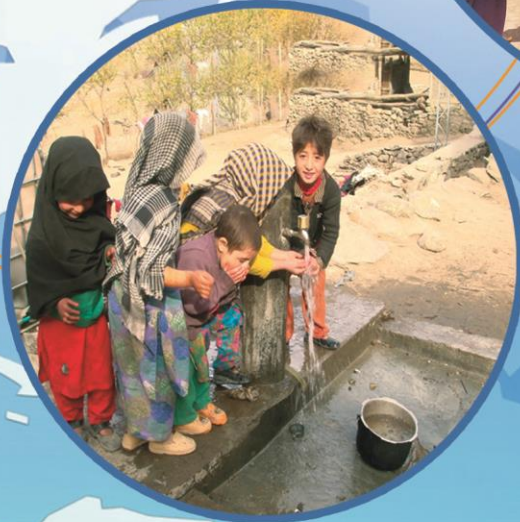


Third Party Validation

Environmental and Social Management Framework (ESMF) Compliance - 2014



Jointly Submitted by:



Global Environmental Management Services
(pvt) Limited





Global Environmental
Management Services (pvt) limited



A Joint Venture

General Manager–Procurement
Pakistan Poverty Alleviation Fund (PPAF)
1, Hill View Road, Banigala, Islamabad.

30th October, 2014

Subject: **Submission of Project Completion Report (Draft) for the Project “Third Party Validation of Environmental and Social Management Framework (ESMF) Compliance”**

Dear Sir/Madam,

We Global Environmental Management Services (GEMS) and Management & Development Center (MDC) would like to submit the Project Completion Report (Draft) in Joint Venture for the project **“Third Party Validation of Environmental and Social Management Framework (ESMF) Compliance”**

The report has been submitted for your valuable comments at your earliest. We will incorporate the comments and submit the final report.

We will be glad to provide additional information if needed.

Best Wishes,

Najam Khurshid Ph.D
Chief Technical Advisor
Global Environmental Management Services

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Chief Executive
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ACRONYMS

CPI	Community Physical Infrastructure
EHN	Education Health and Nutrition
ESMF	Environmental and Social Management Framework
FGD	Focus group discussion
GEMS	Global Environmental Management Services
IFAD	International Fund for Agricultural Development
KIIs	Key Informant Interviews
LEP	Livelihood Enhancement and Protection
MDC	Management & Development Center
POs	Partner Organizations
PPAF	Pakistan Poverty Alleviation Fund
SPSS	Statistical Package for Social Science
SWOT	Strengthen Weakness Opportunity Threats
TPV	Third Party Validation
USA	United States of America
WB	World Bank
WECC	Water Energy and Climate Change

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PREFACE

ESM Unit, PPAF awarded contract to carry out the Third Party Validation of Environmental and Social Management Framework (ESMF) Compliance Assignment in close coordination with PPAF Team to Global Environmental Management Services (GEMS) and Management & Development Center (MDC) (in joint venture). In accordance with the agreement, this project completion report is being submitted to ESM Unit.

This report on Third Party Validation (TPV) was prepared to verify compliance with ESMF during the period July 01, 2012 to June 30, 2013. In doing so the study covered issues including compliance to environmental and social aspects, effectiveness of training components, comments and apprehensions over design and implementation of schemes under ESMF, effectiveness of Partner Organizations and the training they received from PPAF and in turn imparted at village level, and identification of gaps in design and implementation along with recommendations.

This external assessment of ESMF also covered a detailed examination of various reports and communications including QPRs, and details on training imparted to PO's, by PPAF and from PO's to community members. In doing so, following activities undertaken by PPAF were focused:

- Selection of participating PO's (focal persons) was made by keeping in view their relevant background with ESM,
- Workshops conducted with hands on learning opportunities through group work,
- Level of emphasis put on compliance with ESMF in field,
- Plans to follow up various activities,
- Opportunities for effective linkages promoted among the participants through use of available electronic technologies,
- Emphasis placed on subsequent training to PO staff, CO's, VO, and LSO's,
- Training plans on specific issues in different regions,

EXECUTIVE SUMMARY

Based on cumulative results of effectiveness of Partner Organizations (PO's), the study shows that small size PO's were relatively less effective in performing their task. This does not mean that such PO's be discouraged or excluded from the process. Rather, efforts are needed to strengthen such type of organizations at the local level through a revision of selection criteria. This would also require that areas with no or lower coverage of developmental activities be focused sharply in order that a balanced approach is ensured to spread development works and hence to establish and strengthen village level informal regulatory institutions.

The training component of PPAF's efforts in this regard was observed as weak. In addition to providing additional training on a regular basis to PO's, who eventually act as master trainers, it is considered equally important to ensure that the efforts are transmitted at VO and LSO levels. Simultaneous efforts would be required to identify, attract and train a larger number of small scale PO's in pursuit of establishing village level informal regulatory institutions.

The process of receiving QPR's was observed as slow and irregular. A somewhat decentralized approach (either at district or divisional level) of PPAF's efforts would help establish a more productive process to observe the strength and weaknesses of the programme based on which it would be far more efficient to judge the overall effectiveness of the efforts being made.

Whereas the interventions through LEP activities are likely to create a faster pace of economic activities at the local level, it is equally important that adherence to environmental aspects are followed and observed. The performance based indicators being used to reflect PO's performance levels need a fresh look in order that these remain in conformity to the overall sustainability of the programme.

In order to maintain transparency, it is important that the process of documentation followed by PO's covers legal covenants. For example, the documents carrying signature or thumb impression of individuals do not show C.N.I.C (computerized national identity card) numbers without which the authenticity of the very documents will always remain in doubts. Non adherence to such a basic identity of individuals (which is considered a minimum requirement in Pakistan to establish identity) may appear as counterproductive to the entire efforts being made at PPAF towards alleviation of poverty.

Similarly, at the level of PPAF the entire process of documentation needs to be electronically based. This will undoubtedly help improve exchange of information at all levels. The structure of Forms A and B are currently not effectively designed. It neither provide sufficient detail on the level of understanding of the responsibilities by the communities, nor do these remain properly authenticated from a legal point

of view. Even the revised versions of these forms to be used in future need changes accordingly.

The extensive sets of data received by PPAF from field needs to be used for generating research based knowledge which can iterate and interact with ongoing activities at PPAF level towards planning for new approaches and dimensions in design and implementation of its future activities.

The extensive field level data obtained in the process could also be used by academia to generate scientific and research based knowledge which can be fed into the planning process at PPAF to provide new ideas and to help uncover the diversity, complexities and underpinnings of rural development in Pakistan.

It was also observed during study that the social issues related to development aspects are not understood and carefully examined. A very cursory treatment to social aspects in the process was observed. What needs to be done in this context is to combine environmental and social aspects to a meaningful level ,and to disseminate through training in order that the local communities clearly understand the usefulness of both the aspects and play their due role towards the sustainability of efforts being made to alleviate poverty from their locality.

The responses on the mitigation measures taken by the communities towards the durability and thus sustainability of the development schemes was observed as far and few. A very low proportion of community members revealed their views and extended comments on the developmental work in their area. This assertion was similar on both occasions when they were contacted during the TPV study i.e. at the survey of schemes through observation and during focus group discussion. The fear of being critical to relevant PO on the development of schemes combined with a lack of ownership to the work tends to explain the weaknesses in process of training and overall relationship between the PO's and the community members.

Another important factor towards weak responses of communities on mitigation measures relates to the financial arrangements made and released to communities. An upfront and aggressively disseminated, and sufficiently structured budgetary allocation needs to be made towards the fulfillment of mitigation measures. The communities need to remain aware explicitly towards the allocations made and the rules to be followed in utilizing the same.

Local informal regulatory mechanism needs to be strengthened to achieve institutional strength at village level. As a first step, assessment of economic impact of developmental schemes needs to be carried out at the earliest. As a result, this will help identify gaps, lack of effectiveness, and changes in the poverty levels of the poorest sections of the society. A careful balance needs to be maintained between developmental activities of CPI, WECC, Health and Education schemes on one hand and LEP related activities on the other hand.

In subsequent phases, it would be extremely important that any review or validation exercise carry a deeper analysis of gender imbalances and ensure that women participation is visible and participatory. There is a need for establishing additional quantitative indicators through which gender balancing could be judged.

PPAF has come up as an umbrella organization to address the needs of the poor masses and to make its developmental initiatives more efficient through trickle down effects at the lowest level. So, there is a need to decentralize the process of locating expertise and the monitoring process for facilitating at district or regional level to provide a forum for VO's and LSO's to interact among themselves in exchanging their successes and failures, and new ideas. Resultantly, it will help the initiatives to empower local informal institutions in playing their role in reducing poverty levels. In subsequent phases, the efforts could be extended to gain further experience at international levels. PPAF can take a direct lead in this respect by ensuring annual or bi-annual congregations through seminars/conferences. However, the strength of such efforts will depend to the degree to which these local level organizations conduct these activities without requiring formal assistance from PO's.

1 BACKGROUND AND INTRODUCTION

The Pakistan Poverty Alleviation Fund (PPAF) is the lead apex institution for community-driven development in the country. Set up by the Government of Pakistan, as an autonomous not-for-profit organization, PPAF enjoys facilitation and support from the Government of Pakistan, The World Bank, International Fund for Agricultural Development (IFAD), KfW *Entwicklungsbank* (Development Bank of Germany) and other statutory and corporate donors. PPAF aims to be the catalyst for improving the quality of life, broadening the range of opportunities and socio-economic mainstreaming of the poor and disadvantaged, especially women. The core operating units of the PPAF deliver a range of development interventions at the grassroots/community level through a network of more than 100 Partner Organizations across the country. These include social mobilization, livelihood support, access to credit, infrastructure and energy, health, education and disaster management.

1.1 ENVIRONMENT AND SOCIAL MANAGEMENT FRAMEWORK

Environment & Social Management Framework (ESMF) was prepared and implemented to set out the environmental assessment procedures required by PPAF and its PO's to assess the environmental consequences of village level developmental schemes.

Following were the objectives of ESMF:

- Prevent execution of interventions with significant individual or cumulative negative environmental and social impacts;
- Minimize potential individual and cumulative negative impacts by incorporating mitigation measures at the design stage, and implementing mitigations at the implementation stage of the interventions;
- Enhance the positive impacts of interventions; and
- Protect environmentally sensitive areas from additional disturbances from human interventions.

The procedures in the ESMF were designed to:

- Facilitate PPAF and partner organizations (PO) to adopt intervention specific structured environmental assessment formats;
- Enable PPAF and PO's to monitor the implementation of ESMF on the basis of intervention specific structured environmental assessment formats;

On the basis of the environmental and social screening, the ESMF proposed following types of environmental assessments for PPAF interventions, discussed below:

- An *Environmental Review (ER)* for this ESMF is defined as a confirmation statement that the intervention qualifies the minimum environmental criteria; proposed mitigations measures and costs are made part of the proposal and implemented accordingly; and finally the proponent verifies the same at the completion stage;
- A *Social Review (SR)* is defined as preliminary examination of an intervention from social perspective and identifying any issues related to it.

1.2 DISSEMINATION AND ENFORCEMENT STRATEGIES AND ACTION PLAN

The ESMF disseminated and its compliance made mandatory, through a multi-pronged strategic framework, as follows:

The following dissemination strategy was adopted:

- Capacity building of PPAF and PO's in environmental and social monitoring and evaluation;
- Organize environmental dissemination and training events on the basis of proposed action plan; and
- Networking with the national and provincial environmental and social institutions.

Following the capability enhancement of PPAF and its PO's, environmental and social reporting and monitoring was carried out in the framework of the following enforcement strategies:

- Start an enhanced environmental / social reporting regime;
- Periodic internal monitoring by PPAF Units and ESMF; and
- Outsource the annual ESMF monitoring to an eminent environmental and social development organization.

As per the action plan, the ESMF was disseminated among all stakeholders as a set of tools, through events, including seminars, workshops and roundtable discussion. An annual dissemination action plan encompassed: (a) One seminar on the environmental selected topic, one national workshop on ESMF compliance and presentation of success stories, and one roundtable discussion (b) One workshop in each province on the selected issues in collaboration with Provincial PO's Networks or a leading PO, and (c) PO's to organize two internal environmental workshops;

environmental focal persons trained in the regional training workshops served as the master trainers. Invitation on these events was extended to all major stakeholders, and their proceedings were circulated to all the invitees. Again, a number of leaflets were published on specific environmental and social issues and a culture of e-alerts created throughout the network of PO's.

Social reporting regime involves reminding the POs that ESMF compliance is mandatory, and asking them to submit ESMF compliance reports according to the prescribed format. Based on these reports, ESMG prepares consolidated quarterly reports on monitoring and environmental events. Based on quarterly internal monitoring report by different units, ESMG is required to compile consolidated compliance quarterly reports on ESMF compliance. In addition, an annual Environmental & Social Monitoring and Auditing of ESMF is required to be prepared by an external organization, which will be published and distributed to all the POs and other stake holders.

1.3 IMPLEMENTATION OF ENVIRONMENT AND SOCIAL MANAGEMENT FRAMEWORK

The ESMF has been enforced through Environmental & Social Management Group (ESMG) and other units placed in PPAF, and will also ensure appointment of environmental and social experts at PO level. Key responsibilities of ESMG included:

- Implementing the 'Dissemination & Enforcement Strategy, and Action Plan;
- Ensuring that environmental mitigations given in ESMF are part of the PO proposals;
- Carrying out physical verification of the claimed ESMF compliance;
- Preparing quarterly ESMF compliance report and Annual Environmental Report;
- Maintaining environmental database and its integration with existing GIS;
- Coordinating with all PPAF Units for the effective compliance of ESMF; and
- Coordinating with the external environmental monitor for the annual external monitoring.

It was mandatory to have one position for Environmental Managers/Assistant Managers/Focal Persons in the large and medium PO's. Small PO's will nominate existing CPI coordinator as Environmental Focal Person. The environmental personnel in PO's is responsible for incorporating ESMF requirements in the project proposal, and to ensure that agreed environmental mitigation presented in the proposal have been implemented, periodic environmental monitoring conducted, and to submit the monitoring reports to ESMF.

It is not enough to follow the stipulated procedures only as a routine by the concerned organizations and teams. It is equally important for all the concerned persons and organizations associated with PPAF to build capacity to implement the requirements of the ESMF in its real sense and spirit.

In order to facilitate the persons and organizations involved with the PPAF funded projects/interventions, a separate volume of Reference Material and User Guidelines (RMUG) was compiled to support and elaborate the technical details of the ESMF. The RMUG contains (i) Pakistan environmental profile, (ii) Relevant national and local environmental legislation, (iii) Detailed description of environmental issues attached to different types of PPAF interventions, and (iv) General frameworks for initial environmental/Social examination, and environmental impact assessment.

It is mandatory under the ESMF for all the project teams and organizations involved with the PPAF projects to make available copies of ESMF and RMUG at their offices and train their concern staff so as to implement the ESMF in its real sense and spirit. E/SR document consists of following three heads:

- Environmental/Social guidelines for conducting E/SR
- For specific intervention: These guidelines present a brief of environmental/social issues relevant to each intervention, issue specific environmental information, and possible mitigations. These guidelines are included in the E/SR document to apprise the proponents about environmental and social issues, identification of environmental impacts, reasoning behind environmental impacts and environmental mitigations.
- Form-A: Environmental/Social Criteria and Mitigation Plan: comprises two sets of actions (i) Application of environmental/social criteria, and (ii) Implementation of proposed mitigation plan. (It is reiterated here that the current study i.e. Third Party Validation will primarily focus on ESMF as a set of tools only and will not be concerned with not the interventions in various sectors and sub-sectors.)
 - (i) Environmental/Social Criteria: It will be applied to ensure that the intervention specific environmental criteria are used to screen the proposal on the basis of specific ground information and realities. Compliance to the criteria leads to the approval of project implementation, and non-compliance leads to amendment in the proposal or further investigation, or drop the proposal.
 - (ii) Mitigation Plan: Here it will be ensured that the mitigation plan being proposed remains intervention specific.
 - (iii) Mitigation measures will be included in the proposal along with their costs and later will be implemented as per proposed Implementation Plan.

1.3.1 Implementation of World Bank Safeguard Policies

It will be monitored to ensure compliance of the World Bank operational policies and avoiding adverse social / environmental effects. Following are the relevant OP's which will be monitored during third party validation process.

1.3.1.1 OP 4.01 Environmental Assessment:

This project has been classified as Category B and to ensure that this OP was implemented for those interventions where it is necessary and proposed mitigation measures were adopted as given in ESMF.

1.3.1.2 OP 4.04 Natural Habitat:

Keeping in view that most of the interventions are small but ensure that they should not cause any negative impact on natural habitat and Protected Areas and proposed mitigation measures were adopted as given in ESMF.

1.3.1.3 OP 4.36 Forestry:

Ensure that the project interventions do not create any negative impact on forest conservation/reforestation activities, especially with reference to the livestock and animal grazing and proposed mitigation measures were adopted as given in ESMF.

1.3.1.4 OP 4.09 Pest Management:

It will strictly monitor the level of pesticides, fertilizers and other chemicals used in the project areas, and that the proposed mitigation measures were adopted as given in ESMF.

1.3.1.5 OP 4.11 Cultural Property:

Ensure that project activities should not create any disturbance in the areas of cultural interest. Where the location of facilities in such areas becomes necessary, prior approval of the concerned regulatory body should be obtained and all other legal obligations should be adopted as proposed in ESMF.

1.3.1.6 OP 4.10 Indigenous People:

Ensure that all the project interventions should not disturb any indigenous group in the Project's geographic area. However, if any, IP group is identified; it should be documented and dealt with the Bank's procedure proposed in the ESMF.

1.3.1.7 OP 4.12 Involuntary Resettlement:

Ensure that this IR should be implemented accordingly and where necessary the procedure provided in ESMF should be adopted.

1.3.1.8 OP 4.37 Safety of Dams:

Ensure that all the safety and precautionary measures are taken at site selection, designing and implementing stages as proposed in the ESMF.

1.3.1.9 OP 4.20 Gender and Development:

Ensure that the gender participation is well evident during implementation and O&M stages. Further, ensure that their reasonable percentage is present in community organizations and project management committees as proposed in the ESMF.

1.3.1.10 OP 7.60 Projects in disputed areas:

Ensure that all the Project interventions should take place in all federating units of the country as mentioned in the project document, including Azad Kashmir and adopted the guidelines proposed in the ESMF.

Completion Certificate: Form-B is the confirmation at the completion stage that the proposed mitigation plan has been implemented. Four persons will sign the Completion Certificate. Three belongs to the PO and project teams and one person from the community organization. It is important to note that verification by the community organization person is required to confirm that the community organization should understands the importance of environmental aspects and impacts and has verified that the same have been incorporated during the project implementation.

Form B: Completion Certificate

Mitigation Measures	Confirmation	In case of non-compliance state reasons
	Write Yes or No	
Primary and secondary Information has been generated and incorporated in the proposal to confirm that intervention qualifies the minimum criteria		
Design and implementation stage mitigation measures Have been Implemented		
Environmental/Social Assessment Prepared By	Name: Designation:	Date:
Environmental/Social Assessment Implemented By	Name: Designation:	Date:
Implementation Verified By CO Representative	Name: Designation:	Date:
Environmental/Social Assessment Implementation Report Checked By	Name: Designation:	Date:

2 LITERATURE REVIEW

The third party valuation (TPV), of the environmental and social aspects of implementing various development activities, at the village level by PPAF and its partner organization (PO's) during 2011-2012, was conducted by WWF-Pakistan. The report consists of various desk studies and field level assessment. It focused on the 4th edition of ESMF and made some recommendations for future improvements.

The report indicates a number of shortcomings of ESMF guidelines in the light of existing environmental policies in the light of existing environmental policy framework of Pakistan. However, in doing so it focused heavily on the "mechanism" of guidelines. In so far as the compliance of the environmental and social aspects and their outcome at the community level are concerned, the TPV report followed a cursory approach. In view of its desk assessment it largely focused on the status of compliance with form A and form B where it shows, that 50 PO's out 55 sampled i.e. 97 % received form A whereas only 24 PO's reported availability of form B.

During this study, it was observed that non-availability of requisite forms at the PO's level is one factor that shows weaknesses in compliance. However, the legal and technical aspects of forms A and B and their likely consequence on the overall compliance were not assessed in the report.

Similarly the indication that 73 % of community organizations were familiar with PPAF hardly leads to any conclusion.

As observed in this study, the major deficiencies in Forms A and B include the following:

Form A;

- i. Does not carry any signature, name or date.
- ii. It only shows agreement or disagreement with environmental and social criteria.
- iii. In certain cases, the form A does not even reflect an agreement on taking mitigation measures
- iv. The document has no legal status (any one can print it)

Form B;

- i. In one case of irrigation channel in upper GB, the form B carries name of one person (A lady who prepared environmental/social assessment report as well as it was checked by her which is a clear case of conflict of interest and that also without any signature) in what respect such a scheme was accepted by the PO/PPAF.

- ii. In a scheme on Foot Bridge in district Ghizer (where the PO was AKRSP) the form B does not carry printed section to reflect the project title as well as location. It also does not carry signature by any engineering section and environmental section heads implying a very irregular and incomplete process was followed but was accepted.
- iii. The submitted forms do not carry any legal certification of the persons who sign it as well as their signature/thumb impressions not accompanied by copies of CNIC. (Computerized National Identify Card) numbers.

The effectiveness of training and dissemination of precautionary measures for health and safety was measured with a sample of 5 schemes which may be misleading. The poor status of water quality tests (based on 9 schemes covered under the study) showed extremely low compliance (i.e. in every 2 out of 3 cases where water quality was not tested as per guidelines).

In case of irrigation channel constructed, it was astonishing to note that whereas the report shows no change in the flow of water and the ecology, still it was claimed that 568 households benefitted. The definition and level of benefits were not explained. Despite the shortcomings of the study in terms of fewer schemes covered in each sector/ sub-sector and a heavier reliance on deviation (or gaps thereof) from legislative structure of ESMF guidelines, the study showed weakness in imparting training and poor compliance at the village level¹.

2.1 SPECIFIC VIEWS AND RECOMMENDATIONS OF SENIOR LEVEL OFFICIALS AT PPAF ACROSS DIFFERENT SECTORS/DEPARTMENTS AND THE WORLD BANK

A. Health and Education (HEN) Section:

- Form A is not known or familiar with.
- Social mobilization is extremely important following which communities can be established.
- At the community level the transfer of land for schemes is a big hurdle.
- Working with 60 old PO's, new PO's need to be established.
- Coordination amongst various departments like I.D, ESMR, HEN and M & E is weak and currently this is in a struggling phase.
- Form "B" is largely related to repair and renovation but not schemes.

¹ "Env & Social Monitoring and Evaluation of PPAF Interventions" Final Report (9th of July, 2012), World Wide Fund for Nature (WWF-Pakistan)

- Training is needed all across i.e. PPAF and its specific units, PO, CO level to help reduce the levels of drop outs and knowledge deficiency.
- Monitoring work has become more difficult given the short time allocated.
- Field observation covers more details as compared to filled in form.
- PO's control the fees but do not report.
- Health management committees at CO level have to cover financial matters.
- Patients are largely referred elsewhere instead of giving treatment.
- Training framework still remains to be completed.
- Refined indicators are needed for each intervention e.g. schools for deaf children.
- QPR's are not shared with sector/unit experts and not prepared regularly.
- QPR's on impact is not submitted to specific unit but only to ESMU
- The process of follow-up on all matters is rather weak.
- Training on natural habitat is not imparted.
- No integrated visits to schemes were made with MER section.
- There is a need to rank PO's according to their performance by sector in order to ascertain the strength and weakness of PO's.

B. Community Physical Infrastructure (C.P.I) Section:

- There is a need to integrate all schemes with respect to environmental and social issues i.e. negative externalities affecting the overall environment are identified and reduced.
- I.D's independent evaluation needs to be carried out to ensure that the beneficiaries correctly understand the importance of environmental and social issues and remain vocal in expressing their views so that PPAF remains fully aware of success and failure of interventions.
- A horizontal integration is required in assessing the pros and cons of each scheme in order that unidentified or unknown or otherwise unreported negative externalities of one scheme do not affect the overall performance of other schemes. For example, facilitating one person through credit to open his own enterprise with positive impact on his income may at the same time create negative externalities of excessive solid waste which will damage the environment and in turn will affect everyone in the neighborhood.
- Form "B" should be with reference to time.

- In case of form “A” some schemes are missing
- Compliance should be judged on an ongoing basis.
- Some PO’s performance with respect to compliance is poor.
- PO’s do not sign on form B.
- Inter temporal training programme is needed for community members.
- Additional caveats are needed in the agreement in order that the CO’s remain more informed and effective in compliance.

C. Water, Energy and Climate Change (WECC) Section:

- Environmental review is prepared by the respective PO, which may cause conflicts of interest. Third party should carry it out. The PO’s, in most of the cases, are not trained and equipped to carry out the task, from a technical point of view.
- The PO’s are generally not up to the mark. They need more training and vigilance.
- The questions and the checklists are too simple. The format needs to be changed.
- The allocation of four percent of total cost for mitigation measures needs to be reviewed and rationalized.
- The CO. level capacity is poor. They do not correctly understand the process.
- Fixed financial budgetary structure without any allowance for contingencies may restrict certain mitigation needs which may crop up from somewhere across time and location. This may cause delays and/or deficiencies in the functioning of a scheme
- I.D. & ESMR should jointly meet PO’s for training purposes.
- Form “A” needs to mention clearly that the PO imparted training to community members and its effectiveness was realized at CO level.
- Form “A” needs to be expanded in order that the communities understand the process of compliance.
- There is a need for an environmental specialist at PPAF/ESMR level.
- New approaches for dissemination are needed e.g. cell phones, FM radio, etc.
- Form “B” needs revision. It should highlight differences between actual and planned targets.
- Forms “A” and Form “B” should also be in local languages

- There is a need for joint training of environmental and social workers.
- The component of drainage must accompany all irrigation schemes.
- QPR's are not submitted with form "A".
- A third form in between "A" and "B" be introduced to reflect midterm situation

D. Institutional Development (I.D) Section:

- There is a need for comprehensive indicators to assess PO's strength.
- Separate training by ESMR is needed and not by I.D.
- There is also a need to modify the check list in order that the level of awareness of community is correctly understood.
- The questionnaire should also be in local language in addition to English.

E. The World Bank, Resident Mission, Islamabad:

- Field visits need to be mentioned in the TPV report.
- Cumulative effects may also be included in the report.
- Over emphasis on documentation at PPAF needs to be avoided.
- More emphasis on actual impacts needs to be placed.
- 4TH edition of ESMF be used for TPV report.
- Forms "A" and "B" be completed for all schemes. Whenever information in documents is found in consistent with field observation, the situation be reported and QPR's be used as counter a check.
- Pit falls in training programme be identified.

Conclusions:

The detailed discussion with key informants at PPAF helped in identifying short falls and areas where the improvements are considered necessary in order that the cumulative effectiveness of PPAF role is enhanced.

- i. An adequate balance needs to be maintained between the autonomy of each section and the level of joint working across all sections, given the mandate and roles assigned to each section. A closer link in this respect would result in the level of economies of scale leading to lesser budgetary constraints but more so the effectiveness of linkages across sections is likely to cause significant gains through quicker and simultaneous dissemination of information at all levels at PPAF.

- ii. The process of documentation seems slow and carries defects. The slow pace could be attributed to excessive documentation as well as less effectiveness of PO's documents (e.g. irregularity in the submission of QPR's from PO's and very little attempts made at PPAF to accelerate the pace). In particular, forms "A" & "B", in terms of their contents are weak or ineffective from a legal point of view. The structure of these forms is shallow in the sense that they carry extremely limited information on the role and bindings of all stakeholders on the vary schemes to which these are related. In addition, a lack of proper identification of the signatories reduces these documents as insufficient and incomplete. (e.g. nowhere in any document the computerized national identification card (CNIC) numbers of signatories have been given). In such a scenario, doubts may be raised over transparency of the process, which would be damaging. It is therefore suggested that in all future documentations particularly with reference to community members, indication of CNIC number (along with a copy of the CNIC card) be made compulsory to avoid issues which may be raised from different quarters.
- iii. The activity of imparting training and subsequently disseminating to CO's through PO's is central to the entire process. The related aspects of understanding and adherence still need to be reviewed. A set of criteria needs to be established to ascertain the effectiveness of training imparted to PO's and CO's. The training is vital as it carries the potentials to jell the relationship between PPAF, PO's and CO's. The rest of the correspondences among them are not interactive and as such are not so vibrant. It is suggested that frequent sessions of training be conducted as refresher courses. Similarly, an assessment of the effectiveness of training programme be carried out by external sources
- iv. A regular and consistent pattern of submitting QPR's by PO's was not observed. This is a strong indication of P.O's lack of compliance to ESMF. Given a relatively smaller base of functional NGO's/CBO's in the country, a weak adherence towards QPR's submission may reflect existence of a non-competitive environment within which a PO may not consider itself to achieve excellence. This assertion is consistent with an earlier argument on the need to associate new PO's. If a CO, which has performed well in the context of compliance, mitigation measures and sustenance of its scheme over time could itself create the basis for supplying a new breed of PO's. A networking of effective CO's in a region seems conducive towards this end. The PO's are needed to be ranked on the basis of their performance levels. At PPAF, the QPR's should be shared with sector experts as well. Similarly, QPR's on impact assessment should also be shared.
- v. The emergence of negative externalities from a scheme should also be assessed in the light of overall effectiveness and compliance of the scheme.

- vi. The process of social mobilization with communities is weak and needs more focus before community organizations are established.
- vii. A heavier bias in favor of bigger and older PO's be reduced, and large number of smaller size PO's need to be identified/established for greater and effective coverage of rural communities suffering from abject levels of financial and social poverty.
- viii. Higher emphasis be placed on the quality of resource persons in the reflection of PO's.

2.2 ABSTRACT FROM FOURTH JOINT INTEGRATED MONITORING REPORT OF PPAF IN BALUCHISTAN (APRIL 23- 26-2013)

Name of PO: Taraqee Foundation (TF)

District: Loralai, Baluchistan

Number of COs formed: 170 COs (153 male + 17 female)

Sectors covered: ID, CPI, Health, and Education and Disaster mitigation & preparedness program (DMPP)

General gap statement:

- Many CO's formed through support of TF are still not registered with Social Welfare Department and that has caused hurdles in opening of bank accounts in the name of CO's. Currently, cash flow is routed through joint account of CO members which is not correct in terms of acceptability to PPAF.
- Female participation level is less than required level of 40 percent.
- Social mobilization process was not provided as per requirement to ensure sustainability of its effects.
- Female literacy rate at Loralai is low (9.2%) which limits formation of female CO's.
- Consolidation of services delivery by PO at UC level needs improvement instead of schemes implemented at diverse locations.
- Nonfunctional health units (owned by Health Department) were made functional by PO, but still not taken over back by Health Department.

Key recommendations for partner Organizations:

- PO's level of understanding about theory of change needs to be made more effective in the context of effective social mobilization process.

- The process involved in PO's service delivery needs to be restructured to ensure ESM awareness and its compliance during implementation stage.
- PO must strengthen operation and maintenance activities especially in CPI sub-projects
- PO needs to ensure increased participation of females, youth and disabled persons.
- Environmental aspects are needed to be incorporated in area profile.
- The PO must ensure installation of PPAF's sign boards.
- Coordination of CO's needs to be encouraged with Government and other NGO's.
- Effective linkages of CO's and PO's needs to be promoted.
- Exit strategy also needs to be improved by the PO for all future interventions.
- Evaluation of the effectiveness of trainings, especially those given to the females, needs to be made.
- PO's should be encouraged to submit integrated project proposals.

2.3 FOURTH JOINT INTEGRATED MONITORING REPORT OF PPAF IN LORALAI, BALUCHISTAN APRIL (25-26, 2013)

Name of the PO: Participatory Integrated Development Society (PIDS), Loralai District: Loralai, Baluchistan

Numbers of Cos formed: 262 CO's (with 5269 male and 2147 female members)

Sectors covered: LEP, Water and Energy

Gaps Statement and Key Recommendations area almost the same as above

2.4 PPAF-III ABSTRACT FROM Q.PR, JULY-SEPTEMBER, 2012 OF PPAF (ENVIRONMENTAL AND SOCIAL SAFEGUARD)

Status of compliance towards ESMF:

During the quarter under report (July-September, 2012) the overall progress in mainstreaming the ESMF principles showed relative improvements as detailed below:

- Improved reporting by PPAF Partner Organizations (PO), such as 75 out of 97 active PO's provided their progress on ESMF compliance that represents 81 % of PPAF-III portfolio of the Quarter.

- 27 PO's conducted in house trainings on ESGM for their staff and held sessions for their CO, VO, LSO.
- Environmental and social audit was conducted in Badin District of three PO's and a sample of 33 schemes was reviewed for compliance, and actions were agreed for improved compliance.
- Six capacity building workshops were conducted by ESM unit of PPAF for 150 participants of 56 selected PO's. The feedback of participants and suggested improvements were incorporated in ESMF document.

Key points of Non Compliance observed:

During the period 21-24 July, 2012, field monitoring team (ESMU) of PPAF reviewed 19 schemes in Tehsil Tando Bago of NRSP and HANDS (PO's), and 14 schemes in Tehsil Badin of BRDS (PO) and the following points of noncompliance were noted:

- Safe distances for locating bio-gas plants and hand pumps from dumps were not maintained.
- Water test for storage reservoir at Haji Khan Muhammad were not conducted.
- Only 2 out of 5 hand pumps in Khalifo Qasim were functional.
- Solar power scheme at Khalifo Qasim was partially functional.

2.5 PPAF-III ABSTRACT FROM QPR-JANUARY-MARCH 2013 OF PPAF (ENVIRONMENTAL AND SOCIAL SAFEGUARD)

Status of Compliance towards ESMF:

During quarter under report (January-March 2013), key points of the overall progress are reproduced below:

- Improved reporting of 95 PO's (out of 100 active PO's) representing 95 % of the total PPAF-III portfolio invested till March 31-2013 indicates good compliance in terms of coordination between PPAF and PO's.
- Capacity building measures consisting of three trainings events for 71 participants from 24 PO's were conducted for the dissemination of the newly prepared ESMF guidelines and forms for LEP interventions.
- Feedback from the PO's, participating on use and practicality of the forms and suggestions of additional guidelines were used to revisit and refine the forms.

Summary of field Monitoring visits by ESMF-PPAF:

During the quarter, four monitoring activities were conducted by four PO's in the districts of Tharparkar, Omarkot, Bahawalpur and Layyah, and 65 schemes of six sectors were reviewed. Findings are as under:

- Knowledge of PO staff about ESMF was found adequate.
- Inadequate filling of form A and B was observed.
- Water testing for biological contamination was not conducted.
- Inadequate O & M plan.
- Recommended distances specific to schemes were not observed.

Table 1: Abstract from PPAF-III QPR, July-September, 2012

Ref: Table # 6.1: Training conducted by PPAF for POs							
Dates (s)	No of TS	No of PT	PO's.		Topics covered	Key Learnings	Plan of Action
			#	Locations			
July 11-13 2012	1	26	26	Punjab	<ul style="list-style-type: none"> PPAF core values focus environmental responsibilities Orientation to ESMF QPR indicators and reporting Hands on field based practical on the ESMF tools 	<ul style="list-style-type: none"> ESMF language needs revision ESMF needs to include LEP guidelines Guidelines for microcredit need to be more specific and realistic Issues related to water testing sanitation and water quality need more explanation for remote areas 	<ul style="list-style-type: none"> Appointment of focal point for ESMF by PO's Preparation and submission of ESM-QPR's Action plan for ESM ad dissemination workshops within each PO and at community level led by PO itself Annual plan for conducting ES audit by PO itself
July 13-14 2012	1	12	05	Punjab	<ul style="list-style-type: none"> PPAF core values focus on environmental responsibilities Orientation of ESMF QPR indicators and reporting 	<ul style="list-style-type: none"> ESMF needs revision guidelines & forms) ESMF need to be translated in local languages 	<ul style="list-style-type: none"> Appointment of focal point for ESM by PO's Submission of ESM-QPRs Action plan for ESM and dissemination workshops within each PO and community level led by the PO itself Annual plan for conduction ES audit

Ref: Table # 6.1: Training conducted by PPAF for POs

Dates (s)	No of TS	No of PT	PO's.		Topics covered	Key Leanings	Plan of Action
			#	Locations			
					<ul style="list-style-type: none"> Hands on field based practical on ESMF tools 	<ul style="list-style-type: none"> Guidelines for microcredit have to be realistic and should not have increased paper work 	
July 17-19 2012	1	37	13	ICT, GB & KPK	<ul style="list-style-type: none"> PPAF core values focus on environmental responsibilities Orientation to ESMF QPR indicators and reporting Hands on field based practical ESMF tools 	<ul style="list-style-type: none"> "The same as above" 	<ul style="list-style-type: none"> "The same as above"
July 17-19 2012	1	32	11	Baluchistan	<ul style="list-style-type: none"> PPAF core values focus on environmental responsibilities Orientation to ESMF QPR indicators and reporting Hands on field based practical ESMF tools 	<ul style="list-style-type: none"> List of interventions needs to be updated by including all schemes being supported by PPAF Issues related to water testing sanitation and water quality need more explanation for remote areas ESMF shall address or keep provision for specific issues of the region that can affect 	<ul style="list-style-type: none"> "The same as above"

Ref: Table # 6.1: Training conducted by PPAF for POs

Dates (s)	No of TS	No of PT	PO's.		Topics covered	Key Leanings	Plan of Action
			#	Locations			
						compliance	
July 18-20 2012	1	15	07	ICT & GB	<ul style="list-style-type: none"> • PPAF core values focus on environmental responsibilities • Orientation to ESMF • QPR indicators and reporting • Hands on field based practical ESMF tools 	<ul style="list-style-type: none"> • ESMF needs revision especially the guidelines and the forms • Issues related to water testing , sanitation and water quality need more explanation for remote areas • List of interventions needs to be updated by including all schemes being supported by PPAF 	<ul style="list-style-type: none"> • “The same as above”
July 18-20 2012	1	28	10	Sindh	<ul style="list-style-type: none"> • PPAF core values focus on environmental responsibilities • Orientation to ESMF • QPR indicators and reporting • Hands on field based practical ESMF tools 	<ul style="list-style-type: none"> • The same as above except one additional as under ESMF needs to be translated into Sindhi language 	<ul style="list-style-type: none"> • “The same as above”

Ref: Table # 6.2: Trainings on ESM conducted by POs for CO,VO LSO							
Dates (s)	No of TS	No of PT PO,CO,VO & LSO	PO's.		Topics covered	Key Leanings	Plan of Action
			#	Locations			
July – Sept 2012	24	528	10	KPK & GB	<ul style="list-style-type: none"> Environmental and social assessments & management Shopping bags & solid waste management Social and Environmental audit Social and Environmental safeguards/conflicts resolution ESMF introduction & ES audit QPR, form A and form B for ESM compliance Banned Pesticides & insecticides 	<ul style="list-style-type: none"> Knowledge about ESM enhanced Understanding about ESM guidelines and it application built Staff of PO, and members of CO,VO,LSO educated on need and importance of ESM in rural setup Small steps identified for ESM safeguards ESM manual was reasonably understood Training resulted in capacity building Contents of ESM importance, compliance and procedures was adequately understood 	<ul style="list-style-type: none"> ESM compliance will be incorporated in field activity ESM will be made operation at community level Compliance of ESM will be ensured Mainstreaming ESM in full action plans if PO's & CO's Raising community involvement in ESM compliance Follow up actions for capacity building of CO members in sustainable manner

Ref: Table # 6.2: Trainings on ESM conducted by POs for CO,VO LSO							
Dates (s)	No of TS	No of PT PO,CO,VO & LSO	PO's.		Topics covered	Key Leanings	Plan of Action
			#	Locations			
July to September 2012	27	688	9	ICT & Punjab	<ul style="list-style-type: none"> • Safe & secure environment for the students • Recycling and setting of environmental standards • Dumping annual waste • Increased plantations • Environmental and social management • ES audit and QPRS • ESM for livestock • ESM for handicrafts • O & M for CPI schemes 	<ul style="list-style-type: none"> • Sensitization for environmental safeguards at schools creates sustainable impact • Healthy environment is sustained • Awareness about adequate use of animal wastes enhanced • Increased trees cover reduce pollution • Importance of ESM realized • Disposal of livestock waste regulated • Providing healthy environment in work place • Sustainable benefits are secured 	<ul style="list-style-type: none"> • Parents & teachers will collaborate for this endure • To set up pro-active team • Voluntary agreement on proper uses of animal waste • Explicit commitment for planting by CO members • Proper implementation of ESM • Follow up measures to follow • Hands on training/ demonstration • Commitment and money generated
July to Sept	23	1273	8	Sindh	<ul style="list-style-type: none"> • ES safeguards and conflicts resolution 	<ul style="list-style-type: none"> • Awareness raising about ESM • Credit officer 	<ul style="list-style-type: none"> • Preparation of work plan on ESM • CO will educate farmers

Ref: Table # 6.2: Trainings on ESM conducted by POs for CO,VO LSO							
Dates (s)	No of TS	No of PT PO,CO,VO & LSO	PO's.		Topics covered	Key Leanings	Plan of Action
			#	Locations			
July to Sept 2012	03	40	02	Baluchistan	<ul style="list-style-type: none"> Banned pesticides Animal health & hygiene ESM management Disaster risk management ESM for Agriculture Introduction of ESM, form A and Form B ES assessment and management 	<ul style="list-style-type: none"> educated made aware on banned pesticides and its harmful impacts Benefits of healthy livestock realized by CO members/farmers Awareness about ESM raised Preparedness for DRR Adequate use of Agro-inputs Awareness of participants raised about use of ESM Form A and Form B Conceptual clarity about ESM built 	<ul style="list-style-type: none"> borrowers about negative impacts of banned pesticides Farmers/livestock keepers will modify the existing practices in livestock management Sensitization of villagers DRR plan is prepared Agriculture extension services Circulation of ESM guidelines Mainstreaming ESM in field interventions

Key

TS: Training sessions, **PT:** Participants, **P.O.'S:** Partner organizations, **V.O's:** Village organizations, **L.S.O:** Local support organization & **ESMF:** Environmental Social Management Framework

The industrial pollution control standards are though similar in developed and developing countries, the patter largely suffer from the absence of clearly defined and disseminated legally binding regulations, limited institutions and capacity, lack of appropriate instruments/equipment's and inadequate information on emissions. The paper however reflects the commonly held views that absence of such factors cause high pollution-intensive production system. It further claims that comparison of developed and developing countries in such situation shows insignificant difference in interplant variations. The paper reviews evidences drawn from three empirical studies of plant-level abatement practices conducted during 1992-94. The analysis focuses on differences in factors like plant characteristics, economic considerations and external pressure in determining environmental performance.

The result consistently shows that pollution intensity is negatively related with scale of operation, productive efficiency and us of new process technology. It was positively and strongly related with public ownership, variability in external sources of pressure, community action or informed regulation, emerges as a clear source of interplant difference in all three studies. It also suggests that local income and education are powerful prediction of the effectiveness of informed regulation.²

Asian countries which are also compared with a set of countries in other region (including, Western Europe, East/Central Europe, Australia/New Zealand US/ Canada Middle East and Africa). Drawing over 8,700 surveys of firms in 104 countries, the study demonstrates substantial country and regional levels difference in CSR. The surveyed firms, embedded in different country context, with differing underlying institutional capacities, strongly reveals relationship between CSR and country economic, Political and social contexts reflecting country's development of such institutional capacity to promote and support CSR practices.

Whereas the concept of Third Party Validation (TPV) is generally not new in literature, TPV in the context of environmental and social sustainability and the framework for rural community development initiatives is a rather recently emphasized approach. This review of literature on the subject focuses sharply on recent approaches followed or prescribed in order that new and modified approaches for achieving the goal of long term sustainability of developmental efforts remain effective. The experience of IFAD, particularly with reference to its framework based on 2007-10 period, provides ample evidences of deficiencies in approaches, and the guidelines for corrections to be made by highlighting neglected dimensions of rural poverty causing ineffectiveness and failures.

Based on desk study and followed by case studies, IFAD prepared a collection of occasional papers on Sustainability of Rural Development Project highlighting best practices and lessons learnt in Asia. Regarding sustainability as principal theme in IFAD's efforts to assist in rural and agriculture activities, it was also seen as a

² (Ref: Determinants of pollution Abatement in Developing countries: Evidences from South and South East Asia by Hemamala H., Mainul H., Sheoli P. and David w. World Development, Vop.24, Issue 12. Dec. 1996, pp 1891-1904)

challenge. As a result, IFAD's strategic Framework 2007-2010 established sustainability as its key concern. The result of evaluation of first two years of its framework shows sustainability improved from 40 percent in 2007 to 67 percent in 2008. However, 50 percent of projects in 2007 were regarded as moderately satisfactory for sustainability while 33 percent were regarded as unsatisfactory. In its quest for higher level of sustainability, of which this paper was the outcome, IFAD aimed at providing guidelines on sustainability. In doing so it suggested a framework for design and implementation of development projects it funded in Asia and the Pacific region.

By highlighting multiple dimensions of sustainability, the framework gave following definition of sustainability:

“Ensuring that institution, supported through projects and benefits realized, are maintained and continue after the end of project”

In response, it changes its emphasis from a solitary focus on institutions to other dimensions of sustainability as well. It recommended four essential dimensions:

- **Institutional Sustainability:** Functional institutions will be self-sustaining after the project ends
- **Household and Community Residence:** Resilient communities are readily able to anticipate and adopt to change through clear decision making process, collaboration and management of resources that are both internal and external to the community.
- **Environmental Sustainability:** An environmentally sustainable system must maintain a stable resources base, avoid overexploitation of renewable resources and preserve biodiversity.
- **Structural Change:** The structural dimensions of poverty are addressed through the empowerment of poor and marginalized rural households.

The assessment of funded projects revealed a mix of success and failure. In specific terms it learnt that:

- Most projects programs focused on institutional sustainability. The purpose was to leave a legacy of functional institutions (which could be people's own established institutions or private sector organizations or government institutions) that will be self-sustaining once the projects end.
- The second dimension, household and community resistance has not received much attention. Similar treatment was given to the establishment of environmentally sustainable production system. It further accepted the fact that due to the dependence of most rural communities on a limited natural resource

base, environmental sustainability is considered critical to the maintenance of household income and assets accumulation.

- The issue of structural dimensions of poverty that tends to perpetuate social inequality was also not addressed sufficiently. This required that the rural community is empowered to overcome poverty through the use of marketable skills and access to social services.

As a consequence of above, IFAD placed greater emphasis on an integrated approach to address the issue of project design, implementation, supervision and evaluation. The major lesson learnt from past practices created the basis for following guidelines³:

- Development models leading to sustainability must be responsive to the operating environment,
- Key elements of a sustainability strategy should be introduced early in the project design phase,
- Promote household resilience by incorporating a risk management approach,
- Country level programmes should adopt flexible project design and implementation mechanisms to changes in the operating environment,
- Special attention should be devoted to improved monitoring and evaluation systems that facilitate and document progress towards sustainability,
- Alternate approaches should be considered for improving intervention in natural resource management,
- Use of existing community assets and structures needs to be prioritized for the establishment of new institutions.

³ **Ref:** (Sustainability of Rural Projects in Asia; Best Practices and Lessons Learnt by IFAD in Asia Occasional Papers, Knowledge for development effectiveness. Tango International 2009)

3 METHODOLOGY

3.1 OBJECTIVE OF THE STUDY

The main purpose of the present study is to assess the implementation performance of environmental and social safeguards by PPAF as an Organization as reflected in PPAF's Environmental and Social Management Framework (ESMF), effectiveness of ESMF as a tool for the purpose, as well as compliance with the requirements as set in it, by Partner Organizations (PO's) in PPAF assisted interventions as well as PPAF itself.

3.2 OPERATIONAL DEFINITION

All PPAF assisted interventions have to undergo the screening of environmental and social risks as defined in the Environmental and Social Management Framework (ESMF) to ensure compliance of environmental and social safeguards in order to avoid or mitigate any negative impacts on the physical, biological and social environment caused by PPAF supported projects/subprojects.

In all 16 PO's in Punjab, Sindh, KPK, Balochistan, Gilgit-Baltistan and ICT were covered in the assessment. The list of PO's is presented in **Annex -1**. The schemes assessed were related to the following sectors;

- i. Community Physical Infrastructure (CPI);
- ii. Water Energy and Climate Change (WECC);
- iii. and Education Health and Nutrition (EHN)

The list of 34 schemes belonging to various sectors/subsectors assessed is presented below:

Water Resources Development

- i. Tube wells – drinking water
- ii. Tube wells – irrigation in canal irrigated areas
- iii. Tube wells – irrigation in dry areas
- iv. Hand pumps
- v. Open well
- vi. Rain water harvesting ponds
- vii. Check dams
- viii. Delay action dams
- ix. Water tanks (O.H,O.G,U.G)

- x. Water channels - Mountain Areas (< 2' x 3')
- xi. Watercourse (new, rehabilitation, lining)
- xii. Kareezes
- xiii. Land leveling (irrigation)

Technological Innovation

- i. Wind mills (i.e. coastal areas of Balochistan and Sindh)
- ii. Micro-hydel – Less than 1 MW
- iii. Micro-hydel – 1 to 5 MW
- iv. Micro-hydel- More than 5 MW
- v. Desalination plant (for ≤100 Households)
- vi. Biogas Plant (for ≤100 Households)
- vii. Solar energy (for ≤100 Households)
- viii. Energy efficient innovations (stoves)

Access/Circulation Internal

- i. Culverts
- ii. Street surfacing/lining (brick soiling, concrete or local material)

Access / Circulations External

- i. Bridges
- ii. Cause ways
- iii. Retaining walls
- iv. Link roads – plain areas
- v. Link roads- mountain areas

Wastewater Management

- i. Sanitation schemes (latrines, T-Chambers, drains, and oxidation pond)

Other Projects

- i. Solid waste management (for ≤100 Households)
- ii. NRM project (Natural Resource Management)

- iii. Security lights
- iv. Jetty

Integrated Projects

- i. Area up-grading
- ii. Drought mitigation & preparedness

Social Sector Development

- i. School
- ii. Basic health unit/dispensary

3.3 STUDY DESIGN AND SAMPLING METHOD

As per TOR, this study focused on 1967 schemes completed by PPAF during the period July 2012 to June 2013. These development schemes covered four sectors namely Community Productive Infrastructure (CPI), water, Energy, and Climate change (WECC), Education and Health.

During the period of July 2012-July 2013, the sector-wise number of schemes completed across four provinces of Pakistan, Gilgit Baltistan, AJK, FATA and ICT constituted the population for which a representative sample of schemes was drawn. The total number of completed schemes during period is as under in **Table 2:**

Table 1: The Total number of Completed Schemes during July 2012-2013

S.No	Province	Sector					
		CPI	WECC	Health	Education	Total	Provincial share
1	Sindh	93	205	0	323	621	32 %
2	Punjab	105	16	0	237	358	18 %
3	Baluchistan	150	65	34	200	449	23 %
4	KPK	282	27	0	86	395	20 %
5	Gilgit Baltistan	60	3	0	40	103	05 %
6	ICT	6	0	0	8	14	01 %
7	FATA	0	18	0	2	20	01 %
8	AJK	0	7	0	0	7	
TOTAL						1,967	100

In order to draw a representative sample of the provincial distribution of all 1,967 schemes, a proportional sampling method, with 96 percent confidence level and an specification error of 17:6 percent, was used which suggested a sample size of 96 schemes

Provinces	Projects (ALL)	P	1-p	p (1-p)	Z	z^2	e	e^2	$z^2[P(1-p)]$	$z^2[P(1-p)]/ e^2$
Sindh	621	0.32	0.68	0.216	1.96	3.842	0.176	0.03	0.83	26.79
Punjab	358	0.18	0.82	0.149	1.96	3.842	0.176	0.03	0.57	18.46
Baluchistan	449	0.23	0.77	0.176	1.96	3.842	0.176	0.03	0.68	21.85
KPK	395	0.20	0.80	0.160	1.96	3.842	0.176	0.03	0.62	19.90
GB	103	0.05	0.95	0.050	1.96	3.842	0.176	0.03	0.19	6.15
ICT	14	0.01	0.99	0.007	1.96	3.842	0.176	0.03	0,03	0.88
FATA	20	0.01	0.99	0.010	1.96	3.842	0.176	0.03	0.04	1.25
AJK	7	0.00	1.00	0.004	1.96	3.842	0.176	0.03	0.01	0.44
	1967									95.73
Confidence Interval = 1.96 Specification Error = 17.6 %										

Keeping in view the suggested sample size of 96 schemes, efforts were made to cover all four sectors across provinces, in accordance with the sample design

A stratified cum random sampling approach was followed in covering 96 schemes across provinces. Within each province, the sectoral coverage was made randomly with an aim to cover the diverse type of 34 schemes completed by PPAF, through 20 participating organizations (PO)

One major difficulty faced in field was that very few schemes related to health and education were initiated/completed during 2012-13. As such efforts were made to cover a higher number of schemes related to CPI (Community Productive Infrastructure) and WECC (Water, Energy and Climate change) to achieve a sample target of 96 schemes

The field survey was completed across sectors which gave following distribution:

CPI	41 Schemes
WECC	47 Schemes
Health & Education	08Schemes
TOTAL	96 Schemes

The 96 schemes thus covered showed a diverse pattern where 27 types of schemes against 34 completed by PPAF and implemented by the participating organization of varying capacity implemented the schemes were focused.

In addition to 96 schemes, a total of 31 FGD's (Focused Group Discussions) and 24 KII (Key (Informant Interview) were also conducted during the survey across provinces (see annexure tables for details)

3.3.1 Designing of Survey Instruments and Surveyor's training

In the light of the TOR's for the study, different instruments were designed and separate questionnaires were developed for each of the 27 types of schemes. In addition, different sets of questions were prepared i.e. for 31 focus Group Discussions, and 2 sets of questionnaires for key informant interviews (KII's) (Copies of survey instruments annexed)

The enumerators were largely from within the collaborating partner i.e. M/S GEMS, Karachi and M/S MDC, Hyderabad. Those inducted from outside were well educated and experienced. The enumerators were provided different training sessions in Karachi and Hyderabad, where they were appraised on the rationale of the study and type of information needed to be collected form field. The questionnaire on the observation of schemes required that the enumerators should

also observe the location and functioning of the schemes through examination of the relevant documents and visual observation in addition to the directly addressed question contained in the questionnaire.

The designed questionnaire had two sets of queries i.e. one related to the verification of the mitigation measures and the other one on views and suggestions of the community members. The enumerators were sent on pre-testing of questionnaire during the training in order that the adequacy and relevance of the instrument is better understood.

3.4 DATA COLLECTION PROCEDURE

The draft questionnaires were used to impart training to the field enumerators. The three days training sessions was held in Hyderabad which was fully attended by all field teams. During the training the participants were sent in field to pre-test the questionnaires following which the field instruments were finalized.

The training covered different aspects of field surveys i.e. purpose of the study, significance of the schemes to be covered, and institutional set up, sampling framework. This was followed by sessions where the participants were given detailed description of ESM framework, process of its compliance, the institutional set up like CO's, VO's, LSO's who implemented the schemes and were given the tasks of taking mitigation measures during and after the construction of the schemes in their area.

The training sessions imparted heavily focused on the type of environmental and social aspects of the framework. The participants were guided to focus on the verification of the compliance to the framework instead of confirming them. For each of the 27 schemes samples from a total of 34 (completed during the period July 2012-July 2013) a separate questionnaire was designed in the light of compliance of the framework. Nearly half of the questions asked in each questionnaire was open ended where the V.O members were asked to give their views, comments and suggestions. They of questionnaires administered in field included the following:

1. Observation Based Questionnaire: (Scheme specific for all 96 schemes)
2. Focus Group Discussion: (31 Selected schemes)
3. Key Informants Interviews: (24 Interviews from project managers)

*Copies of all field instruments have been provided in **Annexure-2**.

The task of data processing was initiated soon after the start of field surveys. During data processing, software like Excel and SPSS were used to categorize the data into tables and charts highlighting pertinent aspects of the developmental work under the schemes and the level of compliance to ESMF.

3.5 DATA ANALYSIS

The three sets of surveyed data were analyzed separately. The first set of data pertains to the survey based on observations of 96 schemes. The second set is related to 31 Focus Group Discussions and the third set provides information on Key Informant Interviews. The detailed tables are annexed.

3.5.1 Survey of schemes

Table 3 summarizes the information on 96 sampled schemes across provinces, partner organizations and sectors. It shows coverage of 41 CPI (Community Physical Infrastructure), 47 WECC (Water, Energy and Climate Change) and 8 schemes on Health and Education sectors.

It shows higher preferences for WECC schemes in larger land resource based provinces of Baluchistan and Punjab. In the province of Sindh, and GB region a higher preferences were observed for CPI schemes. These revealed preferences are understandable in the context of relative scarcity of resources of land and water in these regions. In case of KPK province the preference to WECC schemes was marginally higher than CPI schemes. The thin coverage of schemes related to health and education i.e. only 8 schemes out of 96 from all regions was due to the fact that very few were implemented despite planned efforts by PPAF to cover these sectors in significant proportions as reflected from the details on schemes covered during 2012-13.

Since the coverage of various schemes within each province was randomly done (as mentioned in section 3.4), the distribution of schemes reveals further details on the type of schemes which shows specific needs of rural communities at various locations (**Table 3 presented above**).

Table 2: Sampled Schemes across Provinces, Sectors & Participating Organizations

Sector	Scheme	Participating Organization	(# Sampled Schemes)																				
			Balochistan			Gigit/ Baltistan		KPK			Punjab							Sindh			TOTAL		
			BRSP	PIDS	TF	AKRSP	MGPO	EPS	SRSP	SABAWON	NRSP	FDO	FDO/Haryali Kissan Committee	FDO/Kissan Awaiz Committee	RCDS	SAP-PK	SAP-PK/Amreer Kissan Committee	SAP-PK/Malook Kissan Committee	SAP-PK/Dhroon Wala Kissan Committee	BRDS		NRSP	SIRSP
			9	4	6	4	4	7	3	7	3	3	1	2	5	5	1	1	1	7	18	5	96
CPI	Desalination Plant (for <= 100 HHs)		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	1
	Culverts		-	-	-	-	-	-	-	-	-	-	-	1	1	1	-	-	-	-	1	1	1
	Street Surfacing/lining (brick soiling, concrete or local material)		-	-	-	-	-	1	1	1	1	1	-	-	-	1	-	-	-	-	2	-	8
	Bridges		-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	1	1	1	4
	Retaining walls		1	-	-	1	2	-	-	1	-	-	-	-	-	-	-	-	-	-	1	1	7
	Link road - plain areas		-	-	-	-	-	-	-	1	1	-	-	-	-	-	-	-	-	1	1	-	4
	link road - mountain areas		-	-	-	1	-	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	3
	Sanitation schemes (Latrines, T-Chambers, drains & oxidation pond)		1	-	-	-	-	-	-	-	-	1	-	-	-	1	-	-	-	-	3	-	6
	Solid Waste Management (for <=100 HHs)		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	1
Security Lights		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	1	
	TOTAL		2	-	-	3	2	2	2	3	2	2	-	1	1	3	-	-	-	3	#	3	41
WECC	Tubewells (Drinking Water)		-	-	-	-	-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	1
	Tubewells (Irrigation in canal Dry areas)		-	-	-	-	-	-	-	1	-	-	-	-	1	1	-	-	-	-	-	-	3
	Tubewells (irrigation in canal irrigated areas)		-	-	-	-	-	-	-	-	-	-	1	-	-	-	-	-	-	-	-	-	1
	Hand pumps		-	-	-	-	-	1	-	1	1	-	-	-	-	-	-	-	1	2	-	1	7
	Rainwater Harvesting ponds		2	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4
	Check Dams		-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1
	Delay Action Dams		-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1
	Water Tanks (O.H, O.G, U.G)		1	1	1	-	1	2	1	1	-	-	-	-	-	-	-	-	-	-	2	-	10
	Water Channels (Mountain Area < 2' x 3')		2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	3
	Watercourse (new, Rehabilitation, lining)		-	-	1	-	1	1	-	-	-	-	1	-	1	-	1	-	-	-	1	-	7
	Karezes		1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2
	Land leveling (irrigation)		-	-	-	-	-	-	-	-	-	-	-	1	-	-	-	-	-	-	-	-	1
	Micro-hydel (less than 1M W)		-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1
	Biogas Plant (for <= 100 HHs)		-	-	-	-	-	-	-	-	-	1	-	-	1	-	-	-	-	-	-	-	2
Solar Energy (for <=100 HHs)		1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	-	-	-	3	
	TOTAL		7	4	4	1	2	4	1	4	1	1	1	1	4	1	1	1	2	4	2	47	
School		-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	1	-	3
Basic Health Unit / Dispensary		-	-	1	-	-	1	-	-	-	-	-	-	-	1	-	-	-	-	1	1	-	5
			19			8		17			22							30			##		

Source: Survey of Schemes Based on Observation

Out of a total of 41 CPI sampled schemes, the major emphasis was observed on Schemes related to street surfacing (8), retaining wall (7), culverts and sanitation (6 in each), thus covering nearly 66 percent of CPI schemes (i.e. 27 out of 41). The pattern of preferences, so depicted, in case of WECC schemes portrays 10 schemes for water tanks, 7 for hand pumps and watercourse rehabilitation each, covering over 50 percent of 47 schemes sampled from WECC sector. The pattern of social sector schemes, though with a small proportion of less than 9 percent (8 out of 96 schemes), shows 50 percent in Sindh and 25 percent in Baluchistan which, nevertheless, remain consistent with the relative state of social sector development in these regions.

As evident from the structure of 27 questionnaires (each designed and administered separately for sampled schemes, Annexure Tables A-2.1), there were two sets of questions asked i.e. one focused on direct and binary questions related with the compliance to ESMF, the other set of questions were on open ended questions where the members were asked to give their views, comments, apprehensions, suggestions, towards various aspects of compliance to ESMF.

The open ended responses of community members were fairly large in numbers and carried diversity as those belonged to 27 different schemes in different locations. As such those responses were categorized in four sets of tables (annexed in table A-3.5.3.1 to A-3.5.3.16).

The first category looks at simple comments on the implementation of schemes which largely seems satisfactory in terms of compliance to ESMF. However, the rate of response was limited to few schemes. For example, in case of 47 WECC schemes only 104 comments were given. Of this, nearly 50 percent were related to such compliances like hand pumps, water ponds and water tanks were installed away from latrines and waste dumps, or community was trained for monitoring/maintenance or projects benefits were shared by all or the schemes were built away from historical and cultural sites.

Similarly in case of CPI schemes, same guidelines were adhered. A major concern that arises from these comments is that the rate of response was very low. For example, in case of 47 WECC schemes a total of 104 comments were given by the community members or for 41 CPI schemes only 68 comments were received. For social sector schemes the rate of comments was not only low but also less diversified. The critical responses to the implementation of schemes were though even fewer than those affirming the implementation work on schemes, these were nevertheless more valuable. These highlighted a number of cases where other guidelines were not followed properly.

In addition to general comments received from community members, the specific comments on mitigation measures related to environment and social aspects taken during and after completion of work were also recorded. The comments whether affirming or reflecting lack of adherence to the guidelines in implementing schemes,

a vast majority of the respondents preferred to remain silent in expressing their full views. A plausible explanation against this silence may include, but not limited to, the following:

- The low rate of response is itself an indication of weak institutional strength of village organizations (VO's) and local support organizations (LSO's) for which the relevant PO cannot out rightly be held responsible. This discreet silence from rural based impoverished communities can be traced in the historical background where they were exploited in all respect. In short it can be argued that what they receive under the umbrella of development is always likely to appear as some kind of benefit they never received before. In this very context, how can they be vigilant, watchful and critical even when they receive sub optimal outcome and environmentally and socially unsustainable package of benefits? The real effectiveness of such communities rests in the sustainability of their institutional strength. Nevertheless, this pattern of weak responses could partially be attributed to PO's performance.
- Another reason may relate to contemporary situation where either due to respect for local elites (who are directly or indirectly related with the formation the PO) or their fear that keep these community members quiet at times when they are expected to stand in favor of their community.
- Another functional explanation could be that the training imparted by the PO to the community members was not up to the expectation or that the training received by the PO's from PPAF was not as effective as expected.

In so far as the role of community in taking the ownership of the developmental work and sustaining it is concerned, it appears that the current efforts by PPAF towards compliance of environmental and social aspects of projects could sustain if the effectiveness of the training of PO's viz-a-viz of the communities is constantly improved. A system of training based on inter temporal sessions and its validation by independent sources is likely to generate constant flow of information to be brought under research forums to identify and construct pillars of stability to establish village level institutional framework. Based on the effectiveness of such approaches emergence of local level informal institution will create the basis for long term sustainability of future developmental work.

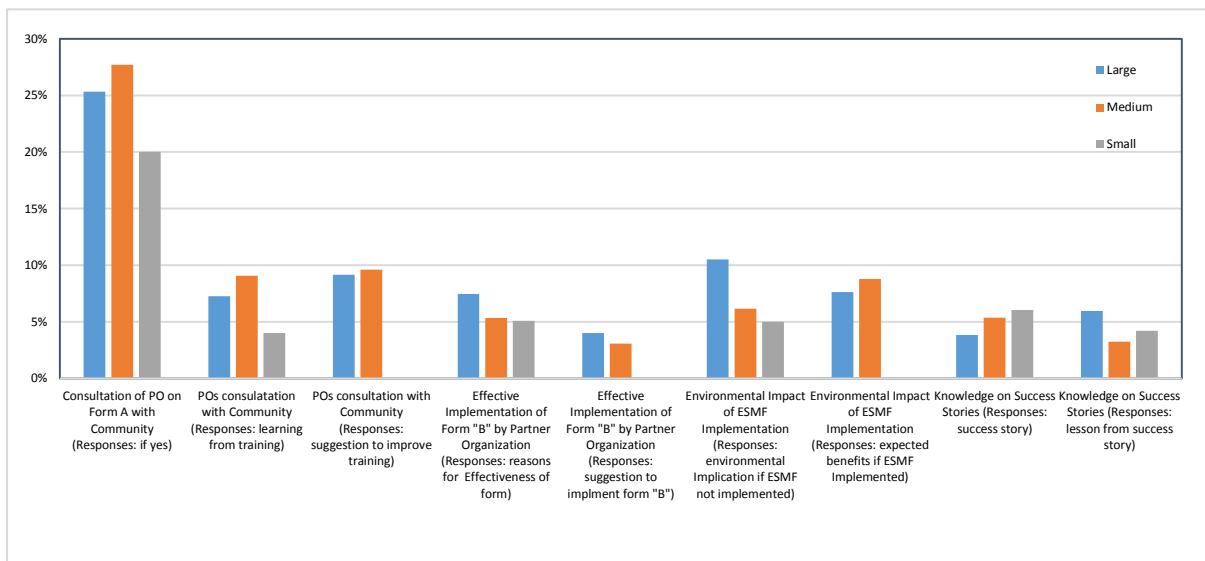
3.5.2 Focus Group Discussion

The other instrument used under the study was based on FGD (Focus Group Discussion). A total of 31 sessions of FGD's were conducted across all regions to jointly consult local community members to obtain their views on specific schemes in terms of adherence to framework by respective partner organizations.

The responses of the groups' were also categorized and interrelated to shed light on

the level of performance of PO's. The methodology employed was based on measuring the degree to which the community was informed and trained by partner organization to comply with ESMF requirements. The qualitative and quantitative data thus obtained was used to learn about the community's level of awareness about ESMF and compare the size of PO and its relationship with level of education and gender variations.

Figure 1: Open Ended Observation of FGDs with Respect to Size of Partner Organization



In response to nine different questions, the obtained responses were assigned weights for each question asked. The attached chart reveals levels of responses measured as percentage of theoretically maximum achievable. The levels of responses thus measured shows extremely low level of awareness of community with the guidelines under ESMF. In order to be more specific, the P.O.'s were categorized into small, medium and large based on their scale of operation in the region.

In response to whether the respective PO has consulted Form A with the community, it was astonishing to note that even consultations was reported by less than 30 percent of the participants of the FGD across all sizes of PO's .

The training imparted by respective PO was reported by less than 10 percent, with small size PO falling below 5 percent. The process of consultation on improvement of training was also reported by less than 10 percent. There was no consultation reported by small size PO's.

Very limited responses were revealed on consultation on Form B preparation and even lower levels on its implementation. Here again, the small size PO was absent.

In response to questions on environmental impacts with and without ESMF, the

levels of responses were extremely low highlighting the poor performance of PO's. The poor effectiveness of training to communities by PO's was also evident from the fact that very few of communities even knew about any success story and any lesson drawn.

The results of FGD's amply demonstrate the ineffectiveness of PO's in establishing productive relationship with communities. This shows greater efforts to be made by PPAF not only in the selection but also in the development of new PO's in future. This aspect reflects significant gap in the selection, training and supervision of PO's by PPAF during the coming phase 5 of ESMF.

The quantitative data pertaining to the individual profiles of the community members who participated in FGD was categorized across average levels of education and gender participation for each size category of PO's with spread of training network for the community.

The tabulated data shows greater participation of females associated with greater spread of training. With the exception of two FGD's, the rest reported very few individuals trained outside the participating community members. It further implies extremely low levels of training and dissemination to community by PO's.

In another set of relationship among variables like average levels of education of participants, with size of PO's and knowledge on ESMF, the results show that:

- Higher levels of education was associated with greater spread and effectiveness of training on
- Higher levels of education were also associated with greater knowledge on ESMF.

Table 3: Community Members Trained as % of Observed Participants across Level of Female Participation & Size of Partner Organization

Female Participants	Size of Partner Organization		
	Small	Medium	Large
0% (1)	–	109% (10)	92% (14)
Up to 20%	–	–	–
21% to 40%	90% (2)	39% (2)	–
Above 40%	400% (1)	227% (1)	75% (1)

*Figures in parenthesis shows total number of FGDs conducted for each category
Source: Survey of schemes based on FGDs

Table 4: Community Members Trained as % of Observed Participants across Av. Level of Education & Size of Partner Organization

Average Education (#yrs.)	Size of Partner Organizations		
	Small	Medium	Large
1 to 4	160% (2)	70% (6)	73% (5)
5 to 8	–	70% (1)	–
8 to 12	100% (1)	151% (6)	93% (10)

Table 5: Community Members Trained as % of Observed Participants across Ave. Level of Education and Percentage of Participants Who Heard About ESMF

Average Education	Percentage of Participant Heard About ESMF				
	0%	Up to 50%	Up to 100%	Up to 200%	Above 200%
1 to 4	0% (1)	75% (1)	108% (6)	121% (5)	–
5 to 8	–	70% (1)	–	–	–
8 to 12	162% (5)	13%(1)	68% (8)	120% (1)	225% (2)

*Figures in parenthesis shows total number of FGDs conducted for each category
Source: Survey of schemes based on FGDs

3.5.3 Key Informant Interviews

Another component of survey instruments used for the study was based on interviews of key informants of PO's. From each PO two senior level staff members were interviewed using the similar questionnaire i.e. one from technical and the other from administration departments. The purpose was to judge level of coordination and cohesion between different departments to be ascertained through similarities and dissimilarities between their responses. Detailed tables on observation are attached as **Annexure-III**

Table 6: Details on Training of Staff and Community across PO's

Province	PO	# Staff Trained			Imparted Training to Community			Training Adequacy	Number of Monitoring Visits				
		Total	Male	Female	Y/N	Total	Male	Female	Y/N	Per Month			
GB	AKRSP	2	Yes	No	Yes	1200	Yes	Yes	No	4			
		2	Yes	No	Yes	1200	Yes	Yes	No	4			
	MGPO	2	Yes	Yes	Yes	750	Yes	Yes	Yes	2			
		2	Yes	Yes	Yes	750	Yes	Yes	Yes	2			
KPK	Sabawon	3	3	0	Yes	20	**	**	Yes	2			
		3	3	0	Yes	20	**	**	Yes	2			
	SRSP	2	Yes	No	Yes	100	Yes	Yes	Yes	2			
		2	Yes	No	Yes	100	Yes	Yes	Yes	2			
	EPS	2	Yes	No	Yes	200	Yes	Yes	Yes	13			
		2	yes	No	Yes	200	Yes	Yes	Yes	13			
Punjab	SAP-PK	2	1	1	Yes	90	*	40	50	* Yes	4		
		2	1	1	Yes	92		40	52	Yes	5		
	FDO	3	2	1	Yes	85	70	15	Yes	4			
		3	2	1	Yes	85	70	15	Yes	2			
Sindh	BRDS	2	*	**	* **	* Yes	10	*	0	* 10	* Yes	2	
		3		2		1	Yes	213	150	63	Yes	6	
	NRSP	**	*	**	* **	* **	**	*	**	* **	* **	* **	12
		6		5		1	Yes	512	342	170	No	51	
	SRSP	2	*	0	* 2	Yes	870	570	300	Yes	12		
		3		1		2	Yes	870	570	300	Yes	12	
Balochistan	BRSP	**	*	**	**	Yes	**	**	**	Yes	4		
		50		**	**	Yes	**	**	**	Yes	4		
	Taraqee Foundation	0	0	0	No	0	0	0	N.A.	2			
		0	0	0	No	0	0	0	N.A.	2			
	PIDS	2	2	0	No	0	0	0	Yes	1			
2	2	0	No	0	0	0	Yes	1					

NOTE:

* Data does not match

** Data missing

N.A. = Not Applicable

NOTE:

* Data does not match/ ** Data missing

Based on the survey on Key Informant Interviews, the PO's officials were interviewed on various aspects of relationship with PPAF and the communities with whom they work. **Table: 7** provide a summary of training related coverage with PPAF and communities.

It portrays that whereas PO's working in GB and KPK seem to have similarities in their responses while those working in Punjab, Sindh and Balochistan show dissimilarities reflecting lack of coordination on matters related to trainings. All PO's except Taraqee Foundation working in Balochistan had some of their staff trained. Of those who received training 6 reported trained staff consisting of males and females, whereas the rest had only male staff trained.

With regard to training imparted to communities, all PO's with the exception of Taraqee Foundation and PIDS working in Balochistan imparted training to communities. Only AKRSP reported imparting training to over one thousand

community members, and the rest reported training given to 20 to 870 persons at community level. With the exception of AKRSP, all regarded the training they received as adequate. Most of the PO's reported monitoring visits on weekly or fortnightly basis. However it remains inconsistent with the number of persons trained.

The above reflections show varied pattern of PO's with regard to training being imparted to communities. The table also shows clear pattern followed in GB and KPK which seems more cohesive, faster and gender balanced as compared to others who lack on several counts.

In its follow up plans for implementing ESMF's 5th version, PPAF needs to focus rather aggressively on training component and the current pattern of PO's working and its close examination will help in improving the overall effectiveness of its future programmes.

The detailed information gathered during these interviews has been annexed for greater details.

3.5.4 Compliance to Environmental and Social Guidelines under ESMF

The detailed assessment on responses from community members on the effectiveness of 96 sampled schemes presented in an earlier section, were used to build scores for schemes in order that their cumulative performances be compared and to measure the degree to which each sampled scheme complied with SMF.

Table: 8 describe the overall compliance to ESMF measured through responses of community members. It shows 6 out of 27 schemes had excellent compliance to ESMF. Another 10 schemes had shown good performance while 7 schemes showed fair compliance. The remaining 4 had poor compliance levels.

Table 8: Level of Compliance to ESMF

Sector	Scheme	Participating Organization	Balochistan		Baltistan		KPK			Punjab							Sindh			TOTAL	ESMF COMPLIANCE STATUS						
			BRSP	PIDS	TF	AKRSP	MGFO	EPS	SRSP	SABAWON	NRSP	FDO	FDO/Hayali Kissan Committee	FDO/Kissan Awaz Committee	RCDS	SAP-PK	SAP-PK/Amber Kissan Committee	SAP-PK/Malook Kissan Committee	SAP-PK/Dhoon Wala Kissan Committee		BRDS	NRSP	SIRSP	Excellent (81-100 %)	Good (41-80 %)	Fair (21-40 %)	Poor <21%
			9	4	6	4	4	7	3	7	3	3	1	2	5	5	1	1	1		7	18	5	96			
CPI	Desalination Plant (for <= 100 HHs)		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	1	v					
	Culverts		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	1	1	6			v		
	Street Surfacing/lining		-	-	-	-	-	1	1	1	1	1	-	-	1	-	-	-	-	2	-	8	v				
	Bridges		-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	1	1	1	4		v			
	Retaining walls		1	-	-	1	2	-	-	1	-	-	-	-	-	-	-	-	-	1	1	7			v		
	Link road - plain areas		-	-	-	-	-	-	1	1	-	-	-	-	-	-	-	-	1	1	-	4			v		
	link road–mountain areas		-	-	-	1	-	1	1	-	-	-	-	-	-	-	-	-	-	-	-	3				v	
	Sanitation schemes		1	-	-	-	-	-	-	-	1	-	-	-	1	-	-	-	-	3	-	6			v		
	Solid Waste Management		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	1	v				
	Security Lights		-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	1		v			
TOTAL			2	-	-	3	2	2	3	2	2	-	1	1	3	-	-	-	3	12	3	41					
WECC	Tubewells (Drinking Water)		-	-	-	-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	1		v			
	Tubewells (Irrigation in Dry areas)		-	-	-	-	-	-	1	-	-	-	-	1	1	-	-	-	-	-	-	3		v			
	Tubewells (irrigation in irrigated areas)		-	-	-	-	-	-	-	-	-	-	1	-	-	-	-	-	-	-	-	1	v				
	Hand pumps		-	-	-	-	1	-	1	1	-	-	-	-	-	-	-	1	2	-	1	7				v	
	Rainwater Harvesting ponds		2	1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4		v			
	Check Dams		-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1		v			
	Delay Action Dams		-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	v				
	Water Tanks (O.H, O.G, U.G)		1	1	1	-	1	2	1	1	-	-	-	-	-	-	-	-	-	2	-	10				v	
	Water Channels (Mountain Area)		2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	3		v			
	Watercourse		-	-	1	-	1	-	-	-	-	1	-	1	-	1	-	-	-	1	-	7			v		
	Karezes		1	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2			v		
	Land leveling (irrigation)		-	-	-	-	-	-	-	-	-	-	-	1	-	-	-	-	-	-	-	1		v			
	Micro-hydel (less than 1MW)		-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1		v			
	Biogas Plant (for <= 100 HHs)		-	-	-	-	-	-	-	-	1	-	-	1	-	-	-	-	-	-	-	2		v			
Solar Energy (for <=100 HHs)		1	-	-	-	-	-	-	-	-	-	-	-	-	-	1	-	-	-	-	3			v			
TOTAL			7	4	4	1	2	4	1	4	1	1	1	1	4	1	1	1	2	4	2	47					
School		-	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1	1	-	3	v				
Basic Health Unit		-	-	1	-	-	1	-	-	-	-	-	-	1	-	-	-	-	1	1	-	5				v	
			19			8		17			22							30			96						

Source: Survey of Schemes Based on Observation

3.5.5 Issues related with Gender Balancing:

An overview:

In preparing TPV, the related issues of gender equity and balancing was also kept in view. The issues of covering gender issues in economic growth and development needs to be viewed in a historical context. In Pakistan the women, covering 49 % of the total population, are largely ignored or at least less emphasized/recognized as partners in socio-economic development. The issue is even more serious in rural areas where female literacy levels are alarming low (i.e. around 10 %). The root causes include a persistent and subservient role for women maintained over centuries. The status thus maintained was assisted through use of unfounded and misleading pretext of religion. The extremely low level of literacy provided a level playing field through which women rights are suppressed. By restricting their mobility, access to information and institutions was made more difficult for women, and their level of control over income and assets was maintained to its minimum. The situation seems worst in certain regions of the country where a more traditional pattern of life style persists e.g. the provinces of KPK and Baluchistan as compared to the Indus plain comprising the provinces of Punjab and Sindh. However the region of Gilgit-Baltistan appears as an exception to the rule where female literacy is higher than the national average and at places it exceeds male literacy rate. In the light of above, different regions of Pakistan depict different levels of women empowerment, particularly in rural areas.

The characteristic of PO's in Pakistan in general depicts that those are male dominated which is not surprising given the fact the male domination is virtually in every walk of life in this part of the world. However, exceptions are observed in every region where females have played significant role in developmental activities with males, and there are cases where PO's entirely established by females exist and have sustained over time. But evidences are considered far and few given the fact that about 49 percent of Pakistan's population is shared by females who have low rates of literacy than males, particularly in rural areas where it lacks significantly.

As per Labor Force Survey (LFS) of 2012-13, the literacy rates in Pakistan varies ostensibly across provinces/regions, location and gender. It shows that in urban areas it varied between 80 percent in Punjab and 67 percent in Baluchistan for males. For females it varied between 75 percent in Punjab and 46.6 in Baluchistan.

In rural areas, the literacy rates varied between 54.2 percent in Punjab and 4.6 percent in Baluchistan for males. For females, it ranged between 43.8 in Punjab and 18.8 percent in Baluchistan.

In G.B. (Gilgit-Baltistan) region, it was 74.3 and 52.7, respectively, for urban males and females. In rural areas, it ranged between 62.8 and 34.4 percentage, respectively, for males and females (Source: 2011-12 survey of LFS).

In Azad Jammu & Kashmir (AJK) region, the literacy rates for urban males and females were 91.5 and 73.9 percentages, respectively. In rural areas, the literacy rates were 84.8 and 62.2 percentages, respectively, for males and females (Source: 2011-12 survey of LFS).

Despite these variations in literacy rates, within each province or region the rates of literacy also vary across divisions or districts. The variability observed indicate need for an upright and aggressive approach to reduce the disparity portrayed by LFS survey in order that additional areas be covered through PPAF interventions, and accordingly a larger number of PO's be established to help in the implementation of interventions in a manner that those sustain in the long run to help achieve the goal of poverty reduction.

Institutional development

In addressing the issue various policy decisions were taken, particularly since 1980's towards improving women empowerment to ensure harmonious development in order that roles and responsibility across gender are better understood and practiced. Following that policy level development, there has been an increase in the number of institutions and organizations to reduce gender imbalances in the society. Though these efforts were made at a slow pace, the level of awareness generated over inequities across gender has created its own momentum. As obvious, the required change faces severe resistance in a traditional society. A number of non-governmental organizations (NGO's) and community based organizations (CBO's) have sprung up since 1980's. Some of these, though in limited numbers, are women organizations which are completely run by women, these organizations operate in all regions of the country. However, most of NGO's/CBO's working in the country, amounting to over 100,000 (both registered and non-registered) depict a clear domination of men. When looked back in a historical context where the male dominance was even stronger and the socio-economic value system had strong underpinnings with religious beliefs (albeit for wrong reasons), it is not surprising to observe a continued male domination. Even at the level of NGO's/CBO's no emphasis is placed on measures that can enhance the women empowerment which can create the basis for enhancing the role of women through greater participation and explicit role of women in the society.

In part, the reason could include extremely limited supply of female technical expertise caused by very low level of female literacy and lack of educational institutions, particularly in rural areas. Obviously, the shackles created through social taboos offer stiff resistance and it takes longer time period to bring in the positive changes in the mind set towards women empowerment.

PPAF Initiative:

As an apex organization, the significance of initiatives taken by PPAF towards gender balancing can hardly be overemphasized. Whereas, its design towards this aspect seems strong and carries vigor, nevertheless its approach faces constraints from the local situation and the shortcomings of its PO's (Partner Organizations) in pushing forward an increased and active role of women in its initiatives.

During the work on TPV, the team observed the following in the context of equitable gender participation:

- I. At the PPAF level, it was observed that in all of its sections female participation (both at senior and junior levels) was strong who take active participation towards the implementation of its initiatives particularly in ensuring compliance to the environmental and social guidelines enshrined in ESMF. It also needs to be mentioned that the framework has its shortcomings and given its transitional phase it is expected to improve over time (specific comments on current ESMF is presented in subsequent section)
- II. The PO's do not seem to be as appropriately equipped and trained as required to effectively address the gender level issues with the exceptions of PO's exclusively managed by females. The rest of the PO's suffer from gender imbalances in their team particularly at the senior level. At places, the multiplicities of tasks caused by a larger number of schemes awarded to few PO's with insufficient technical expertise, hampers the development of a gender balanced approach in addressing the complexity of social underpinnings. A slow process of checks and balances reflected through infrequent and late submitted QPR's tend to reflect this shortcoming.
- III. The review of various documents e.g. QPR's, training issues, institutional arrangements at PPAF and results of surveys, FGDs and key informants interviews presented in earlier sections of the report reveals the fact that gender balancing issues are not adequately covered in the ESMF. For example, instead of gradually increasing female participation in scheme implementation, a strict condition of 40 % of females will discourage higher participation in certain cases where mobility of females is restricted. There are two mutually inclusive ways to ensure female participation. First, efforts are needed to encourage formation of organizations (i.e. NGO's or CBO's) entirely managed by females to take care of issues largely confronted by females e.g. education, primary health care, income generating enterprises directly benefiting females. Second, in the rest of organizations where male participation is likely to overwhelm, certain minimum conditions may apply to ensure adequate female participation along with men.

The above approaches refer to the prevailing socio-economic value system particularly in rural areas where female mobility and access to institutions is largely denied. In such a scenario, strictly defined female participation across all

organizations and schemes may not be effective. Instead, based on the principles of division of labor, and keeping in view the hidden complementarities of joint efforts (by men and women in pursuit of collective gains for their society), the proposed approaches define a middle order solution to gender balancing.

The approaches defined above are likely to be socially acceptable and technically viable. However, its success will depend on intensive training and greater interaction with other organizations through regular meetings and seminars.

The bipartite strategy discussed above also needs to incorporate regional specificity in terms of prevailing gender responsive environment. During its implementation, a separately designed and implemented training programme for community based organizations on environmental and social issues appears to be an appropriate action. This needs to be followed by issues based discussions to obtain information on the areas of priority with respect to local issues on which women tend to carry natural and social advantages over men would be extremely useful. This scooping exercise will provide clarity in obtaining willingness of women on schemes that they can implement and monitor on their own without being dependent on men. For other schemes, its suitable mix of both gender be used. Additionally, each participating PO should be given a clear mandate to employ environmental and social experts where one of them should be a female. It would be very relevant and would tend to increase the effectiveness of the efforts where both experts can jointly carry out their tasks while working on a scheme.

The QPRS and BTORs, to be sent to PPAF by each PO, should have these expert's views and concerns over the work on implementation on schemes.

The ESMF in its subsequent phases needs to have explicitly defined and aggressively addressed guidelines for gender balancing. Initiating with a more focused approach whereby, any organization that is selected as PO must follow additional conditionality to ensure gender balancing. Furthermore, the emerging community organizations which will be the vital force in the success of guidelines on environmental and social issues need comprehensive training. The structure of the framework must cover the inter linkages and interdependencies between environmental and social issues.

3.5.6 Performance level of Partner Organizations:

The partner organizations (PO's) are assigned a pivotal role in acting as a bridge between PPAF and the community organizations (e.g. VO's, LSO's) and the success of an intervention depends on the degree to which ESMF design and PO's performance under the framework carry better understanding of environmental issues and social parameters of the existing scenarios and locations where intervention are likely to take place.

The survey data was also used to measure the performance of PO's in making contacts and ensuring that the environmental and social safeguards designed to each type of intervention were followed. In this very context, the open ended responses received from community members during the surveys of schemes were used. These responses included general views, issues faced and specific views on environmental and social issues related to the implementation work of their scheme.

A point scoring method was used whereby adherence to any guideline was assigned a score of +1 and where due to non-adherence an issue was either not addressed or no mitigation measures was taken was assigned a score of -1. By summing up all scored for each PO, and the averaging out by dividing the total score by the number of schemes with each PO, an index value/number was obtained. Following this approach, each PO was ranked across all 19 PO's covered during the survey (See Annexure tables **A – 3.5.3.17 to 3.5.3.32** for details)

The analysis shows significant variability in the level of performance of PO as measured through community's views and concerns. Table 9 shows the level of responses from community member across PO's (derived from the detailed annexed tables) and reveals average level of compliance index.

Across all 96 schemes covered under the study, the community members expressed their views and concerns over the implementation of schemes in the light of ESMF. A total of 509 such responses were received which were categorized as under:

- i. 186 open ended information and views, over each sector i.e. WECC, CPI and HEN.
- ii. 38, issues/concerns expressed over implementation of schemes across sectors
- iii. 82 and 73 mitigation measures taken during construction of schemes related to environmental and social aspects, respectively, across sectors
- iv. 128 and 2 mitigation measures taken after the construction work related to environmental and social aspects, respectively, across sectors.

Table 9: Level of compliance based on cumulative responses from community members across partner organizations and sectors

	BRDS	NRSP	SiRSP	BRSP	PIDS	TF	EPS	SRSP	AKRSP	MGPO	SABAWDN	FDO	FDO-HKC	FDO-KAC	RCDS	SAP-PK	SAP-PK-AKC	SAP-PK-MKC	SAP-PK-DWK
Info- WECC	5	7	7	11	10	12	5	-	2	4	10	3	2	5	6	5	2	1	2
Info - CPI	4	34	3	2	-	-	5	3	4	3	3	1	-	3	2	8	-	-	-
Info - ED & HEALTH	3	1	-	-	-	5	2	-	-	-	-	-	-	-	-	2	-	-	-
ISE-WECC	-	-	-	4	1	1	-	-	-	-	-	1	-	-	-	-	-	-	3
ISE-CPI	1	1	4	1	-	-	-	-	-	-	-	11	-	-	-	-	-	-	-
ISE - Ed Health	2	5	-	-	-	3	-	-	-	-	-	-	-	-	-	-	-	-	-
PMIE - WECC	2	5	2	6	4	2	-	-	1	-	-	-	2	3	4	3	2	5	-
PMIE - CPI	1	13	4	-	-	-	-	-	2	3	3	1	-	3	-	6	-	-	-
PMIE -Ed Health	3	-	-	-	-	-	1	-	-	-	-	-	-	-	-	1	-	-	-
PMIS - WECC	1	9	-	9	6	5	-	-	-	-	1	-	-	1	1	1	-	2	-
PMIS - CPI	2	14	3	2	-	-	-	-	4	1	3	-	-	1	-	2	-	-	-
PMIS -Ed Health	1	2	-	-	-	2	-	-	-	-	-	-	-	-	-	-	-	-	-
MIE - WECC	2	9	2	9	3	5	2	-	-	1	7	-	4	2	3	1	4	2	-
MIE - CPI	4	16	2	4	-	-	7	4	2	3	5	3	-	1	-	7	-	-	-
MIE - Ed Health	3	2	-	-	-	4	1	-	-	-	-	-	-	-	-	4	-	-	-
MIS - Ed Health	-	1	-	-	-	-	1	-	-	-	-	-	-	-	-	-	-	-	-
Cumm. Scores	28.0	107.0	19.0	38.0	22.0	31.0	24.0	7.0	15.0	15.0	32.0	(4.0)	8.0	19.0	16.0	40.0	8.0	10.0	(1.0)
No. of Schemes	7	21	5	9	4	6	7	3	4	4	7	3	1	2	5	5	1	1	1
Compliance Index	4.00	5.10	3.80	4.22	5.50	5.17	3.43	2.33	3.75	3.75	4.57	(1.33)	8.00	9.50	3.20	8.00	8.00	10.00	(1.00)

Source: Derived from detailed tables annexed

Though these responses are low in number given the fact that it covers 96 schemes, the effectiveness of such information was considered very relevant since these were against open ended questions and indicate views and concerns expressed by the community members on their own. The low level of responses could be attributed to lack of knowledge over safeguards/guidelines under ESMF or simply a lack of interest. Nevertheless, these responses provided sufficient information on the effectiveness of PO's in compliance with ESMF.

Table 10 shows ranking of 19 PO's in compliance with ESMF. The average level of compliance for the middle size PO has the highest value of 5.37. The group of large size PO's, comprising 6 PO's seems to have performed low in relation to medium size PO's. The group of small size PO comprises 2 PO's, performed closer to larger group

Table 10: Summary Table Depicting Compliance Indices Scored by Partner Organizations by Size

Partner Organizations	Size	Compliance Index	Average Index Value
NRSP	Large	5.1	3.90
BRSP		4.2	
EPS		3.4	
SRSP		2.3	
AKRSP		3.8	
SABAWON		4.6	
BRDS	Medium	4.0	5.37
PIDS		5.5	
TF		5.2	
FDO		-1.3	
FDO-HKC		8.0	
FDO-KAC		9.5	
RCDS		3.2	
SAP-PK		8.0	
SAP-PK-AKC		8.0	
SAP-PK-MKC		10.0	
SAP-PK-DWKC	-1.0		
SIRSP	Small	3.8	3.78
MGPO		3.8	

Source: derived from detail tables annexed

3.5.7 Relationship between the Acts of Compliance and Mitigation:

Any initiative taken cannot be regarded as effective in pursuit of achieving its desired goals unless strict compliance to the guidelines is followed. This serves as a necessary condition for the initiative to succeed. It is also a reality that despite maximum care taken in the preparation and implementation of the initiatives, unexpected issues arise which need mitigation measures to be taken either by those who initiate the process or by the intended beneficiaries or both. This serves the sufficient conditions for the success and long term sustainability of the initiative.

However, frequently it is observed that these conditions are not met as a result of which sub optimal result or failure is observed. The issue is often neglected and little attention is paid through research to know as to why the stakeholders tend to ignore these important aspects. In this case the PO's and community members are the stakeholders. For future sustenance of ESMF, research efforts are needed on the following aspects, using data base of earlier phases of ESMF, to guide future efforts:

- i. Legal vs moral obligations towards compliance and mitigation measures: Does the training adequately cover this aspect?
- ii. Costs of compliance and mitigation: Who should pick up and how?
- iii. Act of mitigation has certain financial cost at times but it is often ignored
- iv. Does compliance under an agreement carries zero cost implication for the beneficiaries?
- v. Do the beneficiaries know the economic and social cost of not taking mitigation measures?
- vi. Should the mitigation measures be left as voluntary or be made part of the package?
- vii. Are PO's held responsible for not ensuring effectiveness with regard to mitigation measures taken/ not taken by the beneficiaries?

The above issues or queries reflect serious implications for the sustenance of development schemes initiated by PPAF. It can hardly be overemphasized that in the subsequent phases the ESMF is modified to incorporate those measures which could be socially acceptable and technically viable for women empowerment and gender balancing.

3.6 SIGNIFICANCE OF THE STUDY

In the absence of a local government structure for a larger part of time since independence, the poor and marginalized section of the society, which largely lives in rural areas, the effectiveness of developmental work and services has always been questioned. As an alternate, the process of emergence of informal regulations has remained extremely slow and in certain cases virtually absent.

Furthermore, the increasing level of poverty and very low levels of literacy have jointly caused a significantly lacking sense of ownership to environmental assets and conflicts resolutions. In the obtaining scenarios the role of non-governmental organizations and the civil society broadens to encompass a large set of issues spread over larger areas. The failure of formal regulations thus increased the importance and significance of informal regulations, particularly with reference to environmental and social issues. The ESMF (Environmental and Social Management Framework) implemented under the guidance and support from PPAF is a right step in the right direction. However, its fourth phase (or edition), which created the basis for the study, addresses the needs of poor and vulnerable through sustainable development of services and opportunities to reduce overall poverty levels.

The Third Party Validation (TPV) of its activities related to its 4th version of the framework, has taken critical analysis to highlight its weakness in implementation, and makes recommendations for improvement in future phase (i.e. 5th edition of the framework). The variation in the level of compliance to current framework and the associated reasons will help improve the future application of the framework by increasing the possibilities of environmental sustenance of the developmental activities and strengthening the levels of local informal regulatory mechanisms.

4 LIMITATIONS

- I. One major limitation encountered during the course of work on this report was the limited time of 3 calendar months allocated. Given the detailed surveys of schemes (96), Focus Group Discussions (31) and key informants Interview (24), and covering all four provinces and Gilgit Baltistan region followed by processing of data (particularly the response to open ended questions) required more time in carrying the task.
- II. In addition, the limited time available to the field team, within which they had to collect and verify pertinent documents, physical observation of the schemes and interviews with the community members using a questionnaire across all 96 schemes, was insufficient and thus restricted them from making detailed queries
- III. Given the generally prevalent poor status of community level institution in rural Pakistan, there is always an element of fear that surrounds the villagers while they are required to express their views and give suggestions rather freely on issues confronting them in the context of the scheme in their villages. The situation becomes more complex when the representative of the Partner Organization (PO) ensure his/her presence during the interview, causing restricted participation and low quality of responses.
- IV. The type of expertise required within each PO in terms of numbers and quality is largely lacking. The PO's constantly remain engaged in implementing a number of development schemes simultaneously in a region. As such, it should be mandatory for each PO to have full time experts in pertinent fields, for example environment, microfinance etc. An absence or a weaker part in this regard makes the task of training villages on technical and social aspects of the developmental effort more challenging. The process of selecting PO's thus needs a fresh review in order that the subsequent phases of developmental activities are better endowed. Even at present, a general lack of technical expertise at the level of PPAF (The Apex Organization) and frequent turnover of senior level staff has tended to compound the problem.
- V. In the light of earlier discussion on the need for a larger coverage of communities, through establishment of additional PO's, the sample framework also needs to be revised in future validation and other assessment exercises. This would require appropriate changes in the scope of work defined for external reviewers and consultants as well for internal evaluation.

5 FINDINGS

- I. It is felt that the component of training is weak all across, which requires that the community members be imparted additional training sessions. It has also been observed that the outcome of training activity is seen only till the construction work continues. In this regard, it has also been noted that the regular maintenance of schemes by communities is not up to the mark.
- II. As an Apex Institution, the role of PPAF at present seems heavily centralized. The issues of poverty in Pakistan are getting more complex over the years and as such new dimensions and manifestations of poverty are emerging at various locations owing to a number of factors. In order that the situation is understood deeply, establishment of its offices at district or divisional basis with certain degree of autonomy along with necessary linkage/control mechanism will facilitate and improve the effectiveness of the whole process.
- III. The process of documentation and its full utilization is weak. For example, the submission of QPR's to PPAF lacks regularity and its use at PPAF needs to be made more useful.
- IV. Performance based indicators for PO's are not in place. Therefore, the process of awarding schemes to PO's seems to have spread rather linearly, which requires to be reconsidered by inducting new actors and approaches.
- V. While communities understand environmental benefits and seem eager to play their role by up keeping the schemes and improving the environmental safeguards, but the actions are far and few.
- VI. The financial resources for mitigation purposes were not clearly mentioned in the budgetary allocations causing hindrances in the community level mitigation measures. The budgetary allocations need to mention cost of mitigation measures as a line item explicitly. Currently the community members seem reluctant in using the project funds for mitigation measures due to the fear of accountability through financial audits that they may face. It is therefore relevant and effective to explicitly maintain mitigation cost in the budget to avoid any confusion and to ensure that the communities do take mitigation measures as and when required (given the budgetary allocations) for the overall effectiveness of the scheme to be realized.
- VII. The weakest part of the entire set of activities under ESMF implementation rests with role and participation of women where a rather cursory attention has been paid. The TOR for this study itself reflects the same where an explicit role should have been added for the consultants to cover a complete

picture of activities carried out by women (including a household survey) , based on which priorities, needs and adequacy of women participatory could be ascertained.

- VIII. An exclusive reliance on large size PO to introduce interventions under PPAF could be a slow process whereby a large part of communities, particularly in rural areas, may not be covered since the large size PO's in Pakistan have not yet been in a position to cover larger geographical area. In order to cover a larger canvas, it is imperative that a larger number of PO's of relatively smaller size be established to cover a larger part of communities not yet attended. This attempt will ensure coverage of a larger number of communities simultaneously. The simultaneity thus achieved would create the basis for harmonious development and could accelerate the pace of developing informal regulatory institutions at the community level and by the communities themselves.
- IX. A logical and workable approach needs to be designed whereby the tasks of compliance and mitigation could be closely knitted with a purpose of making the communities aware of their role in the maintenance and sustainability of the interventions being introduced in their localities.

6 LESSONS LEARNT

- I. An apex organization occupies a pivotal position in the overall organizational set up of a process that delivers services at the grass root levels through a network that remains decentralized and participatory. Given the huge mandate of poverty alleviation at the national level, PPAF needs to be decentralized at the provincial/regional level which will accelerate the pace of exchange of information from one end to the other. Due to this limitation at present, absence or gaps in flow of information towards PPAF from field was observed. This also restricted the work on this study as the time available was too short, and the report/data of PPAF had to be searched in detail.
- II. The process of selecting PO's needs a revision. Efforts are needed to overcome the weakness of certain PO's who are otherwise well established in specific region, and to encourage new PO's
- III. As a rule each PO's capability needs to be assessed and be awarded new schemes in a rationalized way i.e. through avoiding concentration of PO's in a district or sub-district and presence of full time technical staff to ensure compliance to ESMF.
- IV. In order to achieve maximum benefits from the extensive field data collected from schemes on a regular basis, research efforts need to be introduced at PPAF level. In this regard, the format of documents filled at PO level needs to be expanded in order that a better understanding of field level activities is acquired. This will require further training of PO's to achieve a better command over handling and disseminating of field level information.
- V. The efforts to achieve transparency at implementation of the framework require that individuals either from PO's or CO's who sign documents must provide N.I.C (National Identity Card) numbers. In the obtaining situation, not a single documents (e.g. A or B or any statement/agreement) carried N.I.C number or those who signed it or put their thumb impressions.

7 CONCLUSIONS

In order to make the process more efficient and trustworthy the criteria for selection of PO's needs to be revised.

At the present moment, there seems a lack of interaction between various stakeholders, which needs to be worked out in a constructive manner for better effectiveness. The master trainers need to apply greater focus in the process of receiving training from PPAF and its effective dissemination to communities. The VO's and LSO's need to be strengthened, for making them more efficient and responsible in fulfilling their obligations.

As the scope of work and its diversity increase in future, PPAF will require efficient ways for improved dissemination of its activities and as such it will need to branch out some of its activities at provincial/ regional levels. In this regard, improved training mechanisms needs to be introduced as an added benefit for maintaining quicker flow of information between all stakeholders. Furthermore, a set of enhanced criteria is needed to evaluate overall performance of PO's. Moreover, PO's need to closely monitor VO's/ LSO's level of adherence to ESMF guidelines and report the same to PPAF on a regular basis for further necessary action.

8 RECOMMENDATIONS

Concerted efforts are required for the identification of new, small scale PO's in areas where the coverage is extremely low or is completely absent. A likely increase in sustainable administrative cost should be adequately absorbed, since the societal benefits arising out of larger coverage of poor and vulnerable sections of the society will be far greater than the marginal cost. Also training programs to be organized and imparted at provincial levels need to ensure larger coverage with reduced costs. Major emphasis needs to be placed on providing greater strength to VO's and LS's. In this regard, efforts also needs to be initiated on an accelerated pace to increase the effectiveness of local institutional framework which would be crucial for success to be achieved in subsequent phase of ESMF.

More technical staff be inducted and placed at provincial or regional levels. For example, full time environmental specialists who can train PO's on a regular basis and oversee/ verify that these trainings reach at the local level and are beneficial. Performance based criteria for PO's also be formulated and thoroughly disseminated to encourage new entrants.

Moreover, the process of data management at PPAF level needs improvement and its use in subsequent research work also needs to be encouraged for its effectiveness. The research institutes at university level could play a meaningful role in this regard.

The TOR and the understanding with PPAF did not include household survey and income generating schemes as part of this TPV study. As such the detailed analysis on the issues of gender balancing remained outside the scope of work of this study. However the importance of gender balancing in the over-all sustenance of societal gains through PPAF initiatives requires further development in ESMF.

The ESMF in its subsequent phases needs to have explicitly defined and aggressively addressed guidelines for gender balancing. Initiating with a more focused approach whereby, any organization that is selected as PO must follow additional conditionality to ensure gender balancing. Furthermore, the emerging community organizations which will be the vital force in the success of guidelines on environmental and social issues need comprehensive training. The structure of the framework must cover the inter linkages and interdependencies between environmental and social issues.

The future activities related to external validation or internal assessment at PPAF level need to have a diversified sampling framework and scope of work that demands deeper situational analysis across time.

A major benefit could be realized by using the available data, collected from field, to conduct research on specific aspects through arrangements with research organizations and universities.

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