

Handbook for Incorporation of Social Dimensions in Projects

Asian Development Bank
May 1994



FOREWORD

It is increasingly recognized that people are the center of development, and that development is for all people. The concept of social dimensions captures the key elements of human perspective: including poverty reduction; enhancing the role of women in development; human resources development including population planning; and avoidance or mitigation of adverse impacts of development interventions on vulnerable groups which do not have the capacity to absorb such effects. The Bank and its developing member countries (DMCs) recognize the importance of incorporating social dimensions into their developing efforts and operations. It is intended that social dimensions build upon the traditions and social and cultural values of the Bank's DMCs.

This Handbook is one of a series of publications which provide guidance to Bank staff, staff in executing agencies and consultants about the incorporation of social dimensions into Bank operations. The overall framework for incorporating social dimensions is presented in the *Guidelines for Incorporation of Social Dimensions in Bank Operations*, October 1993. This *Handbook* is a supplement to the *Guidelines* and provides guidance with respect to the incorporation of social dimensions in projects.

Guidance on other aspects of incorporation of social dimensions is or will be available from other Handbooks. For guidance concerning the design and implementation of benefit monitoring and evaluation, readers are advised to consult *Benefit Monitoring and Evaluation: A Handbook for Staff, Staff of Executing Agencies and Consultants*. Other handbooks which are under preparation include a *Handbook for Incorporation of Social Dimensions in Macro, Sector and Programming Operations* and a *Handbook on Women in Development and Gender Analysis*.

The *Guidelines* and *Handbooks* are being introduced in a spirit of cooperation and partnership with DMCs. Their application will be tailored to fit the socioeconomic conditions of individual DMCs. It is recognized that incorporating social dimensions aspects of development in Bank's operations is an evolving process. Accordingly, the *Guidelines* and *Handbooks* are evolving documents and may have to be modified based on developments in DMCs, changing perceptions and needs, and the experience gained from lessons learned.

Bank

Social Dimensions Unit
Asian Development

TABLE OF CONTENTS

		Page
I.	INTRODUCTION	1
II.	SOCIAL ANALYSIS AND PROJECT DESIGN	
	A. Introduction	3
	B. Facets of a Social Analysis	4
	C. Incorporating Social Dimensions into Projects	8
III.	INITIAL SOCIAL ASSESSMENT	
	A. Introduction	14
	B. Time and Resources Required to Conduct an Initial Social Assessment	14
IV.	SUBSECTOR CHECKLISTS	16
	Checklist 1: Irrigation	17
	Checklist 2: Flood Control and Drainage	22
	Checklist 3: Fisheries and Coastal Zone Management	26
	Checklist 4: Micro Finance and Development of Micro Enterprises	31
	Checklist 5: Forestry and Watershed Management	35
	Checklist 6: Integrated Rural Development	40
	Checklist 7: Tree Crops and Plantations	45
	Checklist 8: Livestock	50
	Checklist 9: Urban Water Supply and Sanitation	55
	Checklist 10: Rural Water Supply and Sanitation	59
	Checklist 11: Population	63
	Checklist 12: Health	67
	Checklist 13: Education and Training	72
	Checklist 14: Roads and Road Transport	77
	Checklist 15: Airports	80
	Checklist 16: Ports and Shipping	82
	Checklist 17: Railways	85
	Checklist 18: Telecommunications	88
	Checklist 19: Power	91
Appendixes		
1.	Preparing Socioeconomic Profiles	94
2.	Problem Tree Analysis	103

Abbreviations

AIDS	-	Acquired Immune Deficiency Syndrome
BME	-	Benefit Monitoring and Evaluation
CO	-	Community Organizer
DMC	-	Developing Member Country
EIA	-	Environmental Impact Assessment
IA	-	Irrigators' Association
IEC	-	Information, Education and Communication
ISA	-	Initial Social Assessment
MCH	-	Maternal and Child Health
MIS	-	Management Information System
NGO	-	Non-Governmental Organization
PB	-	Project Brief
PPTA	-	Project Preparatory Technical Assistance
PW	-	Profile Writer
RRP	-	Report and Recommendation of the President
RRS	-	Rapid Reconnaissance Survey
SA	-	Social Analysis
SALT	-	Sloping Agricultural Land Technology
SDU	-	Social Dimensions Unit
STD	-	Sexually Transmitted Disease
STP	-	Socio-Technical Profile
TA	-	Technical Assistance
TOR	-	Terms of Reference
WID	-	Women in Development
WSS	-	Water Supply and Sanitation
WUA	-	Water Users' Association

I. INTRODUCTION

1. The *Guidelines for Incorporation of Social Dimensions into Bank Operations* (the Guidelines) provides general guidance to Bank staff, developing member country (DMC) officials, consultants and others involved in project or programming operations. This Handbook is a supplement to the Guidelines and provides detailed suggestions for incorporating social dimensions into projects.
2. The need to analyze social factors which influence a project continues throughout the entire life of a project. The analyses are conducted in ways which are similar to those used in any investigation. The investigations, the details which are examined, and the application of the findings are adjusted to apply to the project activities which are ongoing or under preparation. To facilitate exposition, it is useful to think of the project cycle in terms of stages: fact finding for the project preparatory technical assistance (PPTA)¹, preparation of the PPTA Board Paper, supervision of the feasibility study, loan fact-finding, preparation of the Project Brief (PB)², loan appraisal, preparation of the Report and Recommendation of the President (RRP)³, loan negotiations, project supervision, and evaluation of the benefits after the project has been completed.
3. The most crucial of these stages occurs during the preparation of the feasibility study. If the feasibility study consultants thoroughly examine all relevant social dimensions, it is relatively easy for Bank staff and DMC officials to incorporate social dimensions into the project and thereby help ensure a high quality of project design. Conversely, if these examinations have not been conducted Bank staff and DMC officials will have significant difficulties.
4. The analysis which is conducted during a feasibility study to identify and incorporate social dimensions into a project is called a **social analysis** (SA). A SA may cover several facets. These may include assessments of (i) the groups who are expected to benefit from and use services that are to be provided by the project, (ii) the needs of the groups, (iii) their demands, (iv) their absorptive capacity, (v) gender issues, and (vi) possible adverse effects on vulnerable groups (and the need for measures to mitigate or compensate those adversely affected).
5. Following the completion of the SA, the consultants would apply the findings to design the project and formulate implementation arrangements which are needed to address aspects that have emerged from the SA. Such a design should include (i) targeting mechanisms where they are needed, (ii) arrangements for using participatory development strategies, (iii) service delivery mechanisms which are commensurate with the client's absorptive capacity, and (iv) a framework for monitoring and evaluating the benefits of the project.
6. The scope and content of a SA may differ significantly among (and within) sectors, and among countries and regions within countries. The scope and content of the SA will be determined by the mission which conducts the fact-finding prior to the preparation of the PPTA Board Paper. To do this, the Mission would first identify the social dimension issues which are likely to be of significance. The identification of these issues provides the basis for preparing (i) the terms of reference (TOR) which includes the SA and (ii) the estimate of the amount and mix of consulting expertise which are needed to examine the social dimension issues.
7. To enable the PPTA fact-finding mission to prepare the TOR and estimate the consulting services that are needed, it is recommended that the mission consult directly with individuals and groups who are expected to be directly affected by the project (beneficiaries, other participants, and potentially adversely affected parties). This initial assessment is called an **initial social assessment** (ISA). The amount of time and effort which may be required

¹ A Project Preparatory Technical Assistance (PPTA) provides resources to a Developing Member Country (DMC) to prepare a feasibility study for a project.

² The Project Brief (PB) is a document which is discussed with the Bank's Management, and which is used by Management as the basis for authorizing the appraisal of the Project.

³ The Report and Recommendation of the President (RRP) is the technical document that describes the project which is presented to the Board of Directors for approval.

to conduct an ISA will vary from project to project. For some projects, the ISA may be completed within one or a few days, but for others more time may be required.

8. The Handbook is written primarily for Bank staff who conduct fact-finding missions to prepare PPTAs. It is intended to help them ensure that the PPTA Board Paper contains TORs and provisions for consulting services which are adequate to identify and consider social dimensions during the feasibility study. The Handbook will also be useful to Bank staff who participate in other activities to prepare projects and who supervise the implementation of projects. It will also be useful to staff in other agencies in DMCs and consultants who are involved in the preparation and implementation of projects.

9. The Handbook consists of four chapters, including this introduction.

10. Chapter 2 presents an overview of the facets which are covered in a SA, and describes the framework for application of this analysis. An appendix to this chapter provides suggestions for collecting and organizing information into a **socioeconomic profile** so that it can be used in conducting a major portion of the SA.

11. Chapter 3 provides guidance for conducting an ISA, and for estimating the time and resources required to do it.

12. Chapter 4 presents **checklists** for 19 subsectors which may be used as a reference by the PPTA fact-finding mission, and as an initial source of guidance when preparing the TOR for the feasibility study.

13. Readers need to refer only to sections which are directly relevant to their needs. Persons who are not familiar with the procedures for conducting a SA or an ISA should read Chapters 2 and 3. Staff should consult only the checklists presented in Chapter 4 applicable to the sector(s) covered under the PPTA which they are processing.

14. The Handbook is based on insights of staff from the Social Dimensions Unit (SDU) through reviews of projects which have been prepared for approval since 1992. It incorporates processes which were examined in workshops for incorporation of social dimensions into projects that were conducted for staff from the Agriculture and Infrastructure Departments during 1992 and 1993, and comments provided by staff in projects divisions concerned. Nonetheless, it is anticipated that opportunities for improvement will become apparent as the Handbook is applied. Staff and other users are encouraged to offer suggestions which may improve its usefulness. It would be appreciated if these suggestions were transmitted to SDU so they can be considered for possible future revision.

II. SOCIAL ANALYSIS AND PROJECT DESIGN

A. Introduction

15. This chapter describes the major facets that may be examined during a SA, and describes the major aspects that would be considered in applying the findings of the SA during the design of a project.

16. The SA which would be conducted during a feasibility study must examine all facets which may be important for determining the scope and content of a project and for determining the appropriate implementation arrangements. The core aspects which should be examined in a social analysis will include identification and assessment of:

- the **clientele** which will benefit from the project and their socioeconomic status;
- the **needs** of the clientele;
- the **demands** of the clientele;
- their **absorptive capacity**;
- the **gender issues** involved; and
- the potential **adverse impacts** on vulnerable groups.

Suggestions for preparing a socioeconomic profile which would provide much of the information needed to conduct the SA are given in Appendix 1.

17. The major reason for conducting the SA is to ensure that the social dimensions are fully incorporated into the project's final design. Such a design will, among others, include:

- the need and means for **targeting beneficiaries**;
- the opportunities for using **participatory development strategies**;
- the **mechanisms for implementing organizations to provide services** in ways which are commensurate with the client's absorptive capacity; and
- a framework for **monitoring and evaluating the benefits** of the project.

B. Facets of a Social Analysis

1. *Identifying the Client Population*

18. The first step in a SA is to **identify the client population** which will be served by a component or subproject area. The client population may be essentially passive in the sense that the active participation of the clientele in the implementation of the project is not essential to achieving the objectives of the project (e.g., a road rehabilitation project or a project to construct a power plant or transmission lines). Alternatively, in some projects the active participation of a client population may be essential to the achievement of the project objectives (e.g., a project to assist in the rehabilitation and upgrading of farmer-operated irrigation systems or a program to rehabilitate and improve the management of a watershed).

19. The second step is to **identify the subgroups within the population** whose needs, demands, and absorptive capacities may differ; and which may require different project designs and implementation arrangements. The basis for identifying the subgroups will be determined in relation to the nature of the project that is under consideration. For example, an area-based rural development project may need to distinguish between the poor who have no alternative source of income other than small-scale fishing and staple food crop producers (land-owners vs. tenants); or upland farmers practicing shifting cultivation and indigenous tribal groups living in the watershed. However, for an urban development project or an urban water supply project it may be necessary to distinguish subgroups geographically on the basis of income levels, and to determine whether the area is for private residence, commerce or industry.

20. Third, **prepare a socioeconomic profile** for each population in a way which identifies differences in the needs, demands and absorptive capacity of each subgroup. Suggestions for preparing these socioeconomic profiles are given in Appendix 1 (which also includes a specimen TOR for consultants who may be engaged to prepare the profile). In addition, the subsector checklists in Chapter IV (Section A) suggest major categories of indicators about which information may be obtained.

2. *Assessing Needs*

21. At a superficial level, it is normally easy to assess the **needs** of a community (e.g., basic health/education facilities, safe drinking water, etc.). However, to design a project it is necessary to identify some of the underlying causes of the perceived needs of the anticipated clients. For example, slum dwellers may have a clearly inadequate water supply. However, the reason for this situation may be related to a variety of factors (e.g., inability to afford connection or pay user fees, nonexistence of usergroups to maintain stand post or other service facilities, or limited access to alternative low-quality service which is more commensurate with the ability and willingness to pay). The SA seeks to understand the priority a particular need has among the many needs of the poor, and whether it is realistic for a project to address this need in isolation from other priority problems in the target community.

22. Finally, it is necessary to assess the needs of the proposed clients, and compare these with the services that are envisioned to be provided by the agency which is proposing the project. At times there may be a discrepancy between the **objective** needs of a community, e.g., the need to improve sanitation as a means of improving health and reducing high infant mortality rates and the **felt** needs of the community. In this case, there may not be a strong felt need for sanitation facilities if the link between sanitation and health is not recognized.

23. To assess the needs of the target groups and their causes and interrelationships, it is useful to use a systematic means of organizing the information that is obtained from beneficiaries. A useful means of organizing this information in a systematic way is to produce a **problem tree analysis**, a device which can be readily developed into the logical framework for the eventual project. A more detailed description of the problem tree analysis is presented in Appendix 2.

3. *Assessing Demand*

24. The **demand** for a particular project or service is normally expressed in terms of the willingness of the target clientele to make investments or participate in activities relating to the acquisition and operation of an asset, to pay for a service, to participate in the preparation and implementation of a project, or to operate and maintain facilities constructed under the project.

25. The demand for a project component may be indicated by the clientele's willingness to pay for or to make a significant contribution for its construction and/or willingness to accept responsibility to operate and maintain it. For example, an indicator of demand for a domestic water supply system would consist of information about present expenditures and efforts to obtain water from water vendors or other sources. To assess demand for credit and assistance to establish micro enterprises one might examine the extent to which these persons are presently using credit, their loan repayment record and possible problems of increasing indebtedness.

26. Information about the demand for a project may also be obtained through surveys which seek to determine their willingness and ability to pay. However, answers to hypothetical questions are often less reliable than empirical information which describes what individuals or groups at comparable income levels are paying for assets or services of comparable quality. Whenever possible, it is desirable to augment estimates of demand which are based on hypothetical questions with empirical information.

4. *Assessing Absorptive Capacity*

27. For projects which provide services to clients who are poor, it is necessary to assess the capability of these clients to both acquire the services and to utilize the services effectively. This information is needed to determine the most effective means for delivering the services to these groups. Several factors may influence the ability of targeted individuals or groups to absorb inputs that may be provided through a project. Five of the more important factors which may be examined to assess absorptive capacity are listed below.

- **motivation to change** as indicated by attitudes and aspirations toward change, recognition of need for change and evidence of participation/cooperation in self- help activities;
- **level of knowledge and skills** (including managerial, technical, financial and entrepreneurial) of the target population, exposure to ideas from outside the community, and experience with similar projects;
- **social and political environment** as indicated by social customs and traditions and support mechanisms within the community, the role of women, political support or interference, community discipline and incidence of crime;
- **capabilities of community organizations** as indicated by the quality of leadership, degree of organizational and social cohesion, and capacity for building consensus and settlement of disputes;

and

- **other community resources** such as time, assets and liabilities of the individuals or group (such as common facilities, equipment, etc.) and their health and nutritional status.

28. If this assessment shows that the absorptive capacity of the expected clients is low, it may be necessary to incorporate a component for social mobilization which would assist the clients to develop capabilities to acquire and use the services. As a key feature of a social mobilization component, community organizers would assist the communities in forming groups and in acquiring capabilities to obtain and use the services effectively.

5. *Gender Issues*

29. There will often be important differences in roles between men and women that may have an important bearing on the project. If these differences are ignored, the prospects for the success of the project may be adversely affected, and women may not have the opportunity to benefit from the project on equal terms with men.

30. Some examples of project components for which gender analysis is important are given below.

- components which provide technical advice for work activities which are differentiated on the basis of gender;
- components which provide credit in areas where the legal rights of women to obtain credit are constrained through customs and laws; and
- components whose successful implementation requires the organization of groups to participate in project design and implementation in areas where the roles of men and women in groups are rigidly defined.

31. In some projects, the explicit targeting of women as beneficiaries may automatically lead to an improvement in the design of the project and prospects for improved performance. This would be the case in micro savings/credit projects because of the higher success rate of poor women in these activities as contrasted with men. This would also be true in projects which focus on sectors in which women are more active than men (e.g., health, water supply, housing, small-scale livestock).

32. There are three major areas where differences in roles between men and women within and outside the household may have a significant impact on the design and implementation arrangements for a project. First, there are often significant **differences in the allocation of time and work performed** both within the household and in relation to economic activities which may have an important influence in targeting the delivery of technical advice. Second, there may be significant **differences in the control over the use and disposition of assets and money**. Third, there may be **differences in roles with respect to decisions which influence the allocation of time and resources**.

33. Suggestions about gender issues which may be relevant in specific subsectors are provided in the checklists. Further information about the analysis of gender issues is provided (covering water supply and sanitation, education, health, urban development and housing and agriculture) in the *Handbook on Gender Analysis and Women in Development*. Copies may be obtained from the Social Dimensions Unit (SDU).

6. *Adverse Impacts on Vulnerable Groups*¹

34. Projects supported by the Bank are intended to have a positive effect, especially on the poor who have limited opportunities for earning incomes. However, certain projects (e.g., urban upgrading, watershed protection, power, road and railroad projects) may have adverse impact on some population groups. The adverse impact may derive from requirements for them to be resettled involuntarily, loss of livelihood, price changes which are caused by the project or program, or adverse change in their environment which would be caused by the project. It is necessary to identify vulnerable groups which may be adversely affected by a project and formulate measures in consultation with these groups to avoid, mitigate or compensate them for the adverse effect. Specific policies on this issue are being drafted for consideration by the Board of Directors. Until such time as these policies have been adopted, staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous People* and *Operational Directive 4.30: Involuntary Resettlement*.

35. In projects where it is not possible to design the project in a way which does not adversely affect a group, the groups that may be adversely affected should be identified. A socioeconomic profile should be prepared for each group which will be the basis for quantifying the adverse impact on the group. Meetings should be conducted with each group to obtain their views and priorities for measures which may avoid or mitigate the adverse impact, and about options for mitigating the adverse impact. It will be necessary to formulate and obtain the group's concurrence for provisions to compensate them for the adverse impact. It may be desirable for these analyses to be conducted or directed by persons who have professional skills in resolving conflicts. It is also recommended that notes be recorded at each step of the process for future reference.

C. Incorporating Social Dimensions into Project Design

1. *Targeting*

36. In some projects, the achievement of the objectives of the project may depend on the utilization of project facilities and services by specific individuals and/or groups. However, in some of these projects, the project facilities and/or services may be attractive to individuals or groups who are not among the intended beneficiaries, and who may attempt to use positions of advantage to usurp benefits from the project. Projects which have a reasonable risk that the benefits may be usurped by individuals other than those for whom the project is intended to benefit should incorporate a mechanism for verifying that those who acquire the services are the projects' intended beneficiaries. In addition, the project should also contain a mechanism for monitoring the implementation of the targeting mechanism.

37. To determine the need to establish and identify an appropriate targeting mechanism the SA would do the following. First, determine whether there are individuals or groups who are not among the intended clients, and who may wish to acquire services from the project which are not intended for them. If yes, identify potential methods which might be used to acquire services which are not intended for them. Also, assess their capability to divert the services from the intended beneficiaries to themselves.

38. There are several ways of specifying target groups. Individual income levels may be used for targeting in projects which are designed to provide services for micro credit or micro finance. For some agriculture

¹ *The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project. See Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.*

projects, land tenure and size of landholding may be used. For urban development projects which provide basic services (such as slum upgrading projects), it might be reasonable to assume that anyone living in a slum could be included in the target group since anyone who could afford to do so could be presumed to prefer to live elsewhere.

39. While some form of targeting may be needed, rigid targeting involves expense, requires administrative capabilities to implement, and may have political sensitivities. The following factors may be considered when formulating criteria that may be used to target: ¹

- Are the characteristics of the target group well-identified and distinct from the nontarget group? Are characteristics which are proposed to be used as a basis for targeting easily identifiable, and at what cost?
- What prospects are there for self-targeting, such as the poor selecting themselves? Is there underemployment or seasonality in employment? Are there goods which are primarily consumed by the poor?
- Are differences in the incidence of poverty among subgroups large enough to justify a targeting mechanism which would distinguish among the subgroups, as opposed to allowing both groups to obtain access to the services?
- Does existing public spending fail to reach the poor for some reason (ethnicity, geographical, isolation) that will also impair attempts at targeting?
- Does the executing agency have the administrative capacity to implement the targeting mechanism? If no, how can existing administrative capabilities be most effectively utilized, do the capabilities need to be strengthened, how?

2. *Participatory Development Processes*

40. Lessons learned from projects which have been post-evaluated show that projects where there has been active participation by clients have been more successful than projects without participation. Participation is a process by which people, especially the disadvantaged influence policy formulation and control design alternatives, investment choices, management and monitoring of development interventions in their communities.

41. Participatory processes may be used to achieve one or all of several objectives, may involve differing levels of intensity, and may be implemented with the use of several instruments. These are described below.

- a. **Objectives.** There can be a variety of objectives for participation. Participation may **improve project efficiency** because, through participation, project planning and implementation may be conducted more efficiently because of timely inputs from beneficiaries. Another objective may be to **share in the costs** of the project. Participation may also be needed to improve the **effectiveness** of the project in achieving its objectives. If it is envisioned that beneficiaries will share in the management tasks of the project through the operation of project facilities, an objective of participation would be to **build beneficiary capacity**. In the broadest sense, participation may be

¹ Dominique van de Walle and Kimberly Neads, eds., "Public Expenditure and the Poor: Incidence and Targeting," forthcoming.

seen as an instrument for **empowering** weaker groups in society to initiate actions and influence the processes and outcomes of development.

- b. Intensity.* There are differing levels of intensity of participation. At the most modest level is **information sharing** which simply describes a process through which project designers and managers may provide information to beneficiaries in order to facilitate collective or individual action. **Consultation** on key issues at some or all stages during a project cycle constitutes a higher level of participation. A yet higher level of participation occurs when beneficiaries have a role in **making decisions** in matters of project design and implementation. The highest level of participation occurs when beneficiaries are able to **initiate action** in terms of actions/decisions pertaining to a project.
- c. Instruments.* There are a variety of instruments through which participation may be organized and sustained. A project may use **field workers of the agency** to mobilize and interact with beneficiary groups. A project agency may draw upon **community workers or volunteers from within the community** to act as community mobilizers. **Non-governmental organizations (NGOs)** may also facilitate the participation of communities. It is also possible for **user groups** to serve as the vehicle through which beneficiaries may participate. In some instances, **local government units or semi-government organizations** may effectively promote and facilitate participatory development processes.

42. Several factors will influence the objectives, intensity and instruments which are used to facilitate participation. These include the nature of the sector, the experience and capabilities of the clients and implementing agencies, and sociocultural traditions in the country and in the project areas. To achieve meaningful participation, the project documents need to describe explicitly the type of participation expected, and the arrangements through which this participation is expected to be forthcoming.

43. Where the SA indicates that absorptive capacity is low, a high intensity of participation will be difficult to achieve without provision of special support services. The exact nature of the support which is needed will be determined by the major cause(s) of the low absorptive capacity (see paras 27 and 28). For example, if the absorptive capacity is low, then it may be necessary to include a component for social mobilization during which external facilitators would assist beneficiaries as individuals or groups to acquire experience, skills and capabilities to acquire the project services and utilize them effectively.

44. The ability to implement projects involving more intensive participatory development processes may also depend on the existence of laws and policies which provide legal status to the groups and a legal framework for their interaction with the agency. It may also be necessary for the legal framework to be augmented with more detailed implementation procedures and practices which will enable the participation to be forthcoming. If the legal framework and implementation procedures have not been developed or are relatively new, it may be necessary to formulate the project on a modest scale as a pilot activity so that the processes can be tested and the capabilities of the implementing agency be developed to implement them.

3. Formulating Delivery Mechanisms

45. After having assessed the absorptive capacity of clients, an assessment should be made of the means through which services should be provided to the clients. The capabilities of potential implementing organizations who will provide services through these means should also be examined.

46. This assessment would examine the capability of the executing and implementing agencies and NGOs which may also be involved to provide services in ways that are commensurate with the absorptive capacity of the target group(s). To conduct the assessment the profile of the institution in terms of its resources, management framework and outputs should also be examined.

- **Resources:** may be shown by the total number of staff, number of staff who can work effectively with the target group, equipment (transportation, communications, office and other equipment), budgets, and other assets.
- **Management Framework:** mandate of the agency, commitment of leadership, management systems and procedures, and the system of values and ethics.

- **Mandate of the Agency:** may be shown by official statements of corporate responsibility to assist groups and communities to undertake activities which can be sustained by the communities themselves or in partnership with the agency.
 - **Commitment of Leadership:** may be shown by statements of staff who are in positions of leadership and examples of this leadership.
 - **Management Systems and Procedures:** may be shown by procedures for decision making (centralized or decentralized), existence of a branch network, financial management, planning and control of operations, experience with donors, incentives for staff and management, coordination with other agencies and organizations and systems to monitor and evaluate performance.
 - **System of Values and Ethics:** may be shown by evidence of the institution's openness to change, acceptance of participatory approach.
- **Outputs:** achievements as a ratio of availability of resources; achievements as compared to targets, past performance trends and performance of comparable organizations.

47. The assessment of the agency's capabilities to deliver the services consists of three steps.

- **Identify the executing agency(s)** (including NGOs) proposed based on the project services to be delivered to the target group.
- **Assess current performance** of the agency by identifying (i) **performance gaps** in operational areas which are relevant to capabilities that are required to provide services envisioned under the project, and (ii) **measures that will eliminate the performance gaps**.
- **Assess potential/expected performance** of the agency by identifying the **additional outputs** which would be required of the agency if it was to be expected to produce the additional outputs by conducting a factor analysis.

48. The capability of an organization to deliver these services to clients with low absorptive capacities depends on the existence and experience of the organization in conducting social mobilization activities. An assessment should be made of social mobilization processes which are implemented by the organization. If the organization does not have an effective program for conducting social mobilization, consideration should be given to the incorporation of a component which will develop and test the program. The implementation of a component to develop and test a social mobilization program may require as long as 12-18 months. Generally, projects which include components to support the development of such a process should be considered as pilot activities. The amount of the loan size for these projects should be kept small until the organization has acquired experience and has institutionalized the process.

49. NGOs may be able to augment the ability of an agency to provide services in ways which are commensurate with the absorptive capacity of client groups. NGOs may also be able to provide significant assistance

in conducting a social analysis during the preparation of a project. These capabilities usually derive from close working relationships which NGOs have established with communities while assisting them to develop capabilities to help themselves.

50. While NGOs may wish to assist in the implementation of a project, their motive for providing the assistance will derive from their perception about the potential impact of the project on the community rather than from a profit motive. If there is a perception that NGOs may be able to contribute significantly to the implementation of the project, the NGOs should be consulted as soon as possible either prior to or during the early stages in the design of the project.

51. If the assistance of NGOs in the implementation of a project is desired, it will be necessary to clarify the roles to be performed both by the NGOs and the implementing agency(s) during the preparation of the project. It will also be necessary to explicitly describe the criteria that will be used to select those NGOs which are appropriate and which have the necessary experience and capabilities. Assessments which may be conducted to identify NGOs which have these capabilities will follow the same analytical process that would be used to assess the capabilities of proposed implementing agencies as described in the preceding subsection. The checklists in Chapter IV include suggestions to identify aspects which should be considered in connection with the possible involvement of NGOs during the implementation of a project.

4. Framework for Monitoring and Evaluating Benefits¹

52. The feasibility study should propose a framework for monitoring and evaluating the benefits of the project. The framework should describe the major indicators that would be used to monitor and evaluate the implementation of the project components, the achievement of project purposes and the achievement of project goals. The framework for monitoring and evaluating benefits should be linked to the project framework.

53. The framework should include a few key indicators of achievement of the project's goal(s), purpose(s) and output(s) which would be incorporated into the "Project Targets" column of the Project Framework table.² The framework should also indicate how indicators would be obtained to provide benchmark information about conditions prior to the implementation of the project and to monitor and evaluate the benefits of the project.

54. In general, the proposed indicators should be selected from among those which were (or will be) obtained in the socioeconomic profile. Preferably, the indicators should be precise in terms of quantity, quality and time (and sometimes place and cost). It may at times be difficult to measure quality, but this may often be reflected in an indicator which shows reliability and/or frequency of need for repair. For example, if the project purpose is "small farmers increase yields" a quantified target would be "30,000 small farmers increase yield by 30% from x to y". A qualitative characteristic could be added to this target: increase yield by 30% from x to y while maintaining the quality of the 1992 harvest". A time dimension may also be added: "within four years, i.e., by 1998".

55. Where possible, mechanisms to monitor benefits should be incorporated into the management information systems (MISs) of the agency rather than being appended as an ad hoc activity that is conducted by an individual project office. During the feasibility study, the consultants should examine MISs which may be in existence,

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

and determine whether the MISs provide a framework for evaluating the benefits of the project. The assessment should also examine the need and opportunities for improving the MISs.

III. INITIAL SOCIAL ASSESSMENT

A. Introduction

56. The scope and content of a SA may differ significantly among (and within) sectors, and among countries and regions within countries. It is the responsibility of the PPTA fact-finding mission to identify the social dimension issues which are likely to be of significance. The information is needed because it provides the basis for preparing the TOR which includes the SA and for estimating the amount and mix of consulting expertise which is needed to conduct the feasibility study.

57. To enable the PPTA fact-finding mission to prepare the TOR and estimate the consulting services that are needed, it is recommended that the mission consult directly with individuals and groups who are expected to be directly affected by the project (beneficiaries, other participants and potentially adversely affected parties). This initial assessment is called an **initial social assessment (ISA)**.

58. The ISA would identify the major population groups that may be affected (beneficially and otherwise) by the proposed project and which should be the focus of the SA. It would also identify the specific social dimension issues which would be examined during the SA and provide the basis for preparing the TOR for the SA that will be included in the PPTA. Usually issues identified would be among those described in Chapter II or in the subsector checklists. For some projects, all facets may need to be examined; but in others only limited study may be necessary.

59. The ISA would normally be conducted through field visits to all or a sample of the communities which will be directly affected by the project. During the field visits, the mission would observe the community and conduct dialogues with proponents of the project, members of the community that may be benefited, key informants (community leaders and representatives of NGOs) and potential opponents of the project. It is suggested that the mission use the relevant subsector checklist presented in Chapter IV as a guide in conducting the ISA. Appendix 1 also suggests several data collection techniques and guidelines for interviewing. In some instances, the mission may need the assistance of a local expert who has knowledge of the community, skills in conducting social analysis and capability of communicating in the local language of the community.

B. Time and Resources Required to Conduct an ISA

60. The amount of time and effort that may be required to conduct an ISA will vary depending on the nature of the project, the number of population groups which may be affected, the number of subproject areas and on the accessibility to these areas. For most projects, the ISA could be conducted within four or five days. However, one or two weeks may be required to conduct an ISA for a PPTA to prepare a project whose success would depend extensively on the participation of the people and which may involve several dispersed subproject areas with heterogeneous population groups.

61. Key factors which will influence the time and resources required include: the nature of the project component(s); the number of components; the number, location and conditions of access to the subproject areas, and the degree of homogeneity among the population groups. Some examples which may provide a guide in estimating the time and resources that may be required are given below.

62. Minimum time and effort would be required for projects which appear to have little direct social impact and/or a homogenous set of clients. Examples may include projects for power generation, power transmission, transport or telecommunications. The ISA would be conducted using mainly secondary data sources, site visits and inspections of facilities, and interviews with key informants. Often, the ISA for PPTAs to prepare such projects would concentrate on the identification of groups that may be adversely affected through land acquisition or resettlement. It may also determine assessments, information campaigns and community dialogues that should be conducted during the feasibility study to ensure that the project is socially acceptable to the affected communities.

63. Slightly more time and effort may be needed when it is expected that the project will address human resource development or women in development; or if the clientele for the project may include subgroups whose needs and demands should be assessed separately, such as projects for roads, ports, or telecommunications for small island states or previously unserved rural areas. Other examples include projects which involve institution building and provision of improved health care or education services. The ISA would be conducted using secondary data sources, site inspections, interviews with clients from different subgroups and from groups which may be adversely affected, and consultations with NGOs.

64. Extra effort will be needed for potential projects in which the active participation of individuals and groups is crucial to achieving and sustaining the project objectives. This would include projects where participatory approaches are desirable to maximize the sense of client or beneficiary "ownership" of the project, or when poverty services are to be directed to a "target" group. Examples of this type of project include agriculture, social forestry, microcredit, rural water supply and sanitation, primary health care and basic education projects. The ISA will involve the use of secondary data, field visits using rapid reconnaissance survey (RRS) techniques to interview client groups (including males and females), individuals of varying income levels, other stakeholders, key persons in the community(s), NGOs and representatives of the client groups.

IV. SUBSECTOR CHECKLISTS

65. This chapter presents checklists for 19 subsectors which may guide PPTA mission leaders in conducting ISAs and in formulating the TOR for the social analysis which will be conducted during the feasibility study.

66. Each checklist presents suggestions about social dimension issues that are commonly encountered in the subsector in greater detail than is indicated in Chapter II. The checklists should be used as a supplement to the section in Chapter III which gives an overview of a social analysis.

67. The checklists are comprehensive, addressing all social concerns and issues which conceivably should be considered in the context of planning and formulating projects in each sector. As such, the checklists cover the universe of approaches to identifying, analyzing, and addressing social concerns. It is expected that users of the checklists will select and modify items that may be addressed in a SA to suit specific country circumstances and aspects which are unique to the project and sector.

68. For staff who may be conducting an ISA during a PPTA fact-finding mission, it is suggested that the mission be guided by the topics that are presented in the checklists, modifying, adding, or deleting considerations based on the outcomes of the preliminary investigation. The principal difference between an ISA and a SA lies in the amount of information collected and the depth of the analysis. Fact-finding missions need to identify the client group(s) to estimate the number and scope of the socioeconomic profiles that are to be prepared and to identify the principal areas which should be incorporated in the social analysis.

CHECKLIST 1: IRRIGATION

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the population living within the command area of the proposed system which is expected to be served by the proposed irrigation improvements.
- Identify the subgroups within this population which may have differing needs, demands and absorptive capacities (e.g., those located in downstream areas, those located upstream, those with large landholdings, those with small landholdings, those producing tree crops, those producing staple food crops, tenants, female-headed households).
- Prepare a socioeconomic profile for each subproject. The profile should provide information which would enable the identification of the needs, demands and absorptive capacities of each subgroup. For rehabilitation projects, each profile should contain a description of the subproject (subproject identification, description of relevant physical aspects, and history of the project and previous assistance received), description and assessment of the perceived needs of farmers, description and assessment of existing operation and maintenance practices, and relevant socioeconomic data. For subprojects in which there is no existing irrigation, the profile would not present information about existing irrigation.¹

2. Clientele Needs

- Evaluate the priority of the farmers' need for improved irrigation in relation to other needs (e.g., flood control, drainage, farm production, processing, nonfarm income and services such as water supply and sanitation, housing, roads, health, education).
- Assess differences among important subgroups in regard to the priority of need for irrigation improvement.

3. Clientele Demands

- Assess the willingness and ability of farmers to pay for capital costs to improve the system and to pay for operation and maintenance of an improved system. This assessment would be conducted by describing and examining efforts which farmers may have initiated to improve the irrigation system, and/or to undertake operation and maintenance activities.

- Describe and examine previous efforts of farmers to request assistance to improve the irrigation system. Describe and assess the response to these requests, and the satisfaction of the farmers with the results of any assistance that may have been provided.

4. Absorptive Capacity

- For projects which will involve the conversion of land which is presently managed as rainfed land to irrigated cropping systems, examine the experience of the farmers with irrigation-based cropping systems and management of irrigation services. Determine whether it is reasonable to assume that the farmers will be willing and able to make required changes.
- Assess the capabilities of existing irrigators' associations (IAs) in managing the operation and maintenance of irrigation systems. For projects in which there is no IA that could be strengthened to manage irrigation, identify and assess other organizations that may provide the basis for establishing and developing such organizations.
- Identify and assess conflicts among farmers (e.g., between those located in upstream and downstream areas, between farmers with large and small landholdings, between farmers who grow plantation or tree crops and those who produce staple food crops).
- Assess local customs and beliefs which may influence the organization of the IA and the methods which the IA may use to manage the system, to enforce group discipline and to resolve internal conflicts.
- Assess the need to deploy community organizers (COs) to facilitate and mobilize the organizations of IAs which could participate effectively in the conduct of the feasibility study, preparation of detailed designs, supervision of construction, and operation and maintenance after the improvements are completed.

5. Gender Issues

- Describe the differing roles of males and females (both adults and children) in differences in the allocation of time to household and productive activities. Assess the importance of these differences in the likelihood that certain practices will be adopted and retained, in the deployment and use of extension agents, and in the targeting of services which may be provided through the project.
- Assess the relative access of men and women to resources which relate to the acquisition and use of irrigation facilities (e.g., credit, land, equipment, water). Identify potential constraints in obtaining access to services and facilities that may be provided through the project.

- Determine whether major decisions regarding farming activities and/or operation and maintenance of the irrigation system are made by males, females or are made jointly. Assess the implications of this information concerning the audience for imparting messages regarding recommendations to adopt new practices or technology.

6. Potential Adverse Impacts¹

- Identify group(s) which may be disadvantaged by the project. For example, through relocation, loss of rights to use land, loss of income, loss of cultural properties (e.g., ancestral land, burial ground, etc.).
- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify, assess and discuss options for avoiding, mitigating or compensating groups which may be adversely affected.²

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

¹ The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project. See *Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank*, Office of the Environment, ADB, March 1993.

² Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* and World Bank's *Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

2. Participatory Development Processes

- Incorporate arrangements for implementing the project which provide that the IA must be in existence and apply for services before the executing agency conducts a feasibility study or prepares a detailed design.
- Incorporate provisions which provide a mechanism for the IA to identify and approve (in association with engineers from the executing agency) the layout of the canals and select and prepare specifications for the control structures.
- Incorporate provisions for the IAs to supervise the construction of physical facilities to be constructed, and to verify expenditures which are incurred during the construction.
- Incorporate provisions for the following activities to be conducted when construction is completed: (i) a test operation of the system for a period long enough to identify design and construction defects, (ii) a formal commissioning and acceptance process involving the IA, the executing agency and a neutral third party as an observer.
- Incorporate provisions for members of the IA to acquire training and experience in managing the irrigation system, prior to the turnover of the system to the IA.

3. Delivery Mechanisms

- Assess the adequacy of existing laws which provide the legal underpinnings needed for the IAs to perform the functions described in the section on participatory development processes.
- Assess the administrative procedures of the agency, in terms of the effectiveness of these procedures for achieving participation of IAs. If the procedures require revision or strengthening, formulate the project as a pilot activity in which revised procedures would be tested and refined on a pilot scale prior to introduction into the administrative structure of the agency.
- Assess also the organizational structure of the agency needed to support the implementation of these procedures.
- Assess the number of staff assigned to implement the participatory processes described above, and the experience and motivation of these staff. If the number of experienced staff is inadequate in relation to the numbers which is required, determine whether these functions would be conducted by staff who are employed by the agency or whether these functions would be undertaken by NGOs.
- Determine if there is a need for assistance from NGOs to augment the provision of services by the executing agency (e.g., the provision of COs to motivate and mobilize IAs and assist them in interacting with technical irrigation personnel and contractors).

4. **Benefit Monitoring and Evaluation**¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goals(s) for each component which would be incorporated into the "project targets" column of the project framework table.²
- For systems that are managed by an irrigation agency, determine if the agency has an effective system for monitoring and evaluating (i) the delivery and use of water by farmers and (ii) the effects or benefits from the irrigation. Assess what improvements may be needed.
- For farmer-managed systems, determine if the IAs have adequate internal capability for monitoring and managing the delivery, allocation and use of water among members. Assess the executing agency's procedures for monitoring the continued operation and maintenance of farmer-operated systems. If necessary, specify procedures and indicators to monitor and evaluate the operation and maintenance of the farmer- managed systems.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Appendix 4, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 2: FLOOD CONTROL AND DRAINAGE

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the client population which are expected to benefit from the system which may be provided through the project or any of its components.
- Identify the subgroups within this population which are likely to have different needs and demands (e.g., businesses, industries, urban residents, slum dwellers; owners of small, medium and large farms; share tenants; landless laborers; etc.).
- Prepare a socioeconomic profile for the affected population. The profile should provide information which would enable the identification of the needs and demands of each subgroup. Among other aspects, the profile should describe and quantify the population of each subgroup, differentiated by gender. Determine the households submerged by floods; frequency of flooding; length of time the households are under water. Determine household size; occupations, levels of assets and income; nature of occupancy in the houses (squatting, renting, owning, etc.); types of structures. In agricultural areas, determine tenurial status.

2. Clientele Needs

- Determine the number of households at risk. In agricultural areas, determine the number of livestock at risk; the types of crops at risk, acreage planted, their economic value. Assess the degree of dependence of local communities upon their agricultural output; severity of damage. Determine the number of structures at risk (e.g. factories, warehouses, etc.); public facilities in the hazard area (e.g. water services, health services, roads); the number of people served by these facilities.
- Assess how the affected population perceives the need for flood control mitigation or in relation to other factors which affect their level of income and well-being.
- In agricultural areas, assess the impact of flooding (frequency, timing, depth and duration) on the intensity of cropping and on other ways in which the land may be productively used.

3. Clientele Demands

- Assess the willingness and ability of the affected population to pay for capital costs to construct or improve the system; and to pay for operation and maintenance of the system (e.g., through land taxes or through the provision of land or labor, etc.).

4. **Absorptive Capacity**

- Determine, through consultation, the clientele's understanding of and attitudes to the changes expected (e.g., changes in land use on the flood plain, etc.). Assess clientele's capability to utilize project outputs and/or to eradicate/minimize negative impacts. Determine whether these groups have been given information which will help them to fully understand the magnitude of the change expected, and the resulting costs, benefits, risks and obligations.
- Determine appropriate mechanisms for negotiating any potential conflict over land use, occupancy of flood-free areas, or regulation and control of the water level within the protected area; and for disseminating information about new technologies for both literate and non-literate people, and through different languages (e.g., about maintenance of field drains, reusing drainage water for irrigation, etc.).
- Identify local organizations (e.g., water management associations). Determine whether these organizations adequately represent the different subgroups. Assess the strength and management experience of the organizations, financial performance, record keeping and capacity to support the operation and maintenance of the flood control and drainage system (e.g. timely removal of sediments, maintenance clearing of open field ditches and drains, etc.). Assess the organizations' capability to formulate and implement flood preparedness and disaster management plans during emergency situations.

5. **Gender Issues**

- Describe the role of male and female members (both adults and children) and time allotted to specific household and income generating activities. Assess the importance of these differences in the likelihood that certain practices will be adopted and retained, on the deployment and use of extension agents, and in determining services which may be provided through the project (e.g., tree crop production, fish farming, etc.).
- Identify whether major decisions which may influence the adoption of technologies or practices are made by women, men, or jointly by women and men. Assess the implication of this decision-making framework on the mechanisms that are to be used to communicate project-related information to the community.

6. **Potential Adverse Impacts¹**

- Identify group(s) which may be disadvantaged by the project. For example, through relocation, loss of rights to use land, loss of income, etc. Include group(s) who derive benefits from the flooded area (e.g. shrimp farm owners, etc.).

¹ The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project. See *Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank*, Office of the Environment, ADB, March 1993.

- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify, assess and discuss options for avoiding, mitigating or compensating groups which may be adversely affected.¹
- As soon as possible, provide as much information as possible to these communities about the project; conduct dialogues with the communities that may potentially be adversely affected; and report on these dialogues and conclusions which may be reached during the dialogues.

B. Topics to be Addressed in Project Design

1. Participatory Development Processes

- Facilitate discussions between client subgroups and executing agencies to give the clients a meaningful input to project design (e.g. in the selection of appropriate farming technologies, location of subprojects, in identifying the necessary extension services, in identifying and approving the layout of drainage canals, etc.).
- Identify mechanisms for the participation of the client subgroups, including women, during planning, implementation and operation (e.g., consultative mechanisms between government and communities; training of extension staff in client-centered approaches; roles of local leaders; use of formal and traditional information channels in different languages and for different literacy levels; collaboration with farmers in adaptive research trials and monitoring of project effectiveness; development of new client organizations or strengthening of existing ones to serve different subgroups; provision of training for local groups in management, financial and technical skills, etc.).
- Incorporate mechanisms which would enable the client subgroups to deal with potential political conflict or tensions which may interrupt the flow of benefits (e.g., monitoring and supervision of the delivery of materials used in construction, quality of construction and expenditure of funds, where appropriate). Assess extension services in terms of staff acceptability, coverage and effectiveness to target subgroups.

2. Delivery Mechanisms

- Assess the capability of the executing agency to address structural and non-structural aspects of flood control and drainage (e.g., designing water control facilities, improving agriculture, livestock and fisheries, beneficiary management of facilities, disseminating information, etc.).

Checklist 2
Page 4 of 4

- Assess the capability of the executing agency to deal with external political constraints or tensions which may interrupt the flow of benefits. If relevant, consider the agency's capability for inter-agency coordination.

¹ Staff are advised to refer to *World Bank Operational Directive 4.20: Indigenous Peoples* and *World Bank Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- Assess training needs of executing agency staff. Formulate a training plan which reflects the needs and priorities of staff members, train staff in the social dimensions, especially in client-centered approaches, in working with NGOs, private sector and local groups.
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediary which may be involved.

3. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy to assist the management of the executing agency to verify that services are being provided to the target group; that loans, if any, are repaid and benefits are being obtained by the clients, and recommend improvements as required.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 3: FISHERIES AND COASTAL ZONE MANAGEMENT**A. Topics to be Addressed in the Social Analysis****1. Resource Occupants/Users**

- Identify the population occupying and/or deriving its income or livelihood from the coastal zone and marine resource areas that have been selected as project sites, and whose participation is needed to achieve the objectives of the project.
- Identify the subgroups within this population which have different needs, demands and absorptive capacities (e.g., deep-sea or near-shore fisher folk, freshwater or marine fisher folk, traders and/or operators of processing plants, owners and employees, fishing boat and tackle dealers, etc.).
- Prepare a socioeconomic profile for the population which would be affected by a project component or subproject. The profile should provide information which would identify differences in needs, demands and absorptive capacities of each subgroup. Among other aspects, the profile should describe and quantify the population of each subgroup, differentiated by gender; the number of households, household size and the number of single-headed households; access to fishing areas, markets. Are there ethnically or culturally distinct and/or isolated communities within the area? Take account of sociocultural traditions of the client groups which affect patterns of resource utilization and asset ownership.

2. Resource Occupants'/Users' Needs

- Describe the current utilization of resources in affected areas for commercial and/or subsistence income (e.g., intensity of fishing, dynamite fishing, fishing with small mesh nets, mangrove and/or nipa harvesting, coral reef harvesting, seaweed farming, siltation and pollution due to unsound agronomic practices).
- Examine the amount of income derived from the enterprise, the reliability of the income, and the sustainability of the production system. Determine the rate of degradation of coastal/marine resources, and assess whether the resource base can sustain existing levels.
- Determine whether resource occupants and users perceive a decline in their income and/or food security due to resource degradation. Determine the perceived needs of the group for improving food security and their options for improving land productivity.
- Assess their perceived needs for improved fishing or coastal zone technology, facilities and/or services in relation to other means for obtaining cash or subsistence income.

- Assess whether the proposed fisheries and/or coastal zone management program will enable them to obtain a more secure or improved livelihood.

3. Resource Occupants'/Users' Demands

- Assess the ability and willingness of the community to pay for and/or provide labor to improve fisheries/coastal zone management and utilization systems (e.g., through establishment of fish sanctuaries, artificial reefs, etc.). Identify and examine efforts which have already been made by members of the community and examine the experiences of those involved and their perceptions as to whether these efforts have been successful.
- Determine whether these inputs and the amount and manner in which these would be paid are acceptable to the population.

4. Absorptive Capacity

- Assess the knowledge, understanding and application of coastal resource management practices within the community. Determine the major methods for spreading new information to literate and nonliterate people, and through different local languages.
- Determine whether these changes represent a radical shift from existing practice and technologies, e.g., from inshore to deep-sea fishing; from exploitation to conservation (e.g., of mangrove belts); from maritime fishing to aquaculture. Are there compelling environmental and economic grounds for these shifts? Have such shifts been successfully tried in similar communities elsewhere?
- Determine the likelihood of conflicts over competing demands for resource use (e.g., between aquaculture and mangrove belt rehabilitation, over fishing rights and fair marketing practices, between traditional fishermen and high-technology fishing enterprises, between deep-sea fisher folk and near-shore fisher folk).
- Assess the ability of the community to protect the near-shore and coastal areas from exploitation by outsiders.
- If credit assistance is being considered, assess the extent to which persons in the community have used credit and have experience in repaying credit.
- Assess sociocultural beliefs and practices which may limit acceptance e.g., resistance to changes in resource use due to ritual significance or cultural preferences of certain products (e.g., mangrove wood for cooking); resistance to individually based production systems which cut across kin group asset ownership, kin responsibilities, community-owned resources, mutual help traditions; resistance to increased labor demands which cut across cultural or religious events or which alter local forms of labor exchange. Determine how these factors can be accommodated creatively in project design.

- Assess the operation of cooperatives or other local client-based organizations which may be operated to support the production, marketing, resource monitoring and management activities. Aspects to examine include their operational and financial management experience and capacity to support fishery development activities.
- Determine whether there are significant individuals and/or groups in the community who would oppose or interfere with the implementation of the project.

5. Gender Issues

- Assess the relative roles and division of labor between men and women in the total resource utilization and production system, household food security, processing and marketing. Assess the impact of the proposed services and/or enterprise models on the amount of time available to women for household and other activities.
- Assess the relative access to resources of men and women, e.g., credit, equipment, land, water and tidal areas, research, training opportunities.
- Identify whether major decisions which may influence the adoption of technologies or practices are made by women, men or jointly by women and men. Assess the implication of this decision-making framework on the mechanisms that are to be used to communicate project-related information to the community.

6. Potential Adverse Impacts¹

- Identify whether there are potential risks relating to relocation, competing use rights, e.g., near-shore fisher folk whose access to fish landing and marketing areas are severely restricted by deep-sea boat operators, etc.
- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify and quantify group(s) who may be disadvantaged and may turn to destructive or illegal methods of resource use. Prepare socioeconomic profiles and maps for each vulnerable group.

¹ The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project. See *Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank*, Office of the Environment, ADB, March 1993.

- Identify, assess and discuss options for compensating groups which may be adversely affected.¹

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are persons or groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Facilitate discussions between client groups and executing agencies to give clients an input to project design (e.g., boat and equipment selection, seasonal and weather advice, use of local materials and labor, location of aquaculture enterprises, developing coastal plans, formulating self-imposed fishing restrictions, monitoring of resource use, defining client responsibility for cooperative funding of fishing and marketing services).
- Establish mechanisms for client participation during implementation and operation (e.g. consultative mechanisms between government and communities; training of extension staff in client-centered approaches; provision of roles for local leaders; use of formal and traditional information channels in different languages and for different literacy levels; collaboration with producers in adaptive research trials and monitoring of project effectiveness; development of new client organizations or strengthening of existing ones to serve different subgroups; appropriate financial institutions such as credit unions, revolving funds; provision of training for local groups in resource monitoring, management, financial and technical skills).

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time as the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

3. Delivery Mechanisms

- Assess the capability of the executing agency to facilitate and mobilize communities. Consider the mandate and commitment of its leadership to poverty reduction objectives and participatory approaches; available resources, including number of staff who are able to work with anticipated clients; management systems and procedures conducive to poverty reduction and participation; and relevant experience in participatory approaches.
- Assess any political constraints or tensions which may interrupt the flow of benefits; and the extension staff acceptability, coverage and effectiveness for client subgroups.
- Assess the need to train agency staff in client-centered approaches, in working with NGOs, private sector and local groups.
- Assess the need for NGOs to assist these groups as intermediaries, define the roles which NGOs may perform and identify criteria for selecting NGOs or other intermediary which may be involved.

4. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goals(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy in helping managers to assess the status of fisheries development and coastal resource management within their geographic area of responsibility, and in terms of their adequacy to guide the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the client groups identified; and to identify adjustments required during implementation to meet the needs of client groups more effectively.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

**CHECKLIST 4: MICRO FINANCE AND DEVELOPMENT OF
MICRO ENTERPRISES**

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the client population which is expected to use and benefit from the services to be provided through the proposed project.
- Identify the subgroups within the client population which are likely to have different needs, demands and absorptive capacities (e.g., persons without assets or with very few assets, share tenants, fisher folk, women, market vendors, casual laborers, etc.).
- Prepare a socioeconomic profile for the identified subgroups that would be served by the project. The profile should provide information which would differentiate the needs, demands and absorptive capacities of each subgroup. Among other aspects, the profile should describe and quantify the population of each subgroup, differentiated by gender; the number of households, household size and the number of single-headed households; occupations, levels of assets and incomes; levels of education and literacy; saving habits and levels of savings; levels of indebtedness; access to credit; entrepreneurial experiences; and markets.

2. Clientele Needs

- Assess the needs of the groups to which the project may be targeted for improving opportunities to earn an increased or more reliable income (e.g., by examining their ability to obtain assistance to establish income-earning opportunities and access to credit).
- Assess the perceptions of persons within this group about constraints to increased income and improved quality of life. Determine whether there are significant felt needs (e.g., health, education/training, water supply and sanitation, etc.) in addition to the proposed project services and which should be considered during the formulation of the project.

3. Clientele Demands

- Assess the clients' ability and willingness to pay for services which may be provided under the project by examining previous efforts of potential clients to increase their income (e.g., by acquiring credit from moneylenders or pawnshops, by participating in traditional rotating savings and credit associations, forwarding sale of standing crops, etc.).

4. Absorptive Capacity

- Assess the experience of persons in the target community in managing business activities and in mobilizing and managing resources (e.g., management of a small enterprise, mobilization of savings, use and repayment of credit, formation of credit cooperatives and revolving funds). Assessments should examine details such as the terms and conditions of credit received, interest rates, effective transaction costs, number of loans, arrears, defaults and amounts lent.
- Determine, through consultation, the subgroup's understanding of, and attitudes to, the changes expected. Determine whether these groups have been given information which will help them to fully understand the magnitude of the change expected, and the resulting costs, benefits, risks and obligations.
- Assess whether persons in the target group (differentiated by gender) would be able to provide collateral which may be needed to acquire services. Examine the feasibility of satisfying collateral requirements through the use of group or moral guarantees, or the possibility of providing increased sizes of loans on the basis of successful experience with the use and repayment of small loans.
- Assess sociocultural beliefs and practices which may limit likely acceptance, e.g., resistance to individually based credit systems which cut across kin group land ownership, kin responsibilities, mutual help traditions. Determine how these factors could be accommodated in the project design.
- Determine the existence of local organizations, e.g., marketing cooperative, farmers' associations, etc. Assess their strength, group solidarity, management experience, financial record-keeping capabilities, transaction costs, repayment performance of members, and ability to handle conflicts and arrive at a consensus.
- Examine the ability of potential clients to approach representatives of the credit organization and to comply with application requirements (e.g., application fees, travel time and distance, number of times which an applicant needs to approach the organization, literacy requirements to understand application forms and procedures, potential for intimidation due to hierarchical relationships).

5. Gender Issues

- Assess the relative roles of men and women in utilizing credit.
- Assess the relative access to resources of men and women, e.g., credit, equipment, land, information, training opportunities in business practice, enhanced production methods, financial planning, etc.

- Identify constraints faced by women in gaining access to credit and other resources, including time, financial, literacy, asset ownership, cultural or religious constraints (e.g., women unable to sign for their own loans, or not formally owning assets used for collateral or lacking business skills).

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Facilitate discussions between client groups and executing agencies to give clients a meaningful input to project design, e.g., in selecting viable micro enterprises, in formulating criteria for selecting beneficiaries, in designing savings mobilization strategies, etc.
- Identify mechanisms for client participation during implementation and operation (e.g., consultative mechanisms between clients and executing agency, or intermediary, if any; training of agency staff in client-centered approaches, provision of roles for local leaders, development of new client organizations or strengthening of existing ones to serve different subgroups, training for local groups in management, financial and technical skills).

3. Delivery Mechanisms

- Assess the capability of the executing agency to deliver services to the prospective clients in ways which are commensurate with the clients' ability to use them. Consider the agency's mandate and commitment of its leadership to poverty reduction aims and participatory approaches; available resources, including number of staff who are able to work with anticipated clients; management systems and procedures conducive to poverty reduction work and participation; and relevant experience.

- Assess any political constraints or tensions which may interrupt the flow of benefits; and the extension staff (or intermediary, if any), acceptability, coverage and effectiveness for client subgroups.
- Assess the need to train agency staff (e.g., credit cooperative or banking staff) in client-centered approaches, in working with NGOs, private sector and local groups.
- Assess the need for NGOs to assist these groups as intermediaries, define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediary which may be involved.

4. Benefit Monitoring and Evaluation²

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.¹
- Assess existing management information systems (MISs) in terms of their adequacy to assist the management of the executing agency in verifying that services are being provided to the target group, repayment of loans and benefits obtained by the clients, and recommend improvements as required.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the client groups identified; and to identify adjustments required during implementation to more effectively meet the needs of client groups.

¹ See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 5: FORESTRY AND WATERSHED MANAGEMENT**A. Topics to be Addressed in the Social Analysis****1. Resource Occupants/Users**

- Identify the population occupying and/or deriving its income and/or livelihood from the forest and watershed areas, and whose participation and cooperation are necessary to achieve the objectives of the project.
- Identify the subgroups within this population which are likely to have different needs, demands and absorptive capacities (farmers with large, medium or small landholdings; shifting cultivators; hunters and gatherers; ranchers; sharefarmers and sharecroppers; landless rural laborers; traders; rural enterprise owners and employees, including logging companies and forest enterprises, etc.). It may also be necessary to identify subgroups on the basis of tribal or ethnic characteristics.
- Prepare a socioeconomic profile for the population that would be affected by a project component or subproject. The profile should provide information which would identify the different needs, demands and absorptive capacities of each subgroup. Among other aspects, the profile should describe and quantify the population in the project area, differentiated by gender; number of households, household size and number of single-headed households; the types of housing in each area; occupations, income and asset levels; agriculture and livestock production practices; soil conservation practices; land ownership patterns; access to and utilization of forest resources; access to and utilization of community grazing resources; legal rights over forest resources/communal grazing land; religion; social organizations and group formation, leaders and spokespersons.

2. Resource Occupants'/Users' Needs

- Describe the current use of lands in the project area, e.g., shifting cultivation and grazing areas. Determine the rate of degradation of forest resources, and assess whether the resource base can sustain existing use levels.
- Determine whether occupants and users perceive a decline in their income and/or food security due to resource degradation. Determine the perceived needs of the group for improving food security and their options for improving land productivity.
- Identify the likely project benefits for each of the subgroups. How well do these match with each subgroup's expressed needs and priorities?
- Assess whether the proposed forestry and watershed management program will enable them to obtain a more secure or improved livelihood. Assess whether they have the land and capital resources to support forestry and watershed development. If so, assess their preferences.

3. Resource Occupants'/Users' Demands

- Assess the resource occupants'/users' demand for improving their forest utilization systems, e.g., by assessing present expenditures and efforts to seed pasture lands, to stall-feed their cattle, to diversify their crops, etc.
- Assess resource occupants'/users' ability and willingness to pay for project inputs (e.g., credit, seedlings, etc.). Determine whether these inputs and the amount and manner in which these would be paid are acceptable to the targeted group(s); identify any constraints to program acceptance (e.g., lack of credit experience).

4. Absorptive Capacity

- Identify proposed changes in the access to, and utilization of, the forest and watershed areas. Assess what these changes imply for occupants'/users' inputs to the systems, including labor, time, type and intensity; energy; sustainable use of land, water and forest resources; machinery; pesticides; fertilizers; seeds; processing and marketing products.
- Determine whether these changes represent a radical shift from existing practice, e.g., from swidden agriculture to tree crop cultivation, from monocropping or livestock grazing to agroforestry systems designed to preserve seriously degraded watersheds. Are there compelling environmental or economic grounds for these shifts? Have such shifts been successfully tried in similar communities elsewhere?
- Determine, through consultation, the occupant/user subgroup's understanding of, and attitudes to, the changes expected. Determine whether resource occupants are given any information on the magnitude of the changes expected, and the resulting costs, benefits, risks and obligations.
- Assess resource occupants'/users' absorptive capacity through motivation to change, including aspirations for greater productivity; level of knowledge, skills and experience in forestry; extent to which community groups could organize services; capabilities of external community organizations to assist clients; occupants'/users' time available for community work; health and nutritional constraints to community participation.
- Assess sociocultural beliefs and practices which may limit acceptance e.g., resistance to change in monocultural tree planting patterns due to ritual or cultural significance of certain species and forest products; resistance to individually based forestry systems which cut across kin group landownership, kin responsibilities, community-owned forest resources, mutual help traditions or ritual exchanges; resistance to increased labor demands which cut across cultural or religious events or which alter local forms of labor exchange How can these factors be accommodated creatively in project design?

- Determine the current status of registered grazing lands, de facto use regardless of rights; individual appropriations of grazing areas, degree of community control of the resource. Determine whether grazing lands are in fact a community resource or subject to other forces that would prevent a community from deciding on the use of the resource. Identify exploitable forest reserve as well as vulnerable areas that must be kept under forest cover.
- Determine the existence of local organizations, e.g., forest user groups. Do they adequately represent different occupant/user groups? Assess their strength, management experience, financial record and capacity to support forestry and watershed development activities (e.g., sloping agricultural land technology (SALT), pasture development, stewardship arrangements, etc.). Will formal, informal and religious leaders support the project? Determine the major channels for spreading information about new technologies (e.g., crop and livestock) for both literate and non-literate people, and through different local languages.
- Determine the likely project effects on forest ownership and utilization rights. Do occupant's/users require official land title certificates in order to benefit? Can the project speed up official forest registration processes in order to give prospective clients security of ownership or of use rights to justify their long-term investments?

5. Gender Issues

- Assess the relative roles and division of labor between men and women in the total resource utilization and production system, household food security, processing, marketing and community work, taking account of the different subgroups. How will the project change these roles?
- Assess the relative access to resources of men and women, e.g., land, credit, equipment, etc.
- Identify constraints faced by women in gaining access to resources, including time, financial, literacy, asset ownership, cultural or religious constraints.

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are persons or groups of persons who are not in the targeted group but may wish to co-opt services which are not intended for them, and identify this person or group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.

- . If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- . Facilitate discussions between the resource occupants/users and executing agencies to give the occupants a meaningful input to project design, e.g., in selection of tree species, advice on seasonal and environmental factors, use of local labor and materials, traditional forest flora and fauna classification and use, such as important medical herbs or rare species.
- . Identify mechanisms for the participation of resource occupants/users during planning, implementation and operation e.g. consultative mechanisms between government and communities; training of extension staff in client-centered approaches; roles for local leaders; use of formal and traditional information channels in different languages and for different literacy levels; collaboration with farmers in adaptive research trials and monitoring of project effectiveness; development of new client organizations or strengthening of existing ones to serve different subgroups; provision of training for local groups in management, financial and technical skills.
- . Enable occupant/user groups to skillfully manage and monitor the sustainable use of forest and watershed resources, e.g., through stewardship contracts, etc.

3. Delivery Mechanisms

- . Assess the capability of the executing agency to deliver services to the target groups in ways which are commensurate with the group's ability to use them. Consider the mandate and commitment of its leadership to poverty reduction objectives and participatory approaches; available resources, including the number of staff who are able to work with the target forest/watershed occupants; management systems and procedures conducive to poverty reduction and participation; and relevant experience in participatory approaches.
- . Assess any political constraints or tensions which may interrupt the flow of benefits; and the extension staff acceptability, coverage and effectiveness to target subgroups.
- . Assess training needs. Formulate a training plan which reflects the needs and priorities of staff members, train staff in the social dimensions, especially in client-centered approaches, in working with NGOs, private sector and local groups.
- . Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediary which may be involved.

4. **Benefit Monitoring and Evaluation**³

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.¹
- Assess existing management information systems (MISs) in terms of their adequacy in helping managers to assess the status of forest and watershed resources regeneration within their geographic area of responsibility, and in terms of their adequacy in guiding the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 6: INTEGRATED RURAL DEVELOPMENT¹**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the population living within the area to be served by the project.
- Identify the subgroups within this population which may have differing needs, demands and absorptive capacities (e.g., large, medium and small-scale farmers; sharefarmers and sharecroppers; landless rural laborers; fisherfolk; traders; rural enterprise owners and employees, etc.).
- Prepare a socioeconomic profile for the population which would be affected by a project component or subproject. The profile should provide information which would identify differences in needs, demands and absorptive capacities of each subgroup. Among other aspects, the profile should describe and quantify the population of each subgroup, differentiated by gender; occupations, levels of assets and incomes; savings and indebtedness; levels of education and literacy; the number of households, household size, and the number of single-headed households. Are there ethnically or culturally distinct and/or isolated communities within the area?

2. Clientele Needs

- Determine the perceived needs of the subgroup(s) for improving food security and income. Examine strategies for employment creation, productivity increase, diversification, value-adding, sustainable production, transport, storage and processing of agricultural products for discussion with client groups. Assess whether the proposed integrated rural development project will enable them to obtain a more secure and improved livelihood.

3. Clientele Demands

- Assess the ability and willingness of the client subgroups to pay for project inputs and/or provide labor to improve their agri-based production systems (e.g., through the use of improved seed varieties, by accessing formal or informal credit for production purposes, local initiative to establish village-based or production-based organizations, etc.). Identify and examine efforts which have already been made by members of the community and examine the experiences of those involved and their perceptions of whether these efforts have been successful.

- Determine what changes are proposed by the project and examine what these changes imply for clients' inputs to the systems, including labor, time, type and intensity; energy; sustainable use of land, water and forest resources; machinery; pesticides; fertilizers; seeds. Consider the implications for processing and marketing products.

4. Absorptive Capacity

- Establish whether the changes to be introduced under the project represent a radical change from existing practice (e.g., from nomadic pastoralism or slash-and-burn agriculture to intensive, sedentary farming systems). Determine whether such changes have been successfully accomplished in similar communities elsewhere. Determine if there are alternative, less risky, forms of assistance to client groups building on the existing systems.
- Determine, through consultation, the subgroup's understanding of, and attitudes to, the changes expected. Determine whether these groups have been given information which will help them to fully understand the magnitude of the change expected, and the resulting costs, benefits, risks and obligations. Determine appropriate mechanisms for training and disseminating information about new technologies for both literate and nonliterate people, and through different languages (e.g., about livestock care, horticulture, etc.).
- Determine whether the proposed selection of crops and/or production technologies and prediction of future market demand give sufficient security to justify farmer investments. Determine whether adaptive research, in close collaboration with farmers, to try innovations prior to their widespread introduction, is needed.
- Determine the existence of local organizations, e.g., farmers' associations. Do they adequately represent the different sub-groups? Assess their strength and management experience, financial record and capacity to support integrated rural development services (e.g., farm credit, SALT, tree crop plantations, etc.).
- Determine whether formal, informal and religious leaders support the project; if support is not evident, determine possible reasons for, and implications of, their lack of support.
- If credit assistance is being considered, assess the extent to which persons in the community have used credit and have experience in repaying credit.
- Assess sociocultural beliefs and practices which may limit likely acceptance (e.g., resistance to changes in cropping patterns due to ritual significance of certain crops, resistance to individually based credit systems which cut across kin group landownership, kin responsibilities, mutual help traditions). Determine how these factors could be accommodated in the project design.

5. Gender Issues

- Assess the relative roles and division of labor between men and women in the total agricultural production system, household food security, household or small-scale agricultural processing and marketing, off-farm employment and community work in different client subgroups. Determine how the project will change these roles.
- Assess the relative access to resources of men and women, e.g., credit, equipment, land, water and forests, research, training opportunities.
- Identify constraints faced by women in gaining access to resources, including time, financial, literacy, asset ownership, cultural or religious constraints.
- Identify whether major decisions which may influence the adoption of technologies or practices are made by women, men or jointly by women and men. Assess the implication of this decision-making framework on the mechanisms that are to be used to communicate project-related information to the community.

6. Potential Adverse Impacts⁴

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the population living within the area to be served by the project.
- Identify the subgroups within this population which may have differing needs, demands and absorptive capacities (e.g., large, medium and small-scale farmers; sharefarmers and sharecroppers; landless rural laborers; fisherfolk; traders; rural enterprise owners and employees, etc.).
- Prepare a socioeconomic profile for the population which would be affected by a project component or subproject. The profile should provide information which would identify differences in needs, demands and absorptive capacities of each subgroup. Among other aspects, the profile should describe and quantify the population of each subgroup, differentiated by gender; occupations, levels of assets and incomes; savings and indebtedness; levels of education and literacy; the number of households, household size, and the number of single-headed households. Are there ethnically or culturally distinct and/or isolated communities within the area?

2. Clientele Needs

- Determine the perceived needs of the subgroup(s) for improving food security and income. Examine strategies for employment creation, productivity increase, diversification, value-adding, sustainable production, transport, storage and processing of agricultural products for discussion with client groups. Assess whether the proposed integrated rural development project will enable them to obtain a more secure and improved livelihood.

3. Clientele Demands

- Assess the ability and willingness of the client subgroups to pay for project inputs and/or provide labor to improve their agri-based production systems (e.g., through the use of improved seed varieties, by accessing formal or informal credit for production purposes, local initiative to establish village-based or production-based organizations, etc.). Identify and examine efforts which have already been made by members of the community and examine the experiences of those involved and their perceptions of whether these efforts have been successful.

Checklist 6
Page 2 of 5

- Determine what changes are proposed by the project and examine what these changes imply for clients' inputs to the systems, including labor, time, type and intensity; energy; sustainable use of land, water and forest resources; machinery; pesticides; fertilizers; seeds. Consider the implications for processing and marketing products.

4. Absorptive Capacity

- Establish whether the changes to be introduced under the project represent a radical change from existing practice (e.g., from nomadic pastoralism or slash-and-burn agriculture to intensive, sedentary farming systems). Determine whether such changes have been successfully accomplished in similar communities elsewhere. Determine if there are alternative, less risky, forms of assistance to client groups building on the existing systems.
- Determine, through consultation, the subgroup's understanding of, and attitudes to, the changes expected. Determine whether these groups have been given information which will help them to fully understand the magnitude of the change expected, and the resulting costs, benefits, risks and obligations. Determine appropriate mechanisms for training and disseminating information about new technologies for both literate and nonliterate people, and through different languages (e.g., about livestock care, horticulture, etc.).
- Determine whether the proposed selection of crops and/or production technologies and prediction of future market demand give sufficient security to justify farmer investments. Determine whether adaptive research, in close collaboration with farmers, to try innovations prior to their widespread introduction, is needed.
- Determine the existence of local organizations, e.g., farmers' associations. Do they adequately represent the different sub-groups? Assess their strength and management experience, financial record and capacity to support integrated rural development services (e.g., farm credit, SALT, tree crop plantations, etc.).
- Determine whether formal, informal and religious leaders support the project; if support is not evident, determine possible reasons for, and implications of, their lack of support.
- If credit assistance is being considered, assess the extent to which persons in the community have used credit and have experience in repaying credit.
- Assess sociocultural beliefs and practices which may limit likely acceptance (e.g., resistance to changes in cropping patterns due to ritual significance of certain crops, resistance to individually based credit systems which cut across kin group landownership, kin responsibilities, mutual help traditions). Determine how these factors could be accommodated in the project design.

5. Gender Issues

- Assess the relative roles and division of labor between men and women in the total agricultural production system, household food security, household or small-scale agricultural processing and marketing, off-farm employment and community work in different client subgroups. Determine how the project will change these roles.
- Assess the relative access to resources of men and women, e.g., credit, equipment, land, water and forests, research, training opportunities.
- Identify constraints faced by women in gaining access to resources, including time, financial, literacy, asset ownership, cultural or religious constraints.
- Identify whether major decisions which may influence the adoption of technologies or practices are made by women, men or jointly by women and men. Assess the implication of this decision-making framework on the mechanisms that are to be used to communicate project-related information to the community.

6. Potential Adverse Impacts¹

- Identify group(s) which may be disadvantaged by the project. For example, through relocation, loss of rights to use land, loss of income, loss of cultural properties (e.g., ancestral land, burial ground, etc.).
- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify, assess and discuss options for avoiding, mitigating or compensating groups which may be adversely affected.²
- As soon as possible, provide as much information as possible to these communities about the project; conduct dialogues with the communities that may potentially be adversely affected; and report on these dialogues and conclusions which may be reached during the dialogues.

¹ The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project. See *Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank*, Office of the Environment, ADB, March 1993.

² Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Facilitate discussions between client subgroups and executing agencies to give the clients a meaningful input to project design (e.g., in the selection of appropriate farming technologies, location of subprojects, in identifying the necessary extension services, in identifying and approving the layout of canals for irrigation subprojects, etc.).
- Identify mechanisms for the participation of the client subgroups during planning, implementation and operation (e.g., consultative mechanisms between government and communities; training of extension staff in client-centered approaches; roles for local leaders; use of formal and traditional information channels in different languages and for different literacy levels; collaboration with farmers in adaptive research trials and monitoring of project effectiveness; development of new client organizations or strengthening of existing ones to serve different subgroups; provision of training for local groups in management, financial and technical skills, etc.).

3. Delivery Mechanisms

- Assess the capability of the executing agency to deliver services to the target groups in ways which are commensurate with the group's ability to use them. Consider the mandate and commitment of its leadership to poverty reduction objectives and participatory approaches; available resources, including number of staff who are able to work with the target forest/watershed occupants; management systems and procedures conducive to poverty reduction and participation; and relevant experience in participatory approaches.
- Assess any political constraints or tensions which may interrupt the flow of benefits; and the extension staff acceptability, coverage and effectiveness to target subgroups.
- Determine if there are any policy constraints which may hinder effective project implementation (e.g., agricultural subsidies, agricultural trade restrictions, rural banking

policies, new land development/environmental conservation, inter-agency coordination, etc.). Formulate appropriate recommendations and initiate dialogues with concerned agencies or groups and/or assess how these policy constraints can be considered more creatively in project design.

- Assess training needs of executing agency staff. Formulate a training plan which reflects the needs and priorities of staff members, train staff in the social dimensions, especially in client-centered approaches, in working with NGOs, private sector and local groups.
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

4. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the Project Targets column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy to assist the management of the executing agency to verify that services are being provided to the target group, that loans, if any, are repayed and benefits are being obtained by the clients, and recommend improvements as required.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992).

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 7: TREE CROPS AND PLANTATIONS**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the population occupying and/or benefiting from the areas that have been selected as project sites.
- Identify the subgroups within this population whose participation is key to the achievement of project objectives and which would have different needs, demands and absorptive capacities (e.g., farmers with large, medium and small landholdings; shifting cultivators; sharefarmers and sharecroppers; landless rural laborers; traders; rural enterprise owners and employees). It may also be necessary to identify subgroups on the basis of ethnicity or tribal association.
- Prepare a socioeconomic profile for the population that would be affected by each project component or subproject. The profile should provide information which would enable the identification of the distinct needs, demands and absorptive capacities for each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by gender; the number of households, household size, and the number of single-headed households; access to land, water and markets. Are there ethnically or culturally distinct or isolated groups within the area? Take account of sociocultural traditions of the client groups which affect lifestyles and patterns of production.

2. Clientele Needs

- Assess the expected benefits of the project in relation to the priority of needs as expressed by members of the clientele or community which are expected to participate in the project (e.g., potential smallholder participants). Assess whether the poor have access to the land and other resources in which they would need to participate.

3. Clientele Demands

- Assess the demand of smallholders and other occupants in areas which will be affected by the project activities (e.g., by assessing present efforts to more effectively or efficiently grow tree crops or manage other forestry resources within their community).
- Determine clients' ability and willingness to pay for project inputs.

4. Absorptive Capacity

- Determine what changes the project will require to existing production, processing or marketing systems (e.g., clients' inputs to the systems, including labor, time, type and

intensity; energy; sustainable use of land, water and forest resources; machinery; pesticides; fertilizers; seeds; and for landownership or utilization patterns). Assess the willingness of expected clients to undertake such changes and possible associated risks.

- Determine whether the changes represent a radical shift from existing practice (e.g., from swidden agriculture to plantation tree crop cultivation, from subsistence agriculture to monocropping and cash crops; from unutilized land or forest to intensive agriculture). Have such shifts been successfully tried in similar communities elsewhere? What can be learned from this?
- Consult with each subgroup to determine their understanding of, and attitudes to, the changes expected. Determine whether these groups have been given information and understand changes, costs, benefits, risks, and obligations which are associated with their participation.
- Assess the project impacts on each client subgroup due to different production systems, resource bases, land tenure and inheritance systems, cultural perspectives, literacy levels, assets and resources, labor arrangements, etc. Determine whether adaptive research, in close collaboration with farmers, is necessary to try the technical and management parameters for different agriculture or plantation systems prior to their widespread introduction.
- Determine the likely project effects on landownership and utilization rights. Do existing occupants/users of the land actually own, or have security of use rights, to the land which they cultivate? Do users require official land title certificates in order to benefit? Can the project speed up official land registration processes in order to give prospective clients security of ownership or of use rights to justify their long-term investments?
- Determine the existence of local client organizations, e.g., farmer or worker groups; assess their strength, management experience, financial record and capacity to support agro-industry development activities. Determine if they adequately represent different client subgroups. Will formal, informal and religious leaders support the project? Determine the major channels for spreading new information for both literate and non-literate people, and through different local languages.
- Assess sociocultural beliefs and practices which may limit likely acceptance, e.g., resistance to changes in monocultural patterns due to ritual or cultural importance of certain species; resistance to individually based agriculture systems which cut across kin group landownership, kin responsibilities, community-owned resources, mutual help traditions or ritual exchanges; resistance to increased labor demands which cut across cultural or religious events or which alter local forms of labor exchange.
- If credit assistance is being considered, assess the group's experience and capabilities in acquiring, using and repaying loans.

5. Gender Issues

- Determine if there is a significant number of women household heads, women farmers or women enterprise owners among clients.
- Assess the relative roles and division of labor between men and women in agricultural production systems, household food security, household or small scale processing and marketing, off-farm employment, including in agro-industries, and community work, taking account different client subgroups. How will the project alter these roles?
- Assess the relative access to resources of men and women (e.g., credit, equipment, land, water and forests, research, training opportunities). How do the farming and processing operations of women-headed households compare to other households in terms of cash crop production, use of inputs, technology used and work force?
- Identify constraints faced by women in gaining access to resources, including time, financial, mobility, literacy, legal (e.g., rights to earnings), asset ownership (e.g., of land or processing units), cultural or religious constraints.

6. Potential Adverse Impacts⁵

- Identify group(s) which may be marginalized or disadvantaged by the project (e.g., forest product gatherers, etc.). Are all the current cultivators of the land also the project clients? If not, what negative consequences may result from marginalizing them, e.g., landlessness, poverty, social disruption, drift to cities or to environmentally fragile land?
 - Are there people in the project area who are particularly at risk? (For example, ethnically or culturally distinct peoples; people not linked to the market economy; shifting cultivators, landless people, asset-poor small farmers, agro-industry workers whose health is at risk)?
 - Will some groups of people have to be relocated (e.g., from plantations, agro-industry sites)?
 - Will the project adversely affect the current livelihood of certain groups of people (e.g., workers in agro-processing units using traditional and/or labor-intensive methods, people without formal land title)?

- Do products from land to be used for industrial crops currently play an important part in maintaining family nutrition standards, e.g., staple root crops, coarse grains, high energy crops, "wild foods" (fish, insects, vegetables, honey, fruit)? Consider measures to protect existing food sources and/or diversify food crops, especially for nutritionally at-risk groups.
- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify, assess and discuss options for compensating groups which may be adversely affected.¹

B. Topics to be Addressed in Project Design

1. Targeting

- If the project has potential for maximizing the access of poor people and women to the water supply and sanitation (WSS) facilities, identify measures (e.g., affordable financing measures) or processes which specify poverty reduction and/or women in development (WID) objectives.
- Identify target groups against poverty reduction and/or women's participation criteria.

2. Participatory Development Processes

- Facilitate discussions between client groups and executing agencies to give clients a meaningful input to project design, e.g., in selection of crops, siting of plantations and agro-industries, use of local labor and materials, land tenure arrangements.
- Identify mechanisms for client participation during implementation and operation, if they so wish, drawing on these data (e.g., consultative mechanisms between government and communities; training of extension staff in client-centered approaches; roles for local leaders; use of formal and traditional information channels in different languages and for different literacy levels; collaboration with farmers in adaptive research trials and monitoring of project effectiveness; development of new client organizations or strengthening of existing ones to serve different subgroups; appropriate financial institutions such as credit unions, revolving funds; provision of training for local groups in management, financial and technical skills).

¹ Staff are advised to refer to World Bank's *Operational Directive 4.2: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time as the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

3. Delivery Mechanisms

- Assess the capability of the executing agency to deliver services to the prospective clients in ways which are commensurate to the clients' ability to use them. Consider the agency's mandate and commitment of its leadership to poverty reduction aims and/or participatory approaches; available resources, including number of staff who are willing to work with anticipated clients; management systems and procedures conducive to poverty reduction and participation; and relevant experience of the agency with participatory approaches.
- Assess any political constraints or tensions which may interrupt the flow of benefits. Assess acceptability, coverage and effectiveness of extension staff for client subgroups.
- Assess training needs (e.g., of agricultural extension staff). Formulate a training plan promoting demand-oriented, farming systems approaches which reflect the needs and priorities of the staff members, train staff in the social dimensions, especially in client-centered approaches, in working with NGOs, private sector and local groups.
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

4. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s), and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy in helping managers to assess the status of agro-forestry development within their geographic area of responsibility, and in terms of their adequacy in guiding the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 8: LIVESTOCK**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the client population which is expected to use or benefit from the services to be provided by the project.
- Identify the subgroups within the client population which are likely to have different needs, demands and absorptive capacities (e.g., owners of large, medium and small livestock herds; share farmers and tenant farmers; landless rural laborers; small meat, hide or milk processors; traders; rural enterprise owners and employees, etc.). It may also be necessary to identify sub-groups on the basis of tribal or ethnic characteristics.
- Prepare a socioeconomic profile for the population which would be affected by each component or subproject. The profile should provide information which would identify differences in the needs, demands and absorptive capacities of each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by gender; number of households, household size, and number of single-headed households; family labor availability (e.g., hours spent by each family member in various activities); cropping system, crop by-products and their disposition; disposable incomes and income distribution; access to grazing land, water, and markets; food consumption patterns. Take account of sociocultural traditions of the client groups which affect livestock care, property rights about livestock (e.g., fathers, wife, first born sons, etc.) and patterns of production.

2. Clientele Needs

- For farms which have livestock, describe and assess the livestock produced for draught purposes and/or for commercial and/or subsistence income. For livestock produced for commercial and/or subsistence income, the assessment should examine the amount of income derived from the enterprise, the reliability of the income and the sustainability of the production system. Assess the relative importance of the livestock enterprise to the subsistence and cash income of the households.
- Assess their needs for livestock services in relation to other means of obtaining cash or subsistence income.

3. Clientele Demands

- Assess the clients' ability and willingness to pay for livestock services, e.g., by assessing present expenditures and efforts to obtain such services informally.

4. **Absorptive Capacity**

- Assess the client's knowledge, understanding and application of animal husbandry and management practices. Determine the major methods for spreading new information for both literate and nonliterate people, and through different local languages. Determine training needs of subgroups in light of the preceding analysis (e.g., in feed formulation, breeding techniques, marketing, etc.).
- Determine whether the recommended changes would represent a radical change from existing practice (e.g., from nomadic pastoralism to intensive nonmigratory production systems). If yes, determine whether similar efforts which require such changes have been successful, and the reasons for the success or failure. Examine opportunities which build on existing systems, and which may involve less risk to the client groups.
- Assess the potential impact of social, cultural or religious beliefs and traditions on the prospects for adoption recommended practices and on the likelihood that these practices would be retained (e.g. the influence of religious beliefs on the willingness to grow and slaughter animals).
- If individual livestock ownership systems are being considered, examine the importance of communal ownership and sharing arrangements compared to the individual livestock ownership arrangements under consideration.
- Assess the existence and operation of cooperatives or other local client-based organizations which may be operated to support the production of livestock, the acquisition of inputs, and sale of livestock products. Aspects to examine include their operational and financial management experience and capacity to support rural development activities. Consider measures to facilitate the mobilization and strengthening of cooperatives and producer groups.
- If credit assistance is being considered, assess the experience of the proposed clients in obtaining, using and repaying loans.
- Determine whether formal, informal and religious leaders support the project.

5. **Gender Issues**

- Assess the relative roles and division of labor between men and women (differentiated by age groups) in the production, marketing and consumption of livestock. Assess the impact of the proposed services and/or enterprise models on the amount of time available to women for household and other activities.
- If it is women who are principally involved in livestock production and/or marketing, assess their ability to obtain access to financial, training and other resources that may be needed for livestock activities.

6. **Potential Adverse Impacts⁶**

- Identify whether there are potential risks relating to competing ownership claims or competing use rights, (e.g., over grazing rights on communal land or between different land uses).
- Determine if there is a potential increase in health risks due to the proposed services (e.g., increase in parasitic diseases as a result of a piggery project, exposure of poultry workers to dust in poorly ventilated poultry houses, spread of colliform bacteria in the water, tuberculosis from unprocessed milk from dairy cattle, etc.).
- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify, assess and discuss options for compensating groups which may be adversely affected.¹

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt these services, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Facilitate discussions between client groups and executing agencies to give clients an input to project design (e.g., in selecting breeding stocks, developing grazing plans, use of local labor and materials and in general operation and management of the project).

Checklist 8
Page 4 of 5

- Consider the establishment of mechanisms for client participation during implementation and operation (e.g., consultative mechanisms between government and communities, provision of roles for local leaders, use of formal and traditional information channels in different languages and for different literacy levels, collaboration in adaptive research trials and monitoring of project effectiveness, development of new client organizations or strengthening of existing ones to serve different subgroups, appropriate financial institutions such as credit unions, revolving funds, training for local groups in management, financial and technical skills).

¹ Staff are advised to refer to World Bank's *Operational Directive 4.2: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time as the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

3. Delivery Mechanisms

- Assess the capability of the executing agency to deliver services to the prospective clients in ways which are commensurate with the clients' ability to use them. Consider the mandate and commitment of its leadership to poverty reduction objectives and participatory approaches; available resources, including the number of staff who are able to work with anticipated clients; management systems and procedures conducive to poverty reduction and participation; and relevant experience in participatory approaches.
- Assess any political constraints or tensions which may interrupt the flow of benefits; and the extension staff acceptability, coverage and effectiveness for client subgroups.
- Determine if there are any policy constraints which may hinder effective project implementation (e.g., restrictions on importation of improved breeds or veterinary medicines, quarantine policies, restrictions on the movement of cattle, tariffs, etc.). Formulate appropriate recommendations and initiate dialogues with agencies or groups concerned and/or assess how these policy constraints can be considered more creatively in project design.
- Assess the need to train agency staff in client-centered approaches, in working with NGOs, private sector and local groups (e.g. livestock extension personnel).
- Assess the need for NGOs to assist these group(s) as intermediaries, define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

4. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s), and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²

Checklist 8
Page 5 of 5

- Assess existing management information systems (MISs) in terms of their adequacy in helping managers to assess the status of livestock development within their geographic area of responsibility, and in terms of their adequacy in guiding the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the client groups identified; and to identify adjustments required during implementation to meet the needs of client groups more effectively.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, September 1993.

CHECKLIST 9: URBAN WATER SUPPLY AND SANITATION**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the client population which is expected to be served by each system that may be developed under the project.
- Identify the subgroups within each population that are likely to have different needs, demands and absorptive capacities (e.g., homeowners, owners of enterprises in both formal and informal sectors, slum dwellers).
- Prepare a socioeconomic profile for each population which would differentiate the needs, demands and absorptive capacities of each subgroup. Among other aspects, the profile should describe and quantify the population of each subgroup, differentiated by gender; number of households, household size and number of single-headed households; the types of housing in each area; nature of occupancy in the houses (squatting, renting, owning, etc.); occupations, income and asset levels; levels of education and access to education; health problems (especially those which are water-related), and access to health services; social organizations and group formation, water users groups, leaders and spokespersons; and access to and utilization of WSS services, and payments for these services, if any.

2. Clientele Needs

- Assess the needs of each subgroup for WSS in relation to other needs (e.g. drainage, solid waste management, other public sanitation measures, public health education).

3. Clientele Demands

- Assess the client groups' demand for water services by describing the present expenditures and efforts to obtain WSS services and the quantity and quality of WSS services they obtain for these efforts. Examine services obtained from formal and informal sectors; and assess problems experienced in obtaining access, cost, quality, quantity and reliability of service.
- Compare the cost and quality of these services with the cost and quality of services expected to be provided under the project.
- Determine the type of improvements which are preferred and preferred methods for delivering these services, and for paying for them.

- Determine the willingness of the expected clients to pay connection fees, user charges and taxes through survey questionnaires and by comparing incidence of payment of such charges by other similar groups for similar quality of service.
- 4. Absorptive Capacity**
- Describe the behavioral changes which may be required for clients to use and maintain facilities which may be provided through the project.
 - Assess the ability and willingness of anticipated clients to make these changes, either individually or in groups (in terms of their motivation to change, knowledge and skills that may be required, existence of local organizations, and support or resistance from other groups or significant individuals).
- 5. Gender Issues**
- Identify and describe the different roles and activities which are performed by males, females and children inside the household and in the community in terms of collecting, carrying and distributing water, and in relation to other related activities.
 - Assess measures which may enhance the ability of women to perform these traditional roles through neighborhood and other community groups. Assess the need for extension workers to be trained in techniques which may enhance the participation of women in the project.
- 6. Potential Adverse Impacts¹**
- Identify groups which may be disadvantaged by the project (e.g., through relocation or loss of rights to use land).
 - Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
 - Identify, assess and discuss options for avoiding or mitigating the adverse effects with the affected groups and implementing organization(s).

¹ The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project. See *Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank*, Office of the Environment, ADB, March 1993.

- Identify and assess options for compensating groups which are adversely affected.¹

Checklist 9
Page 3 of 4

- As soon as possible, provide as much information as possible to these communities about the project; conduct dialogues with the communities that may potentially be adversely affected; and report on these dialogues and conclusions which may be reached during the dialogues.

B. Topics to be Addressed in Project Design

1. Targeting

- For poverty reduction projects, determine whether there are groups of persons who are not in the targeted clientele group, but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services, propose targeting and monitoring mechanisms which will ensure that the services are provided to the target group.

2. Participatory Development Processes

- Conduct consultations with clients about location and design of community standpipes, drainage facilities and facilities which may be maintained by community groups.
- Provide opportunities for clients to participate in construction of community standpipes, latrines, septic tanks and community drains through community groups or women's organizations. Assess the factors which would motivate these groups to participate in the project, and mechanisms which may be needed to sustain their participation.
- Assess the need of the communities for training in the use and management of facilities and hygienic practices.

3. Delivery Mechanisms

¹ Staff are advised to refer to World Bank's *Operational Directive 4.2: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time as the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- Assess the effort, time and fees which are required of clients to apply for a water connection, to pay water bills, and/or report and resolve complaints about water supply and sanitation (WSS) services.

- Assess the mechanisms through which the utility maintains accountability in respect to its financial operations and performance with the community which it serves. Incorporate mechanisms which will facilitate the identification and resolution of differences between the community and the water utility on the quality of service (e.g., water, drainage, sewerage, billings and collections, service connections and other aspects).
- Assess the capability of the proposed implementing organization to work with communities for the purpose of facilitating participation in the project with the communities.
- Describe activities which NGOs may perform to augment delivery capabilities of the water utility and to mobilize communities to participate.
- Assess the willingness of client groups and the implementing organizations to work with NGOs.
- Identify criteria which may be used to identify NGOs which may be involved.

4. **Benefit Monitoring and Evaluation**¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the Project Targets column of the project framework table.²
- Assess existing management information systems (MISs) in terms of its adequacy to enable the executing agency to properly account to the community and other stakeholders for its financial operations and performance.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants* Agriculture Department, ADB, March 1992).

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, Asian Development Bank, September 1993.

CHECKLIST 10: RURAL WATER SUPPLY AND SANITATION**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the population which are expected to be served by the water supply and sanitation (WSS) facilities.
- Identify the subgroups within this identified population whose participation is a key to the achievement of project objectives (e.g., landholders, landless workers, business owners, etc.).
- Prepare a socioeconomic profile for each existing or potential water users association (WUA).⁷ The profile should provide information which would enable the identification of the needs, demands, and absorptive capacities of each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by gender; number of households, household size and number of single-headed households; the location and types of housing in the area; describe the nature of occupancy in the houses (squatting, renting, owning, etc.); occupations, income and asset levels, levels of education and access to education, health problems (especially those which are water-related), and access to health services; social organizations and group formation, water users groups, leaders and spokespersons; access to and utilization of WSS services, payments for these services, if any. Take account of the sociocultural traditions of the client groups about water, sanitation and water-related health.

2. Clientele Needs

- Identify the existing sources of water supply (e.g., spring, deep well, stream, roof drainage, etc.) of the proposed users group and assess the overall condition of the distribution facilities, if any. Assess the adequacy (e.g., how far a villager (or livestock) must walk to obtain water in the dry season, the amount of time spent in queuing up to obtain water, and quality of the water sources (e.g., potability of water, etc.).
- Assess the level of service desired (e.g., private house connections, public hydrant, communal bath/water hydrants the in village center, market, school, etc.).
- Assess the needs of the clients for components that may complement the services which are incorporated in the initial proposal of the project. For example, wastewater drainage, public latrines, health education, etc.

3. Clientele Demands

- Assess the demand for water services by examining actual expenditures and efforts to obtain water, and comparing these with the quantity and quality of WSS services they receive. Also, examine services obtained through private efforts; and assess problems experienced in obtaining access, cost, quality, quantity and reliability of services. Compare the cost and quality of these services with the cost and quality of services which are expected to be provided under the project.
- Assess the ability and willingness of members of the WUA to invest their own capital, provide the necessary labor for construction and undertake responsibility for the operation and maintenance of the water supply facilities.

4. Absorptive Capacity

- Assess the extent of knowledge and the influence of social and/or religious-based customs which may influence practices relating to personal and public hygiene. This information would be used to assess the likely acceptance of recommended hygienic practices and/or identify the need for education.
- Describe any organized activities which individuals or groups have initiated to improve the WSS services they receive. Assess the capabilities of these entities in terms of maintaining and operating the water facilities. Assess the need for community organizers to mobilize and train the groups in operation and maintenance of the water supply facilities.
- Assess the appropriateness of the technologies proposed in terms of the WUAs' ability to use, operate and maintain them effectively.

5. Gender Issues

- Assess the differing roles and activities which are performed by males and females (both adults and children) inside the household and in the community in terms of collecting, carrying and utilizing water within the household, and in relation to other WSS-related activities such as environmental health.
- Assess the relative access of men and women to resources which relate to the acquisition and use of WSS services (e.g., preferential access to public latrines, bathing facilities, public laundry areas, etc.).

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.

- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.

- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Incorporate arrangements for implementing the project which provide for the potential WUA to apply for services before the agency examines the feasibility of providing the services or preparing the detailed design. During both feasibility study and detailed design, the desires of the WUA (e.g., in terms of water source to be developed, type and extent of water treatment, transmission, distribution, level of service, etc.) should be completely identified and explored.
- Based on the assessment of the WUA's absorptive capacity, assess the need for community organizers (COs) to mobilize and train the WUA, and facilitate the WUA's participation in the design, implementation and acceptance of the system.

3. Delivery Mechanisms

- Assess the capability of the executing agency to mobilize and train the WUA, and facilitate its participation in the design, implementation and acceptance of the system.
- If the agency does not have experience or staff who can perform this work, examine alternative arrangements for providing these services (e.g., through NGOs or community volunteers).
- Assess the interests of contractors who may provide construction services, and opportunities which they could exploit to the disadvantage of the WUA (e.g., opportunities to drill wells to only the depth of the water table in the wet season, and the inability of the WUA to obtain water in the dry season due to a lowering of the water table in the dry season).
- Describe activities which NGOs may perform to augment delivery capabilities of the water utility. The functions may relate to assistance which will help the groups develop capabilities to articulate their demands, and to manage and operate WSS facilities. Identify criteria which may be used to identify NGOs which may be involved.

4. **Benefit Monitoring and Evaluation**¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy to enable the executing agency to verify that the rural water supply systems have been correctly installed and are acceptable to the community, that the community is able to operate the system and provide periodic follow-up to verify the system's continued operation and use.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Appendix 6, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 11: POPULATION

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the prospective groups and subgroups whose participation is necessary to achieve project objectives.
- Identify the subgroups within the client population which are likely to have different needs, demands and absorptive capacities (e.g., single women, married women, single males, married males, slum dwellers, cultural and/or ethnic groups, etc.).
- Prepare a socioeconomic profile for each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by gender; the number of single-headed households, household size; occupations, income and asset levels; levels of education and access to education; health problems and access to health services; social organizations and group formation. Describe the type, quantity and quality of family planning services available to each of the subgroups; current contraceptive prevalence rates; dropout rates; levels of unmet need for contraception; and the kind of service to be provided to each subgroup. Provide key population/health indicators (e.g., total fertility rates, population growth rates, crude birth and death rates, infant and maternal mortality and morbidity rates, male and female literacy levels).

2. Clientele Needs

- Assess the relative perceptions of modern and traditional health care, including perceived risks of contraception; and the expressed need of client groups for family planning and related services. Assess the needs of the client groups for population planning services in relation to other needs (e.g., primary health care, education, water, etc.). Identify the groups resistant to family planning services.
- Determine if there is scope to increase acceptance and benefits by adding other components, e.g., primary education, nonformal training or income-generating activities?
- Assess if there is potential to maximize the project's health benefits through the addition of safe motherhood and maternal and child health (MCH) activities; reproductive health awareness programs including sexually transmitted diseases (STDs) and acquired immune deficiency syndrome (AIDS); and family planning services.

3. Clientele Demands

- Assess the client groups' demand for family planning and related services, e.g., by assessing present expenditures and efforts by clients to obtain such services through formal, informal or traditional means.

- For each clientele group, assess the clients' ability and willingness to pay for a range of family planning services (e.g., contraceptive costs, consultation charges, risk-sharing schemes, etc.). The ability and willingness to pay should be determined for both males and females, with due consideration given to the effects of sociocultural factors.
- Assess the priority given by the expected clients to acquire family planning services and products in relation to their willingness to allocate their resources (e.g., time, capital, effort) for the acquisition of such services and products. If the acquisition of family planning products and services is found to be a priority by the expected clients, their preferences with respect to type, quality and cost of contraception, and of related reproductive health and support services should be determined.
- Determine if there is potential to increase demand for family planning services, e.g., by increasing access of girls to education; providing adult literacy programs; through reproductive health awareness and information, education and communication (IEC) programs; by research on determinants of fertility; by providing better quality of contraceptive care, including more contraceptive choice, better follow up and better client-provider interactions.
- Assess the receptivity of the anticipated clients to government policies and programs concerning family planning and contraceptive use, and assess the impact of these perceptions on the scope, components and implementation arrangements for the project.

4. Absorptive Capacity

- Examine the variations in existing knowledge, attitudes and practice towards reproductive health, safe motherhood and contraceptive use, including any sociocultural norms which may influence the extent and manner in which services may be used.
- Describe the behavioral changes which may be required for clients to use and sustain the benefits from population planning services which may be provided through the project.
- Assess their ability and willingness to make these changes in terms of their motivation to change, including aspirations for limiting and spacing births; level of knowledge about reproductive health; social cohesion of the client groups; extent to which volunteer workers are likely to be available and accepted; external community organizations which can support family planning; client time available for community work; and health and nutritional constraints to client participation.

5. Gender Issues

- Assess differences in values, roles and needs of men and women in terms of the impact of these factors on decisions to acquire family planning services and follow family planning practices.

- Assess the access of men and women to family planning, reproductive health and related services, and training opportunities. Identify constraints faced by women or men in gaining access to these resources and services due to factors such as availability of time, finances, transportation, literacy, health, cultural, legal or religious constraints.

B. Topics to be Addressed in Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Involve the relevant target groups during project design implementation and operation for consultation about the siting and design of health facilities to meet client needs; choice, scope and quality of family planning and health services; and the level of community support needed to provide basic facilities such as housing for visiting doctors or other medical paraprofessionals.
- Identify mechanisms for client participation during implementation and operation. Some examples may include the following: in conducting health needs assessments, in securing the support of key community leaders (religious, formal, nonformal); and in developing neighborhood and village groups which will facilitate two-way information flows. To the extent possible, it is desirable to build on the experiences that these groups may have in acquiring population planning services (e.g., securing the services of a family planning practitioner, etc.).

3. Delivery Mechanisms

- Assess the capacity of the executing agency to deliver services to the prospective clients in ways which are commensurate with the clients' ability to use them. Consider the agency's mandate and commitment of leaders, resources, management systems and procedures (e.g. decentralized decision making, nonformal and basic education), experience of the agency with poverty projects and its attitudes towards participatory approaches.

- Assess the approaches used by the organization for mobilizing and motivating target groups and disseminating information on reproductive health and population planning.
- Assess training needs (e.g., health workers; trainers) on the social dimensions as appropriate, for example, in gender-sensitive and culturally aware approaches.
- Determine the major channels (e.g. formal, informal and religious leaders) for spreading information for both literate and nonliterate people, and through different local languages. Assess any political constraints or tensions which may interrupt access to health benefits. Assess the acceptability of medical workers/training staff to each client subgroup.
- Assess the need for NGOs to assist as intermediaries with these group(s). Define the roles which NGOs may perform; the functions may include advocacy for the acceptance of family planning on a long-term basis; the siting and design of family planning and reproductive health facilities to meet client needs; choice and quality of services for potential users; effective client-provider interactions; culturally sensitive IEC programs; community support needed for village or neighborhood workers and risk-sharing financing schemes to be effective. Identify criteria for selecting NGOs or other intermediaries which may be involved.

4. Benefit Monitoring and Evaluation⁸

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goals(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.¹
- Assess existing Management Information Systems (MISs) in terms of their adequacy in helping managers to assess the status of family planning and population control within their geographic area of responsibility, and in terms of its adequacy in guiding the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the client groups identified; and to identify adjustments required during implementation to meet the needs of client groups more effectively.

¹ See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 12: HEALTH

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the target client population which is expected to be benefited by the proposed health system that may be developed under the project.
- Identify the subgroups within the client population (e.g., pre-school and school-age children, women, the elderly, health professionals, etc.) which are likely to have different needs and demands.
- Prepare a socioeconomic profile for each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by gender; number of single-headed households, household size; occupations, income and asset levels; levels of education and access to education; health problems and access to health services; social organizations and group formation; and ethnic or cultural distinctions. Provide key health indicators, e.g., life expectancy (male and female), infant and maternal mortality and morbidity rates, disease patterns for chronic, degenerative diseases and for infectious and parasitic diseases, and nutritional problems. Describe the sociocultural traditions of the client groups which affect life-styles, beliefs and patterns of use of health services, including traditional concepts of health and healing.

2. Clientele Needs

- Assess the relative perceptions of modern and traditional health care, including perceived risks of modern medical care; and the expressed need of client groups for health services. Describe the various levels of need in the area, e.g., in terms of epidemiological need, socioeconomic need, at-risk groups or groups without access to resources. Assess the needs of client groups for better health services and their health priorities in relation to other needs (e.g., education, water, etc.). Identify any groups resistant to modern medical services.
- Describe the quantity and quality of health services available to each of the subgroups; any problems in access, cost, quality, etc.; and the quantity, cost and level of service to be provided to each subgroup under the project.
- Assess the priority given by the expected clients to acquiring health services in relation to their willingness to allocate their resources (e.g., time, capital, effort) for the acquisition of such services. If the acquisition of health services is found to be a priority by the expected clients, determine their preferences with respect to type, quality and cost of preventive and curative health services.

- Determine if there is potential to maximize the project's health benefits through the addition of complementary preventive components. For example, cost-effective preventive measures such as environmental health, water supply, sanitation and vaccination programs which help reduce the incidence of infectious and parasitic diseases, education and training; or culturally appropriate IEC programs to address the causes of chronic, degenerative diseases before they lead to expensive, curative care; or programs in awareness on STDs and AIDS.

3. Clientele Demands

- Assess the client groups' demand for health services, e.g., by assessing present expenditures and efforts by clients to obtain such services through formal, informal or traditional means.
- For each clientele group, assess the clients' ability and willingness to pay for a range of health services (e.g., treatment costs, consultation charges, risk-sharing schemes).
- Assess the project's potential to change the demand for health care (e.g., by providing or improving health care financing arrangements; by introducing a district referral system; by introducing culturally appropriate and gender-sensitive IEC programs which take account of different literacy levels; by research on determinants of specific health problems; through better client-provider interactions).

4. Absorptive Capacity

- Examine the variations in existing knowledge, attitudes and practice towards health, nutrition, curative care, including any sociocultural norms which may influence the extent and manner in which services may be used.
- Describe the behavioral changes which may be required for clients to use and sustain the benefits from the health services which may be provided through the project (e.g., change in dietary practices, personal and family hygiene practices, etc.)
- Assess their ability and willingness to make these changes in terms of their motivation to change, including aspirations for better health; level of knowledge, skills and experience in health care; social cohesion of the client groups; existence of local health groups; and the extent to which health financing cooperative schemes or volunteer workers are likely to be available and accepted; external community organizations which can support health care; client time available for community work; and health and nutritional constraints to client participation.

5. Gender Issues

- Assess differences in values, roles and needs of men and women in terms of the impact of these factors on decisions to secure health services and follow preventive and curative health practices.
- Assess the access of men and women to health services, pharmaceutical products and training opportunities. Identify constraints (e.g., time, finances, transportation, literacy, health, social, cultural, legal or religious constraints) faced by women or men in gaining access to these resources and services.

B. Topics to be Addressed in the Project Design

1. Targeting

- Determine whether there are groups of persons who are not in the targeted clientele group but may wish to co-opt services which are not intended for them, and identify this group.
- Identify the possible methods or opportunities which persons in this group might exploit to co-opt these services, and assess the extent to which they might be able to do so.
- If the preceding analysis shows that there is a likelihood that persons who are not in the target group would be motivated and be able to co-opt services provided under the project, propose targeting and monitoring mechanisms which would ensure that the services are provided to the target group.

2. Participatory Development Processes

- Involve the relevant target groups during project design implementation and operation for consultation about the siting and design of rural health centers to meet client needs; choice, scope and quality of preventive, curative and emergency medical services; culturally sensitive IEC programs; the level of community support needed for village or neighborhood workers, for integrated primary health care programs and for community health financing schemes to be effective.
- Identify mechanisms for client participation during implementation and operation. Some examples may include the following: in conducting health needs assessments; in securing the support of key community leaders (religious, formal, nonformal, traditional healers); and in developing neighborhood and village groups which will facilitate two-way information flows. To the extent possible, it is desirable to build on the experiences that these groups may have in acquiring health services (e.g., securing the services of visiting medical and dental missions, etc.).

3. Delivery Mechanisms

- Assess the capacity of the executing agency to deliver services to the prospective clients in ways which are commensurate with the clients' ability to use them. Consider the agency's mandate and commitment of leaders, resources, management systems and procedures (e.g., decentralized decision making), experience of the agency with poverty projects and its attitudes towards participatory approaches.
- Assess the approaches used by the organization for mobilizing and motivating target groups and disseminating information on health and nutrition.
- Assess training needs of (e.g., health planners and managers; health service providers; motivators and IEC teams; village and neighborhood volunteers; traditional birth attendants; doctors and midwives) on the social dimensions as appropriate, for example in gender-sensitive and culturally aware approaches.
- Determine the major channels (e.g., formal, informal and religious leaders, traditional healers) for spreading information for both literate and nonliterate people, and through different local languages. Assess any political constraints or tensions which may interrupt access to health benefits. Assess the acceptability of medical workers/training staff to each client subgroup.
- Assess the need for NGOs to assist as intermediaries with these group(s). Define the roles which NGOs may perform; the functions may include the training of traditional health workers; assistance to client groups in defining and articulating their needs; introducing innovative ideas in community planning and management of cost-effective health services; reaching special groups such as the very poor, adolescents, ethnic minorities; generating community support needed for village or neighborhood workers and risk-sharing financing schemes to be effective. Identify criteria for selecting NGOs or other intermediaries which may be involved.

4. Benefit Monitoring and Evaluation⁹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goals(s) for each component which would be incorporated into the Project Targets column of the project framework table.¹

¹ See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

- Assess existing Management Information Systems (MISs) in terms of their adequacy in helping managers to assess the status of family planning and population control within their geographic area of responsibility, and in terms of their adequacy in guiding the operation of the program (including deployment of resources) for maximum effect.

- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the client groups identified; and to identify adjustments required during implementation to meet the needs of client groups more effectively.

CHECKLIST 13: EDUCATION AND TRAINING**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the client population which are expected to be benefited by the proposed educational system that may be developed under the project.
- Identify the subgroups within the client population (e.g., teachers, middle-school students, tertiary science students, students with physical disabilities, etc.) which are likely to have different needs and demands.
- Prepare a socioeconomic profile for the population that would be affected by a project component or subproject. The socioeconomic profile should provide information which would enable the identification of the needs, demands and absorptive capacities of each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by socioeconomic status, ethnic or cultural distinctions. Provide key education indicators disaggregated by gender, e.g., literacy levels, enrollment, pass and dropout rates at primary, secondary and post-secondary levels. Are there isolated communities within the area? Or people particularly disadvantaged in educational status or skill levels?

2. Clientele Needs

- Assess the need of client subgroups for better education/training services in relation to other needs (e.g., health care, improvement in income, etc.). Determine if there are any variations in the characteristics and/or needs of different client subgroups.

3. Clientele Demands

- Assess the client group's demand for education/training opportunities, e.g., by assessing present expenditures and efforts by clients to obtain skills and knowledge through informal or traditional means.
- Assess any reasons for underutilization of education/training for each client subgroup in terms of cost, opportunity cost to the household, distance and mobility, social antagonisms, lack of interest by parents or children, courses or curricula which do not meet client needs, inadequate facilities, poorly trained or absent teachers, seasonal, nutritional or language problems.
- Examine the variations in existing knowledge and skills, including any sociocultural norms which may reduce demand for the project or influence the way services are

provided, such as adherence to traditional systems of knowledge or religious educational systems.

- Assess whether education/training are priorities for the poor; and, if so, their preferences.
- Assess willingness of education/training service users to assume responsibility for loan cost-recovery, e.g., in school/college fees, tuition costs.
- Determine if there is potential to change demand patterns for education/training by increasing the quality, coverage and acceptance. This may include improved quality, scope and coverage of nonformal, infants, primary, secondary, vocational, post-secondary, education and training; undertaking comprehensive needs assessments to meet both client and employer needs more effectively; introducing educational financing schemes such as community contributions to primary and nonformal education, pay-back tuition fees; scholarships for disadvantaged students; introducing special language and culture specific programs for minority groups; or special programs for disadvantaged groups or women/girls.

4. Absorptive Capacity

- Determine if there is potential to maximize the project's benefits through the addition of complementary components (e.g., on-the-job training or supervised work force placements; employment creation schemes; child care.)
- Assess client absorptive capacity through:
 - motivation to change, including aspirations for increased skills
 - social cohesion of the client groups
 - existence of local education/training groups
 - extent to which education or training, financing cooperative schemes or volunteer workers are likely to be available and accepted
 - external community organizations who can support the project
 - client time available for education/training work
 - health and nutritional constraints to client participation
- Determine the existence of local client organizations, e.g., school committees for parents, village education committees, student organizations. Assess their strength, management experience, financial record and capacity to support education and training activities. Determine if they adequately represent different client subgroups.

5. Gender Issues

- Determine if there are differences in education indicators (literacy levels, enrollment, pass and dropout rates, course preferences, etc.) between men and women.

- Assess the relative roles and needs of men and women for education and training (e.g., formal and nonformal training which takes account of the gender division of labor in productive activities).
- Assess the relative access of men and women to training opportunities and other resources, including time, mobility, financial, health, social, cultural, legal or religious constraints (e.g., in beliefs and attitudes which give low priority to female schooling, which affect enrollment levels, choice of subjects and dropout rates).

6. Potential Adverse Impacts¹⁰

- Identify groups which may be disadvantaged by the project. For example, whether the project will adversely affect the current livelihood of certain groups of people (e.g., traditional teachers; people relocated from construction sites for educational facilities).
- Determine if there are particularly disadvantaged groups who need special provisions to address their needs (for example, illiterate people, members of minority ethnic groups).
- Prepare a socioeconomic profile for each vulnerable group which will quantitatively describe and quantify the impact of the project on the affected group.
- Identify, assess and discuss options for avoiding, mitigating or compensating group(s) which may be adversely affected.¹
- As much as possible, provide as much information to these communities about the project; conduct dialogues with the group(s) that may be potentially adversely affected; and report on these dialogues and the conclusions reached.

B. Topics to be Addressed in Project Design

1. Targeting

- If the project has potential for maximizing the access of poor people and women to education/training, identify measures (e.g., scholarships, job placements, etc.) or processes which specify poverty reduction and/or WID objectives.

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples and Operational Directive 4.30: Involuntary Resettlement* until such time as the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- Identify target groups against poverty reduction and/or women's participation criteria.

2. Participatory Development Processes

- Involve the relevant target groups during project design implementation and operation for consultation about e.g., the siting and design of educational/training facilities to meet client needs; choice, scope and quality of courses for potential users; the level of community support needed to provide basic facilities such as teacher houses, classrooms or for organizing school facilities and generating community support.
- Identify mechanisms for client participation during implementation and operation for example, in broad-based, consultative education and training groups; in training needs assessments; in securing the support of key community leaders (religious, formal, non-formal); in developing neighborhood and village groups which will facilitate two-way information flows, financing of education/training, and use of education facilities for multiple functions.

3. Delivery Mechanisms

- Assess the capacity of the executing agency to deliver services to the prospective clients in ways which are commensurate with the clients' ability to use them. Consider the agency's mandate and commitment of leaders, resources, management systems and procedures (e.g., decentralized decision making, nonformal and basic education), experience of the agency with poverty projects and its attitudes towards participatory approaches.
- Assess training needs of (e.g., education planners and managers; trainers) on the social dimensions as appropriate, for example, in gender-sensitive and culturally aware approaches.
- Determine the major channels (e.g. formal, informal and religious leaders) for spreading information for both literate and nonliterate people, and through different local languages. Assess any political constraints or tensions which may interrupt access to education/training benefits. Assess the acceptability of education/training staff for each client subgroup.
- Determine the experience and the capability of the executing agency to fulfill commitments made with the adversely affected group(s).
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

4. **Benefit Monitoring and Evaluation**¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy in helping managers to assess the status of educational reforms and in terms of their adequacy in guiding the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the target groups identified; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 14: ROADS AND ROAD TRANSPORT**A. Topics to be Addressed in the Social Analysis****1. Road Users and Beneficiaries**

- Identify the expected road users, and those who will benefit from it (even though they may not use the road).
- Identify the subgroups among the road users who will have different needs and demands (e.g., passengers, freight users, transport operators, etc.).
- Prepare a socioeconomic profile for each population which will identify the different needs and demands of each subgroup. Among other aspects, each profile should describe the source of livelihood, income, education, utilization of transportation and expenses incurred, and alternative means of transportation.

2. Road User Needs

- Assess the needs of the target client groups for roads/road transport services in relation to other needs (e.g., hospitals, schools, livelihood opportunities, etc.).
- Assess the needs of the users for components that may complement the initial project proposal. For example, agricultural extension services, access to individual properties, water supply systems, health clinics and schools, etc.

3. Road User Demands

- Assess the currently available transport options and services and the extent to which these are used and paid for by the user groups. Assess problems experienced in using currently available transport options and services.
- Compare the cost and quality of currently available transport options and services with the cost and quality of options and services which are expected to be provided under the project. Determine the type of improvements which are preferred.
- Determine the willingness of the expected user subgroups to pay for new/improved road use and transport services (e.g., toll fees, taxes, etc.).

4. Potential Adverse Impacts¹¹

- Identify group(s) which may be adversely affected by the project. These may include groups who may be required to relocate (including squatters) because of right-of-way acquisitions, or group(s) adversely affected by loss of income (e.g., land depreciation), loss of traditional lands and cultural property and possible exposure to health hazards (e.g., noise or air pollution).
- Prepare a socioeconomic profile for each group which would be adversely affected to describe and quantify the impact(s) on the affected group.
- Identify and assess options for avoiding, mitigating or compensating groups which may be adversely affected.¹

B. Topics to be Addressed in Project Design**1. Participatory Development Processes**

- Identify mechanisms which will enable clients and affected communities to participate, e.g., public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning aspects that would affect them. Examples may include:
 - the participation of *adversely affected groups* in determining compensation and/or resettlement options; and
 - the participation of *host communities* in determining the location and alignment of the road and acquisition of rights-of-way; maintenance of minor rural roads; formulation and testing of a new traffic system; determining the level of services necessary to accommodate the displaced population.

2. Delivery Mechanisms

- Assess the experience and capability of the executing agency to fulfill commitments made with the adversely affected group(s).

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples and Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.
- 3. Benefit Monitoring and Evaluation¹**
- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
 - Assess existing management information systems (MISs) in terms of their adequacy to enable the executing agency to provide periodic follow up to verify the continued maintenance and operation of the road and/or road transport system. If it is anticipated that neighborhood groups will maintain the road system, assess the adequacy of existing mechanisms for monitoring and providing support that may be needed for these organizations to sustain themselves.
 - Specify indicators to monitor and evaluate project operation and maintenance; and to identify adjustments required to meet the needs of user groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Appendix 8, Agriculture Department, ADB, March 1992).

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 15: AIRPORTS

A. Topics to be Addressed in the Social Analysis

1. Potential Adverse Impacts¹²

- Identify group(s) which may be adversely affected by the project. These may include groups who may be required to relocate (including squatters) because of right-of-way acquisitions, or group(s) adversely affected by loss of income (e.g., airport workers made redundant by the introduction of new technology, etc.), loss of traditional lands and cultural property and possible exposure to health hazards (e.g., noise or air pollution, traffic hazards, etc.).
- Prepare a socioeconomic profile for each group which would be adversely affected, to describe and quantify the impact(s) on the affected group.
- Identify and assess options for avoiding, mitigating or compensating groups which may be adversely affected.¹
- As much as possible, provide as much information as possible to these communities about the project; conduct dialogues with the communities that may potentially be adversely affected; and report on these dialogues and conclusions which may be reached during the dialogues.

B. Topics to be Addressed in Project Design

1. Participatory Development Processes

- Identify mechanisms for clients and potentially disadvantaged groups to participate during project design and implementation. Obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning aspects that would affect them. Examples may include:
 - the participation of adversely affected groups in determining compensation and/or resettlement options; in assessing alternative livelihoods (e.g., for displaced airport workers, etc.); and
 - the participation of host communities in the siting and acquisition of rights-of-way; in determining the level of services necessary to accommodate the displaced population in their new communities; etc.

2. Delivery Mechanisms

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples and Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- Assess the experience and capability of the executing agency to fulfill commitments made with the adversely affected group(s).
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

3. **Benefit Monitoring and Evaluation**¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goals(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy to enable the executing agency to verify that the systems have been correctly installed and to provide periodic follow up to verify the continued operation and use of the systems.
- Specify indicators to monitor and evaluate the delivery of benefits to the clientele groups identified; and to identify adjustments required during implementation to meet the needs of the groups more effectively.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 16: PORTS AND SHIPPING**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the client population which are expected to use the proposed port or shipping services and those who will benefit from it.
- Identify the subgroups within the port or transport services users (e.g., passengers, freight users, transport operators, etc).
- Prepare a socioeconomic profile for each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by occupations and income levels; access to education, health and other services.

2. Clientele Needs

- Describe the currently available transport options and services, and assess any problems which the project might address (e.g., inconvenience, loss of business opportunities, safety, etc.).
- Ascertain clients' preferences in the location and siting of the port.

3. Clientele Demands

- Determine the willingness and ability of users to pay for sea or river transport services.

4. Absorptive Capacity

- Assess the extent to which users will be expected to shift to new and/or improved port/shipping facilities, and their ability to cope with the change.
- Assess if other components can be added to increase positive social impact (e.g., rural development in small island states or isolated rural communities).

5. Gender Issues

- Identify women's roles in marketing/transporting of commodities flowing through ports.
- Identify and assess measures which may enhance the performance of these roles through activities which may be incorporated into the project. For example, assess the advantages for organizing women into marketing cooperatives, etc.

6. Potential Adverse Impacts¹³

- Identify group(s) which may be adversely affected by the project. These may include groups who may be required to relocate (including squatters) for port construction, or groups whose current livelihood will be adversely affected (e.g., coastal, rail, road, river transport operators, port workers made redundant by the introduction of new technology, fisher folk, those affected by land speculation in the port vicinity). Assess possible health hazards (e.g., noise, air, river or sea pollution, exposure to hazardous cargo materials, spread of infectious diseases, etc.). Consider if women and children are particularly at risk.
- Prepare a socioeconomic profile for each group which would be adversely affected to describe and quantify the impact(s) on the affected group.
- Identify and assess options for avoiding, mitigating or compensating groups which may be adversely affected.¹

B. Topics to be Addressed in Project Design**1. Targeting**

- If the project has potential for maximizing the access of poor people to services and income-generating or income-enhancement opportunities as a result of the proposed project, identify measures or processes which specify poverty reduction objectives.
- Identify target groups against poverty reduction criteria.

2. Participatory Development Processes

- Identify mechanisms for clients and potentially disadvantaged groups to participate during project design and implementation. Obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning aspects that would affect them. Examples may include:

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- the participation of adversely affected groups in determining compensation and/or resettlement options; in assessing alternative livelihoods (e.g., for displaced fisherfolk, port workers, etc.).
- the participation of host communities in the siting and acquisition of rights-of-way; in determining the level of services necessary to accommodate the displaced population, etc.

3. Delivery Mechanisms

- Assess the experience and capability of the executing agency to fulfill commitments made with the adversely affected group(s).
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

4. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s), and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy to enable the executing agency to verify that the systems have been correctly installed and to provide periodic follow-up to verify the continued operation and use of the systems.
- Specify indicators to monitor and evaluate the delivery of benefits to the clientele groups identified; and to identify adjustments required during implementation to meet the needs of the groups more effectively.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 17: RAILWAYS**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the client populations which are expected to be served by the railway/rail transport system that may be developed under the project.
- Identify the subgroups within the railway users (e.g., passengers, freight users, transport operators, etc.)
- Prepare a socioeconomic profile for each subgroup. Among other aspects, each profile should describe and quantify the population of each subgroup, differentiated by occupations and income levels; and access to education, health and other services. Determine if there are significant numbers of poor people who are expected to use the railway/rail transport system.

2. Clientele Needs

- Assess the needs of the client groups for railways in relation to other needs (e.g., schools, roads, health facilities, etc.).
- Assess the needs of the users for components that may complement the initial project proposal. For example, links to highways and waterways, etc.

3. Clientele Demands

- Describe the currently available transport options and services, and the extent to which these are used and paid for by the user groups. Assess problems experienced in using currently available transport options and services.
- Compare the cost and quality of currently available transport options and services with the cost and quality of options and services which are expected to be provided under the project. Determine the type of improvements which are preferred.
- Determine the willingness and ability of expected user subgroups to pay for new/improved rail transport services (e.g., new or increased station fees, passenger fares, freight charges).

4. Absorptive Capacity

- Assess the extent to which users will be expected to shift to the new and/or improved railways/rail transport system (e.g., from another mode of transport), and their ability to cope with the change.

5. Potential Adverse Impacts¹⁴

- Identify group(s) which may be adversely affected by the project. These may include groups who may be required to relocate (including squatters) because of right-of-way acquisitions, or group(s) adversely affected by loss of income (e.g., coastal, road, river transport operators, those affected by land depreciation, etc.), loss of traditional lands and cultural property and possible exposure to health hazards (e.g., noise or air pollution, rail traffic hazards, etc.).
- Prepare a socioeconomic profile for each group which would be adversely affected to describe and quantify the impact(s) on the affected group.
- Identify and assess options for avoiding, mitigating or compensating groups which may be adversely affected.¹

B. Topics to be Addressed in Project Design**1. Targeting**

- If the project has potential for maximizing the access of poor people to services and income-generating or income-enhancement opportunities as a result of the proposed project, identify measures or processes which specify poverty reduction objectives.
- Identify target groups against poverty reduction criteria.

2. Participatory Development Processes

- Identify mechanisms for clients and potentially disadvantaged groups to participate during project design and implementation. Obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning aspects that would affect them. Examples may include:
 - the participation of *adversely affected groups* in determining compensation and/or resettlement options; in assessing alternative livelihoods (e.g., for displaced river transport operators or workers, etc.); and

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- the participation of *host communities* in the siting and acquisition of rights-of-way; in the maintenance of railway tracks in rural areas; in determining the level of services necessary to accommodate the displaced population; etc.

3. **Delivery Mechanisms**

- Assess the experience and capability of the executing agency to fulfill commitments made with the adversely affected group(s).
- Assess the need for NGOs to assist as intermediaries with these group(s), define the roles which the NGOs may perform and identify criteria for selecting NGOs or other intermediaries which may be involved.

4. **Benefit Monitoring and Evaluation¹**

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy to enable the executing agency to verify that the systems have been correctly installed and to provide periodic follow up to verify the continued operation and use of the systems.
- Specify indicators to monitor and evaluate the delivery of benefits to the clientele groups identified; and to identify adjustments required during implementation to meet the needs of the groups more effectively.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 18: TELECOMMUNICATIONS**A. Topics to be Addressed in the Social Analysis****1. Clientele Group(s)**

- Identify the client population which will be served by the proposed telecommunications system.
- Identify the prospective user subgroups (e.g., commercial users, residential users, public pay phone users, etc.) to be served by the proposed telecommunications systems.
- Prepare a socioeconomic profile for the population that would be affected by a project component or subproject. The socioeconomic profile should provide information which would enable the identification of the needs, demands and absorptive capacity of each subgroup. Among other aspects, the profile should describe and quantify the population in the project area; number of households, household size and number of single-headed households; the types of housing in each area; occupations, incomes and assets; education; population density; rate of population growth.

2. Clientele Needs

- Assess the needs of the client groups for telecommunications services in relation to other needs (e.g., stable power supply, water, roads, etc.).

3. Clientele Demands

- Assess the client groups' demand for telecommunications services by identifying the proportion of the population (either business or residential) waiting for service (waiting list).
- Assess the current rate of establishing telephone connections, actual waiting times of subscriber-applicants, rates of usage of pay phones, users of subscriber radio systems (VHF, etc.).

4. Absorptive Capacity

- Assess the ability of targeted groups, e.g., the poor, to afford and use a basic level of telecommunications service.

5. Potential Adverse Impacts¹⁵

- Identify group(s) which may be adversely affected by the project. These may include groups who may be required to relocate (including squatters) as a result of any land acquisition that may be undertaken by the project, or groups whose current livelihoods will be adversely affected (e.g., workers made redundant by new telecommunications technology, etc.).
- Prepare a socioeconomic profile for each group which would be adversely affected to describe and quantify the impact(s) on the affected group.
- If the foregoing assessments indicate potential adverse impact(s), identify and assess options for avoiding, mitigating or compensating groups which may be adversely affected.¹ Consult with the affected group(s) to obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning the proposed solutions.

B. Topics to be Addressed in the Project Design**1. Targeting**

- If the project has potential for maximizing the access of poor people to the telecommunications services, identify measures (e.g., accessible public pay phones, affordable line sharing system, etc.) which would ensure that the poor will have access to these services and/or facilities.

2. Participatory Development Processes

- Consult with groups to obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning aspects that would affect them. Examples may include the participation of host communities in the siting and acquisition of rights-of-way; in identifying strategic sites for locating public call stations, etc.

3. Delivery Mechanisms

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* and *Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on indigenous peoples and involuntary resettlement.

- Determine the skills needed to operate and maintain the telecommunications system and assess the executing agency's ability, including its resources, to provide suitable staff and the necessary training for efficient operations.
- Assess the experience and capability of the executing agency to conduct the foregoing assessments with targeted communities and to fulfill commitments made with the adversely affected group(s).

4. Benefit Monitoring and Evaluation¹

- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
- Assess existing management information systems (MISs) in terms of their adequacy in helping managers guide the operation of the program (including deployment of resources) for maximum effect.
- Specify indicators to monitor and evaluate the delivery and distribution of benefits to the identified groups; and to identify adjustments required during implementation to meet the needs of groups more effectively.

¹ For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

CHECKLIST 19: POWER

A. Topics to be Addressed in the Social Analysis

1. Clientele Group(s)

- Identify the target client population that is expected to consume the power which will be produced or distributed.
- Identify and quantify the subgroups within the client population (e.g., industrial consumers, residential consumers, electric cooperatives, etc.) which are likely to have different needs and demands.

2. Clientele Demands

- Assess the ability and willingness of the major consumer groups to pay tariffs for electricity which are needed to sustain the operations of the facilities.

3. Potential Adverse Impacts¹⁶

- Identify groups which may be adversely affected by the project.
 - Determine if some groups of people will have to be relocated according to the power generation, transmission or distribution plan (e.g., from dam sites, thermal power sites, rights-of-way).
 - Determine if the project will cause the loss of farmland, grazing land, forests, streams or groundwater which support local livelihoods, provide food or water sources.
 - Determine the possible exposure of certain groups to health hazards (e.g. from downstream river pollution, vector-borne diseases through creation of breeding sites, from vibrations, fly ash from thermal power sites, hazardous wastes, explosions).
 - Determine possibility of conflict over water rights, e.g., water used for downstream irrigation diverted to cool boilers, etc.
 - Determine if traditional lands, heritage and cultural property of indigenous people will be damaged or lost (e.g., ancestral burial grounds, ritual sites, links with

plants/substances essential for traditional medicine, etc.). Determine any significant changes in affected groups' life-styles.¹

- Determine how pricing policies would affect the distribution of and access to project benefits by poor clients. Assess the ability of client groups who are defined as poor to afford a basic level of service; identify financing measures which are affordable for the poor groups on a sustainable basis.

- Prepare a socioeconomic profile for each group which would be adversely affected to describe and quantify the impact(s) on the affected group.
- If the foregoing assessments indicate potential adverse impact(s), identify and assess options for avoiding, mitigating, or compensating groups which may be adversely affected.² Consult with the affected groups to obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning the proposed solutions.

B. Topics to be Addressed in Project Design

1. Participatory Development Processes

- Consult with groups to obtain feedback through community dialogues, public hearings, referendum, formation of multipartite negotiating or monitoring teams concerning aspects that would affect them. Examples may include consultation with people in the host communities about the physical location of the project, in gaining project acceptance, in determining resettlement alternatives, etc.
- If the project will require significant support and input from clients to gain social acceptance and maximize benefits, incorporate mechanisms for prospective clients and potentially disadvantaged groups to participate during design, implementation and/or operation. Assess the factors which would motivate these groups to participate in the project, and mechanisms which may be needed to sustain the motivation to participate.

2. Delivery Mechanisms

- Assess the experience and capability of the executing agency to conduct the foregoing assessments with these communities and to fulfill commitments made to the adversely affected group(s).

¹ Staff are advised to refer to World Bank's *Operational Directive 4.20: Indigenous Peoples* until such time that Bank has formulated its own policies on indigenous peoples.

² Staff are advised to refer to World Bank's *Operational Directive 4.30: Involuntary Resettlement* until such time that the Bank has formulated its own policies on involuntary resettlement.

- Define a possible role for NGOs or other intermediaries if this has been identified as necessary. Establish the criteria which may be used to identify NGOs or other intermediary which may be involved.
- 3. Benefit Monitoring and Evaluation¹**
- Identify a few indicators of the achievement of the project output(s), purpose(s) and goal(s) for each component which would be incorporated into the "Project Targets" column of the project framework table.²
 - Assess existing management information systems (MISs) in terms of their adequacy in enabling the executing agency to verify that the systems have been correctly installed and to provide periodic follow up to verify the continued operation and use of the systems.
 - Specify indicators to monitor and evaluate the delivery of benefits to the clientele groups identified; and to identify adjustments required during implementation to meet the needs of the groups more effectively.

¹ See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

² See *The Project Framework: A Handbook for Staff Guidance*, Agriculture Department, ADB, September 1993.

PREPARING SOCIOECONOMIC PROFILES

A. Introduction

1. This appendix describes the procedures that may be used to prepare a socioeconomic profile to conduct a social analysis. While Bank staff would not prepare the socioeconomic profile, it is important that staff who supervise the preparation of a socioeconomic profile have a complete understanding of the process for preparing the profile.

2. In many instances the socioeconomic profile will be prepared by local consultants who may be engaged through a subcontract with the firm or association of firms which have overall responsibility for conducting the feasibility study. To facilitate the preparation of a socioeconomic profile a specimen TOR for a subcontract with an entity that would prepare the socioeconomic profile is presented in Annex 1 to this appendix.

B. Preparing Socioeconomic Profiles

3. There are three major steps in preparing a socioeconomic profile. These include the preparation for the survey, field investigations and analysis and report writing. Each of these phases are described below.

1. Preparing for the Survey

4. Prepare a checklist of the major topics and questions that will be the focus of the investigation. The subsector checklists presented in Chapter 4 may be used as a starting point in preparing the checklist. The questions will normally be open-ended because not all eventualities can be foreseen. The checklist and questions which emanate from the checklist provide a common set of topics and questions that are to be covered by the Profile Writer. This can be done by using a framework of simple questions, e.g., who, where, when, what, how, for how long, how much and why.

5. Prepare an implementation plan with a schedule for each phase of the survey.

6. Make logistical arrangements for transportation, housing, etc., for the field investigation. This may include the provision of advance notice to persons in the areas where the investigations will be conducted. This is also the time to identify and recruit a translator/facilitator if one is to be used.

7. Pretest the questions with several respondents in one or two locations and revise them if necessary.

2. Conducting the Survey

8. After arriving in the survey area but before beginning the survey, prepare a preliminary profile of the area using secondary information, direct observations and discussions with key informants (e.g., local government officials, merchants, school teachers, NGO representatives, etc.). Several data collection techniques and guidelines for interviewing are given below.

a. Sources of Information

9. Preliminary information may be obtained from an examination of documents, observation and direct measurement and through interviews with key informants. Information collected from these sources will help refine questions or lines of investigation that may be perused during interviews to obtain more detailed information. The latter include confidential (beneficiary) interviews, group interviews and workshops. Each of these is discussed below.

- (i) Examination of Documents. The review of documents will provide an initial picture of an area which can be further developed through observation. Fairly detailed and pertinent information is often available in existing documents. Sources include: national government agencies, records and reports of the executing agency, the government statistics office, local government agencies, suppliers of credit, village records and area-specific studies that have been prepared by academics or consultants.
- (ii) Observation and Direct Measurement. Techniques may include: low-level reconnaissance flights, driving through the area under investigation, walking through a village or a farm, a market visit and simple scientific testing. Examples of variables on which information can be gathered through these techniques are: (i) land and water use, including human and animal pressures on the resources as well as erosion patterns; (ii) current production patterns and other economic activities such as local processing industries; (iii) availability and access to economic and social infrastructure and (iv) the availability of consumer goods or other indicators of economic progress.
- (iii) Key Informant Interviews. Interviews with key informants can further refine the picture of an area. Key informants are usually readily accessible and willing to talk. They have a depth of knowledge about the area, its people, economic activities and constraints and potentials for development. Key informants may include local government officials, bankers, merchants, teachers and religious or other community leaders. These persons may be able to provide perspectives about the behavior of local people and factors which motivate their behavior. Open-ended interviews with key informant(s), either individually or in a group, often helps to highlight critical issues which can be examined in greater detail in beneficiary interviews.

- (iv) Confidential (Beneficiary) Interviews. After completing the preliminary investigations, the team will

have developed a refined list of questions to which answers may best be obtained through confidential interviews with individual beneficiaries. Representatives in each category to be interviewed can be identified with assistance from key informants and on the basis of other preliminary information. Confidential interviews should be confined to subjects on which respondents have direct experience or knowledge.

- (v) Group Interviews. Group interviews are an excellent means of gathering information about: (i) the history of an area (including changes in the natural resource base and production systems); (ii) variations in output and net income for different production systems and reasons for these changes; (iii) the expectations of families and perceived constraints and (iv) sociocultural factors that may be important in formulating the project.

Group interviews provide an opportunity for discussing sensitive topics without the participants being threatened. Moreover, group interviews help identify specific issues which should be pursued during confidential interviews. Group discussions are most useful if a two-way dialogue can be established, usually with the visiting team beginning with explicit statements of their objectives and interests, but no promises. Sometimes several meetings may be desirable, including the study team staying overnight in the area for talk over food and drinks.

- (vi) Workshops. A workshop is a specific form of group meeting on topics relating to the planned project. Workshops are more formal than simple group meetings and are more difficult to organize, but can be effective in bringing out perspectives from different sources, especially if similar development interventions have been carried out in the area earlier.

b. Guidelines for Interviewing

10. This section presents some general instructions and suggestions for (a) interviewing, (b) "probing" to expand on superficial responses, (c) dealing with "I don't know" responses and (d) recording responses.

(i) General Instructions for Interviewing

- Become thoroughly familiar with the questions and instructions in the interview guide so that questions can be asked in a conversational manner;
- Establish a harmonious and friendly relationship with the respondent before beginning the interview. If the respondent is not relaxed and comfortable, the interview may not be productive.

- Find time and place to conduct the interview so that intrusions and disturbances are minimized. In addition to causing distractions, intrusions can affect the privacy of the interview. When intrusions occur, try to protect the privacy of the respondent by diverting the intruder by satisfying his/her curiosity or by diplomatically suggesting that a conversation with the intruder might be postponed until after the interview has been

completed.

- Listen critically to the responses to make sure they are adequate and relevant to the questions asked. If the respondent engages in discussion not related to the topic, politely direct the conversation back to the topic.
- Use "probing" techniques discussed below to obtain complete answers to all questions, but never suggest an answer to a question or give opinions even if asked to do so.
- Review the interview guide at the end of the interview to ensure that all questions have been covered.

(ii) Probing

11. The quality of an interview depends a great deal on the interviewer's ability to probe, so that complete answers are obtained. Probes may motivate a respondent to enlarge on a previous response, to clarify or to explain the reasons for the response. Probes also focus the discussion on the specific content of the interview so that irrelevant and unnecessary information can be eliminated.

12. There are several techniques for probing. A brief assertion of understanding and interest (by nodding your head and saying such things as "oh", "yes", and other simple words) which show the respondent that you know he has begun to answer the question, but that you feel that he/she has more to say. Silence at this point accompanied by an expectant look or a nod of the head, allows the respondent time to gather his/her thoughts. Repeat the question if the respondent did not hear the question or appears to have misunderstood it. Repeat the respondent's reply using neutral probe questions to stimulate further thought by the respondent (like "Why do you think so?", "What do you have in mind?" or, "Anything else?"). Alternatively, the interviewer may simply say, "I'm sorry, but I don't understand." When requesting clarification, the interviewer should appear to ask this question because he/she did not understand, and not be perceived to be contradicting or "cross-examining" the respondent.

(iii) Dealing with "I don't know" Responses

13. "I don't know" responses are common, particularly among respondents with little or no formal education. These responses can be managed by using the following techniques. The "I don't know" answer can have several meanings. Perhaps the respondent did not understand the question so he answers "I don't know" to avoid embarrassment if he admits that he does not understand. Here, the interviewer should ask the question again, but more slowly and with more emphasis on important aspects of the question. The respondent may answer "I don't know" because he/she is thinking the question over and wants to say something to fill the silence. The interviewer must be sensitive to the respondent's capabilities and shift techniques to suit the situation; and be patient and allow enough time for the respondent to formulate an answer. Perhaps the respondent may be trying to evade the question because he/she is uninformed, is afraid of giving a "wrong" answer or because the question strikes him as being too personal. In such case, restore or support the respondent's trust by assuring the respondent that all information will be kept in the strictest confidence.

(iv) Rules for Recording the Responses

14. A good written interview should present a picture of what the respondent said and how he said it. To convey such a picture, the interviewer needs to follow these rules for recording.

- Record responses during the interview. This is the most accurate way to reproduce the responses. Often, relevant information is lost and distortion occurs when the interviewer tries to remember what the respondent said and writes it up later.
- Jot down key words or phrases, using the respondent's own words. Do not summarize or paraphrase the respondent's answers. Include everything that pertains to the question.
- Hold the respondent's interest, by keeping attention focused on the respondent and not on the interview guide. A good technique to hold the respondent's interest and take verbatim notes is to start repeating what the respondent has said, as you are writing the reply.
- Write out in detail the results of an interview soon after it has been completed. Interviews completed in the morning should be "decoded" by noontime or early afternoon; those done in the afternoon, should be written up by late afternoon or early the next morning.

3. Interpretation and Reporting

15. There is no rigid format for reporting the results of the survey since the length of the report will depend on the amount of detail and time spent in conducting the survey. Nonetheless, an outline of the report should be prepared prior to the conduct of the survey to make sure that the report focuses on the purpose of the survey and not on interesting anecdotes. A general specimen of an outline of a socioeconomic survey is presented in the following exhibit.

Exhibit 1**OUTLINE OF A SOCIOECONOMIC PROFILE****A. Location and Physical Characteristics**

Map (showing roads, land use, rivers, bridges, major settlement areas)
Description of location

B. Economic

Ownership of assets
 Land (e.g., amount, type, distribution, security of tenure)
 Non land (e.g., livestock, equipment, buildings)
Type of livelihood (subsistence, commercial or both)
Household income/expenditures
Skills
Employment and allocation of labor
Use and access to credit
Use and access to marketing services
Use and access to commercial inputs

C. Social Infrastructure

Access to health services
Education (primary, secondary, informal)
Water and sanitation
Housing
Roads and communications
Energy

D. Demographic

Age/Sex/Family size
Birth/Death rates
Health and nutrition (children and adults)
Migration (in and out)
Number of single parent households
Gender differentiation of households

E. Social Organization

Family structures
Social structures in the community
Information about how collective decisions are made
Local institutional structure
NGOs in the community
Level of social respect and initiative

**SPECIMEN TERMS OF REFERENCE
FOR PREPARING A SOCIOECONOMIC PROFILE
DURING THE PREPARATION OF A FEASIBILITY STUDY**

A. Introduction

1. In order to assist in the preparation of a feasibility study for the (insert name of project) (the Project), Socio-Technical Profiles (STPs) will be prepared for several proposed subprojects for use in: (i) formulating the institutional development and training activities which will be required under the project; (ii) helping to ensure that the interventions to be included in the proposed project consider the existing patterns and method of water allocations and distribution preferred by the beneficiaries; and (iii) the socioeconomic and financial analyses of the proposed project. Information from each STP may also be used for subsequent project benefit monitoring activities or project benefit evaluation studies. For preparing this information the firm which is engaged by the Bank to prepare the feasibility study (the Feasibility Consultant) may engage a qualified local consultant (the Consultant).

2. The project includes (insert number) subproject areas with a total estimated irrigable area of (insert number) hectares. The individual subproject areas are as follows: (name), (number of hectares); (name), (number of hectares); etc.

B. Nature and Scope of Work

3. The Consultant shall prepare STPs following procedures which are generally along the lines that are suggested in the attached annex.¹ The final report should contain a comprehensive STP for the entire project area and detailed STPs for several subprojects.

4. Detailed STPs shall be prepared for (insert number) subprojects. For gathering the data and presenting them in accordance with the requirement, the Consultant shall provide (insert number) profile writers (PWs) on a full-time basis. The (insert number) subprojects for which profiles are to be prepared and the number of PWs to be assigned to each subproject area are as follows:

<u>Name of Subproject</u>	<u>Irrigation Area (ha)</u>	<u>Number of Profile Writers</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
Total	_____	_____

¹ Material for this attachment may be copied from Appendix 2, para3 and Figure 1.

5. A comprehensive STP shall also be prepared for the entire proposed project area. However, this profile will be prepared on the basis of available secondary information in the project area and a reconnaissance survey of subproject areas for which detailed STPs are not prepared. Information described in para 4 will also be used in preparing a comprehensive STP for the entire project area.

6. Personnel to be selected as PWs should have the following qualifications: (i) be able to communicate effectively with farmers in the language of the locality; (ii) be able to prepare an understandable written report; (iii) be willing and able to stay and move around in the village for a period of at least two weeks at a time; (iv) preferably, have some experience in interviewing people for social or economic research; and (v) can understand English.

7. A person to be employed as a PW shall be screened by a representative of the Consultant to ensure that the above qualifications are met. However, persons selected by the Consultant as PWs shall begin work only after their employment has been approved by the Feasibility Consultant.

8. The Consultant shall train all PWs for about one week in the preparation of the benchmark information and in writing the STPs prior to the commencement of field work. The cost of the training shall be borne by the Consultant and shall be included in the contract. After completion of the training, the PWs shall proceed to their respective subprojects to begin data collection. The data gathered shall be collected and presented in a detailed STP in accordance with the format described in the manual. Each detailed STP and supporting benchmark information shall be prepared both in (insert name of language) and in English as a first draft and furnished in (insert number) copies for review by the Feasibility Consultant by (insert name). If the review finds a need for further information or improvement of the profile, the PWs shall return to the subproject area, gather further information and make the necessary improvements in the profile. The final draft of the detailed STP shall be prepared in English and printed by the local consultant in (insert number) copies each for both languages for delivery to the Feasibility Consultant.

9. The Feasibility Consultant shall provide the Consultant with necessary maps, background data and information about each subproject. The Consultant shall provide office space, office furniture, transportation and other needs such as office equipment and supplies, typists, translators and other needed personnel including training expenses of the PWs. The work under this item of the contract is scheduled to be completed within a period of (insert number) weeks, from (insert date) which is the expected date for starting the training of the PWs. The contract will also provide a period of two weeks within which PWs should be recruited and mobilized. The total contract time will be (insert number) weeks.

PROBLEM TREE ANALYSIS

1. The problem tree analysis is a graphic device which describes a problem and the hierarchy of factors which are believed to cause the problem. The problem tree organizes these cause-and-effect relationships in a way which can lead to a strategic selection of project components. This technique helps to identify the causal factors underlying what is normally seen as the *core problem*. At times the process of carrying out the analysis will lead to a conclusion that the true core problem is not the same as that originally assumed and the project strategy must be revised accordingly.
2. Because it is a visual technique, the problem tree analysis can easily be used as a tool to encourage participation both of the target clientele and of the implementing agency. Where there are significant differences in the problem tree as seen by the community compared to that of the implementing agency, then this discrepancy must be resolved before the design can be finalized. Thus for a project which will provide services that have been proposed by a line agency (e.g., irrigation, micro credit, urban development, water supply, etc.), the project design would seek to ensure that the relationship between the needs as expressed by the expected clients and those which are proposed to be provided by the agency would be identical.
3. There are two key steps in using problem tree analysis in project design. The first is the preparation of the **problem tree**, and the second is the translation of this into an **objective tree**.
 - a. **Preparing a Problem Tree.** There are two steps in preparing a problem tree. The first is the preparation of a negative statement which describes the problem. The second is the preparation of a diagram which illustrates the network of factors which are seen by the target groups as being the causes of the problem. Figure 1 presents a graphic illustration of a problem tree. For projects which may seek to solve more than one problem, it is recommended that a problem tree be prepared for each problem that is to be addressed by the project.
 - b. **Preparing an Objective Tree.** The objective tree (Figure 2) has the same configuration and content as the problem tree. The only difference between them lies in the fact that the problem tree describes the causes of a problem, while the objective tree describes the same elements as proposals to solve a problem. Narrowing the number of components to a number which is manageable within the context of an individual project may be obtained by preparing an objective tree and identifying priorities.
4. The use of these analytic devices helps to organize ideas about the needs of clients into a hierarchy of cause-and-effect relationships which can be systematically translated into a *logical framework* of project objectives and components which respond to the needs of the clients. During the design stage the content of the problem tree will evolve and change as additional information about the problem becomes available.

Figure 1: Example of a Problem Tree

Increasing
poverty

Dependence on
high interest
informal credit

No surplus

No investment

No access to
affordable
credit source

No
collateral

No bankable
enterprises

Lack of proximity
to existing credit
source

High-debt
levels

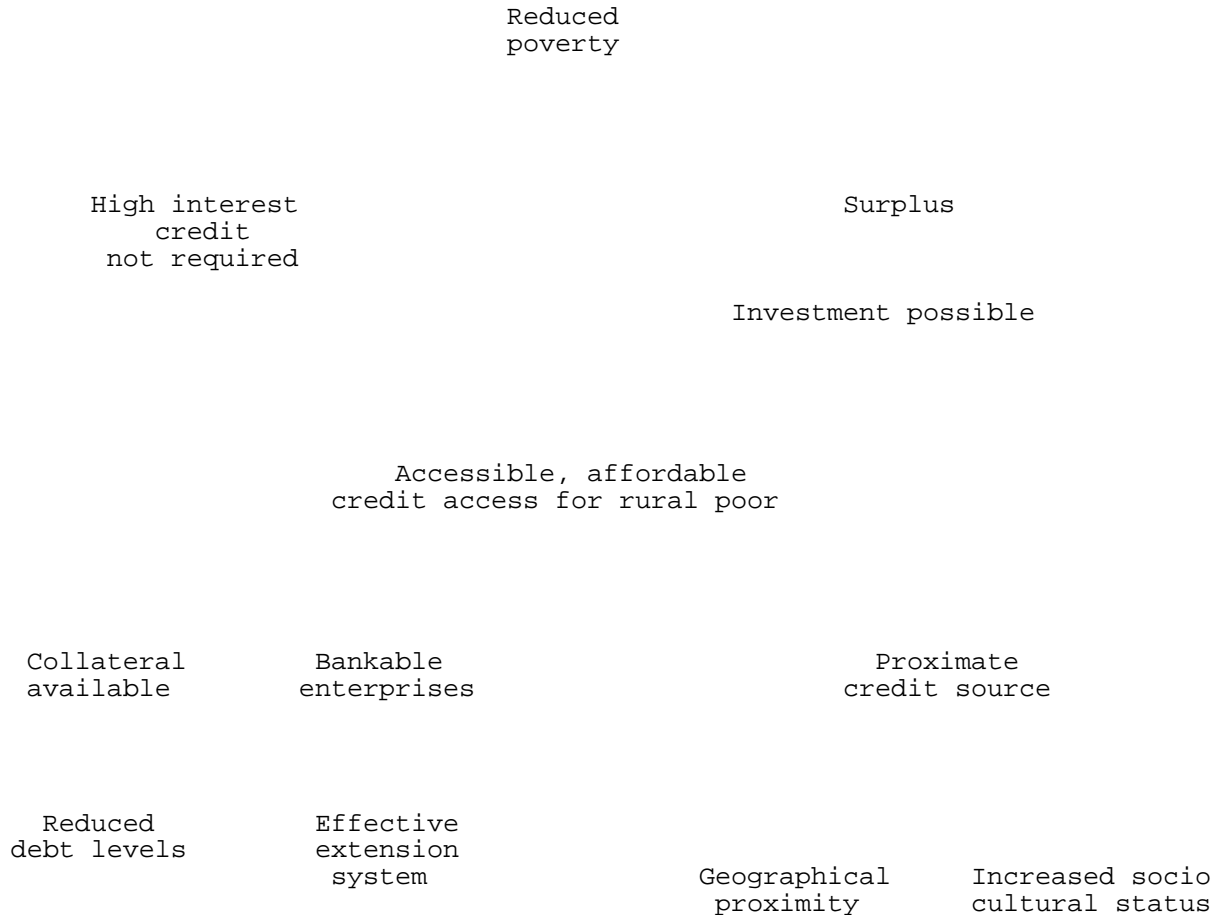
No effective
extension
services

Geographical
isolation

Low
income

Low
socio-cultural
status

Figure 2: Example of an Objective Tree



See also *Benefit Monitoring and Evaluation: A Handbook for Staff, Staff of Executing Agencies, and Consultants* (Appendix 2), Agriculture Department, March 1992.

See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Appendix 7, Agriculture Department, ADB, March 1992.

For more details, consult *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, March 1992).

4. Refer to checklists in this Handbook relevant to the subprojects being designed (e.g., Irrigation, Fisheries and Coastal Zone Management, Micro Finance Development of Micro Enterprises, Tree Crops and Plantations, Livestock, Roads and Road Transport).

The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
See also *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Appendix 6, Agriculture Department, March 1992.

See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.

See *Benefit Monitoring and Evaluation: A Handbook for Bank Staff, Staff of Executing Agencies and Consultants*, Agriculture Department, ADB, March 1992.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, Manila, Philippines, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.
The potential effects of a project on the environment will be examined during an environmental assessment conducted during the preparation of a project.

Environmental Assessment Requirements and Environmental Review Procedures of the Asian Development Bank, Office of the Environment, ADB, March 1993.