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**Government of Nepal**

**Ministry of Forests and Soil Conservation**

**Adaptation for Smallholders in Hilly Areas**

**(ASHA) Project**

**GESI Strategy and Operational Guideline**

**(Gender Equality and Social Inclusion Mainstreaming in ASHA Project)**

**December, 2016**

**Project Coordination Unit**

**Hattisar, Kathmandu**

**Phone: +977 1 4437784**

**Email:**

**Website:**

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# List of Abbreviations

ADB - Asian Development Bank

AFEC - Agriculture Forest and Environment Committee

ASHA - Adaptation for Smallholders in Hilly Areas

CCA - Climate Change Adaptation

CEDAW - International Convention on the Elimination of all forms of Discrimination against Women

CRC - International Convention on Rights of Child

DFSCC - District Forest Sector Coordination Committee

DPCU - District Project Coordination Unit

GDI - Gender Development Index

GEM - Gender Empowerment Measure

GESI - Gender Equality and Social Inclusion

GoN - Government of Nepal

HDI - Human Development Index

HPI - Human Poverty Index

ICERD - International Convention on Elimination of all forms of Racial Discrimination

ICESCR - International Convention on Economic, Social and Cultural Rights

IFAD - International Fund for Agricultural Development

LAPA - Local Adaptation Plan of Action

LSGA - Local Self Governance Act

MoAD - Ministry of Agriculture

MoFALD - Ministry of Federal Affair and Local Development

MoFSC - Ministry of Forests and Soil Conservation

NAPA - National Adaptation Plan of Action

NLSS - Nepal Leaving Standard Survey

OBC - Other Backward Classes

PCU - Project Coordination Unit

PSD - Participatory Scenario Development

UDHR - Universal Declaration of Human Rights

UNDP - United Nations Development Programme

UNFCCC - United Nation Framework Convention on Climate Change

VDC - Village Development Committee

# Acknowledgements

Adaptation for Smallholders in Hilly Areas (ASHA) Project is being undertaken by Ministry of Forests and Soil Conservation (MoFSC) with the financial support of International Fund for Agricultural Development (IFAD). The project is being implemented in six districts of Mid-Western Development Region (Kalikot, Dailekh, Salyan, Jajarkot, Rukum and Rolpa) in between 2015 and 2021. ASHA aims to reduce the rural poverty and improve the resilience of vulnerable smallholders in hilly areas of Nepal by increasing adaptive capacity to tackle the consequences of climate change. In order to improve resilience of climate vulnerable people requires their inclusive participation in planning, implementation and monitoring of their adaption priorities for ensuring their ownership.

Gender Equality and Social Inclusion strategy and action plan is the very important to targeting people, strengthens participation of women, poor, excluded and the vulnerable people in local decision-making, and improves their access to and control over the resources

ASHA project is developed this "Gender Equality and Social Inclusion Operational Guideline-2016" for supporting its staff, NGO service providers, Government partners/service centers and other any interested persons to develop common understanding and also to ensure uniformity for mainstreaming Gender Equality and Social Inclusion in the project activities. It is addressing to both; the strategy and operational plan for mainstreaming GESI. This Guideline will be implemented immediately from the fiscal year 2016/17.

I would like to acknowledge the work done by Ms. Draupadi Subedi, GESI specialist of the ASHA who took lead in preparing and finalizing this Gender Equality and Social Inclusion Operational Guideline-2016 of the project. I would like to thank former PC, Mr Balram Kandel and all ASHA thematic specialists, planning officer, monitoring officer, DPCs and entire ASHA team for their valuable suggestions and inputs.

Special thanks go to Dr. Krishna Chandra Paudel, Secretary of MoFSC, Dr. Pem Narayan Kandel, Planning Division Chief of MoFSC, and Shree Resham Bahadur Dangi, Foreign Aid-Division Chief of MoFSC, Ms Aisa Tour, Mr. Basu Aryal and Kaushal Man Shrestha from IFAD, Ms Lorina Sthapit, oxfarm Nepal, and all the PSC members for providing their constructive feedback and kind support to make it more practical and workable.

Thank you

Pashupati Nath Koirala

Project Coordinator

# Chapter 1: Introduction

## Background

Adaptation for Smallholders in Hilly Areas (ASHA) is an undertaking of Ministry of Forests and Soil Conservation (MoFSC) with the financial support of International Fund for Agricultural Development (IFAD). The goal of this project is reducing poverty in hilly areas of Nepal who are facing challenges due to climate change. This is a six-year project (effective from 26 February 2015) works in six districts of Mid-Western Development Region; Kalikot, Dailekh, Salyan, Jajarkot, Rukum and Rolpa. MoFSC is the executing agency with overall project implementation responsibilities. Department of Agriculture and Department of Livestock Service are the implementing partners. The project implements its activities in close coordination with District Development Committee in each district.

The project has two main components in addition to project coordination: component 1) Framework for local-level climate adaptation strengthened: The objective of this component is; to build the capacity of participating institutions for preparation of enhanced Local Adaptation Plan of Action (LAPA) including participatory scenario development (PSD) and sub-watershed based adaptation plans, and inclusive, scalable, climate change adaptation (CCA) within the most climate vulnerable communities in Nepal, Component 2) Climate resilience of vulnerable smallholder farmers improved: The objective of this component is; climate informed and gender sensitive natural resource management and climate resilient agricultural and forestry practices and technologies implemented.

The ASHA Project’s target groups are climate vulnerable (V4, V3, and V2) households (Please see the definition in section 3.2.2). Across these groups, ASHA devoted to ensure GESI dimensions; representation of women, D*alit*, ethnic groups and minorities in various committees and implement specific measures to ensure women’s empowerment and social inclusion through the enhancement of their assets and capabilities to function and to engage, influence and hold accountable the LAPA processes and by addressing any institutional barriers to development opportunities. The Project works to strengthen the framework for local-level climate adaptation and improve resilience of vulnerable people to climate change. In order to improve resilience of vulnerable people requires the inclusive participation in planning, implementation and monitoring of their adaption priorities to ensure their ownership and benefit.

There is a limited understanding and analysis of the link between Gender Equality and Social Inclusion (GESI) issues and climate change. The linkages between the impacts of climate change and GESI issues are not well recognized and understood by the institutions and service providers, particularly at the local levels. This has implications for achieving the results from the implementation of climate change initiatives from GESI perspectives. There is a lack of skills to analyse climate change impacts from GESI perspectives and integrate it into the project planning cycle. In this context, there need to prepare a GESI operational guideline for creating common understanding, identifying gaps and build the capacity on GESI mainstreaming among the project staff and participating institutions/service providers. ASHA Project is dedicated to make a special effort to reach climate vulnerable GESI groups through its interventions. This operational guideline on mainstreaming Gender Equality and Social Inclusion (GESI) will assist in adhering to this commitment.

## Objectives of the operational Guideline

The overall objective of the GESI mainstreaming operational guideline is to create a common understanding of GESI related issues and interventions among the staff members of ASHA project and its service providers. The specific objectives are to:

* Provide strategic guidance to incorporate GESI perspective in the project activities planning, implementation, monitoring and reporting system of ASHA project;
* Support to create a common understanding of GESI related issues and targeting beneficiaries among the project staffs and its service providers;
* Support project staffs and its service providers to identify the areas of interventions on GESI issues, GESI capacity assessment and building the capacity for mainstreaming GESI in the project interventions.

## Contents of the Guideline

The GESI operational guideline consists of three chapters:

* Chapter One – Introduction (Background information);
* Chapter Two – GESI concept and context;
* Chapter Three – GESI Mainstreaming in ASHA (Conceptual framework, Explanation on the process and a step-by-step guide for incorporating GESI in organization and its program).

## Intended Users of the Guidelines

The intended users of this guideline are staff members from the ASHA project as well as from service provider organisations at the central, regional, district and local level, especially the PCU/DPCU team, the team of social mobilization service provider organization and the personnel of participating Ministries, District Line Agencies and Service Centers including Agriculture Forest and Environment Committee (AFEC) as well as Lead Farmers and beneficiaries groups/cooperatives.

# Chapter 2: GESI Concept & Context

## Concepts and Understanding GESI

A clear acknowledgement of the existing differences and inequalities between different gender and social groups as well as a determination to ensure these groups' access to livelihood assets, services and other related benefits are essential to foster an inclusive development. In addition, an adequate appreciation of the concept will involve a deeper understanding of the different socio-cultural contexts and conditions prevailing in the target communities and the various barriers that limit their access to services or benefits. GESI acknowledges the diversity among excluded groups; women, the poor, other marginalised ethnic groups and climate vulnerable people. It recognizes that specific focus and intervention is necessary to target their interests and needs. Taking on a GESI approach requires the need for strong analysis of the root causes of discrimination, gender relations, local power structures among and between different caste and ethnic groups, and decision making at the household and community level. When there is a clear understanding of the reasons and the barriers for social inequity of marginalized people's access to services, resources or benefits. ASHA project believes that programme designs can be more responsive to bringing about positive social and economic changes and a lasting impact. Definitions of some terminologies used in this guideline are mentioned in annex 1 for understanding GESI.

## Context

### Poverty Situation

Nepal has been improving some progress on Human Poverty Index (HPI) in recent years. Despite some progress in reducing poverty, Nepal remains one of the poorest country in the world, with a Human Development Index (HDI) of 0.548, placing it 145 out of 188 countries listed in the [UNDP Human Development Report 201](http://hdr.undp.org/en/reports/global/hdr2013/)5. The data of Nepal Living Standard Survey (NLSS) shows that the poverty is going down (41% in 1995/96, 31% in 2004/05 and 25% in 2010/11). However, the reduction is disproportional across the region, caste/ethnicity and gender. Poverty is higher in rural area 27% than urban area 15% and Mid-West and Far West where there are high levels of chronic poverty (32% in Mid-West and 46% in Far-West). By the caste and ethnicity, poverty characterized a lower proportion in Newar and hills Brahmin 10%, than Dalits 42% which is significantly higher than national average of 25%. In Nepal, exclusion has been a cause and a result of unequal development. Poverty situation of project district is mentioned bellow:

**Table 1: Poverty situation of project districts**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **S/N** | **Name of District** | **Poverty Rate (% of district population)** | **Numbers of Poor ( in Thousand)** | **Total population** |
| 1 | Kalikot | 57.9 | 79,000 | 136,948 |
| 2 | Jajarkot | 37.7 | 64,000 | 171,304 |
| 3 | Dailekh | 35.8 | 93,000 | 261,770 |
| 4 | Salyan | 28.8 | 70,000 | 242,444 |
| 5 | Rukum | 26.3 | 55,000 | 208,567 |
| 6 | Rolpa | 26 | 58,000 | 224,506 |
|  | **Nepal** | **25.2** | **4,19,000** | **26,494,504** |

Source: CBS, population census (2011), Small area estimation of poverty (2013) and http://sapkotac.blogspot.com/2013/07/poverty-by-district-in-nepal.html

### Gender Development Situation

Gender disparity is the major issue of Nepal. Gender Gap Index (2014) produced by global economic forum, ranked Nepal as 112th position out of 142 countries with the score of 0.6458. The 112th position looks poor condition. Although Nepal Human Development Report (UNDP, 2014) shows that Gender Development Index (GDI) is comparatively going to progressive way (0.452 in 2001, 0.499 in 2006 and 0.534 in 2011). However the proportion of progress value is different among the development regions; the Far Western and Mid-Western regions have the lowest values at 0.481 and 0.490 respectively than Nepal's national value 0.534 of 2011. Similarly Gender Empowerment Measure (GEM) also is going on progress in recent years (0.391 in 2001, 0.496 in 2006 and 0.568 in 2011) but then again GEM values is disproportional across the development regions, the Mid-Western Development region (where ASHA project is working) and Far-Western Development region have the lowest values at 0.556 and 0.523 respectively, while Eastern Development region and the Central Development region have the highest value at 0.575 and 0.573. By the ecological region, the Mountains have the lowest value at 0.483, while the Hills have the highest value at 0.572.

### Gender and Climate Change

According to a qualitative research in Nepal, due to possible impacts of climate change such as drying of ponds and springs, erratic rainfalls, extended dry spells and droughts, amongst others, the key impact has been increase in women’s workload. Due to long spells of dry season and scanty rainfall causing wells and springs to dry up women are spending more time to collect water. Women have to wake up as early as 4:00 am in the morning to fetch water and queue for scarce water. Due to gender roles, this impact affects women differently than men, since girls and women of disadvantaged groups are major collectors, users, and managers of water in the household and on the farm. A study conducted by Asian Development Bank (ADB) revealed that each female water carrier in general must reserve 1.3 hours per day during the monsoon season and an average of two to three hours per day in the dry season to meet their daily household supply[[1]](#footnote-1). More women than men are engaged in agriculture in Nepal. The percentage of women wage earners in agriculture and non-agriculture are 55.2 and 44.8 per cent respectively, whereas men wage earners are 23.6 and 76.4 per cent respectively. This indicates that climate change impacts on agriculture would be more on women. The increase in women’s workload and changing climate is rendering multiple effects on women’s health, income, safety, nutrition, violence against women, and ultimately in women’s social, economic and political empowerment. The impact of climate change on material condition and status of women is slip sliding the transformation in women’s empowerment[[2]](#footnote-2).

### Policy provisions

There is a range of laws, policies and programmes related to climate change adaptation in Nepal. This section examines their evolution and the extent to which they take gender into account.

#### National Adaptation Programme of Action (NAPA)

According to the UNFCCC, the rationale for developing NAPA is based on the high level of vulnerability and the low adaptive capacity of Least Developed Countries. Nepal submitted its NAPA report to the UNFCCC Secretariat in September 2010. This Plan outlines Nepal’s adaptation priorities and needs including gender as a cross cutting theme as recommended in the UNFCCC guidelines. NAPA undertook a study on the implications of observed climate change effects on men and women during the NAPA preparation process. This analysis concluded that men and women are impacted differently by climate change due to their societal roles and existing socio-political norms (NAPA, Ministry of Environment, Government of Nepal, 2010, p.14). The NAPA, therefore, recommended that these findings be taken into consideration in the development of national adaptation strategies and in the design of adaptation interventions. The development of NAPA also comprised a Thematic Working Group (TWG) process to address the different sectoral aspects of climate change and each group assessed the gender implications for their theme. Although, Nepal’s NAPA acknowledges gender specific vulnerabilities and women are recognised as a vulnerable group, but it does not provide any targets for women’s involvement or capacity building, nor does it cover any gender specific projects. The NAPA project profiles targeted vulnerable groups and communities and only recognises that climate change impacts affect poor communities more severely, but there is not a single project based on gender differentiation.

#### National framework on Local Adaptation Plan for Action (LAPA)

The Government of Nepal developed and approved the LAPA framework in 2011 with the objectives of supporting climate adaptation at the local level to ensure mainstreaming climate adaptation into development planning framework. The planning units for LAPAs are Village Development Committees (VDCs) and municipalities. The Ministry of Environment, Nepal explains that the LAPAs should: Enable communities to understand the changing and uncertain future climatic conditions and engage them effectively in the process of developing adaptation priorities; Implement climate resilient plans that are flexible enough for responding to changing and uncertain climatic conditions, and; Inform sectoral programmes and catalyse integrated approaches between various sectors and sub-sectors. There are seven steps in the implementation of the LAPA framework: 1. Climate change sensitisation ; 2. Climate vulnerability and adaptation assessment; 3. Prioritisation of adaptation options, 4. Developing/ formulating LAPAs; 5. Integrating LAPAs into planning processes; 6. Implementing LAPAs; 7. Assessing progress. The LAPA framework was designed through a bottom up approach and was developed in line with the Local Self Governance Act (LSGA). The LSGA has strong provisions for gender mainstreaming from both the point of view of women’s participation in decision making and in ensuring that projects are developed with addressing their interests. This is a powerful legal tool for promoting gender mainstreaming in the implementation of local adaptation plans of action.

#### Climate Change Policy, 2011

Nepal’s Climate Change Policy of 2011 recognises that there are differential impacts of climate change on communities. It acknowledges that the impact of climate change is greater in poor, developing, landlocked countries and on village women. The Policy also states that the government has not integrated a gender perspective as it does not address the vulnerabilities of marginalised people. The Policy recognises support to address the impacts of climate change as an opportunity for the socio-economic and sustainable development of Nepal. In its objectives for capacity building, people’s participation and empowerment, the Policy provides for women’s participation in the implementation of climate adaptation programmes. Section 8.4.2 of the Policy calls for “ensuring the participation of poor people, Dalits, marginalised indigenous communities, women, children and youth in the implementation of climate adaptation and climate change related programmes.” It also provides for the capacity building of local bodies and ensures the implementation of local level activities.

Linking these GESI strategies/policies, ASHA also has pointed out on specific target groups for its programme (refer to section 3.3.2 for the GESI target groups of ASHA) in order to demonstrate concrete outcome following the project interventions. A clear definition of the GESI target group is necessary as each of the target groups has its specific needs and requirements and it may be beyond the capacity of the project to deliver to all their needs. However, this GESI guideline includes gender-specific activities and affirmative actions, and it recognises that gender-specific interventions will sometimes need to target women exclusively, and at other times, men and women together or only men to enable them to participate in and benefit equally from ASHA’s efforts and future development activities. This guideline document is informed by these priorities.

#### Agreements on International Instruments

Nepal has signed and rectified many international human rights instruments such as Universal Declaration of Human Rights (UDHR)- 1948, International Convention on the Elimination of all forms of Racial Discrimination (ICERD)- 1965, International Convention on the Elimination of all forms of Discrimination Against Women (CEDAW) - 1979, International Convention on Rights of Child (CRC) - 1989, International Convention against Torture and other Cruel, Inhuman or Degrading Treatment or Punishment (CAT) - 1984, International Convention on Economic, Social and Cultural Rights (ICESCR) - 1966, International Covenant on Civil and Political Rights (ICCPR) - 1966. The meanings of all these instruments are non-discrimination, equality, participation to respect, promote and fulfill the all human rights of all. They are reinforced by the Constitution of Nepal, 2015 which reaffirms the principle of equity and gender equality and prohibits all forms of discrimination based on gender caste and ethnicity.

#### The Constitution

The Constitution of Nepal (2015) guarantees social justice and affirmative actions for women, Dalits, indigenous groups, the Madhesi community, Muslims and other marginalized or excluded groups. In addition, the key national policy documents like the Three Year Plan (2010 -2013) and the Approach paper for fourteenth Three Year Plan (2014-2017) clearly provide a mandate to addressing gender equality and social inclusion in Nepal. The Constitution, policies and legislative frameworks have been supporting gender equity in Nepal. However, not much has been done to apply these national laws to push for advancement of women and other marginalized groups.

#### The Local Self Governance Act

The Local Self Governance Act (LGSA) of 1999 is the law which governs decentralisation in Nepal. It requires participatory governance approaches for leading, planning and implementation at the local level, including the participation of women in these processes. The LSGA legislates for women’s representation on Village Development Councils and Committees. It also states that Village Development Committees (VDCs) must give priority to plans and projects which benefit women, and that these activities must include income generating activities for women. The bottom up and participatory development planning framework contained in the Act assures the inclusion of women, and marginalised groups.

The other policy documents which have provisioned the some social inclusion related measures. Likewise National Foundation for Development of Indigenous Nationalities Act 2002 and regulation 2005, National Dalit Commission Rules, Rules for Neglected, Suppressed and Dalit Community Upliftment Committee and the Other Backward Community rules 2065 are also the social inclusion related legal and policy measures. GoN has brought Gender Equality and Social Inclusion (GESI) Strategy under the Local Governance and Community Development Programme (LGCDP), Ministry of Forestry and Soil Conservation (MoFSC), and Ministry of Agriculture Development (MoAD) which have given a very good direction for the gender mainstreaming and the social inclusion.

## Sector-wise GESI issues in the context of climate change

There is a limited understanding and analysis of the link between GESI issues and climate change. The linkages between the impacts of climate change and GESI issues are not well recognized and understood by the institutions and service providers, particularly at the local levels. This has implications for achieving the results from the implementation of climate change initiatives from GESI perspectives. There is a lack of skills to analyse climate change impacts from GESI perspectives and integrate it into the project planning cycle. As a result they are not responsive to these disadvantaged groups. However following sector-wise some major issues are identified[[3]](#footnote-3) during project designing phase:

**Table 2: sector-wise GESI issues in the context of climate change**

|  |  |
| --- | --- |
| **Sector-wise Impacts of Climate Change on Women, Poor and ethnic groups** | **Major Issues** |
| **1. Water and water related disaster:**  Unpredictable rainfall patterns - long dry spells, scanty rainfall; intense monsoon rainfalls and increased incidence of landslides, floods, droughts | **Damage of rural infrastructures**: e.g. roads, bridges, mills, water, irrigation, micro-hydro, communication systems - affecting mobility, timely technical inputs or information and support etc.  **Increased workload and drudgery**: Increase in time to fetch drinking water; manage micro-irrigation, participate in community activities and decision-making etc.  **Effect on sanitation, hygiene and health of women poor and excluded groups** |
| **2. Agriculture and food security**   * Hardening of agricultural soil; * Increase in weed, outbreak of pests; * Early ripening of crops and vegetables * Decreasing of production/harvest * Decrease in larger and smaller livestock | **Increase women’s workload and drudgery -** most of the weeding, planting, storage, cooking is done by women:   * Low family nutrition * Backsliding agro-based enterprise and income * Increase in loans for purchasing food, healthcare, migration * Alienation of from adaptive agriculture related knowledge and skills * Increase in male outmigration (mostly youths due to lack of income opportunities and low yields) |
| **3. Forestry and biodiversity (loss)**   * Early sprouting, flowering and fruiting of plants (shifted by 15-30 days) * Increased number of forest fires; * Increased alien invasive species and pests/ insects outbreaks. | **Loss of household income and livelihoods –**  Decrease in: availability, collection, use and marketing of NTFPs, fodder, fuel wood and other essential forest products (management, collection and use of these forest products are mostly done women and the poor). |
| **4.Technical knowhow on Climate Change and GESI in local governance and empowerment processes** | **Reinforcement of women’s and poor households exclusion**: (mainly due to increased workloads, poor access to decision making, resources, information/knowledge and skills)   * Diminution in mobility of women – within and outside villages and also decrease in participation at community level decision making processes (both in terms of quality and quantity); * Poor access to resources, information and knowledge; * Politicization of community groups and decision making forums (hindering access and control for women, poor and excluded groups); * Weakening of women’s networks.   **Weak capacities (CC/technical and GESI) of service providers as well as communities at district and local levels**   * Weak understanding and skills on integrating GESI in climate change adaptation plans, implementation and M&E; * Inadequate GESI sensitive training packages and methods. |

# Chapter 3: Mainstreaming GESI in ASHA

## GESI Framework

GESI mainstreaming in ASHA is the process whereby barriers and issues of climate vulnerable (V2, V3, V4) women, dalit and other marginalised ethnic groups are identified and addressed in policies, institutional systems, program and budget formulation, and in monitoring and evaluation particularly in Local Adaptation Plan of Action (LAPA) preparation and implementation process. In the context of ASHA, it is essential to identify the excluded groups within the climate vulnerable people and the causes of their exclusion. The following Gender Equality and Social Inclusion framework[[4]](#footnote-4) follows four key steps required to mainstream GESI. This framework recognises that both formal institutions (e.g. legal framework, government policies, specific procedures in official documents etc.) and informal institutions (e.g. traditional values, norms and behavior for women and diverse social groups in the society) can present barriers to the inclusion of certain groups. The ASHA project will use this framework through this guideline document while promoting the GESI in its interventions:

**STEP 1: Identify the excluded and their barriers (Situation analysis)**

Identify the target (V4, V3, V2) households including women, poor, Dalit, ethnic minorities and their barriers; reasons of Vulnerability, barriers of participation, causes of exclusion from development benefits and opportunities

**STEP 2: Plan, Design**

Design and plan adaptation options in LAPA that GESI issues are addressed in the project cycle and prepare annual work plan and budget (AWPB) accordingly,

**STEP 4: Monitoring and Evaluation**

* Continuously monitor, review and analysis, and ensure that the planned resources have reached to the target groups.
* Collect GESI disaggregated data, identify strength and weaknesses from GESI perspective through reviews
* Based on learning and recommendations of review, reflect annual plans accordingly

**STEP 3: Implementation**

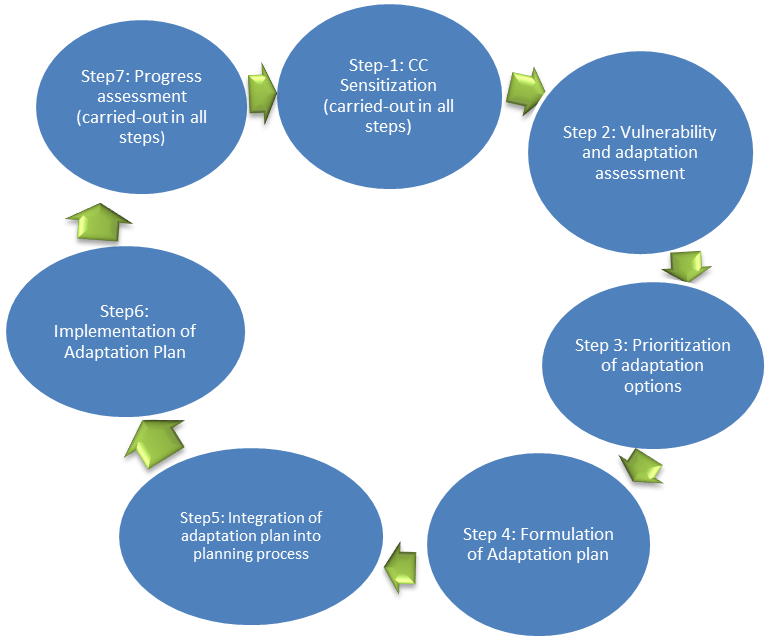
* Implement the AWPB as planned
* Prepare policies and procedures, institutional arrangements, and monitoring and reporting systems based on the learning of project activities implementation.

According to above mentioned framework, before designing and implementing any project intervention, ASHA should be identified the vulnerable (V4, V3, V2) households as shown in step no. 1 of the diagram and from these households, the excluded target groups, all the reasons of their exclusion, the barriers to their participation in the project activities and the causes that deprive them of its benefits should be listed. For the identification of barriers and constraints, interaction should be held with beneficiaries and service provider organisations. This will enable to map out existing status of women, the poor and marginalized in the areas of the ASHA Project. In this process, secondary sources of information such as the former VDC or district profile, socio economic studies carried out by other organisations in the area (see detail process on the box 1 of section 3.3.1) should be referred to and used. In addition, existing policy and programme responses of ASHA and its service provider organisations should be assessed to determine the effectiveness of such responses, to find out if they are addressing, diminishing or reinforcing the barriers.

After the assessment is done, the project interventions should be planned and designed in a way (step no. 2 & 3) that addresses the barriers of GESI target group. This will lead to making required modifications in the project activities, resource allocation and institutional arrangements as well as changes in the monitoring and the reporting system. Continuous monitoring and evaluation (step no. 4) should be carried out to ensure that planned resources have reached to climate vulnerable households, the women, the poor, Dalit and other marginalized ethnic communities. The M&E systems should be designed to collect disaggregated data on outputs, outcomes and impact, and to link them to management decision making. At the output level, management should be able to ensure that the project and actions have reached to target groups. Similarly, monitoring formats or templates should be designed in a way that the actual changes brought about by project interventions in the lives of women, the poor and marginalised ethnic communities from climate vulnerable households are captured properly when the monitoring of the project is carried out.

As the project's entry point is to prepare enhanced LAPA and the major interventions to implement those LAPA where the GESI integration is important for mainstreaming, so project will be followed the following process for integrating GESI on the 7 steps of LAPA framework.

**GESI integration process in LAPA framework**



* Who are the vulnerable and who are excluded/ included
* How they are affected by the effect of climate change?
* Barriers and needs of vulnerable and excluded groups
* Their existing adaptive capacity
* Existing institutional mechanism, governance and policies
* Knowledge of different women and men in CCA
* Formulate GESI friendly adaptation options/activities
* Formation and mobilisation of groups
* Targeted programme
* Annual planning & review (GESI specific)
* Partnership/leverage
* Inclusion in Executive Committees & Steering Committees
* Capacity development
* Broader awareness & networking
* Outcome monitoring from GESI perspective
* Disaggregated data collection
* Use of GESI checklists
* Document success/failure cases
* Sharing GESI responsive adaptation practices
* Sensitize participants how climate change issues making affect those particular people within the community more vulnerable than others?
* Assess on other social, political or economic issues which make them more vulnerable

## GESI Target Group for ASHA

A clear definition of the target group enables ASHA to measure the effectiveness of the interventions. Appropriate targeting with a clear-cut understanding of the definition of a target group is a must to achieve the desired results. The following is a broad definition of the target group for ASHA from a GESI perspective:

### Geographical Target Area and targeting strategy

ASHA is being implemented in six districts from the Mid-Western Development Region, namely, Kalikot, Dailkekh, Jajarkot, Salyan, Rolpa and Rukum. These six districts have been selected based on the vulnerability mapping of the National Adaptation Plan of Action (NAPA), GoN and the basis of Human Poverty Index of United Nations Human Development Report–2014. Within the district, project will select working VDCs through the meeting of District Forest Sector Coordination Committee (DFSCC) chaired by DDC chairperson. The Project will cover at least 150 Village Development Committees (VDCs)[[5]](#footnote-5) from the selected districts based on selection criteria. The direct beneficiaries of the Project would be at least 100,000 climate vulnerable smallholder households and 500,000 populations. The following criteria will be adopted for selecting geographical target area and target groups:

* Presence of challenges and opportunities in climate change adaptation. More vulnerable VDCs/communities within the district.
* Avoiding overlapping or overcrowding with other donor investments.
* Implementation through existing groups i.e. Community Forestry User Groups (CFUGs), Leasehold Forestry User Groups (LFUG), and producer/user groups, cooperatives of ongoing IFAD’s projects will be identified and strengthened with the help of respective projects based on the community dynamics, performances of ongoing project implementation, needs and potential for adopting climate-change-adaptation technologies, methods and commitment of inclusiveness of target groups (poor and vulnerable, women, dalits, ethnic minorities and youths);

### Target groups/beneficiaries

The Project will target climate vulnerable households (V4, V3 and V2) of project districts/VDCs. These V4, V3, V2 households will identify through LAPA preparation processes. Across these groups/households, in order to ensure GESI dimensions, at least 50% representation of women, Dalit, ethnic groups and minorities will be ensured in various committees including participation in all project activities at the village level. Women with all backgrounds will account for at least 33% of the direct participating beneficiaries. Further, ASHA will effort to meat proportionate representation of women, Dalit, ethnic groups and minorities in line with district/VDC demography. Following elaborations on each of the target groups is offered in order to ensure a common understanding of terminologies among the users of this guideline document:

1. **The Climate Vulnerable households:** The identification of “climate vulnerable households” is taken from the Local Adaptation Plan for Action (LAPA) of selected project VDCs. List of vulnerable households is mentioned in LAPA based on the measure of a household’s vulnerability assessment processes. Vulnerability is defined as a function of exposure, sensitivity and adaptive capacity (*Vulnerability = exposure \* sensitivity \* 1/adaptive capacity*). **Exposure** as “the nature and degree to which a system is exposed to significant climatic variations”; **Sensitivity** is defined as “the degree to which a system is affected, either adversely or beneficially, by climate-related stimuli”; and **Adaptive capacity** is defined as “the ability of a system to adjust to climate change (including climate variability and extremes), to moderate the potential damage from it, to take advantage of its opportunities, or to cope with its consequences”.[[6]](#footnote-6) Vulnerable households are defined as V1, V2, V3 and V4 category. The V4 category is the most vulnerable households. Higher fewer
2. **Women:** All women are considered ASHA’s target group. Among the all women, priority is given to women from poor/very poor households, widows and women headed households. Poor households will be determined from participatory well-being ranking process. Social mobilization service providers or LAPA preparation service providers will conduct participatory well-being process and local community will categorize as very poor, poor, medium and well-off households based on the availability of 5 (Natural, Financial, Social, Physical, Human) assets.
3. **Marginalised castes (Dalit) and ethnic groups:** These include people who are discriminated based on their caste/ ethnicity and income, such as the marginalised Dalits, Janajatis/Adibasis, other backward classes (OBCs), or Madheshi, and Muslims. ASHA gives priority to highly-marginalised groups or communities. The all ASHA PCU/ DPCU team and Service Provider organizations have equally responsible to identify and include those groups in project interventions. These target groups are chosen primarily for their involvement in LAPA preparation processes and implementation of LAPA priority activities (e.g. Potable water supply; Marketing infrastructure for new climate adapted products; Soil and water conservation including spring protection, Watershed protection, eco-system services, Slope stabilisation, flood control; Water-efficient irrigation; Renewable energy supply, Limited maintenance of village access roads to withstands minor landslips, Growing medicinal and aromatic plants, Bee keeping and Vegetable cultivation) in one way or the other. Among the listed Adibasis/Janajatis, ASHA should focus on those who are endangered and marginalised considering their socio-economic status at the local level. Among the OBCs, it is important to assess their socio-economic status and include only those who are highly marginalised. In the case of Dalits, who are from economically poor and climate vulnerable households should be included.[[7]](#footnote-7)
4. **Youths:** All youths are considered ASHA’s target group. Each of the categories explained above includes youth. It is understood that as the majority of the population of Nepal comprises youths, they are automatically included in the definitions of target groups. Among the youths priority goes to those who are from vulnerable households. Similarly, **people from remote area** and **people with disability** are included in the target groups, however severely disabled will be linking with other concern organisations for special focus and interventions. ASHA may not have specialized knowledge to address separately for severe disabled people.

## GESI Integration Strategy in ASHA

The proposed GESI Integration approach considers women, marginalized caste and ethnic groups, and youths as the key actors and agents of change. This approach focuses on developing their confidence by building their leadership skills to influence development decisions, make demands and mobilize resources mainly allocated state and non-state funds, technical inputs and capacity building opportunities. Equal emphasis is given on strengthening the understanding and GESI analysis skills of organizations and service providers to ensure effective integration of GESI in the projects cycle management and be responsive towards these target groups.

### Identification of Specific Target Group at Intervention Level

The service provider organisations should be carried out the vulnerable Community and Household Assessment-Steps–for identification and selection of the GESI target group at intervention level, **Box 1** is explains the specific steps should be taken in the selection and identification of the target group. These steps vary from district to district and serve as broad guidelines. They should be modified and redefined after generous experiences have been gathered (may be after mid-term review of the project at first and then after once a year). The nature of project activities like climate change awareness, enhanced LAPA formulation and implementation of LAPA priorities like climate resilience smallholder production profitable (household income improvement) activities, community infrastructure and land management activities, climate smart improved technologies, also affects the proposed target group.

**Box 1: Identification of target group**

* Within the broad framework given under 3.1, hold discussions with the LAPA preparation and Social Mobilisation Service Provider organisations by using the vulnerable Community and Household Assessment -Steps–to assess the vulnerability and determine the target group in their working area;
* Refer to secondary information such as VDC profile, Poverty mapping carried out by the LGCDP/PAF or wellbeing ranking by community forestry user groups, and or other agencies to exactly determine the size, location and the conditions of the target group;
* Carry out rapid assessment of the target group by Social Mobilisation service provider organisations;
* Prepare a short profile of the socio-economic conditions, climate vulnerability status of the target groups, and their climate resilient practices, especially in light of the climate smart technologies.

### Target Group Eligibility

All ASHA supported sub-projects must demonstrate sustainability beyond the initial ASHA assistance. In particular ASHA support must be closely linked to reduced household vulnerability and improved resilience. Each group have 6-20 households and must (i) Be classified as vulnerable households (V4, V3, V2 levels); (ii) Include at least 50% female members; and (iii) Include proportionate representation of Janajatis, Dalits or other minority groups and youths are eligible target groups for ASHA.

### Strategy for Integrating GESI

Integrating GESI in the project should be carried out at two levels: a) Beneficiary Levels; b) Organizational Levels. The details are given in the tables below:

**Table 3: GESI Integration at Beneficiary Level**

|  |  |
| --- | --- |
| **Areas for Intervention** | **Strategy** |
| Capacity Building of beneficiaries/producer Groups, Women, Dalit, Disadvantaged Ethnic group and Youths to ensure demand-led process | * Develop common understanding on GESI, strengthen and develop leadership and technical skills of Women Leaders, Disadvantaged group members, and Youths from beneficiaries/Producer Groups, and Cooperatives through specific training and inputs; * Systematic and regular onsite coaching and mentoring support established to support the identified and trained women leaders, members of groups and cooperatives to motivate and mobilize their respective groups for resource mobilization. * Champions and leaders among women and Disadvantaged groups and Youths identified and awarded at groups levels |
| Participation of Women, Dalit, Disadvantaged Ethnic Groups and Youths in all Project Activities | * All Project Components should target at least 33% Women and 35% Disadvantaged Ethnic Groups, and Youths; * Promotion of GESI sensitive extension and training materials. * Develop and implement guidelines or checklists to ensure participation of target groups in Project’s meetings, trainings, inputs or hardware support; * Strengthen GESI related groups and networks for timely and complete information to be able to participate. |
| Access and Control in Decision Making Processes | * At least 33% women in all 3 key positions (Chair person, Secretary and Treasurer) and at least 33% women and 35% Disadvantaged Ethnic Groups and youths in all committees, Producer groups and Cooperatives affiliated with the Project. |
| Influence Decisions | * Develop and institutionalize outcome level planning and monitoring to track number of decisions influenced by the target group. * Each Component to develop and decide on one or two key outcome level indicators to track annually. * Develop learning sharing forum to lobby and advocacy for policy related changes and advancements |
| Engage Men to support Women’s Leadership | * Identify male champions and strengthen them to support women’s leadership at group and district levels; * Make provisions (with set criteria) to award male champions at village/group levels and district/service provider levels; |
| Information, Knowledge sharing | * Develop and implement guidelines to ensure GESI related groups, networks, platforms information channels are informed on time and provided complete information about the Projects events, resources and opportunities. * E.g. Maintain list of GESI related groups, networks, platforms information channels. Recognize them as key actors and include in mailing list for key Project related events. |
| Promotion of Workload Reducing Technologies | * Technologies that reduce women’s and disadvantaged groups workloads should be promoted; * “Tool box” developed under Project’s Component 1 should focus on exploring, collecting, modifying and developing workload reducing and GESI friendly technologies; * Focus should be on technologies related to: water collection; micro-irrigation, alternative energy and agriculture (particularly labor efficient technologies). |

**Table 4: GESI Integration at Organizational Level**

|  |  |
| --- | --- |
| **Areas for Intervention** | **Strategy** |
| Capacity Building to be responsive towards Women, Disadvantaged groups and Youths | * Develop and strengthen understanding and GESI analysis Skills of Project Staffs, Project’s state and non-state partners and service providers on GESI issues and its link with Climate Change; * Conduct Organizational Assessment (OA) from GESI Perspectives – to identify strengths and gaps and develop GESI Action Plan to address * Discussions and dialogues on gender issues with the key project staffs and partners are from: PCU and DPCU staffs; DDC and Line Agencies, NGOs Service Providers SPs) |
| Diversity among Project Staffs and Partners | * At least 35% Project staffs are women and 33% from Disadvantaged Ethnic groups and Dalits; * GESI is a determinant for selection of all consultants, NGOs/Service Providers and Pvt. Sector with at least 35% Women and from Disadvantaged groups * If diversity in existing projects and Government Partners are low, balance should be required during new recruitments. |
| Participatory Planning, Review, Learning and Application | * Participatory Assessments from GESI perspectives conducted and results incorporated in planning, implementation and M&E; * One extra day added to Project’s mandatory annual review and planning exercise is effective in directly integrating learning into planning cycle; * Systematic mechanism adopted to conduct participatory annual review and planning from GESI perspectives and integrate the learning in the project planning cycle, share and disseminate |
| Project Resource Allocation | * Project follows principle of 60% for community and 40% directly for Women and Disadvantaged Groups in budget and resources allocation and implementation. * GESI focused Vulnerability Assessment will be carried out based on the enhanced LAPA manul. * Group Platforms will also be used to promote vertical and horizontal networking and exchange. |
| M&E from GESI Perspectives | * Participatory annual review and planning system adopted and the data and results will be reviewed, analyzed and fed back to the project for action. * Participatory GESI disaggregated M&E and reporting system adopted and data and findings fed back to the project cycle and disseminated. * The reporting system of all the Project Components will adopt GESI disaggregated reporting format |

### Main Elements of Project’s GESI Action Plan

The GESI action plan for the Project is based on the above described “Principles of Integrating GESI”, which are at organizational and beneficiary levels. Following tables describe the key steps, activities, actors and indicators to measure the achievements and successes.

**Table 5: Activities at Organizational Level**

|  |  |  |
| --- | --- | --- |
| **Key Activities and Steps** | **For Whom** | **Indicators** |
| **Participatory Organizational Assessment (POA)** **from GESI perspectives.**   * A 3 days' workshop for project staffs and key partners conducted at district level. This POA is support to assess, reflect and identify gaps and opportunities for GESI Integration, and also assist to develop project and individual level action plans for GESI integration which is to be implemented and tracked annually. * HR and other policies will reviewed and designed from gender perspective | Key concerned PCU, DPCU staffs and key implementing partners (focal points at DDC, DFO, DADO, DSCO and key NGO service providers). | * Projects GESI Action Plan reviewed and repositioned/ prepared * At least 2 key GESI related action plans implemented and monitored annually |
| **Integration of GESI in Climate Change Adaptation Planning Cycle**   * 5 days training together with CC training (which includes GESI concepts and awareness; field assessments, and analysis and development of action plan); 25 persons per district. * 2 day GESI awareness training incorporated with CC * Review and refresher training in every 2 years * Manage various E-learning courses (including IFAD/FAO's gender in agriculture, gender and climate change analysis tools) for all staff. | Interested DPCU and Partner agency staffs with some knowledge on GESI and potential to become trainers.  25 key and related staffs from DPCU and partner organizations interested and with some GESI knowledge | * GESI priorities integrated in LAPAs. * 25 person per district have skills on GESI Analysis * At least 35% of all types of technologies promoted by the Project are GESI sensitive and reduces women’s workloads. |
| **Participatory assessment**- to gather lessons generated to inform the annual review planning process of the Project   * 1 extra day to review, learn and apply (integrate in planning) during the Projects regular review and planning exercise. Approaches such as Self-reflection will be used. * Onsite coaching and mentoring: At least 3 onsite visits by the PCU focal point and SMs to the identified women leaders, male champions and Youths and disadvantaged group representatives | * All Project staffs and partners who are involved in review and planning processes * SMs, GO and NGO focal points. | * At least one key GESI outcome tracked and 3 key gaps discussed, identified and integrated in the annual plan and reflected in annual progress report. |

**Table 6: Activities at Beneficiary Level**

|  |  |  |
| --- | --- | --- |
| **Key Activities and Steps** | **Who** | **Indicators** |
| **GESI Awareness at group/community Levels**  GESI awareness and orientation training included in CC-awareness training in each technical trainings | Climate vulnerable/ Producer groups/ Users/Cooperatives | Increased participation of Women and Disadvantaged groups in project activities and integrated their priorities in the LAPAs. |
| **Capacity building of grassroots women, leaders women, poor and excluded groups to make demands** e.g. leadership training, with systematic coaching, mentoring throughout the project period;  4 days ToT on leadership development (4 trainers from each district)  4 days roll-out of ToT for selected women leaders, male champions, and youths from producer/user groups and cooperatives (12 trainings 25 participants per district) | Selected trainers from DPCU and Service providers and SMs.  Groups/cooperatives members, women leaders, youths | At least 35% of the projects resources have been mobilized by women and their groups; and by Disadvantaged groups;  At least 50% women and disadvantaged groups represented in each groups and cooperatives supported by the project and at least 33% women have in 3 key positions; |
| **Onsite coaching and mentoring support**  3 key events per cluster/per year and regular back-stopping based on need through-out the year. | Groups/cooperatives members, women leaders, youths |
| **Strengthen GESI related Networks and Platforms**  Make GESI allies at district level and use it as learning sharing platform for supporting grass-root level facilitators/mobilisers and community groups | GESI focal point at service provider level and Women groups, cooperatives at village level |
| **Implementation Targeted Activities that support to reduce workloads**  **Explore, collect and support clean technologies that reduce workloads**: particularly of women, poor and excluded groups – e.g. drinking water and micro-irrigation; agriculture processing tools; transportation; clean alternative energy technologies etc.  **Support and strengthen communication, information mechanisms and platforms**: to ensure timely, appropriate and GESI sensitive flow of information on opportunities (funds, capacity building/training and technical skills, knowledge etc.)  **Targeted inputs and knowledge:** to respond to climate change impacts: inputs and options for agriculture, food security, disasters, forestry etc. (seeds, fertilizers, storage, appropriate infrastructure, timely information etc. and trainings.)  **Targeted income generation and enterprise development:**from agriculture, forestry and non-farm sources. | Women’s groups, cooperatives | * % of women and disadvantaged groups' participation Increased in project interventions. * At least 35% of all types of technologies promoted by the Project are GESI sensitive and reduces women’s workloads. * Improved Climate Change resilience and vulnerability scale of target groups |
| **Selection of Men Champions to Support Women’s Leadership**   * Criteria for selection of male champions developed and implemented * Select Men Champions from groups at village levels and from SPs at district levels and (2 from each Project districts) awarded for supporting women’s and disadvantaged group's leadership. | Male champions from project areas | * Women and disadvantaged groups numbers in key leadership positions increased by xx% * % of women and disadvantaged group increased in training and project activities. * Capacity for women and the disadvantaged groups developed to ensure a demand-led process. |

### Assigning a GESI Focal Person

All project staffs and service providers have equal responsibility to mainstream GESI in their own level. However the project GESI specialist should be appointed at the PCU for accelerating the overall process and system in ASHA and its service provider organisations. The GESI specialist ensures that the process of mainstreaming GESI receives a dedicated attention (Box 2).

**Box 2: Responsibilities of a GESI specialist/focal person**

* Ensure that job descriptions and TORs of all staff members and Service Providers have GESI responsibilities;
* Ensure that GESI issues are captured in new guidelines, study reviews, etc. conducted by ASHA;
* Ensure that GESI aspects are reflected in periodic reviews, reporting and M&E systems;
* Ensure that all information is collected and kept in a disaggregated format;
* Provide orientation on GESI and support to prepare GESI related appropriate tools and instruments;
* Provide guidance and support to field level staff for promotion of inclusion, and ensure capacity is built at local level to sustain change.

### Monitoring and Reporting

Monitoring and reporting should be done specifically from a GESI perspective. In its templates for disaggregated monitoring and reporting, the ASHA Project should have the provision for case studies, and good practices or deeper analysis of the issues experienced by the GESI target group. Space should be created for GESI-related information, such as disaggregation by activity-wise GESI target groups in its MIS. The monitoring checklist should include GESI perspective, and ToRs as well as job description of monitoring team must include GESI related activities **(see Box 3)**.

**Box 3: Parameters for monitoring**

**Participation and representation**

* Increased percentage of participation of target groups in the project activities;
* Increased representation of target groups in the executive committees of project related beneficiaries groups, cooperatives and networks/AFECs;
* Increased resilience and reduced vulnerability of target groups.

**Field level monitoring**

* Ensure that lessons and good practices of addressing issues affecting GESI target group of ASHA are captured and project achievements describe GESI-related achievements;
* Document the key GESI challenges and issues in project activities;
* Case studies must include documentation of shifts in discriminatory practices and attitudes, and explanations on how GESI mainstreaming has been done in project;
* Field monitoring report must also include discussion of issues affecting GESI target group of ASHA;

**Progress report**

* Highlight how GESI issues have been integrated in specific activities and components of ASHA;
* GESI issues to be captured under progress against the result chain in outcome and output level in disaggregated form;
* Annual reports should also give the disaggregated information of the change in household vulnerability of target group before and after the intervention of ASHA;
* Annual report should reflect the change in parameters developed above (change in vulnerability, increment of beneficiaries against the target set and increase in representation in executive committees) and the report should reflect the barriers of the GESI target groups in a disaggregated form;
* The report should also integrate GESI in achievements of results, lessons, major observations, case studies. In addition, stories of change must include information and examples on how GESI has been addressed in the projects.

### Institutional Arrangements and GESI Responsibilities

The implementation of the GESI mainstreaming guidelines needs appropriate institutional arrangements at all levels, from ASHA offices to its service provider organisations. The project has conceptualised and set up an institutional arrangement to make operational support, and facilitate the implementation of the project. The following table clarifies the responsibilities of each institutional structure for mainstreaming GESI in the project.

**Table 7: ASHA Project Institutional Arrangements and GESI responsibilities**

|  |  |
| --- | --- |
| **ASHA- Institutional Arrangements** | **Key GESI Responsibilities** |
| **Project Steering Committee (PSC)**: | * Provide policy guidance to prepare project related various guidelines including GESI operational policy * Endorse * Review and approve annual work plans and budgets (AWPB) to ensure that they are GESI-responsive * Coordinate the implementation of approved AWPBs in line with GESI operational guideline * Review of implementation process and monitoring the project activities from GESI perspective and guide PCU to maintain a balanced representation of climate vulnerable groups, women, Dalits, Janajatis, and other marginalised groups including youths. |
| **Project Coordination Unit (PCU):** | * Develop GESI responsive policies, guidelines, annual plans and budgets. * Capacitate project staffs, line agencies, service centres, NGOs, AFECs including excluded groups for developing common understanding on GESI concept and GESI guideline of ASHA. * Ensure effective implementation of the GESI responsive activities and facilitate that GESI is a collective responsibility of all project staffs and service providers. * Promote a balance between women, men and socially excluded groups when hiring staffs by PCU and promote the representation of women and socially excluded groups within the climate vulnerable households in all committees and working groups formed/supported by ASHA project. * Coordinate with participatory ministries and districts for proper implementation of GESI responsive plans * Ensure timely project Monitoring & Evaluation and progress Reporting in line with GESI perspective |
| **District Project Coordination Committee (DPCC):** DFCC act as the DPCC of the project. | * Review the district AWPB in line with GESI perspective and recommend it to the DDC, * Review the progress reported by the Service providers in line with GESI perspective, * Coordinate inter-agency efforts for effective implementation and problem solving on GESI issues. |
| **District Project Coordination Unit (DPCU):** | * Coordinate with district line agencies/service centres and the grassroots-level extension, NGOs, private sector players, as well as AFECs farmers’ groups/cooperatives for the implementation of planned GESI activities; * Over-see the work of LAPA preparation process by service providers and ensure that the prepared LAPAs are GESI sensitive. * Ensure that the selection of target groups (vulnerable households and excluded groups) is properly done in line with the GESI guideline; * Review the prepared LAPAs and community-level implementation work plans from GESI perspective and recommend to the PCU for AWPB preparation and implementation; * Facilitate, liaison and coordinate with district line agencies, service centres, SM service provider organisations and target communities for the collection of GESI disaggregated data and report/documentation of project activities. |
| **Agriculture Forestry Environment Committee (AFEC):** | * Conduct CC and GESI awareness campaigns at VDC level on the LAPA approach and development plans; * Support service providers for preparing LAPAs, prioritisation and annual activity planning from GESI perspective; * Make initiation for endorsing LAPAs in VDC/DDC Council; * Support SM service provider and DPCU for GESI sensitive group formation/reformation and strengthening; * Collect, assess, and approving the group proposals from GESI perspective; * Seek resources for funding the implementation of LAPA priorities and monitor, supervise, and evaluate activities within the VDC and provide feedback to beneficiaries groups for issues and concerns including GESI. |
| **Service Providers** | Service provider organisations/individuals who involved under performance based contract services in various activities such as baseline survey, RIMS survey, LAPA preparation, social mobilisation service, training curriculum development, organizing training and coaching, and others as identified by the procurement plan, have to emphasis to promote gender equality and social inclusion in line with ASHA- GESI operational guideline. |
| **Community-level farmers’ organizations/groups** | At the community level, increase the representation of women and excluded groups for formation or reformation of beneficiaries/farmers’ group or cooperatives that supports to strengthen capacity of women and excluded groups in decision making and resource/benefit sharing processes, and also balance the participation of women, climate vulnerable and socially excluded groups in planning, implementation and monitoring process of the ASHA supported activities. |

# Conclusion

The guideline provides a basis for developing a common understanding of GESI among the ASHA Project and its partner organisations. It can cover the way for mainstreaming GESI in project activities. This is a living document which requires periodic reviews at various time intervals within ASHA project and its service provider organisations’ activities.

# Annexes

## Annex 1: Definitions of terminologies used

**Gender** is a socially constructed power relation between women and men that establish the roles, responsibilities, opportunities and decision-making authority of both the sexes. Gender relations manifest in varying forms and degrees, across all social groups. Women usually experience discriminatory practices at home and society.

**Gender equality** refers to equal rights, voice, responsibilities and opportunities for men and women in society, at work, and in home. Gender equality is a broad concept and goal for human development. It is achieved when men and women have equal rights, freedoms, conditions and opportunities for realizing their full potential for contributing to and benefitting from economic, social, cultural and political development. It means society values men and women equally for their similarities and differences and the diverse roles they play. It signifies the outcomes that result from gender equality strategies and processes.

**Gender equity** is the process of being fair to women and men. Gender equity refers to fairness between men and women in access to society’s resources including socially valued goods, rewards and opportunities. Equity leads to equality. To ensure fairness, measures must often be available to compensate for historical and social disadvantages that prevent women and men from otherwise operating on a level playing field.

**Social Inclusion** is the removal of institutional barriers and the enhancement of incentives to increase the access of diverse individuals and groups to development opportunities (DFID). It refers to changes from above at the system level and in the external institutional environment or opportunity structure.

**Gender mainstreaming** According to UN Economic and Social Council (ECOSOC), mainstreaming gender is the “process of assessing the implications for women and men of any planned actions that includes legislations, policies or programs in all areas and at all levels. It is a strategy to make women’s as well as men’s concerns and experiences in the design, implementation, monitoring and evaluations of policies and programs in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality".

**Mainstreaming Gender Equality and Social Inclusion (GESI)** is a way of ensuring the social and economic rights of women and socially excluded groups are systematically taken into account in all policy, program, administrative and financial activities, and in organizational procedures thereby contributing organizational transformation. It is an approach to development that looks more comprehensively at the relationship of women, men and other excluded groups in their access to and control over resources, decision making, benefit and the rewards of society.

**Climate Change** is a statistically significant variation in either the mean state of the climate or in its variability, persisting for an extended period (typically three decades or more).

**Climate Change Adaptation** refers to adjustment in natural or human systems in response to actual or expected climatic stimuli or their effects, which moderates harm or exploits beneficial opportunities. Adaptation is an adjustment in natural or human systems to a new or changing environment.

**Adaptive Capacity** is an ability of a system to adjust to climate change (including climate variability and extremes) to moderate potential damages, to take advantage of opportunities, or to cope with the consequences.

**Vulnerability** is a function of the character, magnitude, and rate of climate variation to which a system is exposed, its sensitivity, and its adaptive capacity. Vulnerability is the degree to which a system is susceptible to, or unable to cope with, adverse effects of climate change, including climate variability and extremes.

**GESI responsive programmes** are programmes that address the barriers of women and other excluded groups. They work to strengthen the capacities of women, poor and other excluded people to improve their lives.

**Excluded groups** are groups of people who have been systematically excluded over a long time due to economic, caste, ethnic, gender, disability, and geographic reasons. The ASHA project defines excluded groups as “women, Dalits, indigenous Janajatis, Madhesis, Muslims, people with disabilities, senior citizens, and people living in remote regions who have not benefited from national development efforts.”

## Annex 2: Caste and Ethnic Groups of Nepal

|  |  |  |
| --- | --- | --- |
| **Broad Cultural Groups and % of Total Population** | **Numbers of Ethnic Caste** | **Name of Ethnic Caste groups (Census-2011)** |
| Caste-Origin: Hill Brahmin Chhetri groups **(31.2%)** | 4 | Brahmin, Chhetri, Thakuri, and Sanyasi (Dasnami) |
| Hill: Adibasi/Janjati groups  **(27.3%)** | 50 | Magar, Tamang, Newar, Rai, Gurung, Limbu, Kumal, Gharti/Bhujel, Majhi, Sherpa, Danuwar, Sunuwar, Chepang/Praja, Thami, Kulung, Yakkha, Ghale, Khawas, Darai, Pahari, Thakali, Bhote, Chantyal/Chhantel, Hyolmo, Bote, Brahmu/Baramo, Nachhring, Yamphu, Chamling, Athpahariya, Jirel, Dura, Bantaba, Raji, Dolpo, Byansi/Sauka, Thulung, Lepcha, Mewahang-Bala, Bahing, Hayu, Lhopa, Sampang, Lhomi, Khaling, Topkegola, Walung, Lohorung, Raute, and Kusunda. |
| Hill: Dalit **(8.1%)** | 5 | Kami, Damai/Dholi, Sarki, Badi, Gaine |
| Caste-Origin: Madhesi groups- Socio-economic level 1 **(0.8%)** | 3 | Brahman-Tarai, Rajput, and Kayastha |
| Caste-Origin: Madhesi groups- socio-economic level 2  **(14.5%)** | 31 | Yadav, Teli, Koiri/Kushhawa, Kurmi, Dhanuk, Mallaha,  Kewat, Kathbaniya, Kalwar, Kanu, Hajam/Thakur, Lohar,  Sudhi, Halwai, Baraee, Bin, Sonar, Nuniya, Kumhar, Kahar, Lodh, Badahee, Gaderi/Bhediyar, Mali, Dhuniya, Rajdhob, Rajbhar, Amat, Dev, Kamar, and Nurang. |
| Madhesi (Adibasi/janajati)  **(7.7%)** | 13 | Tharu, Rajbansi, Satar/Santhal, Jhangad/Dhajar, Gangai, Dhimal, Tajpuriya, Meche, Pathakatta/Kushwadia, Munda, Kisan, Koche, and Chidimar. |
| Madhesi Dalit- socio economic level 3  **(4.5%)** |  | Chamar/Harijan/Ram,Musahar, Dushad/Paswan/Paswan,  Dhobi, Tatma/Tatwa, Khatwe, Bantar/Sardar, Dom, Kori, Sarabaria, Halkhor, Natuwa, Dhankar/Dharikar, Dhandi, and Kalar. |
| Musalman **(4.4%)** | 1 | Musalman/Muslim |
| Other Cultural groups **(0.3%)** | 4 | Marwadi, Bangali, Punjabi/Sikh, Foreigner |
| Unidentified others **(1.0%)** |  |  |
| Total | 126 | All 126including the foreigner category and or125 ethnic groups (excluding the foreigner category. |

Source: Central Bureau of Statistics: Population Monograph of Nepal, 2014.

## Annex 3: Sample format for disaggregated data collection

1. Disaggregated Diversity Profile of staff

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S/N** | **Neame of Staff** | **Designation** | **Permanet Address** | **Age** | **Gender** | | | **Caste/Ethnicity** | | | **Remarks** |
| **Female** | **Male** | **Third Gender** | **Dalit** | **Janjati** | **Others** |
|  |  |  |  |  |  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |  |  |  |  |  |
| **Total** | |  |  |  |  |  |  |  |  |  |  |

1. Compiled data of staff Diversity Profile

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S/N** | **Designation** | **Gender** | | | **Age group** | | |  | **Caste/Ethnicity** | | |
| **Female** | **Male** | **Third Gender** | **16-30 years** | **31-45 years** | **46-60 years** | **Above 60 years** | **Dalit** | **Janjati** | **Others** |
| 1 | Officer Level |  |  |  |  |  |  |  |  |  |  |
| 2 | Mid-level |  |  |  |  |  |  |  |  |  |  |
| 3 | Support staff |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |
| **Total** | |  |  |  |  |  |  |  |  |  |  |

1. Disaggregated beneficiaries data of completed Training, w/s, meeting and exposure visits

Name of activity: Venue: Date of completion: …………….to………………

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S/N** | **Name of Participants** | **Address** | **Age** | **Gender** | | | **Caste/Ethnicity** | | | **Vulnerability Rank** | | | | **Gender of HH head** |
| **Female** | **Male** | **Third Gender** | **Dalit** | **Janjati** | **Other** | **V4** | **V3** | **V2** | **V1** |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
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|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| **Total** | |  |  |  |  |  |  |  |  |  |  |  |  |  |

1. Disaggregated beneficiaries data of completed training, w/s visits, meetings (Compile format)

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S/N** | **Name of Activity** | **Venue** | **Date of Completion** | **Duration** | **Beneficiaries** | | | | | | | | | | | | | | **N. of Women headed HH** |
| **Gender** | | | **Age group** | | | | **Caste/Ethnicity** | | | **Vulnerability Rank** | | | |
| **Female** | **Male** | **Third Gender** | **16-30 years** | **31-45 years** | **46-60 years** | **Above 60 years** | **Dalit** | **Janjati** | **Other** | **V4** | **V3** | **V2** | **V1** |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total | | | | |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

1. Beneficiaries record of profitable production and CC adaptive community infrastructure

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **S/N** | **Name of Beneficiary** | | **Age** | **Address** | | **Name of Activity** | | **Investment Rs.** | | | | | | | | | | | **Beneficiaries Disaggregation** | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Support from ASHA** | | **Self-Investment** | | | | **Other** | | **Total Rs.** | | | **Gender** | | | | | | | | **Caste/Ethnicity** | | | | | | | | **Vulnerability Rank** | | | | | | | | **Gender of HH head** | | |
| **Cash** | | **Kind** | | **Female** | | | **Male** | | **Third Gender** | | | **Dalit** | | **Janjati** | | | **Others** | | | **V4** | | **V3** | | | **V2** | | **V1** |
|  |  | |  |  | |  | |  | |  | |  | |  | |  | | |  | | |  | |  | | |  | |  | | |  | | |  | |  | | |  | |  |  | | |
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| **Total** | | | | | | | |  | |  | |  | |  | |  | | |  | | |  | |  | | |  | |  | | |  | | |  | |  | | |  | |  |  | | |
| 1. Beneficiaries compiled record of profitable production and CC adaptive community infrastructure | | | | | | | | | | | | | | | | | | | | | | | | | |  | | | |  | | |  | |  | | |  | | |  | | |  |  | |  |  |  |
| **S/N** | **Name of Activity** | **Venue** | | | **Date of Completion** | | **Investment Rs** | | | | | | | | | | **Beneficiaries** | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| **Support from ASHA** | | **Self-Investment** | | | | **Other** | | **Total Rs** | | **Gender** | | | | **Age group** | | | | | | | **Caste/ethnicity** | | | | | | | | **Vulnerability Rank** | | | | | | | **Women headed HH** | | |
| **Cash** | | **Kind** | | **F** | **M** | | **TG** | **16-30 years** | | **31-60 years** | | **60 years above** | | | **Dalit** | | | **Jan jati** | | | **Other** | | **V4** | | | **V3** | **V2** | | **V1** |
|  |  |  | | |  | |  | |  | |  | |  | |  | |  |  | |  |  | |  | |  | | |  | | |  | | |  | |  | | |  |  | |  |  | | |
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| **Total** | | | | | | |  | |  | |  | |  | |  | |  |  | |  |  | |  | |  | | |  | | |  | | |  | |  | | |  |  | |  |  | | |

## Annex 4: References

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1. ADB, 2000. Small Towns Water Supply and Sanitation Sector Project: Gender and Development. Asian Development Bank. Loan 1755-Nep. [↑](#footnote-ref-1)
2. IFAD, 2014. Adaptation for Smallholders in Hilly Areas-Working Pape, Final Project Design Report-Working Papers. [↑](#footnote-ref-2)
3. IFAD, 2014. Adaptation for Smallholders in Hilly Areas-Working Pape, Final Project Design Report-Working Papers. [↑](#footnote-ref-3)
4. This framework has been adapted from Naila Kabeer’s Social Relations Analysis Framework, published in Reversed Realities: Gender Hierarchies in Development Thought (VERSO, 1994). It has been used as GESI mainstreaming framework by different development agencies as well as the Government of Nepal. [↑](#footnote-ref-4)
5. Now there is developed a new situation after the state restructuring process. VDC structure is removed in the present structure of the state. Many of former VDCs are switched into the wards of Municipality and or Rural Municipalities. There will be higher number than 150 if former VDCs are counted in ward and if it is counted in Rural Municipality there will be smaller quantity than 150 VDCs. GoN will take clear decision and make policy soon on LAPA framework in line with new structure and ASHA also go through with that decision/policy. For the time being, ASHA will work with previous VDC (ward structure of present Municipality or Rural Municipality where it is merged) until the new decision of GoN. [↑](#footnote-ref-5)
6. definition derived from IPCC report 2001 [↑](#footnote-ref-6)
7. The categorisation of Adibasis/Janajatis, OBCs and Dalits is provided in Annex 3. [↑](#footnote-ref-7)