Some of the specific approaches and mechanisms that have shown promise but need to be improved are listed below.

*ECED/pre-primary centers* are effective ways to give children from poor households, excluded groups and those with mother tongues other than Nepali a head start in preparing for the transition from home to school. ECED centers are yet to reach the most marginalized and remote com-

munities. Hence, a mapping of ECED centers in poverty pockets and disadvantaged communities must inform targeted interventions to ensure outreach to all children. The capacity of ECED facilitators also needs strengthening, so that the centers can live up to their policy of using mother tongue as the medium of communication. Parents need to be empowered and understand that they have a duty to monitor ECED implementation, to ensure that the poor and the excluded have access to these centers, and ensure that local facilitators can communicate in their language.

*The implementation and distribution criteria of scholarships* require a strengthened system for tracking and mapping of students from disadvantaged communities. Once the SMCs reach a level of institutional maturity and accountability, they should play a major role in selection and distribution.

Other measures to encourage the excluded to pursue education need greatly improved community-based implementation and continuity. Innovative alternative methods to reach the under- and unreached sections need to be programmed, including NFE and life-long learning, alternative/flexible schooling, annex schools and *grihani shiksha* that address the time and mobility barriers of women, the poor and the excluded. Other measures include the establishment of resource centers that make it easier for disabled students to access education resources.

*Multilingual education.* Systematic dialogue with language activists, educationists and politicians regarding the objective of multilingual teaching in schools is required to implement MLE successfully, particularly targeting children who do not speak Nepali as their mother tongue.

*Revision of curricula and textbooks.* More needs to be done to ensure that all children have timely access to textbooks and that learning materials are of good quality and in languages that best facilitate their learning processes. Texts that pro-

mote stereotyping need to be revised to respect the cultural rights of all.

*Innovative activities and additional funding are necessary to draw in the 8% of the primary-school age and 25% of the secondary-school age children who are not in school.* Dalits, Muslims, Janajatis and Madhesis are disproportionately represented among these out-of-school children. *Multiple exclusion requires multiple efforts* as such children are the hardest to reach. A clear definition of excluded groups is needed to prevent confusion in implementation, for instance, between groups that have historically faced identity-based social exclusion (women, Dalits, Janajatis) and groups that faced other types of disadvantage (internally displaced persons, street children, children infected with HIV, children of martyrs, etc). The challenge is to ensure that interventions not only address the needs of vulnerable groups but also address attitudes, behaviors and practices that tend to reinforce exclusion at all levels. The SMCs and PTAs could play a major role here as could children's groups pioneered by Care, Save the Children and UNICEF.

The *vulnerable community development framework* (MOE 2009b), prepared as a safeguard document to ensure that land donation issues are handled fairly and Adivasi Janajatis share the benefits of the SSRP, needs to be revised to integrate more explicit guidance on how to address educational exclusion based on gender, caste and other dimensions of social identity.

*Strengthening of SMCs.* To ensure that SMC membership is fully representative of the community and is not vulnerable to political capture, women and members of excluded communities should be selected by these groups themselves (as provisioned for the selection of representatives to the VDC integrated planning committees). *The SMC operations guidelines need to be revised to reflect GESI concerns* more clearly in the responsibilities of the chair and members,

and to establish community-based monitoring activities. The criteria and selection process for the chair and members must be clearly specified along with specific guidance for identifying, planning and monitoring. The capacity of the chair and members must be strengthened to enable them to identify issues specific to girls, the poor and the excluded, and to monitor that scholarships reach intended students. There is a need to *improve collaboration between SMCs, teachers and parents* within a strong framework while NGOs could be mobilized to improve collaboration between SMCs, parents, ward citizens' forums and integrated planning committees at both the VDC and district levels.

Empowerment of communities through processes such as the Reflect approach has proven very effective in building the capacity of women and the excluded for social action. As found in a recent study, subsequent social actions have included those concerning alcohol, domestic violence, unequal wages, corruption, etc (Jha et al 2009). There is a need for a multipronged approach that simultaneously addresses the immediate of the excluded through incentives, quotas, awareness, etc, and also the deep institutional and cultural barriers that are beyond the capacity of interventions in a single sector to address. Such multi-sectoral interventions to address the roots of exclusion will not occur unless there is a higher-level consensus backed by government directives or joint action plans of different ministries with clear objectives, approaches and indicators.

*Planning and institutional issues.* The MOE planning process does not provide enough space for genuine community-level consultation, despite field-level meetings and district/region-level planning workshops. Strengthening SMCs and PTAs as well as empowering communities can greatly assist in identifying key priorities and positive approaches to influence such plans,

which must be based on disaggregated data and analysis of the situation.

*Establishing GESI units with full responsibility to ensure integration, development of GESI strategy, and operational guidelines.* The capacity of this desk/section has to be strengthened so that it can provide technical support for GESI mainstreaming in policy and program development, budgeting, and implementation. For this, role clarification, upgrading and capacity building of human resources, and monitoring of unit deliverables are necessary.

*Job descriptions and strengthening of GESI architecture.* Job descriptions of all positions, including senior management, need to be revised and made gender and inclusion sensitive, identifying specific gender- and inclusion-related responsibilities and deliverables. This needs to be done skillfully so that the staff are not confused and have the resources they need. The functions and responsibilities related to GESI of different existing structures (MOE, DOE, SMCs, Inclusive Education Section, GEDS, etc) need to be revisited and reviewed.

*Deployment and capacity building of teachers.* Institution-level support and incentives to attract and retain women professionals and people from excluded groups are urgently required. Numbers and qualifications of teachers have improved significantly in recent years but these improvements need to include teachers from diverse social groups.

*GESI budgeting* can identify the kinds of activities budgeted/spent for. The current government GRB classification criteria and process require revision. Rather than assessing budget allocations after they have been made, GESI budgeting must be done simultaneously with program development. The key aim is to mainstream GESI in the universal programs and to ensure that women and girls, the poor and excluded social groups have access to benefits. While some will directly

address specific issues/barriers of women, the poor or excluded groups, others will support activities to create an enabling environment through research, advocacy, curriculum redesign and capacity building of men, non-excluded and the not-so-poor. Unless this transformative work is also done, inequitable power relations affecting education outcomes will not change.

### 2.8.3 Step 3: Monitoring

Great improvements have been made in the EMIS and its capacity to track GESI outcomes. But there are some improvements that could be made.

*The current data need further disaggregation and consolidation.* Further refinement is needed of the categories used to collect and analyze data to track effectiveness in bringing the most marginalized groups into the education system.

*Generation and maintenance of data for each study category.* School registration cards could be used to generate data on caste/ethnicity, gender and economic class of students. This would allow schools to maintain data for the most excluded and reach out to local out-of-school students.

*EMIS training to teachers and SMCs* is needed to make them fully aware of the conceptual and practical aspects of the EMIS and indicator system, and its usefulness for planning. For every VDC, work needs to be done to ensure that teachers can correctly identify children—or, better yet, that the children can self-identify—into groups that need to be tracked.

*Improvement in the current data collection format to reduce burden on teachers and DEOs.* Better options for data entry need to ensure that the current lack of data on the out-of-school and various social and economic groups is addressed. Verification systems need to be developed to curb the practice of inflating student figures, and to ensure better governance in the application of government schemes.

Indicators selected for reporting changes in educational outcomes must be disaggregated to show the progress of girls versus boys and of the different educationally disadvantaged groups. A mechanism to collect quantitative and qualitative information needs to be built into the EMIS to allow for assessments from a GESI perspective. Future research and assessment studies must integrate GESI aspects into terms of reference and ensure expertise in the team.

## 2.9. Conclusion

Nepal has achieved considerable progress in the education sector. Indicators have improved, especially at primary levels. A number of reforms and progressive programs that promote GESI have been implemented, and have assisted girls/women, the poor and the excluded to access the services and benefits of the sector. However, there are still various issues affecting the

excluded: high dropout of students from these social groups in secondary and higher education, high gender gaps and a general lag in educational outcomes for many groups in the Tarai. Institutional issues such as limited diversity of staff and teachers, unclear policies on MLE, misallocation of scholarships, etc, require focused attention. Monitoring has improved with regular reporting, including some disaggregation, but consistent disaggregated outcome-level monitoring is missing.

GESI mainstreaming requires that both demand- and supply-side barriers of women, the poor and the excluded be identified and addressed through activities that are adequately funded, and that inputs, outputs and outcomes be monitored as a routine part of program implementation. Policy directives for this, along with mechanisms/tools and organizational and human capacity, are all essential for effective GESI mainstreaming in the education sector.

## Notes

- 1 In this chapter, we discuss the different levels of education from early childhood and education development to secondary according to the coverage in the School Sector Reform Program, which guides the sector-wide approach (SWAp) in education. We also briefly discuss technical and university education.
- 2 Dean T. Jamison and Marlaine E. Lockheed, "Participation in Schooling: Determinants and Learning Outcomes in Nepal," *Economic Development and Cultural Change*, vol. 35, no. 2 (1987): 279-306, cited by Stash and Hannum (2001).
- 3 Net enrollment rate (NER) in primary education is the number of children of official primary-school age who are enrolled in primary education as a percentage of the total children of the official school-age population. Practically, a high NER denotes a high degree of participation of the official school-age population.
- 4 Since updated data for these linked variables are not available, we are using the Nepal Living Standards Survey data even though they are from 2003-2004.
- 5 Taking children (aged 5-12 years) out of school for work; reducing educational expenses; shifting children to less expensive schools; sending children to school for incentives. Source: UNICEF/DOE/RIDA (2009).
- 6 Flash I (DOE 2009a) reports that about 40% of primary level and 75% of Grades 9-10 students did not receive textbooks by the second week of the school year. Arranging for textbooks is beyond the means of many poor families.
- 7 In the Tarai/hills/mountains, the difference is due to both discrimination from Parbatiya ruling elites towards Madhesi and internal Madhesi gender/caste discrimination. In east/west, the difference is more due to general poverty plus lower status of women and harsher caste discrimination in the Mid- and Far-West, along with the tendency of the center to ignore the periphery.
- 8 GER is defined as the ratio of the total number of students enrolled in school at a given level of education, irrespective of their age, to the total number of children in the age group specified for that level of education. The specified age group for primary level is 6-10 years, while it is 11-13 years for lower secondary, 14-15 years for secondary, 16-17 years for higher secondary, and 18-23 years for tertiary. Early or delayed entry and repetitions will result in GER exceeding 100. This indicator is widely used to show the general level of participation in a given level of education, and the overall coverage of an educational system

- in relation to the population eligible for participation in the system.
- 9 Saptari and Siraha, with a high concentration of the most excluded Dalits (Musahars and Chamars), have the lowest GER and NER in the Tarai districts. Schooling and enrollment in the Tarai have also probably been affected by conflict, which continued and even escalated there even after the Comprehensive Peace Agreement was signed. Consultation notes, 2010.
  - 10 According to the Flash I report (DOE 2009a: 13), there are a total of 32,130 schools (community aided, unaided, managed, and institutional) in Nepal, of which 3,954 are in the mountains, 16,557 in the hills, 2,214 in Kathmandu Valley, and 9,405 in the Tarai. The highest school:student ratios are found in the Tarai belt at all levels, and are above the national average. This implies that Tarai schools are overcrowded compared to the average school in the country, and indicates a need for adequate classrooms and space. The lowest school:student ratio is found in the mountains for primary level, and in the Kathmandu Valley for the lower secondary level.
  - 11 Consultation notes, February 2010.
  - 12 Saurav Dev Bhatta, "Study on Student Performance in SLC," SLC Study Report #13, Determinants of Student Performance in the SLC Examinations, prepared for the Ministry of Education and Sports/ESAT, 2005.
  - 13 Around 6.3% of children are out of formal primary schooling, among whom the majority are girls (DOE 2009a). Both GER and NER at the lower secondary level have improved for 2010: GER for girls is 89.3% and for boys 88.2%; NER for girls is 61.9% and 64.3% for boys. Almost 36.8% of the lower secondary age group are out of school. Nearly 60% of the secondary age group are out of school or enrolled as overage students at the lower secondary level. NER at the higher secondary level is 6.8% (for both girls and boys), indicating a similar pattern of out-of-school children. The noteworthy progress is in the minimal gender gap: there is no gap between girls and boys at the higher secondary level in terms of NER, while it is insignificant at the secondary level.
  - 14 The percentage of females who never attended schools was 75.7% in 2001 and 58.2% in 2010, which is higher than for males (43%) in the same year (NLFS 2009).
  - 15 Similarly, the literacy rate for females aged six and above is 53.3% compared to 75.6% for males in the same age group. The literacy rate for women aged 15 and above is 43.3% compared to 70.7% for males in the same age group. Among the 15-24 age group literacy, which is an MDG indicator, urban-rural disparity is very high. Women's national literacy rate is closer to that of rural women's literacy rate in that age group.
  - 16 Without such support for higher education, the percentage of girls generally decreases as the levels go up. Yet, somewhat surprisingly, the percentage of girls enrolled in secondary education (48.1%) is lower than the percentage enrolled in higher secondary level (51.3%)—which could be due to data error (DOE 2009a).
  - 17 However, the GPI for Dalit students has increased from 0.98 (2008) to 1.01 (2009) at the primary level, and from 0.85 to 0.91 at the lower secondary.
  - 18 Only 4.2% of OBC women and 2.1% of Muslim women have completed primary education, and only 1.0% of OBC women and 1.6% of Muslim women have completed their secondary level education (Bennett and Parajuli 2010).
  - 19 "While boys have the choice to study at either formal schools or madrasas, girls can only go to madrasas." [www.unicef.org/infobycountry/nepal\\_45048.html](http://www.unicef.org/infobycountry/nepal_45048.html)
  - 20 Girls' education in the Tarai is negatively affected by higher levels of dowry and *tilak* demands for girls with high levels of education, as they require men with higher levels of education. On the other hand, at present the groom's family requires girls to have a minimum level of education (Grade 5). Mothers therefore sob and beg certificates for daughters (who have failed), fearing they may not get married.
  - 21 A survey carried out in six districts (three in the hills, three Tarai) shows that the literacy rate among Hill Dalits is 54.9%, and among Tarai Dalits it is only 20.2%. Among the Hill Dalits, the male literacy rate is 74.2%; among Tarai Dalits, only 33.2%. (Acharya 2007.)
  - 22 Teachers use and/or pass on derogatory remarks, proverbs, or examples against Dalits in the class; Dalit students are forced to sit separately on back benches, deprived of educational materials and equipment, and participation in sports and extracurricular activities; no greeting by non-Dalit students and disobedience to Dalit teachers are experienced by Dalits belonging to one caste (Bhattachan, Sunar and Bhattachan 2009).
  - 23 There are 92 languages in Nepal, and 51% of the Nepali population do not speak the Nepali language as their mother tongue (CBS 2001).
  - 24 Ministry of Education Vulnerable Communities Development Plan, 2005.
  - 25 May and Hill (2003), cited in Awasthi (2004).
  - 26 The Beijing Platform for Action recognizes the right of girl children to education.
  - 27 The SAARC (South Asian Association for Regional Cooperation) goals include "access to primary or community school for

- all,” “completion of the primary education cycle,” “universal functional literacy,” “quality education at primary, secondary and vocational levels,” and “reduce vulnerabilities of the poor, women and children.”
- 28 The Dhaka Declaration (2008) committed to reaching excluded and unreached children.
  - 29 The Education Act (Seventh Amendment 2001) emphasized representation of women in important committees and bodies, and arranged for scholarships for girls and students from Dalit and other underprivileged ethnic groups below the poverty line. It also included a scholarship program for lower secondary and secondary levels for Dalits and children from other deprived communities.
  - 30 The Education Regulation 2002 has a provision for private schools to provide 5% scholarships to the poor, disabled, females, Dalits and ethnic minorities. It stipulates there must be at least one woman teacher in every school and at least one female member in the SMC and district education committee. The regulation needs to be amended as the government has recently committed to have at least 33% women in all state structures, local government bodies, and management and user committees.
  - 31 The Ninth Plan, the Tenth Plan/Poverty Reduction Strategy Paper (PRSP), Three-Year Interim Plan, National Development Strategy Paper, and the government’s annual program. The Tenth Plan/PRSP conceptualized education as a means for poverty reduction, emphasizing enrollment of the poor, Dalits and marginalized Adivasi Janajatis. The Three-Year Interim Plan (2007) aimed at universal literacy and easy access to quality employment-oriented education, and making education at all levels equitable and inclusive. The government’s FY 2066-2067 policy and program included provisions for free education up to secondary level, compulsory secondary education, a national literacy campaign, special emphasis on quality, and employment-oriented commercial and technical education.
  - 32 BPEP I (1992-1998), BPEP II (1999-2004), EFA (2004-2009, the first SWAp), Teacher Education Project (2002-2009), Secondary Education Support Program (2003-2009), and most recently the SSRP (2009-2015), the second SWAp in education supported by multiple development partners.
  - 33 The core document is based on lessons learned from BPEP (Basic and Primary Education Program) I and II, which included that the universal approach taken did not provide results as expected, and failed to address the specific needs and strategic interests of the diverse social groups of Nepal; focus on schools, teachers and local institutions rather than at the central level; and develop a revised database with indicators and monitoring mechanisms to capture excluded groups.
  - 34 The Food for Education Program initiated jointly by the government and the World Food Programme (WFP) has also helped in enhancing girls’ and disadvantaged children’s participation in school education. In the WFP-supported Global Food for Education Initiative and Girls Incentive Program, total primary-level enrollment increased, with girls’ share increasing from 42% in 2001 to 52% in 2005. At the lower secondary level, girls’ share increased but boys’ decreased (WFP 2006). Consequently, the girl-to-boy ratio improved substantially at both levels, perhaps because boys were sent to private schools, where available, or had to leave school for wage-earning work. School meals for the Karnali region implemented by the government have also helped to bring and retain girls and other disadvantaged children into school in that region.
  - 35 MLE guidelines have now been prepared by the Department of Education.
  - 36 The key strategies of the Secondary Education Support Program were increased community participation, decentralization, cost sharing, recognition of regional diversities, and institutional strengthening. In the design and analysis of the program’s core document, more emphasis was given to poverty than equality and inclusiveness (Acharya 2007). But the program tried to incorporate GESI aspects in its learning environment and teacher development components (Acharya 2007: 18).
  - 37 Per capita funding has been in place since 2003 in the EFA program, where it is used to finance non-salary recurrent costs and has proven to be effective. The SSRP extended the concept to include financing of salaries as well.
  - 38 The Local Self-Governance Act has given local bodies and communities responsibility for educational planning and management. This contradicts the provision made in the Education Act, creating contradictions in terms of ownership, accountability and autonomy of these various structures.
  - 39 According to the Flash reports (DOE 2008a, 2009a), the participation in SMCs by sex, Dalit and Janajati shows 19% women members, 9% Dalit members and 34% Janajati members. Similarly, in PTAs there are 23% women members, 11% Dalit members and 36% Janajati members. Compared to the last school year, women’s participation has increased by 1%. A quick review of 14 SMCs in Morang by the study team indicated that there was high representation of women and excluded groups (with either of one or more of Dalits, Janajatis and OBCs), though the women were mostly just members. A similar survey of six schools in Bardiya and Lalitpur by the study team showed that women were represented on SMCs according to policy directives. However, only one woman was in a leadership position (and that because she was a member of the Young Communist League and had the political backing of the Maoists). In the other SMCs the women are simply nominated (rather than elected) members with minimal or nil participation or voice in the meetings. Field notes, Morang, Bardiya and Lalitpur, February-March 2010.

- 40 SIPs elaborate the planning priorities of each school and specify all incomes and expenditures.
- 41 Field notes, 2010.
- 42 Out of a total of 29,089 ECED and pre-primary centers in Nepal, 24,773 (85.2%) are community based, and 14.8% are under institutional management.
- 43 Manang has only four community-based ECD centers, while Jhapa has 322.
- 44 Interestingly, in Grade 1 the percentage of girls and boys coming from ECED centers is almost equal at 50%. This may be because boys are sent to private schools, creating a new gender divide (van Ravens 2009). Also, it is likely that overaged girls may have enrolled in ECED centers as their flexible hours and less formality are more convenient for girls.
- 45 The SSRP has a provision for free alternative programs and condensed courses to allow students who must work or have disabilities to attend formal schools along with their age cohorts.
- 46 The SSRP has committed to strengthen and institutionalize these traditional modes of education to ensure that they meet the national standards so that students who complete these schools have an education equivalent to the primary level of formal education.
- 47 On the basis of enrollment of girls (the poorest 50% to get scholarships), Dalits (all to get scholarships), students with disability, Janajatis, girls from the Karnali region, and children from martyrs' families.
- 48 For example, the UN Population Fund under its PARHI project distributes scholarship schemes for six districts, and the WFP under its Global Food for Education Initiative and Food for Education provides food to schoolchildren (fortified meals) and vegetable oil for mothers in food-insufficient districts. Similarly, UNICEF's Decentralized Action for Children and Women project provides material incentives to disadvantaged students and some district development committees have donor-supported special funds for scholarships to encourage girls' education.
- 49 See Acharya and Luitel (2006) for details of different scholarships.
- 50 These non-disbursements are a major theme in many evaluation documents.
- 51 Madrasas, *gumba/vihar*, *gurukuls/ashrams*.
- 52 In one section of the SSRP document, "Women, Dalits, ethnic minorities and other marginalised groups" (p. 39) are listed as excluded, while in another the list includes "girls and women, Dalits, ethnic minorities, Madhesis, people with disability, poor and marginalised groups, conflict affected people and people with HIV/AIDS and populations on the move" (p. 23).
- 53 The government has defined inclusive education as a "process of developing a system that ensures the right to education of all children in a non-discriminatory environment, with due respect to multicultural identity and the right to receive education in one's own community" (brochure on Samahit Shikshya).
- 54 The CDC develops and implements the school curricula and other curricular materials. It also implements the policies formulated by the National Curriculum Development and Assessment Council headed by the MOE. The CDC updates the curriculum annually and carries out minor revisions every five years and major revisions/reforms every 10 years.
- 55 The national curriculum framework is the core document that specifies the policy of developing and implementing curricula. It addresses curricular issues such as subjects, inclusiveness, localization, educational research, teacher education and overall educational management (MOE 2007).
- 56 Including those from different social groups and disadvantaged populations.
- 57 Norad's EFA evaluation report states that teachers were merely "oriented" on the new curriculum, and many have not even seen the actual framework (Norad 2009: 42). Without training on the revised curriculum reflecting gender equality and sensitivity and respect for diverse cultures, it is unrealistic to expect teachers to implement the changed curriculum with motivation and understanding.
- 58 The Local Self-Governance Act (1996) allows local governments to open and operate primary schools in mother tongues; the Education Act and Regulations have the provision of operating primary schools in mother tongues; the EFA National Plan of Action has as one of its goals ensuring education in mother tongues; similarly the Tenth Plan has included a policy to provide education in mother tongues; and the Interim Constitution 2007 made the provision of basic education in the mother tongue a fundamental right.
- 59 Rastriya Samachar Samiti, Dang, 27 February 2010.
- 60 Field notes, Dang, May 2010.
- 61 An MLE pilot program was implemented in seven schools of six districts (Kanchanpur, Palpa, Rasuwa, Dhankuta, Sunsari, and Jhapa), with support of the Finnish government, from 2007 to 2009. Source: Acharya et al (2009).
- 62 Linguists perceive MLE as a vehicle for maintaining language purity and continuity, political forces focus on language and identity, while educationists see it more as an educational tool. The intention of the approach suggested in the EFA VCDP was primarily from the educationist point of view. The idea in the VCDP was that the MOE would develop a teaching

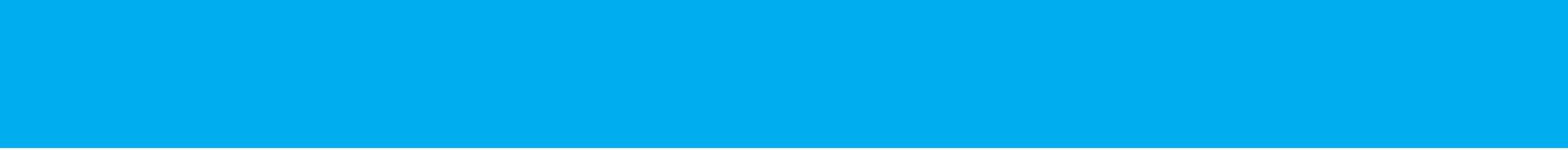
- module to facilitate home-to-school transition for non-Nepali-speaking children. Schools with a high percentage of non-Nepali speakers would get some support to employ bilingual teachers (preferably women) from the local community who would be trained in using modules prepared by MOE-approved NGOs.
- 63 The center's mandate is to upgrade and extend literacy, post-literacy and skill-oriented activities by integrating different nonformal education programs; coordinating the formulation of national policies and strategies for NFE; and developing, disseminating, and distributing curricula, training packages, information/education/communication materials, textbooks, and other related materials. It is currently implementing a literacy campaign; adult literacy program; post-literacy program; women's literacy programs; alternate schooling programs; school outreach programs; flexible schooling (nonformal primary education); programs for school dropout children; income-generating programs; reproductive health classes under the NFE program; community-based alternative schooling project; and community learning centers.
- 64 The council has set up technical schools, opened by private enterprises and licensed by the council, to train youths. These public and private technical schools run short-term technical courses in various areas. Under the council there are currently 15 technical schools/polytechnics, two vocational training and community development centers, and 20 annex schools (technical education and training programs attached to selected public high schools). Besides running its own institutions, the council grants affiliation/recognition to private training providers and conducts standardized skill tests and examinations to certify the skills learned through formal, informal and nonformal means. Currently, there are 209 private training institutions (41 short-term training, 104 technical school leaving certificate level, and 64 diploma level) affiliated to the council.
- 65 Staff nurse, auxiliary nurse midwife, suboverseer and junior technical assistant courses are on offer.
- 66 The program has been running in Bara, Parsa, Rautahat, Dhanusha, Siraha, Sarlahi, Saptari and Mahottari since April 2010.
- 67 *The Kathmandu Post*, 6 April 2010.
- 68 Namely, diploma level (three-year course on technical education), technical SLC level (15-29 months on technical/vocational training), both as an alternative to university, and short-term vocational training of 10 months, to equip trainees with skills to earn an income.
- 69 These receive philanthropic contributions from the community, with promoters not expecting any returns.
- 70 These are promoted with assistance from private investments, with promoters expecting profit returns.
- 71 Defined as Adivasi Janajati with average literacy rates below the national average.
- 72 For higher education, quintile 1 is 0 and quintile 5 is 10: NLSS data 2003-2004 in World Bank (2007).
- 73 The national average of SLC and above education is 17.6%, while the average for Dalits is 3.8% and 12.9% for Adivasi Janajatis. Similarly, the national average of bachelor's and above degrees is 3.4%, but for Dalits it is 0.4% and for Janajatis 2.0% (Bhattachan et al 2009).
- 74 For higher secondary students the scholarships have been estimated at Rs 16,000 maximum for the entire duration of study, and for bachelor's students the scholarship is Rs 40,000. At Tribhuvan University, there are large numbers of merit-cum-means scholarships and fee waivers available to tertiary students, but these have not benefited students from poor income groups due to their inability to bear subsistence costs. The scholarships are generally insufficient to cover the living costs associated with attending higher education institutions.
- 75 This assistance was first made accessible in the year 2009-2010, the second year of program implementation, to higher-secondary students from the Far-Western and Mid-Western development regions studying in the same region and to bachelor's students from those regions studying within the Kathmandu Valley. It is planned that from the third year the scheme will be extended to the entire country. It expects by the end of the project to support 4,300 higher secondary and 3,500 higher education students.
- 76 There are many facilities designed to help meritorious and needy students meet all costs incurred in pursuing their education, including living costs, tuition, admission and examination fees, and costs of transportation and learning materials. The scheme aims to improve the participation of students from poorer households by providing financial assistance to higher secondary and bachelor's degree students. One project is the work-study program, in which having a part-time job has been made mandatory for higher education students getting a loan scholarship package and higher secondary students living away from home. This encourages students to get part-time jobs during the study period to help cover their expenses and reduce the amount they need to borrow.
- 77 There are three types of teachers in Nepal: those recruited into government teacher positions, those recruited into *rahat* positions, and those recruited into positions created by SMCs. There are an estimated 100,000 government positions in basic education, 16,290 government positions in secondary education, and around 11,000 *rahat* positions.
- 78 The School Sector Reform Plan introduces its analysis of "teacher professional development" by stating that "the current cadres of working teachers are characterized by being: 1) inadequate in terms of numbers to meet increasing demand; 2)

- inadequate in terms of qualifications and competency to facilitate students effective learning processes; and 3) unfocused and lacking motivation and inspiration” (MOE 2009c: 52). Another deficit, mentioned less prominently, is the lack of gender and ethnic representation.
- 79 Out of a total of 207,567 teachers, 65% are trained, 15% are partially trained, and 20% are untrained; 33% of the total teachers are women, out of whom 66% are trained, 14% partially trained, and 20% untrained. Source: MOE (2009a).
- 80 While training was previously mandatory for all teachers to receive a license, the training requirement has been lifted for working women teachers and the disabled. This implies that the majority of untrained teachers belonged to these categories.
- 81 Discussion with MOE, February 2010.
- 82 The data on the total percentage of Madhesi and Muslim teachers are not officially available.
- 83 Records of civil servants maintained by Nijamati Kitabkhana were reviewed and disaggregated according to the surnames of government staff and their place of permanent residence. See Chapter 1 for details of the process.
- 84 National population of these groups is Dalits 12.0%, Brahmin/Chhetris 32.5%, Janajatis (excluding Newars) 31.8%, Newars 5.4%, OBCs 14.0%, and Muslims 4.3% (CBS 2001).
- 85 There is less than 1% (0.69%) Dalit representation (with no representation of Madhesi Dalits). Janajatis account for 13.94% (of whom 7.68% are Newars, 4.34% Hill Janajati, and 1.92% Tarai Janajati), OBC Madhesis are 4.20%, and Muslims 0.23%.
- 86 Its four divisions, seven agencies, and centers and offices (like the NCED, CDC, Office of Controller of Examinations, NFE Center, Teachers’ Record Office, regional education directorates, DEOs, resource centers, and schools).
- 87 Its other functions include printing and publicity of gender mainstreaming materials and preparing guidelines for gender mainstreaming in education.
- 88 GEDS has recently delivered gender mainstreaming training to the gender focal points of all the DEOs. The training objectives are to orient the participants on the concept, development and policies/programs in gender and girls’ education; enable the participants to create a gender-friendly environment in their respective organizations/schools; form and strengthen gender networking from the districts to resource center/community level; identify the issues and problems of girls’ education and gender equality; and enable the participants to formulate gender-responsive planning. Source: DOE training schedule.
- 89 As described in the Education Act.
- 90 The three prescribed categories are direct contribution, indirect contribution and neutral. Each subactivity is assigned a code of 1, 2 or 3, considering the percentage of contribution to women. The formula for coding has five indicators, each valued at 20%: capacity building of women; women’s participation in the planning process and implementation; women’s share in benefit sharing; support for women’s employment and income generation; and qualitative progress in the use of women’s time and reducing women’s workload (eAWPB 1.0 Operating Manual 2009). In order to measure these categories quantitatively, five qualitative indicators were assigned quantitative values of equal denominations totaling 100. Direct gender contribution indicates more than 50% of the allocation directly benefiting women, indirect gender contribution indicates 20-50% of the allocation benefiting women, and the neutral category indicates less than 20% of the allocation benefiting women. This is gradually being used by ministries like that of health, but due to difficulties in the application of the criteria which do not seem relevant to all the sectors it has not been fully used by all ministries. See Chapter 1 of this volume for more discussion on this.
- 91 Indicators for the pro-poor budget are investment in the rural sector, income-generation program in rural areas, capacity enhancement program in rural areas, budget allocated for social mobilization, expenditure focusing on poverty reduction, grant for local bodies, social security programs, and investment in the social sector, especially for education, health, etc (Annex 8c, Budget Speech 2009-2010). But it is not clear how these are scored and what subindicators are used.
- 92 For detailed framework and methodology of how the budget analysis was carried out, refer to Chapter 1.
- 93 We are adapting from gender budget initiatives that have aimed to assess the impact of government expenditures and revenues using three-way categorization of gender-specific expenditure, equal opportunity expenditure, and general expenditure (the rest) considered in terms of its gendered impact (Budlender and Sharp, 1998).
- 94 DOE annual budget in NPC format, 2009-2010.
- 95 Implemented budgets of districts were reviewed to assess actual expenditure and its effect on addressing the barriers faced by women, the poor and the excluded. Program budgets of the current year were reviewed to assess allocations.
- 96 Universal and targeted free services program, maternity incentive scheme, etc.
- 97 Directly supportive (i.e., targeted to provide direct support to women, the poor and the excluded); indirectly supportive (contributing to creating an enabling environment, supporting in any manner the access of women and the excluded to services, or addressing the structural difficulties confronting them); and neutral.
- 98 The Flash I and II data collection is done by teachers and head teachers, and upon completion the forms are collected at the resource center.

- 99 Currently the data are collected at the school level, compiled at the district level, and sent to the center for national-level aggregated reporting. Data dissemination at different levels is nonexistent. Though data are generated at the school level, the information is not being used by the schools for their own purposes. Improvements are required in retaining the information/data at both district and school levels for use to improve the planning processes. EMIS should allow adjustments at every level of planning to improve practice continually. In this regard, the SSRP has provisions to feed back relevant comparative data from the central level to the school-level stakeholders in order to inform schools about their performance, forming a basis for the preparation of the SIPs. This is a very positive policy for promoting the use of data- and evidence-based planning at the local level, and can potentially enhance stakeholders' awareness about issues relating to vulnerable groups and their access to education. As this policy is implemented, it will be important to ensure that SMC members' capacities are developed so that they can participate in a meaningful way in the drafting process of the SIPs.
- 100 Used by Save the Children in its operation areas.
- 101 One of the major policy moves has been to place the SMC in charge of hiring and supervising the teachers in an effort to reduce the politicization of teacher appointments and make teachers accountable for showing up to teach.
- 102 Refer to the various studies that outline in detail and with depth the steps necessary to improve the sector.

## CHAPTER 3

# Checklist for Mainstreaming Gender Equality and Social Inclusion



### 3.1 Introduction

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

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

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

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

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

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

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

### 3.4 Five Steps of GESI Mainstreaming: A Checklist

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

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

### 3.4.1 Step 1: Identification phase—Situation analysis

*Objective.* To identify the specific barriers of women, the poor and specific excluded groups in accessing services and opportunities, and the causes of their exclusion; and to understand the political economy of the sector or subsector, both nationally and locally, in the particular sites<sup>1</sup> where the project or program will be implemented. Identifying the excluded groups in a particular sector and understanding their situation involve using available qualitative and quantitative data to answer the question: “Who had access in the past to resources and decision-making, and how are different social groups doing at present?”

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

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

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

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

### 3.4.3 Step 4: Monitoring, evaluation and reporting

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

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

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

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

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

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

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

Table 3.1: Analysis of Barriers

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

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

Table 3.2: Responses to Exclusion

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

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

Table 3.3: Monitoring and Evaluation

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

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

Table 3.4: Roles and Timing in Monitoring

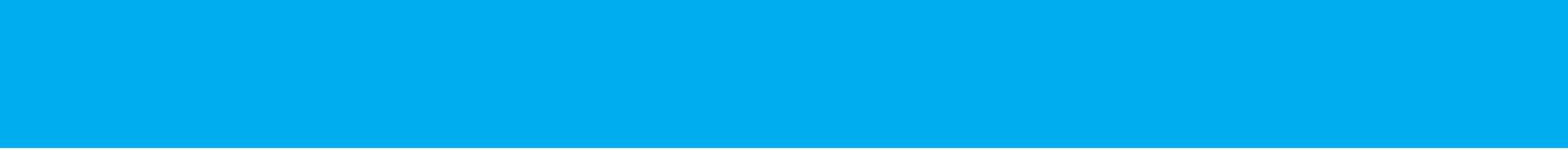
Time	Ward Citizens' Forum/ward level	Village Citizens' Forum, Integrated Planning Committee/VDC	GESI implementation committee/social committee, DDC	GESI section/division/unit of ministry/department	Projects/programs	NPC
					Facilitate setting up of GESI-sensitive monitoring and reporting systems	PMAS,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

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

### Notes

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

# Annexes



## Annex 1.1: Definitions of Socially Excluded Groups

Brief definitions<sup>1</sup> of the *socially excluded groups* (women, Dalits, Adivasi Janajatis, Madhesis, Muslims, people with disabilities and people of geographically remote areas) are provided below.

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

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

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

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

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

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

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

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

**Notes**

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

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

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

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

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

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

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

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

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

## Annex 2.1: Gender Equality and Social Inclusion Assessment of School Sector Reform Program Logframe

Intervention logic	Verifiable indicators	GESI analysis
<p><b>Goal:</b> To contribute to Nepal's socioeconomic development through continuous development of its human resources capacity</p>	<ul style="list-style-type: none"> <li>• Trends in average, median, maximum and minimum living standards</li> <li>• Trends in productivity in economic subsectors</li> <li>• Trends in unemployment rates</li> </ul>	<ul style="list-style-type: none"> <li>• No GESI-specific indicators; however, there is a mention of special studies under the means of verification</li> </ul>
<p><b>SSR purpose:</b> To ensure that all citizens are functionally literate, numerate, and possess the basic life skills and knowledge required to enjoy a productive life</p>	<ul style="list-style-type: none"> <li>• Literacy and numeracy rates</li> <li>• Average years of education per citizen</li> </ul>	<ul style="list-style-type: none"> <li>• Indicators are neutral; mention of special studies as means of verification</li> </ul>
Objective 1: ECED		
<p><b>Objective 1:</b> To expand access to quality ECED services for children of four years of age to prepare them for basic education</p>	<ul style="list-style-type: none"> <li>• % of four-year-old population enrolled in ECED (EOP target 87%)</li> <li>• % of new entrants in Grade 1 with at least one year ECED experience (EOP target 64%)</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral indicators. No disaggregation in enrollment or Grade 1 with ECED experience. The strategic intervention addresses gender and social concerns through establishment of ECED centers in unserved and underserved areas; provision for a fully equipped conducive learning environment meeting minimum standards; use of mother tongue as medium of interaction; development and implementation of code of conduct to protect integrity of children, with particular focus on Dalits, girls, and marginalized groups; follow partnership model mobilizing mothers' groups, youth organizations, user groups. No mention of representative (Dalit, Janajati, Madhesi, etc) member-based groups, or recruitment of local facilitators</li> <li>• Implementation matrix defines responsible agency, process and timeline for some activities, such as state support in targeted communities for establishment of ECED by 2010, developing qualitative parameters in consultation with stakeholders by 2009, setting up a community-level monitoring and evaluation system as per the operational guideline by 2010, and developing and implementing code of conduct with focus on child protection, etc, by 2009</li> </ul>
<p><b>Key results</b></p> <ul style="list-style-type: none"> <li>• 87% of four-year-old children attend ECED program</li> <li>• Minimum standards for ECED are met by all ECED centers</li> <li>• 64% of children with ECED experience enter Grade 1</li> </ul>	<ul style="list-style-type: none"> <li>• % of age four population with access to ECED services</li> <li>• % of ECED center services meeting MEC</li> <li>• ECED norms and standards in place</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral indicators</li> <li>• Minimum standard is not defined</li> <li>• % of population accessing ECED is not disaggregated</li> </ul>

Intervention logic	Verifiable indicators	GESI analysis
Objective 2: Basic and secondary education		
<p><b>Objective 2.1 Basic education:</b> To ensure equitable access and quality basic education for all children in age group 5-12</p>	<ul style="list-style-type: none"> <li>• NIR and GIR (EOP targets 94% and 130% respectively)</li> <li>• GER (EOP 132% for basic education)</li> <li>• NER (EOP targets 99% for primary and 85% for basic education)</li> <li>• Grade 8 survival rate (EOP target 66%)</li> <li>• Number of schools meeting MECs</li> <li>• % of Grades 3, 5, and 8 completers achieving minimum learning</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> <li>• The strategic intervention focuses on the incentive schemes and mobilization of local governments; alternative and traditional modes of education; incentives to all Dalits, 50% of girls, and other needy students; affirmative action initiatives to increase teachers from disadvantaged groups; mandatory sanitary provisions for female teachers; code of conduct to safeguard pro-poor, nondiscriminatory, and nonpunitive practices; special provisions for public school students in Karnali zone, Dalits and students with disabilities across the country, with special attention to girls; inclusive practices in schools; comprehensive policy on MLE; minimum enabling conditions to meet diverse needs of students; separate toilets for girls and boys</li> </ul>
<p>Key results</p> <ul style="list-style-type: none"> <li>• Achieving 94% NIR at Grade 1 and 66% survival rate at Grade 8</li> <li>• Achieving NER for primary 99% and basic 85%</li> <li>• 19,500 new classrooms meeting minimum standards constructed</li> <li>• 13,000 schools/classrooms rehabilitated meeting minimum standards</li> <li>• 100 new schools meeting requirements of students with disabilities established</li> <li>• 500 VDCs/municipalities implement compulsory basic education</li> <li>• Needy students received scholarship</li> <li>• 175,000 students with disabilities received scholarship</li> <li>• 300 schools equipped with library and laboratory facilities</li> <li>• 7,000 schools' external environment improved to meet MECs</li> <li>• 625 traditional schools upgraded to meet MECs</li> <li>• 95 learning facilitation materials produced in different languages</li> <li>• Multilingual education implemented in 7,500 schools</li> <li>• 1,500 schools rewarded for improvement in performance</li> <li>• 10,400 basic schools where SMCs hired head teacher on a contractual basis</li> <li>• Multigrade teaching implemented in 750 schools</li> <li>• Each year about 150,000 students facilitated to receive basic education through alternative provisions</li> </ul>	<ul style="list-style-type: none"> <li>• Number of students received education through alternative provisions</li> <li>• Number of new classrooms constructed with MECs</li> <li>• Number of classrooms rehabilitated</li> <li>• Number of schools with library and laboratory facilities</li> <li>• Number of new schools opened for disabled students</li> <li>• Number of schools with external environments improved</li> <li>• Number of VDCs/municipalities implementing compulsory basic education</li> <li>• Number of traditional schools upgraded</li> <li>• Number of learning materials in different languages developed</li> <li>• Number of schools implementing MLE</li> <li>• Number of schools receiving rewards for better performance</li> <li>• Number of curricula, teachers' guides and textbooks digitized</li> <li>• Number of curricula revised and updated</li> <li>• Number of textbooks revised and updated</li> <li>• Number of teacher guides developed, updated and distributed</li> <li>• Number of local curricula developed and implemented</li> <li>• Number of quality improvement models piloted</li> <li>• CAS implemented in all schools</li> <li>• Number of head teachers contracted</li> <li>• Number of students received textbooks on time</li> <li>• Number of schools implementing multigrade teaching</li> <li>• Number of Dalits, girls and disabled students receiving scholarships</li> <li>• Number of students receiving scholarships</li> </ul>	<ul style="list-style-type: none"> <li>• Key results have covered social inclusion aspects through provision for the establishment of disabled-friendly schools; scholarships for the needy and students with disabilities; and focus on MLE</li> <li>• Indicators are mostly quantitative in nature, such as number of schools opened for disabled students, number of traditional schools upgraded, number of schools implementing MLE, development of materials in different languages, and distribution of scholarships for Dalits, girls and students with disabilities</li> <li>• Implementation matrix outlining responsible agency, process, and timeline for key activities has covered grant support for traditional schools through DOE by 2009-2010; materials in different languages developed by CDC by 2009-2010; MLE interventions as per MLE framework by 2009-2010; and scholarships for Dalit students, girls, disabled and children of martyrs</li> </ul>

Intervention logic	Verifiable indicators	GESI analysis
<p><b>Objective 2.2 Secondary education:</b> To improve access, equity, and quality and relevance of secondary education</p>	<ul style="list-style-type: none"> <li>• Number of schools meeting MECs</li> <li>• Transition rate from Grades 8-9 (EOP target 80%) and 10-11</li> <li>• NER (EOP target 27%)</li> <li>• GER (EOP target 66%)</li> <li>• Gender parity index (EOP target 0.96)</li> <li>• SLC and HSLC pass rates as percentage of initial enrollment and exam appearance (EOP targets 71% and 41% respectively)</li> <li>• % of learning achievement in core subjects (EOP 10% points over base level)</li> </ul>	<ul style="list-style-type: none"> <li>• Mostly quantitative indicators and neutral from GESI perspective</li> <li>• Strategic interventions focus on special incentive package and schemes to promote access, participation and completion of secondary education for children from disadvantaged communities; free alternative education to disadvantaged children; implementation of affirmative action initiatives focusing on disadvantaged groups such as incentives, quotas and criteria lack GESI perspective; special provision to increase female participation in secondary education, such as maternity/paternity leave and infant feeding breaks; provision for substitute teachers; reduced eligibility for promotion of teachers from disadvantaged groups; code of conduct and guidelines to help schools prepare and implement quality SIPs to safeguard pro-poor, nondiscriminatory, and nonpunitive practices; proportional representation of women and disadvantaged groups on governance and management committees</li> </ul>
<p><b>Key results</b></p> <ul style="list-style-type: none"> <li>• Each year 60,000 students received education in Grades 9-10 through alternative schooling provisions</li> <li>• 75,000 students from extreme poverty background provided scholarships to complete secondary education</li> <li>• 660,000 girls studying in Grades 9-10 received annual scholarship</li> <li>• 75,000 students with disabilities received scholarship</li> <li>• 60 children of martyrs' families received scholarship</li> <li>• 375 secondary schools rewarded for improvement in performance</li> <li>• Curricula, teachers' guides and textbooks digitized</li> <li>• Curriculum and textbooks revised and updated</li> <li>• Teachers' guide developed, updated and distributed</li> <li>• All secondary-level students received textbooks on time</li> </ul>	<ul style="list-style-type: none"> <li>• Number of students received secondary education through alternative provisions</li> <li>• Number of schools rewarded for best performance (based on set criteria)</li> <li>• Number of curricula, teachers' guides and textbooks digitized</li> <li>• Number of curricula and textbooks revised and updated</li> <li>• Number of teachers' guides developed, updated and distributed</li> <li>• Number of students from poverty backgrounds receiving scholarships</li> <li>• % of students who have received textbooks on time</li> <li>• Number of girls in Grades 9-10 receiving scholarships</li> <li>• Number of disabled students receiving scholarships</li> <li>• Number of students receiving scholarships</li> </ul>	<ul style="list-style-type: none"> <li>• Key results and indicators focus on scholarships to the extreme poor, girls and students with disabilities. However, the type of students receiving the scholarship as an indicator to capture the results is not defined</li> <li>• Responsibilities, processes, and timeline are defined only for scholarships for girls, disabled students and children of martyrs. Similarly, the process has been defined for addressing underserved students at secondary and higher secondary levels</li> </ul>

Intervention logic	Verifiable indicators	GESI analysis
Objective 3: Literacy and lifelong learning (continuing education)		
<b>Objective 3:</b> To enhance functional literacy and basic competencies among youths and adults	<ul style="list-style-type: none"> <li>• Number of graduates in literacy classes</li> <li>• % of population with functional literacy (EOP targets 85% for 6+ age group and 70% for 15+ age group)</li> </ul>	<ul style="list-style-type: none"> <li>• Indicators neutral; however, strategic interventions focus on literacy programs for disadvantaged populations; emphasis on targeted groups and areas, including women, marginalized populations, Dalits, endangered communities, internally displaced people, people with disability, and people living with HIV/AIDs. Targeted interventions designed to respond to diverse needs of adults in regard to language, culture, vocational skills and economic context; mother-tongue literacy courses introduced in local languages; post-literacy programs on life skills training and microcredit schemes will be targeted to disadvantaged groups. Implementation matrix has defined responsibility, process and timeline for mother-tongue literacy courses in local languages</li> </ul>
<b>Key result 3</b> <ul style="list-style-type: none"> <li>• Literates and neo-literates empowered and have access to information and skills, with ability to make rational choices contributing to improved livelihoods</li> <li>• Enhanced system capacity and institutional learning.</li> <li>• 1,050 CLCs established and operational</li> <li>• About 700,000 youths and adults attain life skills through literacy and continuing education</li> <li>• Mother-tongue literacy courses in local languages (through CDC experience and resourcing) introduced</li> </ul>	<ul style="list-style-type: none"> <li>• Number of CLCs operating</li> <li>• Number of neo-adults completing post-literacy/life-skills-related continuing education</li> </ul>	<ul style="list-style-type: none"> <li>• Indicators and results neutral</li> <li>• Youths and adults are not disaggregated; establishment and operation of CLCs are not defined</li> </ul>
Objective 4: TEVT		
<b>Objective 4:</b> To equip secondary-level students with TVET soft skills	<ul style="list-style-type: none"> <li>• Number of students completing TVET soft skills course</li> <li>• Number of schools with TVET soft skills piloted</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral: focus only on numbers and not on type of students or type of soft skills training provided to students and teachers; requirement for disaggregation is not visible</li> </ul>
<b>Key result 4</b> <ul style="list-style-type: none"> <li>• Basic life skills and vocational orientations integrated in Grades 6-8 curricula</li> <li>• Vocational curricula focusing on soft skills developed for secondary education</li> <li>• Different technical/vocational components, focusing on soft skills such as arts and crafts, computer skills, etc, are piloted and tested in 100 public secondary schools for model building</li> </ul>	<ul style="list-style-type: none"> <li>• Number of secondary schools piloting integrated technical/vocational program/curricula</li> <li>• Number of schools offering specific vocational education</li> <li>• Number of students receiving basic vocational training</li> <li>• Number of teachers receiving short-term teacher training</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> <li>• Type not defined for specific vocational education</li> <li>• Number of students receiving benefit not disaggregated</li> <li>• Soft skills not further defined in promoting traditional occupations of occupation-based castes</li> <li>• Activities defined in implementation matrix are not GESI responsive</li> </ul>

Intervention logic	Verifiable indicators	GESI analysis
Objective 5: Teachers' professional development		
<p><b>Objective 5:</b> To enhance teachers' qualifications and professional competencies to facilitate students' learning processes</p>	<ul style="list-style-type: none"> <li>• % of teachers with required qualification and training (EOP targets 88% and 93% for basic and secondary respectively)</li> <li>• % of teachers with required certification (EOP targets 97% for both basic and secondary levels)</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> <li>• Facilitating learning process to address students' diverse needs is not mentioned</li> </ul>
<p><b>Key result 5</b></p> <ul style="list-style-type: none"> <li>• 750 master trainers trained and capable of conducting refresher training for teachers</li> <li>• All teachers' professional skills and knowledge updated</li> <li>• Teacher preparation courses and refresher training</li> <li>• 4,050 head teachers completed certification training course</li> <li>• Competencies of 7,000 candidates from disadvantaged groups improved</li> </ul>	<ul style="list-style-type: none"> <li>• Number of trainers developed to conduct refresher training to teachers on different themes</li> <li>• % of teachers who are certified and meet minimum qualification requirements</li> <li>• % of teachers who have completed one-year teacher training</li> <li>• Preparation course and in-service training</li> <li>• % of head teachers who have completed management training</li> </ul>	<ul style="list-style-type: none"> <li>• Indicators are neutral but key result focuses on improvement in competencies of teachers from disadvantaged groups</li> <li>• Number of teachers targeted for training is not disaggregated</li> <li>• Implementation matrix does not define type of courses offered (short courses, upgrading courses, leadership development courses, etc)</li> </ul>
Objective 6: Capacity development		
<p><b>Objective 6:</b> To improve the performance of MOE service delivery system and develop capacity to implement critical reforms</p>	<ul style="list-style-type: none"> <li>• Timely delivery of relevant quality services that are valued and used by clients</li> <li>• Physical and financial progress measured as percentage implementation of annual targets and budget</li> <li>• % of service delivery agencies that have developed and implemented capacity development plan to close performance gaps</li> <li>• Number of low-performing schools that have been supported with development and completion of quality improvement programs under SIP</li> <li>• Average number of days of teacher attendance (EOP target 220 days)</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> </ul>
<p><b>Key result 6</b></p> <ul style="list-style-type: none"> <li>• Enabling institutional framework developed through enactment of necessary Acts, rules and regulations, and guidelines</li> <li>• Organizational mandates, structures, and relationships aligned, contributing to improved performance</li> <li>• Individual competence and working conditions enhanced, contributing to improved performance through training, orientation, awareness, research activities, and incentives.</li> </ul>	<ul style="list-style-type: none"> <li>• Capacity development plan completion report</li> <li>• Updated organization chart, mandate, and job descriptions in place</li> <li>• % of basic and secondary schools meeting MECs</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> <li>• Training, awareness, research activities and incentives are not further defined by type</li> </ul>

Intervention logic	Verifiable indicators	GESI analysis
Objective 7: Monitoring and evaluation		
<p><b>Objective 7:</b> To monitor program inputs, processes and outputs, and evaluate the impact of program</p>	<ul style="list-style-type: none"> <li>• Timely Flash reports, status reports, financial management and implementation progress reports</li> <li>• Periodic student assessment reports</li> <li>• Timely dissemination of EMIS and student assessment reports to wider stakeholders</li> <li>• Baseline, annual, mid-term and EOP evaluation reports</li> </ul>	<ul style="list-style-type: none"> <li>• Interventions and indicators are both neutral</li> </ul> <p>(Note: Strategic interventions. Develop capacity for M&amp;E system at all levels to ensure effective planning and programming; develop partnerships and establish coordination mechanism with national and international research and other line agencies; improve EMIS mainly at central, regional and district levels to improve service delivery; design and conduct client satisfaction surveys; prepare and implement plan for updating of M&amp;E structures, roles and responsibilities; develop M&amp;E indicators)</p>
<p><b>Key result 7</b></p> <ul style="list-style-type: none"> <li>• Report on updating of M&amp;E structures, roles and responsibilities</li> <li>• Monitoring and evaluation plan, based on revised M&amp;E system</li> <li>• Number of evaluative reports produced</li> <li>• Accurate data produced in a consistent manner by all schools</li> <li>• District education plans prepared in 75 districts</li> <li>• 48 commissioned study reports prepared and disseminated</li> <li>• 4,000 VEPs prepared and implemented</li> <li>• Programs disseminated</li> <li>• All schools managed by communities</li> <li>• 30 vehicles procured and handed over to districts</li> </ul>	<ul style="list-style-type: none"> <li>• Report on updating M&amp;E system, structures, roles, and responsibilities</li> <li>• M&amp;E plan</li> <li>• Number of evaluation reports</li> <li>• % of schools included in EMIS Flash reports</li> <li>• % of districts completing district education plans</li> <li>• Number of commissioned reports completed</li> <li>• Number of VEPs prepared</li> <li>• Number of programs disseminated</li> <li>• % of schools managed by communities</li> <li>• Number of vehicles procured and handed over to districts</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> <li>• Results limited to completed activity; changes brought by interventions and type, quality and level of changes are not captured</li> <li>• Type of evaluation reports and commissioned reports is not defined</li> <li>• Requirement for data production by all schools in a consistent manner not required in a disaggregated manner</li> <li>• Production of special studies and continuation of formative research studies is mentioned but the areas are not defined</li> <li>• Improving EMIS is mentioned as one strategic intervention but key areas and dimensions of improvement in data collection, level and type of information generation, and mechanism to inform schools on outcomes of the data/information generated are not articulated</li> <li>• Though roles and responsibilities are defined at school, RC, district, regional, and DOE levels for compiling, reporting and analyzing data, EROs for conducting external audits, and MOE for regularly conducting research studies and surveys to generate research-based evidence, the frequency and details of these studies and analysis with the focus on gender and social inclusion are not articulated</li> </ul>
Objective 8: Aid management		
<p><b>Objective 8:</b> To improve the efficiency and effectiveness of aid available for SSRP implementation</p>	<ul style="list-style-type: none"> <li>• % of physical and financial progress</li> <li>• % of development partners and aid flows that use government's public financial management system</li> <li>• % of aid provided on program-based approach, consistent with SSRP</li> </ul>	<ul style="list-style-type: none"> <li>• Neutral</li> </ul>

### **Component-wise logframes of the School Sector Reform Program**

The overall results statements and indicators as outlined in the SSRP logframe are neutral and quantitative in nature. The indicators are not articulated to capture qualitative aspects such as GESI-related changes and results. Though under means of verification for the SSRP goal and purpose the conducting of “special studies” has been mentioned, details regarding the type of studies are not available. The results and indicators are not articulated to capture disaggregation of information as a requirement. Disaggregation and its intersection with geography/poverty are not developed. Though under different headings such as ECED, basic and secondary education, TEVT, and teachers’ professional development an effort has been made to address GESI concerns through various interventions, the mechanism to monitor these activities through both quantitative and qualitative indicators as a measurement of change is largely lacking for all sections. An implementation matrix has been developed to ensure that processes, timelines and responsibilities are clarified for different levels of education. However, not all activities under strategic intervention are captured within this matrix. This makes it difficult to ensure who is responsible for what activities, the implementation mechanisms and processes, the timeline, and the monitoring responsibility. The existing implementation matrix is incomplete and lacks information for all the activities planned under strategic interventions. It is positive that for ECED implementation the development of qualitative parameters in consultation with stakeholders was planned to be carried out in 2009 and the setting up of a community-level monitoring and evaluation system as per the ECED operational guideline by 2010, but again the details are lacking on the type of qualitative parameters and on the community-managed information system. Though responsibility has been given to the MOE for regularly conducting research studies and surveys to generate research-based evidence, the frequency and details of these studies are not known, and analysis with a focus on gender and social inclusion is not specific.

### Annex 3.1: Policy Analysis Format

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

### Annex 3.2: Format for Disaggregated Diversity Profile

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

### Annex 3.3: Program and Budget Analysis Format

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

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Cover shows teacher Tara Neupane (in background) teaching Grade VII while sharing space with an unnamed trainee teacher in the verandah-classroom of Nirmal Vidhyapeeth Lower Secondary School (est. 1948) at Ranamukteshwar, Purano Bhansar, in the heart of Kathmandu's financial district of New Road, August 2007. Photograph by Kiran Panday; design by Chiran Ghimire. Book design by Norbo Lama.

