



## **GESI Tools and Guidelines Update**

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**Disclaimer**

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## List of Acronyms

Acronym	Long-Form
CRIDF	Climate Resilience Infrastructure Development Facility
DFID	Department for International Development
GESI	Gender Equality Social Inclusion
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
HIV	Human Immunodeficiency Virus
M&E	Monitoring and Evaluation
PD	Project Director
PM	Project Manager
PMU	Project Management Unit
SADC	Southern African Development Community

## Introduction

The Climate Resilient Infrastructure Development Facility (CRIDF) is the Department for International Development's (DFID) water infrastructure programme for southern Africa. Working to deliver sustainable small-scale infrastructure across 11 Southern African Development Community (SADC) countries, the demand-driven programme focuses on water services, water resource management, and water for livelihoods, fostering sustainable development of the region's water resources and addressing the water, food and energy nexus.

CRIDF prepares small-scale water infrastructure projects and facilitates access to finance for the implementation of these projects. Such interventions provide the entry point and platform for CRIDF to engage with, support and influence key SADC interventions, river basin organisations and national stakeholders. Activities are selected according to a set of CRIDF principles to ensure that investments align with strategic objectives that have been developed specifically for each SADC river basin.

## Gender Equality and Social Inclusion Activity Background

CRIDF recognizes that gender equality and social inclusion is of central concern in water services, water resources management and agriculture, as adopting a gender and social sensitive approach improves the project impact, performance and sustainability. This is particularly important in the Southern African region where rural poverty levels in most parts are relatively high and respective populations are dependent on water and land resources. Furthermore, like elsewhere in the developing countries, women and girls are typically responsible for fetching water for domestic use and agricultural activities. Therefore giving a voice, choice, and control to women on water, land and other natural resource management is of key concern to CRIDF.

DFID sets out four pillars for greater and more effective action, with the aim that girls' and women's lives are significantly improved and sustainably transformed. The pillars include; delaying first pregnancy and support safe childbirth, getting economic assets directly to girls and women, getting girls through secondary school and preventing violence against girls and women (DFID 2014). CRIDF-supported activities contribute directly to the second pillar (get economic assets direct to girls and women) through its projects' interventions. For instance, small dam construction and irrigation projects contribute towards agricultural production and increased incomes. Establishment of irrigation schemes assist in land redistribution and capacitates communities on how to productively utilise their assets such as land, livestock, labour and water resources. Similarly, the 12 border towns water supply and sanitation project shall result in adequate water supply that would boost women and men entrepreneurs managing businesses that require bulk water supply.

In recognizing the different gender roles in the management and use of water services, water resources and other related natural resources, a gender equality perspective is necessary. CRIDF stresses the need to establish special measures, if required, to improve equality between men and women with regards to their rights, access and control of resources, and decision making roles. Therefore CRIDF shall address GESI issues associated with projects as far as is practical and highlight issues beyond its control to other development partners as appropriate. Nevertheless, CRIDF's work will be gender sensitivity and aim to design interventions that provide optimal benefits to women, girls and vulnerable groups.

This paper therefore presents a conceptual framework that builds on CRIDF's GESI work undertaken to date and describes how task teams of sociologists or other experts should integrate its principles into the project design, implementation and monitoring and evaluation. This is not a policy statement and does not prescribe any mandatory requirements. It instead provides guidance and good practice for examining the GESI opportunities; constraints and likely impact of CRIDF supported projects.

Further the use of these GESI guidelines should not be seen as an additional task but should form part of the regular project development and implementation process. CRIDF in its project development process undertakes a series of activities namely the i) feasibility studies - this includes a detailed analysis of different aspects of the project such as the technical designs, financial and economic assessment, environmental assessment, climate risk assessment, social and gender assessment,

marketing, agricultural including aquaculture examination. These specialised studies are consolidated in a bankable final technical report. ii) Financial closure, which includes completing detailed designs and tender documents, submitting permit applications and finalising financing and procurement routes, and iii) Infrastructure implementation and roll-out of appropriate support systems packages. For each of these key project development and implementation stages, the GESI guidelines would offer a set of guiding questions and number of useful tips. These guidelines are based on the lessons learned as a result of applying CRIDF's GESI framework and tools to date, as well as external consultants' broader project experiences.

## Previous Gender Equality and Social Inclusion Guidelines Development

On an outcome level, CRIDF has committed to 'considering the needs of women, children and other vulnerable groups with a view to enhancing their involvement', and CRIDF has therefore endeavoured to better understand and mainstream principles of Gender Equality and Social Inclusion across our Projects since the Programme's inception. This was a massive effort given the necessity to align it with SADC gender mainstreaming approaches as well as the work undertaken by GIZ under the Transboundary Water Management programme.

In 2014 and 2015, considerable effort went into developing CRIDF's GESI Framework and Rating Tool – with the ultimate aim of documenting, rating and monitoring the integration of GESI issues into each CRIDF Project. The tool was incorporated into CRIDF's generic Socio-Economic scope of work for all Feasibility Studies. However, after applying the tool to several projects, feedback from the Sociologists indicated that whilst the tool assisted in directing focus to gender equality and social inclusion aspects, the following constraints were experienced.

- The tool was in fact more suitable for internal CRIDF purposes as a means of quality assurance and monitoring, as opposed to field level experts who would be in the initial stages of collecting and analysing baseline information.
- The checklist was more of an inquiry of the extent to which gender and social issues have been noted. There was no request for an action plan which illustrates supportive actions that would ensure that women and girls' voices are heard, and choices are considered in the projects. In particular, different social groups in the communities should have a say on the proposed technology, siting and design of infrastructure and implementation, thereby increasing usage, inclusion and ownership amongst the beneficiaries in the project areas.
- Whilst the rating system is useful, the ratings do not indicate the extent to which gender and social inclusion aspects have been and not integrated. For instance a rate of 3 which means 'significant' does not explain the extent to which the women and girls and other social group's voice and choice in the project has been considered and can be measured. Further the ratings would not illustrate how the women and girls would have control of the implementation process and benefits derived from the projects.

This paper is therefore a refinement of the initial GESI integration guidelines making them more responsive, action oriented and measurable. The new guidelines shall provide guidance on how gender



and social equality issues can be comprehensively investigated during the feasibility studies. They also reemphasise the need for developing a GESI action plan, which allows sociologists and other experts to select the type of approaches that can be adopted to ensure that gender and social inclusion issues are concretised and remain visible. Further revisions made shall assist evaluators to assess the extent to which women, girls and other socio groups' voices, choices have been considered in the projects.

## Revised Gender Equality and Social Inclusion Guidelines

The purpose of the GESI guidelines is to assist CRIDF Project Teams on how to consider and adequately address GESI issues throughout the project development stages, and when appropriate guide implementation. The GESI guidelines can be used on an ongoing basis during project design, implementation and monitoring and evaluation irrespective of whether the project is a new or ongoing intervention. It can also be used for a formal assessment at the end of the project execution.

Given the existence of a variety of concepts and terms in literature on gender, it would be useful to the reader to define the key terms used in these guidelines. The terms defined are limited to gender, gender equality, social inclusion vulnerable groups and persons with disability. In order to align with DFID's strategic focus, it is important to contextualise and illustrates how the terms 'voice, 'choice' and 'control' would be addressed in CRIDF projects.

**Gender:** refers to the social attributes and opportunities associated with being male and female and the relationships between women and girls and boys, as well as the relations between women and those between men. These attributes, opportunities and relationships are socially constructed and are learned through socialisations processes. They are context/time specific and changeable. In most societies there are differences and inequalities between women and men in responsibilities assigned, activities undertaken, access to and control over resources, as well as decision making opportunities. Gender is part of the broader socio-cultural context. Other important criteria for socio- cultural analysis include class, race, poverty level, ethnic group and age.

**Gender equality:** refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not mean that women and men will become the same but that women's and men's rights, responsibilities and opportunities will depend on whether they are born male or female. Gender equality implies that the interests, needs, and priorities of both women and men are taken into consideration, recognising the diversity of different groups of women and men. It is important to note that gender equality is not a women's issue but should fully engage men as well as women. Equality between women and men is seen both as a human rights issue and as a precondition for, and indicator of, sustainable people –centred development

**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. It therefore is about members and segments of society enjoying equal rights and benefits in the political, economic and social spheres without discrimination based on sex, age, geographical area, ethnicity, place of origin, educational background, economic status, caste, religion, disability, health status and so on (Government of Nepal 2014).

**Vulnerable groups:** This report seeks to ensure that investments provided produce benefits that accrue to all social groups including the vulnerable groups. In this case vulnerable groups are defined as a population that has some specific characteristics that make it at higher risk of falling into poverty than others living in areas targeted by a project (World Bank). These include female-headed households, the elderly, orphans, destitute families, Persons with HIV, persons with chronic health

conditions and persons with disability. Special attention is drawn to disabled persons.

**Persons with disability:** The term is used to apply to all persons with disability including those who have long term physical, mental, intellectual or sensory impairments, which in interaction with attitudinal and environmental barriers hinders the full and effective participation in society on equal terms. Disability can take many forms. DFID's preferred method for programme data disaggregation by disability status, identifies 6 broad areas of disability including: difficulty seeing, hearing, walking or climbing steps, remembering or concentrating, difficulty (with self-care such as) washing all over or dressing, and difficulty communicating (Agarwal & Steele 2016). Although disability is associated with those defined as such by law, almost every person will be temporarily or permanently impaired at some point in life, therefore this group includes the elderly, the sick and pregnant women.

Particular attention to the disabled becomes critical in CRIDF's support, which is mainly infrastructural in nature. Water resources and sanitation infrastructure is critical to social functioning with direct impact on social wellbeing, earnings, education and health. Therefore if infrastructure is inaccessible to any social group, that group is at risk of social exclusion, unable to participate in and contribute to society. For example construction of toilets with squat holes presents numerous problems to those with walking disability, the elderly and others who have temporal impairment such as the sick and pregnant women. Therefore it is recommended that the designs and technologies would be screened for suitability.

**'Voice'** in the context of CRIDF projects would mean empowering women and girls to participate in decision-making structures such as water or dam committees. This would ensure that they have the leverage to participate in management decisions. For instance women would be better placed to advise on the best time to operate the water kiosks, as they know the appropriate time when women prefer to draw water.

**'Choice'** this would refer to the opportunity that CRIDF projects provide to the women, girls and other social groups to raise incomes and improve their livelihood. Provision of adequate water supplies for both domestic and productive use accords women and girls an opportunity to engage in a variety of livelihood activities that ultimately empower them to be independent and have the freedom to take control of their lives. This in turn reduces dependence on male partners and the practice of early and forced marriages exacerbated by poverty.

**'Control'** – CRIDF 's process of conducting participatory feasibility studies is aimed at ensuring that women, girls and other vulnerable groups in project areas participate in decision-making and achieve equal access to productive resources such as land and water including access to markets. The process allows beneficiaries have the opportunity to provide input in the technology, infrastructure designs so that they have control over the operations and sustain infrastructure that contributes to improvement of their livelihoods.

Thus GESI integration can be interpreted as a process and strategy for ensuring that the concerns of women and men from all social groups (ethnicity, economy, age, disability, geographical locations) are an integral dimension in the design, implementation, monitoring and evaluation of projects including policies in all spheres. It aims to promote equality and strengthen the legitimacy by addressing existing

disparities and gaps which are highlighted in access and control over resources, services, information and opportunities and distribution of power and decision making (Government of Nepal 2014).

GESI integration can be multi-level in that it can be undertaken in all project preparation levels and discussions from the policy level to concrete projects at national, district and community levels. It is also a process of assessing the implications for women and men of any planned action, in any area and at all levels and monitoring through a suitable set of indicators. Following are a series of steps to be undertaken to ensure GESI integration.

## Steps for Gender Equality and Social Inclusion Integration

The steps illustrated below are closely related to the stages of the CRIDF project development phases. As indicated earlier the GESI tasks should not be viewed as additional and separate tasks but as part of the broader Social, Economic and Gender Assessment. The attention drawn to the GESI is to ensure that these cross cutting issues are given particular focus as beneficiaries are central to and the reason for the project interventions.

### STEP 1: Project Eligibility and Scoping - Screening of Gender and Social Inclusion Issues

During the Eligibility stage, CRIDF carries out an initial 'Screen 1' Assessment, which aims to ensure that the Project aligns with CRIDF's pro-poor, climate resilient and transboundary mandate. One of the requirements in this Screen is an initial assessment/justification as to what the expected social impacts, both positive and negative, of the proposed project will be, and how inclusive, significant and/or acceptable these impacts are to different social groups. The Screen then requires a further assessment on how and to what extent the project will benefit the lives of women and children, including participation of, and impacts to, and inclusiveness of outcomes. These initial assessments are used as basis to proceed to pre-feasibility and feasibility stages, where robust assessments on social and gender issues are then carried out.

### STEP 2: Feasibility Study - Analysis of Gender and Social Inclusion Checklist

The generic terms of reference for conducting CRIDF Feasibility Studies provide detail on the gender equality and social inclusion aspects to be examined and analysed. Discussion of findings of GESI aspects should be a specific section within the main body of the 'Social and Gender Assessment' Report. Below is a list of some of the critical issues that are investigated during this stage.

#### Possible issues to be investigated

- Baseline of the socio economic considerations for women and men in the project,
- Inclusivity of project outcomes particularly to women, girls and children,
- Access to and control over production factors by different social groups especially women, girls and the poor
- Expected changes in the quality of life of the poor and different social groups in the project area
- Indication of acceptability of infrastructure designs in terms of suitability of the technology, water quality and type of source, quantity, sustainability and cultural acceptability.
- Description of the expected project impacts on existing women and men's activities

- Actions required to increase women's and men's access and control over resources and the existing opportunities in relation to their needs in water and food security projects.
- Extent of women and girls' voices, choice and control at the household, and community level.
- Community practices, and existing projects addressing women and girls empowerment.

It is recommended that the Sociologist fills in a checklist (see Annex 1). The checklist is a guide that assists sociologists or other experts to identify, document and analyse gender and social inclusion issues during Feasibility. The checklist provides an extremely simple mechanism for ensuring that key issues are included by responding to specific questions. At this stage there is no need for scoring but merely to provide a check to ensure that the author has thoroughly analysed the issues and made sound recommendations on the direction in which the critical gender and social inclusion issues will be concretised.

There are three main gender equality approaches used in gender and diversity programming namely, mainstreaming, targeted action or projects, and policy dialogue (Strategic Framework for Gender Equality, Rights and Diversity in Danish Development Cooperation 2014).

**Mainstreaming** would entail ensuring that GESI objectives are integrated at levels of CRIDF policy, objectives and goals of projects, planning, implementation, monitoring and evaluation of activities.

**Targeted actions** or projects can be included in the project activities in order to bring about sufficient impacts. Targeted actions should be formulated if for some reasons it is envisaged that the mainstreaming approach would not bring about sufficient impacts. **Policy dialogue** means integrating the GESI objectives and issues into discussions at all levels and communication. These approaches should be referenced in the checklist, and used as a basis to formulate the Action Plan (explained below).

## STEP 3: Feasibility Study: Formulation of a Gender and Social Inclusion Action Plan

In order to ensure that the GESI issues identified and analysed are taken forward, experts have to clearly outline activities that will require follow up attention (using the findings from the Checklist (Annex 1) as guidance). This would be achieved through the formulation of a GESI Action Plan (see Annex 2 for **Action Plan template**).

### Responsibilities in the Action Plan

At this stage the sociologist and other experts can include realistic and practical actions that are tenable by both CRIDF and other implementing partners. It is likely that CRIDF might not support all the planned actions, and the Action Plan should therefore differentiate between specific interventions that would be supported by CRIDF and those that would be delegated to other development partners such as respective public institutions, local NGOs etc.

### Monitoring and Evaluation Indicators in the Action Plan

The Action Plan should have clear monitoring and evaluation indicators and targets. There are different types of indicators that correspond to each part of the project development cycle such as risk/enabling, input, process, output, outcome and impact indicators. The terms used for indicators are less important than how the indicator is defined. It is therefore important that experts make due consideration of who would conduct the M&E tasks and not overload them with information.

#### Issue to consider

- Where possible all baseline studies should include quantitative data disaggregated by sex, socio economic grouping or age against which progress and results can be measured.

#### Examples of generic indicators

- % of female and male project beneficiaries,
- Proportion of female farmers participating and benefiting from e.g. irrigation schemes, or project interventions,
- Number of women and men involved in operation and maintenance of project infrastructure,

## Step 4: Analysis of GESI Integration and Proposed Actions

The checklist in Annex 3, **Quality Assurance Of Gender Equality and Social Inclusion Analysis and Action Plan**, is a mechanism for assisting key Project Management Unit (PMU) Members (usually the CRIDF Project Director (PD) and Project Manager (PM)) to internally QA the gender and social inclusion analysis, actions and indicators.

Comments should be included (as appropriate) to justify why elements of the analysis/action plan were excluded for the study.

## References

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# Annex 1 – Checklist: GESI Integration in Project Development

Table 1 GESI Integration In Project Development

(For Sociologists and other experts)

Gender Equality And Social Inclusion Analysis		
Resulting from the gender and social inclusion analysis, and all other specialist studies including the technical designs, would the Project.....	Indicate Yes or No	Indicate if the type of Action required: Indicate a) Mainstreaming; b) Targeted actions or projects; c) Policy Dialogue
<i>Constrain equal participation of and benefit accrual to women and men in the project area?</i>		
<i>Constrain equal participation of and benefit accrual to persons with disability?</i>		
<i>Present unfavourable disproportion of female farmers or residents participating and benefiting from project activities?</i>		
<i>Increase access to and control over production factors such land amongst women, men and persons with disability?</i>		
<i>Increase women’s decision-making power and recognition of their input to the project activities?</i>		
<i>Allow women and girls’ voices, choice and control over household and other productive assets</i>		
<i>Coupled with existing needs and opportunities increase women’s productivity and economic empowerment?</i>		
<i>Contribute to changes in the quality of life of the women and other vulnerable social groups in the communities.</i>		

<i>Infrastructure designs in terms of suitability of the technology, and type of source, quantity, are socially and culturally be acceptable?</i>		
<i>Is the technology and design suitable for use by persons with disability (all types of impairment, the elderly, pregnant women and the sick)?</i>		
<i>Result in positive impacts on existing women and men’s activities?</i>		
<i>Result in negative impacts on existing women and men’s activities?</i>		
<i>Result in women and girls losing control over productive assets such as land and access to incomes?</i>		
<i>Outcomes be inclusive of women and children’s rights, needs and interests</i>		
<i>Constrain beneficiaries from participating in operation and maintenance of infrastructure to ensure sustainability of the project</i>		
<i>Benefit from the existence of partner project personnel possessing knowledge, aware of and sensitive to gender and social inclusion concerns?</i>		
<i>Add more as required and where necessary .....</i>		

**NOTES:**

Experts are encouraged to include additional issues as shall be found necessary.

Responses in the 2<sup>nd</sup> column can either be ‘Yes or No’, but what would ignite further action is the response provided in the 3<sup>rd</sup> column where the expert indicates the required Action.

Once this task is complete the expert can then design an Action Plan where actions would be grouped under specific headings of whether the Actions should be mainstreamed in other project activities or dealt with under policy dialogue. Actions requiring targeted projects would require an estimated budget.

See Annex 2 for Action Plan template.



## Annex 2 – Action Plan Template

Table 2 Gender Equality and Social Inclusion Action Plan

Activities	Gender related Indicators And Targets	Responsibility		Project Cycle Stage	Estimated Cost
		Primary Resp.	Other Institutions		
<b>Finalisation of detailed designs of a small dam</b>					
i.. Involvement of women and men’s needs in the design	At least 50% of the Project beneficiaries to be consulted	CRIDF		Project Preparation	-
ii. ...					
<b>Construction of a small dam</b>					





## Annex 3 – GESI Rating of Analysis and Proposed Actions

Table 3 Quality Assurance of Gender Equality and Social Inclusion Analysis and Action Plan

(For CRIDF Project Directors and Managers)

Dimensions	Does The Project Information.....	Response Yes, No, N/A	Comment
<b>ANALYSIS</b>	Report on findings of country, regional or project area gender and social inclusion diagnostics as part of the environmental or social impact assessment relevant to the project objectives, components and outputs.		
	Analyse the gender constraints or barriers in the following domains? Access to resources, participation in projects, legal rights and status, power and decision making in the project activities.		
	Detail the socio economic baseline for women, men, youth, children and other social groups, including their relations at household, community and regional levels.		
	Illustrate evidence of women and girls’ ability to choose and control livelihood assets such as land, water supplies and other households and community assets.		
	Detail identification and analysis of gender and social inclusion issues relevant to the project objectives, components and outputs/outcomes.		
	Provide an analysis on how the project is likely to positively or negatively impact on women and men’s activities		
	Realistically predict possible changes in the quality of life of the women and other vulnerable social groups in the project area		
	<i>Add more as required and where necessary .....</i>		



**DOES THE ACTION PLAN .....**

<b>ACTION PLAN</b>	Include targeted actions and projects that particularly address the needs and opportunities of women, girls, and other vulnerable groups.		
	Specify other measures such as mainstreaming and policy dialogue for addressing the needs and opportunities of women, men, girls, boys and other vulnerable groups.		
	Specify project interventions and recommended actions that would contribute to addressing gender inequalities and social exclusion to ensure increased benefits in project activities by particularly women, girls, the disabled and vulnerable groups.		
	Provide realistic activities and costs, which can contribute to gender equality and social inclusion if supported.		
	Show articulation of activities that would enable full and meaningful participation of all relevant project beneficiaries including women, girls, boys and other vulnerable groups?		
	<i>Add more as required and where necessary .....</i>		

**MONITORING AND EVALUATION**

<b>MONITORING AND EVALUATION</b>	Are there clear indicators for each action in the Action Plan as verified by M&E Manager		
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**Notes:**

Depending on the responses to the above table, CRIDF Project Directors and Managers should decide on specific GESI recommended activities contained in the Action Plan that can be included in the Final Feasibility Report. The Action Plan should be reviewed and updated during the follow-on Project stages (Financial Closure & Implementation), as appropriate. In order to achieve consistency, the Social and



Gender Assessment Report can be returned to the sociologist or expert for revision and finalisation on agreed decisions.





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