



# Pakistan Poverty Alleviation Fund

Restoring Hope, Securing the Future, Ending Poverty



## Third Party Validation of Annual Environmental and Social Monitoring/Assessment (Fifth Phase)



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## Document History

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## List of Abbreviations

BTOR	Back to Office Report
CBO	Community Based Organisation
CO	Community Organisation
CIF	Community Investment Fund
CLF	Community Livelihood Fund
CPI	Community Physical Infrastructure
CPIM	Community Physical Infrastructure Project Manual
CRP	Community Resource Person
DAC	Development Administration Committee
EQPR	Electronic Quarterly Progress Report
ESA	Environmental and Social Assessment
ES Audit	Environmental and Social Audit
ESM	Environmental and Social Management
ESMF	Environmental and Social Management Framework
ESM Unit	Environmental and Social Management Unit
ESR	Environmental and Social Review
FATA	Federally Administered Tribal Area
IPPF	Indigenous People Planning Framework
KP	Khyber PAKhtunkhwa
LEED	Livelihood Enhancement and Enterprise Development
LSO	Local Support Organisation
NRSP	National Rural Support Programme
O&M	Operation and Maintenance
OECD	Organisation of Economic Cooperation and Development
PAD	Project Appraisal Document
PPAF	Pakistan Poverty Alleviation Fund
PO	Partner Organisation
QPR	Quarterly Progress Report
SMM	Social Mobilisation Manual
TPV	Third Party Validation
UCDP	Union Council Development Plan
VDP	Village Development Plan
VO	Village Organisation
WECC	Water, Energy and Climate Change

## Executive Summary

Pakistan Poverty Alleviation Fund (PPAF) commissioned third party Validation of ESMF compliance of the World Bank project PPAF-III, for the period of July 2015 to March 2016. The sample for the study included four Partner Organisations (one from each province), their LSOs, COs and subproject.

### ES-1 ESMF Review

Review of ESMF in terms of improving compliance and its integrating in PPAF operations was carried out. It is proposed that the next edition of ESMF shall provide methodology for conducting Environmental and Social Assessment (ESA) of subproject. This ESA will be organised by PO field staff separately with male and female community members. This will include community consultation on all items of subproject mentioned in Form-A. The community will consider all aspects of the subproject and identify if there are any adverse impacts. In case of adverse impacts, the ESA will define mitigation measures and provide estimation of mitigation cost. The PO field staff will prepare ESA report and this shall be part of the subproject proposal submitted by PO to PPAF for approval. The addition of ESA methodology in ESMF and making ESA report part of the subproject proposal will integrate ESMF into the PPAF operations.

### ES-2 ESMF Mainstreaming, Training Effectiveness and Consultations with POs

ESMF mainstreaming through ESM Unit's presence on credit committee and inclusion of ESMF clause in financial agreement is already in place. PPAF Operational Units and PO's Focal persons were provided training. ESMF Focal Persons trained in by PPAF have left the job because of staff turnover in most POs. POs need to provide subproject specific ESMF training to field staff so that they can conduct ESA with community and prepare report.

POs have hardly read the ESMF manual and were unable to provide suggestions for its improvement. Community Resource Persons trained in ESMF are semi-literate and illiterate and cannot be of much help in ESMF compliance.

### ES-3 ESMF Monitoring

ESMF monitoring is complex issue because subprojects are implemented by POs of varying institutional and staff capacity. Instead of monitoring by POs, it will be more appropriate to carry out Environmental and Social Audit (ES Audit). Re-audit of POs and subproject was carried out and new and simplified format for this purpose is provided. It will be appropriate that quarterly report of ES Audit is prepared and internally circulated.

### ES-4 Implementation Plan Development Process

Implementation Plan of PO comprises only estimates of staff costs and subproject costs with name of union councils and district. The POs have not prepared baseline or need assessment survey of the project area. They indicate subproject names and cost in anticipation of community demand. None of the POs know that Implementation Plan needs justification through studies and data of the project area. There is no narrative summary to convince the donor that the proposed interventions will help solve the community problems.

## **ES-5 Manuals of Operational Units**

Manuals of Community Physical Infrastructure (CPI) and Social Mobilisation, prepared by PPAF for guidance of POs were reviewed. The CPI manual was dated June 2001, is too old and comprised textbook examples and calculation which diploma holder field engineers of PO may not understand. The social mobilisation manual provided detailed methodology for social mobilisation and formation of different tiers of community organisations. PPAF manuals of operational units comprising set of instructions and standard operating procedures for checking the antecedents of COs, equity in subproject benefits, etc., may be prepared.

## **ES-6 Local Support Organisations and their role in ESMF Compliance**

POs have organised LSO without proper social mobilisation and convention of COs and VO. LSOs need capacity building in organisation, management, bookkeeping, accounts and social mobilisation. General body of LSOs is too narrow as all member organisations are not represented. Only a few members of the LSO general body are not members of the executive council or office bearers. There are two persons for same position in LSO office bearers. There is race for LSO leadership and covetousness for holding office. Elections of office bearers are held through secret ballot while the number of electorate is less than 20. CRPs of LSO have no capability to assist in ESMF compliance because of lack of literacy and ESMF comprehension. Sustainability of LSOs is in doubt without capacity building by reputed rural community development training institution.

LSOs have been made intermediary by POs as they work through LSO in LEED implementation and asset transfer.

There is gender discrimination as Women only LSOs are formed in Rajanpur.

## **ES-7 Recommendations**

ESMF revision shall include methodology for Environmental and Social Assessment of subproject as suggested in this report. This will integrate ESMF in PPAF operations.

Manuals for functioning of PPAF operational units comprising standard operating procedures for subproject assessment and approval shall be prepared.

Baseline and need assessment surveys need to be prepared by POs. Implementation plan is backed by narrative to impress PPAF about the need of subprojects and how these will help in poverty alleviation.

PPAF needs to evaluate POs according to its eligibility criteria. POs have little competence and lack resources in social mobilisation. POs consider ESMF compliance as superimposed on subproject implementation. Only completion of certain forms is considered ESMF compliance by POs.

ES Audit may be carried out with simplified format suggested in this report and quarterly report of audit shall be prepared and circulated.



# 1 Introduction, Objectives and Methodology

## 1.1 Introduction

Pakistan Poverty Alleviation Fund (PPAF) defines its role as 'as a facilitator, helping to alleviate poverty in Pakistan through empowering poor people by providing equitable access to opportunities for increased incomes and improved quality of life.' PPAF completed the World Bank funded PPAF-III project in March 2016. Under this project PPAF implemented small scale health, education and infrastructure subprojects in addition to microfinance and livelihood enhancement and enterprise development.

PPAF is not directly involved in implementation of subprojects. PPAF selected PO with community development experience for implementation of subprojects. These POs are selected according to well defined and transparent selection criteria. PPAF provides funds to POs for subproject implementation. Subprojects are selected by beneficiary community organisation according to their needs. Technical and social feasibility and subproject design is prepared by POs and sent for approval to the concerned PPAF Operational Units. NRSP is the only exception which approves the project on behalf of PPAF.

All PPAF funded subprojects are small in size and implemented at community level by local community organisations (CO). Compliance to environmental and social safeguards is required by the World Bank for all subproject implemented under PPAF-III. For all these small subproject PPAF prepared Environmental and Social Management Framework (ESMF) based on the guidelines from the World Bank Operational Policies (OP 4.01 Environmental Assessment) and Pakistan Environmental Protection Act of 1997.

PPAF prepared and regularly updates ESMF comprising guidelines on environmental and social assessment of subprojects. The latest ESMF is the fifth edition of the document issued in April 2014. Considerable efforts have been made for its mainstreaming within PPAF and dissemination to POs and through POs at the community level. The ESMF comprises detailed guidelines on environmental and social safeguards assessment and provides checklists to ensure compliance.

All PPAF interventions are demanded oriented and identified by Community Organisations (CO) organised by POs throughout the country in all provinces and administrative regions.

POs are responsible for assisting COs in compliance to environmental and social assessment of subprojects according to the guidelines and instruments provided in ESMF. Monitoring of ESMF compliance is carried out by POs and quarterly reports are submitted to ESM Unit.

PPAF appoints external monitor for Third Party Validation (TPV) of compliance to Environmental and Social Monitoring / Assessment on annual basis. This is the fifth and final TPV of the PPAF-III at its completion. The fourth TPV was completed in for subproject completed by the end of June 2015. The fifth TPV includes subproject completed from July 2015 to March 2016.

## 1.2 Objectives of the Third Party Validation

Objectives of the study are very comprehensive requiring thorough review of fifth edition of ESMF and its effectiveness in improving compliance, mainstreaming of ESMF with PPAF operational units, review of training regime and monitoring mechanism, ESMF's

contribution to poverty reduction under environment-poverty nexus. Review of subproject documentation and implementation status of ESMF compliance and mitigation measures.

Scope of work for the fifth TPV comprises to assessment of subproject implemented from July 2015 to March 2016 under the PPAF-III. Scope of work comprises following major elements.

- (i) A thorough review of previous TPV reports and extent to which their recommendations were implemented by PPAF.
- (ii) A thorough review of ESMF, environment-poverty nexus and consultations with POs on ESMF quality, efficacy and relevance. Provide recommendations for integration of ESMF in PPAF operations.
- (iii) Review of ESMF monitoring mechanisms and re-audit of POs to evaluate the audit process and follow up on agreed action by POs. Validate compliance to ESMF and prepare case studies of bet-in-class cases identified by POs in this respect.
- (iv) Review of ESMF training regime and consultations with POs to make ESMF training programme more effective.
- (v) Assessment of capacity of third tier organisations in terms of understanding and implementation of ESMF as well as monitoring of Village Organisation (VO) and CO interventions for compliance to ESMF.
- (vi) Review Implementation Plan development process of sample POs and provide recommendations for its improvement.
- (vii) Review of manuals of PPAF Operational Units to identify gaps that may hamper implementation of ESMF.
- (viii) Conduct one-day workshop for POs, LSOs and relevant PPAF staff presenting and sharing findings of the ESMF compliance, discussing capacity and implementation gaps, and formulating the way forward to contribute to sustainability.

### **1.3 Scope of Work**

The fifth TPV at the completion of PPAF-III includes compliance to ESMF by PPAF Operational Units, POs, LSOs and COs. Consultations with POs on ESMF and its training regime, review of implementation plans of POs and manuals of PPAF Operational Units to assess integration of ESMF in PPAF operations. Review of monitoring regime and ESMF audit process.

### **1.4 Approach for TPV**

In order to address all elements of the assignment studies will be conducted at three levels:

- PPAF level,
- PO level,
- Intervention level through third tier organisations.
- Management and facilitation of one-day workshop.

#### **1.4.1 PPAF Level**

TPV will assess mainstreaming of ESMF within PPAF operations for approval and monitoring of community based subprojects. This will include review of manuals of PPAF Operational Unit. It will include relevant document review not limited to:

- Environmental and Social Management Framework,
- Manuals of PPAF Operational Units,

- Implementation Plans of POs,
- ESMF training programme,
- ESMF monitoring reports,
- Back to Office Reports
- ESMF Audit Reports
- Presentation of results on validation of ESMF to compliance in one-day workshop.

#### 1.4.2 Partner Organisation (PO) Level

The main activities to be undertaken at PO level during the TPV will include:

- In-depth interviews with POs on Implementation Plan development process and how and to what extent ESMF is incorporated in it.
- Consultations with POs to increase effectiveness in implementation of ESMF, ESMF training programme and monitoring mechanism.
- Review of understanding of ESMF guidelines for different types of subprojects by POs and their nominated focal persons for different types of subprojects proposed by COs.
- Consultations with POs on further improvements in ESMF for effective compliance and improvements in ESMF training programme.
- Assessment of understanding of ESMF by the third tier organisations and their role in ensuring ESMF compliance in subproject of VOs and COs.
- Re-audit of ESMF audit of the sample POs to evaluate the audit process. Review of measures taken by POs to address the observation of ESMF audit.
- Review how POs and COs identify environmental and social impacts, define adverse impacts and suggest mitigation measures and allocate cost for implementation of mitigation measures.

#### 1.4.3 Intervention Level – Local Support Organisations

The most common form of the third tier organisations established by POs is Local Support Organisation (LSO). LSO is non-governmental structure formed by COs and VOs of the union council. At the LSO level following will be studied:

- Assess understanding of ESMF and its implementation process by LSOs of the sample POs.
- To what extent LSOs support VO and CO in implementation of ESMF guidelines in their subprojects.
- What is the role of LSO in subproject identification by VO and CO in their jurisdiction and assistance provided by LSO to VO, CO in compliance to ESMF?
- Assess how LSOs interact with Women CO and women VO for implementation of ESMF in their subprojects.

### 1.5 Population and Sampling

From July 2015 to March 2016 PPAF implemented Livelihood Enhancement and Enterprise Development with 13 POs in four provinces. These included four POs in KP, one in Punjab, five in Balochistan and three in Sindh province. The population for the study comprised 13 POs.

### 1.5.1 Sampling

There was only one PO from Punjab in the population. In order to have same size of sample from each province one PO was selected from other provinces. The sample comprised four POs, four LSOs and best-in-class cases identified by POs.

### 1.6 Tools of Data Collection

Five Interview schedules were prepared for the study: (i) Consultations with PO on ESMF, (ii) ESMF Training and Monitoring by POs, (iii) Implementation Plan development process, iv) Best-in-Class case study, and v) Interview Schedule for LSO. The first three interviews were conducted with POs and one with CO and one with LSO.

### 1.7 About This Report

The TPV of ESMF compliance from July 2013 to June 2015 was conducted in second half of 2015. This was comprehensive study with large sample of subprojects from across the country. A total of 141 subprojects implementation by 23 POs were included in the sample. The report provided detailed study of monitoring mechanism and training regime based on the experience with large number of POs.

The Terms of Reference for the fifth TPV are broader than the previous TPV and include consultations with POs on ESMF training effectiveness, monitoring mechanism and implementation plan development process. The study included the role of third tier organisation in ensuring compliance to ESMF.

The earlier TPV for 2013-15 was conducted by Halcrow Pakistan (pvt) Limited and submitted comprehensive report in September 2015. This report which covers period of nine months will refer to the earlier report in several instances to avoid repetition.

This report is stand alone as may be considered an addendum to the TPV 2013-15 report.

## 2 Review of the ESMF

### 2.1 Review of ESMF

ESMF fifth edition (April 2014) is a major step forward in providing awareness about subproject specific environmental and social assessment by PO, LSO, VO and CO.

The ESMF review indicated that it needs to provide guidelines and procedures for carrying out environmental and social assessment of subprojects. For this purpose, following procedure is recommended for carrying out environmental and social assessment of subprojects. Following recommendations are given for review of ESMF

### 2.2 Environmental and Social Assessment (ESA)

The Third Party Validation Report of ESMF provided important suggestions for review of fifth edition of ESMF. Following suggestions are given for the next review of ESMF in order to facilitate compliance by PO and the beneficiary community. The most important element to include in the next edition of ESMF should be the procedure for carrying out community consultations on ESA of Subproject.

This will not only create wider awareness about ESMF among the beneficiary community and the PO staff but will also integrate compliance to ESMF in PPAF operations. The report of community consultation on ESA shall be made part of the subproject proposal prepared by PO. The concerned Operational Unit of the PPAF will review the project proposal and approve it if the consultation report on ESA is inter alia included.

PPAF partners are working with rural communities characterised by poverty, authoritarianism and lack of literacy. Rural poor both men and women work for long hours to earn meagre wages for survival.

POs set targets for implementation of subproject according to their Implementation Plan submitted to PPAF. POs are almost always in hurry because they have spent long time in convincing CO for consensus on cost sharing, procurement of materials, operation and maintenance plan and in helping CO to overcome their internal mutual distrust. These delays force PO to rush for implementation of subproject and complete target according to plan. With this type of realistic situation POs complete formalities including filling of Form-A. COs are only concerned with implementation of subproject under the PO guidance and have little information or interest in Form-A.

Almost all of the subprojects visited for the present study and the TPV 2013-15 indicated that no community consultations were undertaken for compliance to ESMF. CO has no idea of the adverse impact of the subproject. If they see that some individuals or group of people or physical environment is affected by the subproject they consider it cost of development. None of the PO or CO were aware of the adverse environmental and social impact of the subproject. They had no idea what are the mitigation measures and mitigation cost because they were unaware of the process for consultation on ESA.

POs have no idea about how to carry out community consultation for ESA of the subprojects. PO staff consider completion of Form – A, and Form – B with some information to CO office bearers as compliance to ESMF. CO members are often neither involved nor informed about contents of the Form-A of the subproject or compliance to ESMF.

Almost all POs (including small, medium and large) lack appropriate knowledge and skills to carry out environmental and social assessment. ESMF training provide them with

knowledge about importance of ESMF and its compliance. The fifth edition of ESMF lacks guidelines on carrying out ESA of subprojects. It is recommended that the next revision of ESMF shall provide guidelines for carrying out ESA of subproject. The gist of the process is given below.

## **2.3 Procedure for Carrying out ESA**

### **Community Consultation**

At the time of preparation of subproject proposal, PO shall convene meeting of community men and women, separately, for consultation on ESA of the specific subproject. The PO field staff (female and male Social Organiser and/or Field Engineer) call general body meeting of the project proponent (CO/VO or LSO) for consultation on Environmental and Social Assessment of approved subproject.

The PO field staff shall give briefing on the importance of ESA for the proposed subproject. This may be followed by an interactive session in which each element of the Form-A is explained to audience for discussion on its relevance and importance for the subproject. The community members present in the meeting shall be encouraged to discuss various aspects of each element in the Form-A of the proposed subproject. After discussion consensus of the general body may be obtained on each item listed in the Form-A of the proposed subproject.

### **Impact of Subproject**

The positive impact of the subproject is known to all as they expect to overcome some of their problem and create some facility for the entire community. But no one in the community consider adverse impact of the subproject.

In order to define the adverse impact of the subproject brain storming session is required. The PO staff shall explain what is the adverse impact. An adverse impact is any undesirable consequence of the subproject that may affect physical environment, social relationships, gender equality, livelihood of the person or group of people in the project area or in its vicinity.

Ask the gathering to think what element of the physical environment will be affected with this subproject. Ask the question, is it likely that any person or group of people or marginalised section of the community will be adversely affected with this subproject. Whether this subproject will have any adverse impact on the livelihood of individual or group of people? Whether this subproject will cause any problem for environmental sanitation in the locality? Considerations of these questions will help in identification of adverse impact of the subproject, if any.

After identification of the adverse impact, the meeting shall focus on how to minimise this adverse impact. They shall discuss measures that could be taken to mitigate the adverse impact. By adopting this process community can make decision on mitigation measures. After identification of mitigation measures, cost estimates for implementation of mitigation measures may be calculated. This is the mitigation cost and it should be included in the estimated cost of the subproject.

### **Participation of Women in ESA**

Female Community Organiser shall be entrusted to repeat the same process in meeting with community women.

### **ESA Report**

At the conclusion of meeting PO staff shall prepare details of the ESA Consultation meeting with community. A brief report on ESA consultation shall be prepared by the PO staff according to following guidelines.

Following brief ESA Consultation meeting report with men and women shall be made part of the subproject proposal submitted by PO to PPAF for Approval.

**Records of Community Men Consultation on ESA of the subproject**

- 1 Date of community meeting with male members
- 2 Name of PO facilitating community consultation and staff submitting Report
- 3 List of participants
- 4 List of items of Form-A discussed in the meeting
- 5 Identification of adverse impacts of the subproject, if any.
- 6 List of mitigation measures identified by the community.
- 7 Estimates of mitigation cost for implementation of mitigation measures
- 8 How and at what stage mitigation measures will be implemented

Similar report shall be prepared for community consultation meeting with women on the subproject.

The entire community consultation process on ESA will not take more than one or less than two hours.

**2.4 ESA for Flood Protection, Spate and Minor Irrigation, dams of all kinds Subprojects**

**ESA for Flood Protection, Spate and Minor Irrigation, dams of all kinds Subprojects**

Flood protection works, spate irrigation and minor irrigation subprojects have larger impact than the beneficiary community. The flood protection works may affect the communities on upstream, downstream and opposite direction of the subproject beneficiary community. The impact of flood protection subproject is not confined to the beneficiary community. The spate and minor irrigation subproject may have an impact on the downstream and upstream communities. Same applied to all kinds of dams including check dam, mini dam and delay action dam.

ESMF Focal Person of BRSP Engineer informed that one of BRSP irrigation subproject in Kharan district has caused severe damage to the irrigation practices of the downstream community. BRSP knew about the damage to downstream when affected community approached BRSP and sought redressal of the damage caused to their irrigation practice. BRSP reviewed the damage caused by the subproject to the downstream community and prepared and implemented another subproject to reduce the impact of damage,

In other words, there was adverse impact of the subproject but it was not considered properly. The Form-A was completed with the beneficiary community only. In all perennial and spate irrigation systems riparian rights are almost universal phenomena and these rights must not be violated.

It is recommended ESA consultations for flood protection, spate and minor irrigation may be conducted by LSO. LSO may invite all the COs or communities in the vicinity of the subproject and carry out consultation for these subproject according to guidelines provided above.

The 2013-15 TPV provided following recommendations for review of fifth edition of ESMF:

- i) Consideration of equity in irrigation subprojects through analysis of landholdings of subproject beneficiaries. In this regard it was suggested to attach authentic list of title holders verified by local revenue official (*Patwari*) in the project proposal. Equity criteria may include such parameters that upper quartile of landowners may not own more than 50% of the total land in the command area of the subproject.
- ii) Submit Operation and Maintenance (O&M) plan for diesel and electric power tube wells and ensure opening of O&M account for this purpose.
- iii) Elaborate guidelines for disposal of treated and untreated sewerage in chapter 9 of the ESMF.
- iv) Proper definition of adverse impact and mitigation measures.

## 2.5 Consultations with POs on ESMF

A vast majority of the POs interviewed in TPV 2013-15 and the present study have very little or no exposure to the fifth edition of ESMF. The only exception was MIED which has mainly implemented education subprojects. MIED that has not only prepared small training and awareness programme on ESMF for their community but also for school children. POs hardly possess printed copy of the ESMF and even those who possess it have not read it beyond the specific subprojects.

NRSP had arranged ESMF training of Focal Persons in all of its regional offices and informed that Focal Persons have provided ESMF training to Social Organisers and Field Engineers. But some of their subprojects lacked compliance to ESMF.

Some large POs have Focal Person stationed at their head offices. They have attended ESMF training organised by PPAF. These Focal Persons have not arranged ESMF training for the field staff of district office. With ESM Unit insistence on compliance to ESMF, POs have provided Form-A and Form-B to district offices and asked them to complete it. Most POs give this responsibility to Field Engineer and Community Organisers are almost excluded from the process.

PO's Focal Persons have read only those sections of the ESMF for which they have implemented subprojects or most have only printed Form-A of the relevant subproject. POs were consulted for suggestion on ESMF to make it more user friendly for compliance in subprojects. The most common suggestion was made its language easy. This indicates that majority of the PO field have little ability in reading English language documents.

Focal Person of BRSP was another exception which has taken keen interest in ESMF training and in review of the ESMF document. BRSP had learnt from experience that ESMF provided suggestions for further elaboration of some sections. ESMF has not provided guidelines on small scale spate irrigation subprojects. ESMF shall include guidelines on limits for extraction of ground water from tube wells according to soil types and levels of ground water.

He gave suggestions section of relevant subprojects on *kareze*, flood protection and irrigation subprojects.

Some POs demanded Urdu translation of ESMF fifth edition because they cannot read English language. They were informed about Urdu booklets prepared for this purpose but most have not heard of these documents. Electronic copies of all documents were provided to POs on CD and all documents can be downloaded from PPAF website.



## **3 Review of ESMF Training Regime**

### **3.1 ESMF Mainstreaming**

PPAF has made considerable efforts for successful mainstreaming of ESMF within PPAF operations according to the strategies outlined in the Fifth edition of ESMF. At PPAF level ESMF clause has been incorporated in all financial agreements. Seat of ESM Unit in Credit Committee is also established.

### **3.2 ESMF Training**

Staff of PPAF Operational Units were imparted five-day training of ESMF in 2014. One person from every operational unit is designated as Champion and has been provided in-depth training of ESMF for various kinds of subprojects reviewed and approved by their respective units. These champions have very good knowledge about environmental and social screening of subprojects of their units. Their knowledge of subproject screening is very helpful in reviewing applications received from POs.

The TPV report of 2013-15 provide detailed analysis of ESMF training regime and concluded that training has been provided to all Focal Persons of all POs in addition to workshops and roundtables for COs, VOs and LSOs. Basic purpose of training is to increase the knowledge and skill of participants enabling them to implement compliance to ESMF.

PPAF hired competent professional trainers and arranged residential training in high standard hotels and PPAF office with appropriate schedule for breaks, refreshments and food. All available Focal Persons of the POs have expressed satisfaction about training arrangement and ability of the trainers.

### **3.3 PO's Nomination for Training**

Large POs working in different regions have nominate Focal Person (FP) from their head office staff. This FP had little contact or no contact with regional and district office staff responsible for subproject implementation and compliance to ESMF. Most of the large POs with the exception of NRSP and BRSP have not provided training to their district staff in ESMF and compliance to ESMF. They only demand completion of Form-A and Form-B.

FPs of the vast majority of the POs have left the job because of frequent staff turnover. Most POs have not nominated any other person to replace the FP. They just complete Form-A and Form-B as routine matter.

Some of the POs have strange attitude towards nomination of staff for PPAF training. FPs who have attended training informed that instead of Engineer or Social Organiser some POs send non concerned staff to ESMF training. It was cited that POs have sent accounts or clerical staff for these training. This was pointed out when Trainers asked about nature of job of the trainees. This indicates irresponsible attitude of some POs towards ESMF training.

### **3.4 Varying Capacity and Interest of Trainees**

There is a large difference between the organisational capacity and staff capability among the POs. Some large POs have highly competent staff in their head offices and most other POs have staff with low levels of educational attainment. Most POs hire staff for a few months of the subproject duration only. Some POs have graduate staff but only with vernacular capabilities.

It was pointed out by some FPs that trainees coming to ESMF training have wider gap in educational level and experience. This indicates less utilisation of ESMF training opportunities by POs.

There are not only capacity issues which hinder the full utilisation of ESMF training by PO staff but also varying interests pursued during training. Training are arranged in large cities and trainees come from distant places. Some of the trainees have more interest in meeting contacts or site seeing. Some PO complained that in one training there were no mobile signals in training room. This indicates little interest in ESMF training.

### **3.5 ESMF Training of PO Field Staff**

PPAF urges that trained FPs of PO will provide training to their field staff – Social Organisers and Field Engineers - responsible for project design and providing information about ESA to subproject beneficiaries. Most of the FPs have not provided any training to their field staff and just give them responsibility for completion of Form-A and Form-B. This point shall be stressed on POs that they must arrange training of field staff for POs.

Some POs think that compliance to ESMF is simply filling of Form-A and Form-B and for this only FP is responsible. These POs think ESMF compliance as an adjunct activity to implementation of subproject.

### **3.6 Community Resource Persons**

PPAF organised ESMF training of LSO nominated persons designated as Community Resource Persons. For this purpose, PPAF prepared two volumes of training manuals in Urdu language because LSO members have often very low level of educational attainment. These volumes are entitled *Rahnuma Kitabcha* and *Tarbiati Kitabcha*.

Interviews with CRP indicated they have at least some general awareness about larger environmental issues and related to their area. These CRPs can be utilised by POs in ESA for irrigation, dams and flood protection projects involving several communities.

### **3.7 PO's Recommendations for Training**

Consultations were conducted with POs to get their suggestions for making ESMF training more effective in securing compliance in subproject implementation. In most cases FPs who attended training had already left the PO and no one was able to reflect on the ESMF training.

A few of the POs who had participated in training sessions provided recommendations which are produced below.

BRSP recommended that ESMF training is general and provides information on environmental issues. The trainings shall have focus of types of subprojects, for example ESMF training for link roads, street pavement and culverts, ESMF training on all subproject related to irrigation, ESMF training on sewerage system and waste water disposal, etc.,

Some POs inform that Trainers are very good in providing theoretical knowledge but they have little practical experience in conducting ESA for projects. They are not fully aware of the social and environmental conditions in the rural areas. It was suggested that some Trainers with practical experience shall be included in the panel for future training.

### **3.8 Concluding Remarks**

PPAF spent large resources on ESMF training and all FPs of PO were provided more than one training opportunities. A vast majority of the POs have no recommendations for training because their FP or ESMF trained persons had left the job. Most other POs have not read the ESMF and only used Form-A and Form-B to show compliance to ESMF.

The procedure for environmental and social assessment recommended in section 2 Review of ESMF is expected to integrate ESMF in PPAF operations (Operational Units) and will help to educate POs on ESMF and increase community awareness on environmental and social issues relevant to subproject.

## **4 Review of ESMF Monitoring Mechanism**

### **4.1 Overview of ESMF Monitoring**

Subprojects under PPAF-III are implemented by a large number of POs spread across the country. These POs range from small Community Based Organisations to large national level organisations. There are huge differences in organisational strength and staff capacity among the POs. Large POs are implementing several other projects with different donors in addition to PPAF-III and every project has different reporting requirements. It has been observed that main concern of the PO is subproject implementation through CO. Compliance to ESMF is reduced to filling of relevant forms and a vast majority of the POs have rarely visited the subproject after completion. They have no mechanism for monitoring compliance to ESMF.

PPAF simplified the complex monitoring task by asking POs to prepare Electronic Quarterly Progress Report (EQPR) reflecting on the number of Form-A and Form-B completed during the quarter. Review of EQPR indicates that some POs were lax in sending EQPR but after March 2015 all POs are sending complete EQPR indicating completion of all required forms. Review of EQPR and interviews with POs indicated that completion EQPR is a mechanical process adopted for satisfying the PPAF requirements. In vast majority of the POs, Form-A and Form-B are completed by relevant focal persons or nominated staff and without any discussions with CO.

### **4.2 ESMF Monitoring by Operational Units - Back to Office Reports (BTR)**

BTR is prepared by staff Operational Units after field visits to POs for progress monitoring and performance assessment in implementation of subprojects. PPAF has developed a detailed standard format for preparing field visit report known as Back to Office Report (BTR). This format includes a section entitled Status Report on ESM Audit Observations. The visiting staff is expected to provide observations on compliance to environmental and social safeguards in the specific subprojects of their units. The information collected in BTR may be used for monitoring compliance to ESMF by PO.

Review of BTR conducted in the 2013-15 TPV indicated that ESMF section in the BTR Format is mostly left blank. It appears Operational Units consider ESMF as an adjunct to the subproject. Operational Units consider ESMF compliance and monitoring as sole responsibility of the ESM Unit. Monitoring and compliance to ESMF shall be made part of the subproject and all BTR shall report on monitoring and compliance to ESMF.

BTR format is very extensive and extremely large and some of the BTR reviewed indicate that its preparation may take longer than one day. The BTR format needs to be simplified, shortened and with minimum write up.

### **4.3 ESMF Monitoring by POs**

ESMF monitoring by POs is just mechanical exercise comprising completion of Form-A and Form-B and reporting this to PPAF in EQPR. This is without any explanation and substance and does not provide realistic situation of ESMF compliance in subproject. The same conclusion was given in the TPV Report of 2013-15.

#### 4.4 Environmental and Social Audit (ES Audit)

The TPV 2013-15 concluded that monitoring of ESMF compliance is complex task because of various reasons cited above. The report reviewed ES Audit and suggested it as methodical approach for realistic monitoring of the ESMF compliance by POs.

**Table No. 4.1: Summary of Key Indicators IN ES Audit Reports**

No	Indicators	EPS Bunner	BRSP Zhob	SRSP Kohistan	FFO Muzafar -garh	WSO Muzafar -garh	IET Thatta	Kashf Thatta	NRSP Thatta
1	Date of ES Audit	Aug 2014	Dec 2014	Nov 2014	Oct 2015	Oct 2015	Sept 2014	Jan 2016	Jan 2016
2	Previous Compliance status of PO	Unknown	Nil	Nil	Nil	Nil	April 2014	Nil	Nil
3	Availability of ESMF documents with PO	Yes 4 <sup>th</sup> Edition	Yes 3 <sup>rd</sup> Edition	No	Yes	No	4 <sup>th</sup> Edition	No	5 <sup>th</sup> Edition
4	ESMF Focal Person Present	Yes	Yes	No	Yes	Yes	Yes	Unknown	Yes
5	Date of Focal Person's ESMF Training	March 2013	Sept 2014	Sept 2014	No	Oct 2014	Dec 2014	No	Sept 2015
6	ESMF Focal Person Present in regional offices	Yes	No	No	No	No	No	No	No
7	E&S Training provided to PO staff by Focal Person	No	No	No	Yes	No	Yes	No	Yes
8	E&S Training provided to COs	No	No	No	No	No	Yes	No	Yes
9	Awareness of ESMF related issues	Yes	Yes	No	Yes	Yes	Yes	No	Yes
10	EQPR submitted	Yes	Yes	Unknown	Yes	Yes	Yes	Yes	Yes
11	Form A prepared	Yes	No	No	No Information	No Information	Yes	No Information	No Information
12	Form B prepared	No	No	No	No Information	No Information	Yes	No Information	No Information

Review of ESMF audit report prepared by ESM Unit is presented in Table No. 4.1. It appears that two different formats were used for ES Audit, one for POs implementing infrastructure subproject and other for POs providing microfinance and enterprise development services.

A total of eight ES Audit reports were reviewed and it was found that for two reports different format was used. Perhaps, ESM Unit revised the ES Audit format.

ES Re-audit was conducted for sample POs with objective to evaluate the audit process and follow up on agreed actions. The ES Re-audit indicated need for revision of the ES Audit Format and reporting of audit findings in Quarterly ES Audit Report.

The ES Audit shall be specific for the district office of the PO concerned and shall focus only on the resources available in the district office. The ES Audit shall not ask questions like availability of the Focal Person in regional office or head office. Every district office responsible for implementation of the subproject must have one staff nominated as Focal Person.

#### 4.5 Proposed Format for ES Audit

##### Proposed Format for Environmental and Social Audit

- 1 Name of PO
- 2 District
- 3 Name of Auditor
- 4 Date of Audit
- 5 Date of Previous Audit
- 6 Name of Focal Persons
- 7 Date of ESMF Training Attended by Focal Person
- 8 Focal Person not nominated by PO
- 9 Name of Social Organisers provided **subproject specific** ESMF training by Focal Person

Name \_\_\_\_\_ Date of Training \_\_\_\_\_

Name \_\_\_\_\_ Date of Training \_\_\_\_\_

- 10 Name of Field Engineer Provided **subproject specific** ESMF training by Focal Person.

Name \_\_\_\_\_ Date of Training \_\_\_\_\_

Name \_\_\_\_\_ Date of Training \_\_\_\_\_

- 11 Please check hard copies of which ESMF Documentation available in office
  - a. ESMF fifth edition

- b. *Rahnuma Kitabcha*
- c. *Trabiati Kitabcha*
- 12 Name of subprojects for which Form-A was prepared with community consultation
- Name of the subproject \_\_\_\_\_
  - Whether any adverse impact of the subproject was identified
  - Whether mitigation measures were defined
  - Whether mitigation measures were implemented
- 13 What percentage of Community members participated in community consultation for completion of Form-A?
- Less than 30%
  - More than 50%
- 14 Subproject Inspection with CO members
- Subproject documents including Form-A and Form-B are available in the CO file
  - Community meeting was held for discussion of items in Form-A  
Yes                      NO  
If yes, date of meeting \_\_\_\_\_
  - To what extent subproject complied to social safeguards mentioned in Form-A
  - To what extent subproject complied to environmental safeguards mentioned in Form-A
  - Date of subproject completion
  - Condition of the subproject infrastructure
    - It is well maintained and serving the purpose for which it was built
    - It requires minor repair and maintenance
    - CO has collected funds for repair and maintenance
  - Present Environmental sanitation condition of the subproject
  - All people have access to subproject benefits
- 15 Status of the CO functioning with respects to:
- CO meetings and preparation of minutes of meeting,
  - regular collection of savings,
  - Collected funds for O&M of the subproject
- 16 Field Engineer Provided ESMF training by Focal Person

- 17 PO has provided clear information on negative list to microfinance beneficiaries?
- 18 PO has provided information on ESMF related guidelines for specific enterprises to private good beneficiaries?
- 19 Observations of the Audit Team
- 20 PO response on ES Audit Observations
- 21 Agreed Actions to be carried out by PO with specific time frame.

#### **4.6 Quarterly Reporting of ES Audit**

Instead of EQPR ESM Unit may consolidate ES Audit results into quarterly report for sharing with other Operational Units and donors.



## 5 Implementation Plan, PPAF Manuals and LSO

### 5.1 Implementation Plan Development Process of POs

Implementation plans of the sample POs were reviewed. The review indicated that Implementation Plan of all POs comprised a two-page estimate of staff costs and subproject costs only. All POs have only quarterly Implementation Plan and none of them have prepared a long term or an annual Implementation Plan. The Implementation plan is without any write up giving justification for the staff costs or subproject cost. It only comprised numbers without any explanation. All the Implementation Plans reviewed were prepared by PO for specific districts.

Implementation plan is usually based on socioeconomic or need assessment survey of the project area. These surveys provide detailed information on the project area, settlements and their population, availability of the social sector and physical infrastructure in the project area. These socioeconomic or need assessment surveys also serve as baseline for measuring project outcome and impact at the completion of the project.

POs were interviewed about development process of the implementation plan. POs informed that they know on the basis of their experience that what kind of subproject will be demanded by the COs in their project area. POs informed that they have prepared Village Development Plan, Union Council Development Plan (UCDP) for social survey of the project area. Some of the documents provided by POs were reviewed. The only exception was UCDP of Totano Bandi prepared by EPS which comprised socioeconomic data of the union council. The survey data were collected from key informants and it appears that possible estimates are given in the report.

UCDP of other POs comprised set of hand written questionnaires only. The data collected was not compiled and no report was prepared. Most of the information provided in the questionnaires is anecdotal or from secondary sources. Problems of the area are mentioned under 18 different heads and strategy for overcoming these problems is also given. The quality of problems and their recommended solution indicates that it is prepared by LSO members and local PO staff. None of these problems could be addressed by LSO or the PO with all resources employed.

Preparation of Village Development Plan is not used for village development as almost all POs award subproject to COs and rarely project is approved for VO.

None of the POs ranging from the largest to small have prepared any socioeconomic or need assessment survey of the project area to assess the important problem areas and what kind of interventions will be needed to overcome these problems. The POs have arbitrarily selected union councils in a district for their project area. Extent of poverty, access to social sector and physical infrastructure were apparently not the main considerations for selection of union councils. It is not unlikely that government or some other considerations have influenced the selection of union councils by POs.

Discussions with PO reveal that Implementation Plan is prepared in anticipation of number of subprojects that will be required in the area. These are not based on community demands rather community is asked to adopt these interventions in which PO has some experience.

## 5.2 PPAF Manual of Operational Units

Terms of reference included 'Review of the manuals of PPAF operational Units to identify the existing gaps that may hamper the effective implementation of ESMF'. Manuals of PPAF operational unit means set of instructions comprising standard operating procedures (SOP) for performing tasks assigned to that unit. Instead of these Social Mobilisation Manual and Community Physical Infrastructure Manual of June 2001 were provided for review. Both these manuals are for the guidance of POs and not for the PPAF operational Units.

### 5.2.1 Community Physical Infrastructure Project Manual (CPIM)

The CPIM is a very old document of June 2001 basically developed for to help POs in preparation of feasibility proposal for community infrastructure projects. The document comprises guidelines on feasibility study, project design and environmental assessment. The CPIM provides crop water requirement for different crops.

The entire document is highly complex, comprising mathematical formula which none of the PO engineers can understand. Almost all POs have employed diploma holder as district and field engineers for small scale community physical infrastructure subproject.

This manual is highly complex copied from engineering textbooks. The CPIM is irrelevant for small scale community physical infrastructure subproject. Perhaps it has never been used by POs because 14 pages of the CPIM are blotted and could not be read.

The CPIM comprises large number of environmental checklists which only apply to large scale projects and are inappropriate for community physical infrastructure subprojects.

What is needed is the CPI manual for PPAF Operation Unit so that it can assess the genuineness of the CO proposing subproject, impact of subproject on poverty reduction, equity in distribution of subproject benefits, etc. As mentioned elsewhere in this report CPI projects like tube wells, water storage tanks, irrigation pipelines etc., were awarded to large landowners, orchard owners instead of CO with 60% poor members.

### 5.2.2 Social Mobilisation Manual (SMM)

The SSM provides guidelines for development of COs, VO, and LSOs by POs. The manual provides definitions and procedures for development of institutions in rural areas. These guidelines provide details of procedures, membership, documentation required for the formation of these entities. It also provides formats for reporting progress on institutional development to PPAF by POs.

SMM provides great details on development of civilisation and social mobilisation by digging into the antiquities and pre-history of past 10,000 years. It informs about transition from barbarism about 5,500 years with the establishment of Sumerian civilisation which divided the day into 24 hours and 60 minutes. The SMM provides interesting details of Sumerian invasion of Mesopotamia and

beginning of agriculture in the present day area of Ninawa, Mosul and Erbil about 4,000 years ago. We come to know through this document that Sumerians were the first who invented social mobilisation to undertake collective activities for activities other than hunting and gathering. The wealth of knowledge dazzling in this document enlightens us that Sumerians were the pioneers who developed school system, a true middle class, state bureaucracy for tax collection and military command with king as commander in-chief at the pinnacle of power. This process of development was suddenly arrested by fossilised, fatalistic religion that denied access to education to women and slaves (Chapter on Right Based Approach page 7 to 15).

Suddenly with interesting pre-history reader is confronted with philosophical thinking on the relationship between state and the citizen. Then we come to know about the genesis of the right based approach, security of person, protection of property rights and equality of citizens. Then this document traces the origin of village organisation from the Aga Khan Rural Support programme ignoring the pioneers in this regard, the FAO in Africa and the contribution of Akhtar Hameed Khan at Pakistan Academy of Rural Development in Comilla (then East Pakistan) in 1960s.

The SMM provides instructions for Social Organisers about social mobilisation and establishment of CO. It is recommended that at least 70% households of village shall be organised to form a CO comprising average membership of 18 households. The age of members will be 18 years or above. SMM says that at least 30% members of the CO shall be women. This recommendation for CO membership extended to both sexes is applicable only in a few regions of the country. In almost all areas of Pakistan sex-disaggregation is norm and enforced strictly and more vigorously in many areas.

For the second tier SMM suggests that VO can be formed in a village where COs with 70% household coverage is established. For VO it recommends: 'The formation of a Village Organization can only be initiated in a village where at least 20% of the households are organized and are CO members with at least 30% women membership'. (page 45). The SMM suggest formation of Village Organisation (VO) or Village Support Organisation (VSO) or Village Development Organisation (VDO). All these are confusing nomenclature which a vast majority of the social mobilisation staff of POs cannot understand.

For the third tier organisation - LSO - formation SMM suggest 'LSO may be initiated in a UC where the household coverage in terms of CO formation is at least 20%...' (page 51). It further says 'Inclusion of at least 40% women and 60% poor members in COs based on the Poverty Score Card results.' (page 53).

SMM describes social mobilisation process and consultations with COs and VOs for formation of LSO. SMM restricts the general body of LSO to VDO nominated members. It completely ignores representation of COs in the general body of LSO. It recommends office bears of the LSO as one chairman/president, Manager (preferably women) and General Secretary. The guidelines provide details on role, functions, meetings etc., of the LSO.

SMM guidelines also focus on poverty and poverty Scorecard rating for membership of different community institutions. These guidelines on participation of poor are not integrated in sections where membership and formation of CO/VO/LSO are discussed. Instead poverty is focused in different and standalone chapter. This section entitled background to project and social mobilisation (pages: 16-25) is bound to create confusion about participation of poor in these organised entities. These recommendations of SMM are reproduced below:

SMM provides indicators for monitoring and tracking social mobilisation some of which state:

- a. At least 50% of CO members in each revenue village will be poor, as identified using the poverty score card.
- b. At least 40% of all CO members in each revenue village will be women.  
(Page 22)

SMM proposed these indicators for monitoring while it has not mentioned these percentages regarding membership of both sexes and poverty rating in chapter on CO/VO formation. The confusion in these indicators and guidelines is more than stated here. For example, for LSO it says 'Inclusion of at least 40% women and 60% poor members in COs based on the poverty score card results.' (Page 53)

SMM guidelines are in English language while this document is meant primarily for the social mobilisation staff of POs. A vast majority of the POs and their staff could hardly be able to read this document. There are confusing statement about representation of both sexes in all tiers of community institutions. The poverty rating criterion is another problem where PO ghas first to carry out poverty scoring before establishment of CO/VO/LSO.

The manual has provided instructions of formation of LSO without looking at the practical experience of LSO in different regions of Pakistan. LSOs were established in Pakistan first of all by the AKRSP under CIDA funded Institutional Development and Poverty Reduction Project 2004-09. The development process of these LSOs and facilitation provided to them was not taken into consideration while developing these guidelines in SMM.

AKRSP LSOs have indicated sustainability and others following the third tier organisation should have recognised the good practice. LSO is envisaged as a broad based participatory organisation comprising all organised entities (CO/VO and Community Based Organisations) in the union council. At least one representative of every organised entity is member of the general body of the LSO. The general body elects executive body of about a dozen members and office bearers of LSO. LSO was supported with provision of professional staff for a limited period, assisted with directory of funding sources.

SMM suggests a narrow base for general body comprising only VO representatives. VOs established by most POs are fragmented because in one village all sections of community are not organised into CO. VO comprises COs

representing about half of the village and the rest half had no COs at all. LSO coverage of population may not be what it is claimed.

As mentioned above 17% of the COs were non-existent in TPV of 2013-15.

### **5.3 Third Tier Organisations LSOs**

POs established LSOs as instructed by PPAF and almost without any meaningful social mobilisation, like convening of meeting of all COs and VOs at one place for discussions on formation of LSO. Instead the task for LSO formation was given to some community activists and they were asked to form a LSO.

In some union councils two LSO were formed each representing a different kinship group. Later on PO advised them to form one LSO for the union council and both LSOs were merged with having two office bearers for the same slot. Instead of parallel LSOs one LSO had parallel office bearers representing different kinship group.

In vast many LSOs in different regions this duality of office bearers indicates some sort of lack of confidence, outright mistrust or control over meagre resources provided to LSO under CLF.

#### **Objectives**

All LSOs studied lacked clarity of objectives. Whatever they explained and their documentation indicated generality of objectives like creating, awareness, working for economic development, increasing employment and welfare of the people. None of the LSO had defined specific objectives about the situation on ground in the union council.

Some of the LSOs have collected data for Union Council Development Plan (UCDP) which listed all kind of problems in the area from poverty to lack of power supply and LSO sets its role in solving all these problems.

#### **Capacity Issues of Community Resource Persons**

LSO members and activists have participated in many different types of training activities and after attending training they are called Community Resource Persons (CRP). No criterion of educational attainment was used in selection of trainees. POs nominated mainly LSO office bearers or executive committee members. Majority of the persons who attended these training was in fact semi-literate or illiterate. The nominated persons attended training but they lacked capacity to comprehend the subject. The idea of CPR was that they will provide training to the communities on demand basis. LSOs have posted list of CRPs in their offices but their only ability is that they have attended training which they hardly understood.

LSO after having several CPRs trained in ESMF are expected to assist COs in compliance to ESMF on their subprojects. Environmental and social assessment in subproject is specifically defined in ESMF and main elements of ESA are defined in Form-A. The important question is whether any CRP trained person in LSO can read the subproject specific ESA requirements or the Form-A. If they cannot read how can they understand it and ensure compliance to ESMF in subprojects. All LSOs interviewed have no idea about ESA requirements for different kinds of subprojects.

POs should be held accountable on how they have selected semi-literate and illiterate persons for training which required certain level of educational qualifications.

#### **LSO as Intermediary**

LSOs have emerged as intermediary between the PO and the community at large. PO has lost contact with COs and VOs and all development activities are channelled through LSO. Whether it is infrastructure subproject, distribution of assets and enterprise development everything is decided by LSO. The new modus operandi of POs to operate through LSOs has already created intermediaries. This is reversal of the so called myth of community empowerment propagated to impress their donors.

### **LSO Funding**

All LSOs organised by PO were provided digital hub comprising facilities for photocopy, photography, internet connectivity, etc. LSOs informed that they earn about Rs. 7,000 per month from this enterprise. The next plan is to provide a few million rupees to every LSO from Community Investment Fund (CIF) or Community Livelihood Fund (CLF) so that LSO can start microcredit in the union council. LSOs will charge the interest rate similar to other service providers that is almost 33% per annum.

#### **5.3.1 LSO and Third Party Validation**

The experience of social mobilisation gathered in the TPV 2013-15 indicated that a vast majority of the POs do not have properly trained staff for social mobilisation. In some instances, COs were established for subproject implementation as 17% of the COs were dormant or non-existent after completion of the project. None of the LSOs reported dormant or non-functional CO which is strange because some of the COs become dormant or cease to exist after completion of the subproject.

Almost all COs in tube-well subprojects were drawn from one family only (indicated by the name and father's name of CO members also land owners) and membership in these COs was 14 persons or less. Almost all tube wells, water storage tanks and irrigation conveyance through pipelines were subproject awarded to individuals and CO was just paperwork of the PO.

At least one of the PO visited was dependent on LSO chairman in every activity from field visit to identification of subproject. It also appeared that this man alone personified LSO. The LSO chairman guided PO staff for field visit, selected village for visit, organised male CO, female CO, identified subprojects, assisted PO in completion of documentation and hosted night stay of PO staff in the field.

#### **5.3.2 Gender Discrimination – Women Only LSO**

NRSP only organised women COs, VOs and LSO in D G Khan region. Men are excluded from these entities which is gender discrimination. It has been argued that women are poor, illiterate, carry water, face domestic violence, suffer from honour crime and have no bank accounts<sup>1</sup>. But the gender experts of these NGOs forget to tell that husbands of these women are graduates, wealthy, having multiple bank accounts, lashing women day and night and suspecting women for honour crime. These gender specialists cannot understand that men and women have the same social and economic status. These men are not robots they have emotions, they love their wives and children and do hard work to provide all

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<sup>1</sup> <http://nrsp.org.pk/gender-and-development.html>

facilities they can afford. They have no work opportunities in village, they labour in towns and sleep on roads in order to feed their families.

The women only LSO interviewed informed that seven million rupees will be provided to it from Community Investment Fund for starting microcredit service in the area. How an LSO which has staff of only one accountant will disburse and recover loans from women. The interest rate of this loan for poverty reduction will be nearly 33%. NRSP is working in this area from 2007 and it has not provided microcredit to any of the COs in this area. How this LSO will be able to earn income from microcredit in this area without any precedence of this kind of service.

#### **5.4 Best-in-class Subproject for Case Studies**

Validation of ESMF compliance in subprojects was not part of this TPV assignment and as such it was not possible to independently identify best-in-class cases after survey of sample subprojects. For this purpose, POs were asked to inform about specific subproject which they consider best with regard to ESMF compliance.

POs with very little concern for ESMF had identified some cases. Even some PO informed that each one of their subproject is best example of compliance to ESMF. The four POs suggested subproject which were visited by the field team and found unsuitable. EPS guided to two subprojects, one irrigation channel and another link road. The irrigation channel in mountainous terrain with one side in fill and the opposite in cut was not properly constructed. The channel was not provided with side dressing and all sort of garbage was piled up along the channel.

Another subproject indicated was cement-concrete link road. Three sections were left out from construction of this link road. One unpaved section was on the hazardous slope. The subproject was completed in October 2015 but its sign board was kept in LSO office and not fixed on site.

Drinking water lead hand pump in village Mahmood shah union council Dhabeji district Thatta was visited. The hand pump was properly maintained by the CO. There was no comfort in operating this hand pump because no space was provided where person using it could stand with comfort and ease. It was too low and brought great stress on the back and knees of the operator. This is not the best example for ESMF compliance.

Following two case studies of best-in-class cases with respect to ESMF compliance are given in Appendix – 3.

- i. Irrigation subproject comprising diesel powered tube well installed in Hajipur union council of Rajanpur district by women CO of Malikabad.
- ii. sewerage system subproject completed in Sulaimankhel village of Ajram union council is district Pishin.

## 6 Findings, Conclusion, Recommendations

### 6.1 Findings

#### 6.1.1 Mainstreaming ESMF in PPAF Operations

Implementation of ESMF is considered exclusive responsibility of the ESM Unit. Environmental and Social Assessment is considered as an adjunct to subproject approval and implementation process. There is need to integrate it into the PPAF operations. It is not an additional or supplementary requirement superimposed on subprojects just to verify compliance. Verification of compliance to ESMF shall be responsibility of all PPAF Operational Units and not exclusively left to the ESM Unit.

#### 6.1.2 PO's Interest in ESMF

All Focal Persons of POs have attended almost more than one ESMF training events and information about ESMF compliance is known to PO staff. Vast majority of the PO offices are without printed copy of the 5<sup>th</sup> edition of ESMF. Only a small proportion of PO have read the relevant sections of ESMF for specific subprojects. All POs print Form-A and Form-B for the concerned subprojects and complete these to show compliance to ESMF.

It is not necessary that POs must have read the ESMF but they should have at least some understanding of the ESA for the subproject and all items included in the Form-A. They just complete these Forms to report compliance to ESMF.

Consultations with POs on ESMF indicated that they have rarely read the relevant sections of specific subprojects proposed by them. POs due to lack of ESMF reading could not comment on quality and efficacy. All of the POs however consider it relevance for subproject implemented by them.

#### 6.1.3 Partner Organisations at the Verge

Capacity of POs as voluntary organisations focused towards any social sector or community development agenda is severely lacking. The basis of community development is organising community on the basis of existing patterns of mutual cooperation for attainment of common good through mobilisation of local resources on self-help basis. This requires contact with the community, encouraging savings and periodically guiding them to help solve their minor problem with mutual cooperation. This is almost missing from the agenda of all POs small or large, because they have established large number of COs during social mobilisation and have no capacity to visit them even once a year. This is what all POs confirm that they have expanded COs to an unmanageable scale.

They have found a new institution – LSO – to take care of COs and to perform all tasks of community development on behalf of PO. This may be a very good idea if implanted properly. POs have not made significant efforts in organisation of COs, in capacity building of COs in organisation and management and have not provided business plan. The LSOs do not understand their purpose of existence. They heavily rely on and expect that PO will provide them guidance and resources for local development. LSOs were not provided any training and capacity building in fund raising, project development and they do not know the sources of funding for their projects. In order to avoid all these issues POs



have made LSO an intermediary in disbursement of assets and enterprise development. Consequences of this are already mentioned.

Another important issue is vanishing of the voluntary spirit for community development among the POs. Before the generous grant of PPAF, POs had to work hard and prepared development plan to sell donors. They had conducted studies and justified their development proposal to convince donors. Now, they only have to prepare budget and write name of subprojects to get easy money. This has reduced PO from voluntary development organisation to petty contractor concerned only with the satisfaction of donor obligations. A vast majority of the POs have no diversified sources of funding to sustain their operations if PPAF funding is withdrawn. It can be predicted beyond any doubt that if PPAF funds are stopped many POs have no option but to wind up their offices.

Compliance to ESMF by POs is not because they understand it consider it important. They prepare Form-A and Form-B only to comply with donor obligation.

#### 6.1.4 Increasing Effectiveness of ESMF Training

Most of the POs Focal Persons provided ESMF training have left the job because of staff turnover. POs however provided positive feedback on the usefulness of the training. Those who attended ESM training were impressed with the training and its delivery. Some of the ESMF trained persons asked for provision of written handouts after training. They were informed that PPAF have provided all POs with ESMF in English language and two guidelines (*Rahnuma Kitabcha* and *Tarbiati Kitabcha*) in Urdu language. Only a few POs have read these documents.

It was found that training has served its purpose and was effective in making them understand the ESMF, its importance and compliance. Training cannot lead to attitudinal and behavioural changes making them to make efforts for ESMF compliance.

POs demanded permanent staff position of Focal Person on ESMF. This means they need budget for one position whose total input may not be more than one week in a year. This also indicate that POs have not understood compliance to ESMF.

#### 6.1.5 ESMF Monitoring

Electronic quarterly progress reports on ESMF monitoring are simple aggregation of number of Form-A and Form-B completed by POs. This is apparently a mechanical exercise as indicated by the review of Environmental and Social Audit (ES Audit) reports prepared by ESM Unit. PPAF Operational Units almost neglect any reference to ESMF compliance in their Back to Office Reports.

The ES Audit is more appropriate for monitoring ESMF compliance. ES Re-audit was conducted for sample POs and suggestions for revised ES Audit format is provided in Section 3.

#### 6.1.6 Manuals of PPAF Operational Units

Manuals of PPAF Operation Units on Community Physical Infrastructure (CPI) and Social Mobilisation were reviewed. The CPI manual was prepared for

guidance of POs in preparation of feasibility and design of CPI subprojects. This manual was outdated prepared in June 2001. It mostly comprised textbook examples for engineering design and data and has no relevance for subprojects proposed by POs. This manual is beyond the comprehension of Field Engineers of POs mostly diploma holders.

The Social Mobilisation Manual is very detailed providing instructions for PO staff on institutional development in rural areas.

Manuals of PPAF Operational Units means set of procedures or standard operating procedures for performing various tasks reacted to so review and approval. These manuals are needed so that Operational Units can assess the antecedents of CO, poverty assessment of the concerned community, equity of the subproject benefits and environmental and social assessment of the subproject.

#### 6.1.7 Implementation Plan Development Process of POs

Implementation Plan comprising a short, medium or long term activities of an organisation are usually devised through baseline, need assessment and social surveys of the project area. Some POs have very recently prepared village development plans or Union Council Development Plan for LSO. Mostly these comprise general statement about poverty, unemployment and a digests of all sorts of problems under the sun.

Implementation Plan of PO comprises quarterly numerical summary of staff costs and subproject cost with specification of districts and union council where these will be implemented. These are prepared in anticipation that these types of subproject will be demanded by COs. Not only that in some cases these are developed on the basis of PO capacity to implementation some sort of subprojects. For example, a PO is specialised in street pavement and all or most subprojects in its Implementation Plan will comprise street pavement and drain construction.

#### 6.1.8 Capacity of the Third Tier Organisations

LSOs are still in infancy, they have some organisational issues like two persons for the same office, frequent elections of leadership. The LSO need a lot of capacity building in terms of understanding their purpose, objectives and role in institutional development and strengthening. Instead of focus on capacity building and re-activation of their COs they have shifted focus on asking PO to provide funds and projects.

POs in order to satisfy this demand have made LSO an intermediary responsible for subproject identification, LEED implementation and in distribution of assets. This has empowered LSO but at the expense of disempowerment of community.

POs instead of providing capacity building to LSO in organisation and management have provided different sorts of training to LSO nominees without any consideration of their capacity and labelled them as Community Resource Persons (CRP). There are CRP trained in ESMF but they neither understand it nor

have the capacity to implement it. Environmental and Social Assessment is a serious issue which cannot be left to semi-literate or illiterate people.

### 6.1.9 Gender Discrimination in LSO

In some union council POs have organised only women COs, VO and LSO. Men were not involved at any tier of institutions. This is gender discrimination and organisation of women only cannot empower the community or women. These communities where women only institutions are developed (Rajanpur district) are under the stranglehold of large landlords who are the *defacto* rulers of the area. This type of society needed male community organisations for awareness and empowerment of community. The female only social mobilisation is based on convoluted logic. (see section 5.3.2 above).

### 6.1.10 Implementation of Previous TPV Recommendations

#### TPV 2013-15

This report made very valuable recommendations for PPAF with respect to ESMF revision and obtaining compliance from PO. The report was submitted in September 2015 and PPAF management and operational units need time for meaningful review and assessment of these recommendations for making policy changes. Once these internal reviews are complete and further studies are conducted, appropriate decisions will be taken for implementation of these recommendations. Important recommendations of this TPV are summarised below.

- 1 Fifth edition of ESMF needs revision to incorporate gender mainstreaming and consultation of community women in some subproject which directly affect them, for example, water sector and irrigation, and channel lining subprojects.
- 2 ESMF needs to incorporate equity criteria in subproject selection, particularly, in agriculture and all types of irrigation subprojects to ensure that subproject benefits are not concentrated in large landholders.
- 3 The ESMF shall provide detailed methodology for environmental and social review instead of just requiring filling of Form-A and Form-B. This will identify the adverse impact of the project, define mitigation measures and allocate mitigation cost.
- 4 Ensure that all POs have printed set of ESMF documents for ready reference in all district offices.
- 5 Evaluation of POs according to PPAF eligibility criteria is needed.
- 6 POs shall focus on capacity building of COs in operation and maintenance of subprojects.
- 7 Instead of quarterly monitoring ESM Unit shall focus on Environmental and Social audit and prepare quarterly reports
- 8 POs shall be instructed to resolve outstanding issues with respect to ESMF in subproject.
- 9 Capacity development of PPAF operational units is required in review of subprojects proposals and in authenticating antecedents of the proponent COs.
- 10 Capacity of CPI Unit shall be enhanced in defining and implementing equity criteria in subprojects for flow of benefits to poorer sections of the society.

#### TPV 2012-13

It recommended selection of new small scale POs in areas with low coverage.  
Establishment of regional offices of PPAF with appointment of environmental experts to

train POs. These recommendations are neither well thought out nor with any justification. In addition, several vague and incomprehensible statement are given as recommendations which are not worth mentioning.

#### **TPV 2011-12**

Recommendations of TPV 2012 on dissemination of ESMF to focal persons of POs, training on medical waste disposal, water testing and re-plantation of trees were all addressed through ESMF training and also incorporated in the fifth edition of ESMF.

One recommendation is very brief and need explanation, 'In all projects local government departments were not involved. For long-term impacts and sustainability of the projects, relationship must be established with local government departments". It is incomprehensible that how relationship with local government department will increase long-term impact and sustainability of the project. PPAF must have enquired in detail about justification for this kind of recommendation.

## **6.2 Conclusions**

PPAF has made pioneering efforts in rural development through taking environmental and social concerns of development subproject to the grassroots level. These efforts will not only pave the way for sustainable community development but will also increase community awareness in considering environmental and social aspects of other developments. These efforts for compliance to ESMF in development subprojects will pave the way for improvement of public health.

POs have expanded community organisation beyond their capacity to guide and serve them for community empowerment. COs have become only subproject implementation partner without broader objective of local resource mobilisation and self-help for community development.

LSOs due to lack of proper social mobilisation of constituent COs and VOs by PO appears a superimposed entity on grassroots organisations. Further PO has given resources and also a role of intermediary to LSO. This has caused leadership struggle in LSO (frequent elections, for example three elections in two years). There are two persons for the same slot of vice president or other in LSOs which indicate strong attraction to power, perks or patronage. This urge for petty offices of LSO will lead to disputes and power struggle. LSO strengthening in organisation and management, bookkeeping and accounts and presentation of accounts to general body may provide foundations for sustainability of LSOs. A strong LSO can play an important role in assisting PO and CO in compliance to ESMF.

## **6.3 Recommendations**

### **6.3.1 Integration of ESMF in PPAF Operations**

Section 2 review of ESMF focused on providing methodology for conducting Environmental and Social Assessment (ESA) at the time of preparation of subproject proposal by PO and CO. Community consultation on all aspects of the subproject mentioned in the ESMF will provide assessment of the positive and adverse impact of the subproject. This will help in identification of mitigation measures to overcome adverse impact and also provide estimation of the mitigation cost. This community consultation report of ESA shall be made part of the subproject proposal sent to PPAF Operational Unit for approval. The

operational Unit may review this report and consult ESM unit, if required, before approval of the subproject. This process will integrate ESMF in the PPAF operations and also enlighten community and PO on ESMF compliance.

### 6.3.2 ESMF Training of PO Staff

General training on ESMF is not required for the Social Organisers and Field Engineers of the PO in district offices. All Focal Persons of POs shall provide subproject specific ESMF training based on the details provided in the document at the time of subproject proposal preparation. This will help the field staff of PO in leading and guiding the process of community consultations on ESA. They will also be able to prepare report based on realistic discussion of issues by the community.

### 6.3.3 ES Audit

Instead of present EQPR, the ESM Unit may focus on ES Audit of POs. The ES re-audit suggested improvement and simplification of the ES Audit instrument. It is recommended that quarterly report of ES Audit shall be prepared and circulated internally. Where required, some measures shall be taken to advise PO for negligence in ESMF compliance.

### 6.3.4 PO to Focus Again of social mobilisation for sustainability of institutions

All POs, small and large, have stopped social mobilisation and their staff resources are heavily utilised in microcredit and subproject implementation. The social mobilisation and strengthening of COs and VO is left to LSOs which need capacity building and resources to carry out these activities. None of the PO and LSOs have any staff resources for community organisation strengthening. This will lead to the extinction of rural institutions established in earlier years.

### 6.3.5 Capacity Building and LSO Strengthening

POs shall make efforts for capacity building of LSOs itself with organisation and management training. POs should understand what kind of capacities and knowledge is required for proper functioning of LSOs. They should devise strategy to finish the race for LSO offices in the executive committee. The general body of LSO is too narrow and not at all helpful in sustainability of the LSO. There are wide gaps in the concept of LSO and its practical translation into practice which must be bridged.

Most POs lack capacity for LSO strengthening and it will be required that PPAF shall hire the services of credible rural development training institute to bridge this gap.

### 6.3.6 End Gender Discrimination in LSO

LSOs shall comprise all organised entities of both genders. Women only LSOs are discriminatory and gender mainstreaming shall be reconsidered.

### 6.3.7 Implementation Plan of PO

Implementation plan of PO comprise only quarterly staff and subproject cost estimates without any justification for the expenditure. The POs prepare a rudimentary village development plan and union council development plan too general and often not compiled in single document. There is no baseline survey or need assessment survey of the project

area to provide justification for the Implementation Plan. POs shall be guided to provide justification of proposed interventions and the required budget.

#### 6.3.8 Prepare Manuals for Operational Units

PPAF prepared manuals for POs guidance on social mobilisation and community physical infrastructure and ESMF. PPAF needs manuals comprising set of instructions and standard operating procedures for assessment of antecedents of COs, subproject proposals, access to subproject benefits and establishment of equity in subproject benefits.

# Appendices

- Appendix – 1 Terms of Reference and Compliance
- Appendix – 2 Profiles of the LSOs Visited
- Appendix – 3 Best-in-class subproject demonstrating Effective ESMF compliance
- Appendix – 4 Interview Schedule for Consultation of ESMF with POs
- Appendix – 5 Interview Schedule for Consultation on ESMF Training and Monitoring
- Appendix – 6 Interview Schedule for Implementation Plan Development Process
- Appendix – 7 Interview Schedule for Best in Class Case Study
- Appendix – 8 Interview Schedule for LSO Study
- Appendix – 9 Workshop on Lessons Learnt from the Third Party Validation of ESMF
- Appendix – 10 Selected Photographs

## Appendix – 1

### Compliance to Terms of Reference

No.	Detailed Scope of Work for TPV	Report Section
1	A thorough review of the previous TPV reports and evaluation of the extent to which the recommendations of these TPV reports have been implemented by PPAF and POs.	6.1.10
2	Review of the environmental and social monitoring regime as specified in the ESMF, review of reports of monitoring carried out by PPAF and its POs, identification of non-compliances/gaps, and recommendation for changes to improve monitoring mechanisms, if any. This will include providing feedback to improve integration of ESMF in PPAF operations such as Back to Office Reports and monitoring tools of various PPAF units.	Chapter 4
3	Assessment of the measures in place for mainstreaming ESMF within PPAF's operations, processes, and policies, including the mainstreaming of ESM criteria in implementation plans and the allocation of ESM-based mitigation costs.	3.1
4	Review of the training regime as specified in ESMF to see how far the capacity building for ESMF compliance has been successful.	3.2
5	Assessment of usefulness and effectiveness of these trainings and recommendation on ways and means in consultation with POs to make training program more effective.	3.4 and 3.5
6	Review of the manuals of PPAF's operational units to identify the existing gaps that may hamper the effective implementation of ESMF.	5.2
7	Assessment of capacity of the third tier organizations in terms of understanding and implementation of ESMF as well as monitoring of interventions to be carried out by VOs and COs.	5.3
8	Assessment of the Implementation Plan (IPs) development process and recommendation to improve it.	5.1
9	Conduct a consultative session with PPAF PO's to get their feedback on ESMF quality, efficacy and relevance.	3.7
10	Re-audit a sample of ESM audits of 2015 so as to evaluate the audit process and follow-up on agreed actions by the PO's.	4.4 and 4.5
11	Based on the above, formulation of recommendations for effective implementation of ESMF, overall management of the environmental and social aspects associated with the interventions under PPAF-III Project as well as an effective approach to poverty alleviation under the theme of environment-poverty nexus.	Chapter 6



12	Development of short case studies on at least three 'best-in-class' cases demonstrating effective ESM compliance, and/or replicable environmental management initiatives.	5.4
13	Organize a half day or full day workshop with POs, COs and relevant PPAF staff presenting and sharing their experience for ESMF implementation with the larger group, discussing capacity and implementation gaps, and formulating the way forward to contribute to sustainability.	Appendix - 9
14	Any additional task as assigned by the Group Head, Compliance and Quality Assurance that is relevant to the scope of proposed study.	

## Appendix – 2 Profiles of LSOs Visited

## Ajram Taraqi Pasand LSO

### Union Council Ajram, District POishin, PO – BRSP

- |                        |  |
|------------------------|--|
| 1. Malik Atta Muhammad | Vice President                         |
| 2. Muhammad Azeem      | Vice President                         |
| 3. Abdur Raheem        | General Secretary                      |
| 4. Abdul Bari          | Treasurer                              |
| 5. Janan Afghan        | Executive member – district councillor |
| 6. Mian Khan           | Executive member                       |
| 7. Muhammad Qasim      | Executive member                       |
| 8. Muhammad Yar        | Executive member                       |

#### Organisational Structure of Ajram Taraqai Pasand Tanzeem

Number of General Body members 54

Number of Executive Members 11

#### Number of Officers

President – one

Vice President – 2

General secretary – 2

Treasurer – 1

Information Secretary – 1

Number of villages

Total Number of villages – 54

Total Number of VOs -42

Total Number of COs – 111

Number of villages without any community organisation – 5

Union Council Ajram, tehsil Saranan, district Pishin, Balochistan

Union council Ajram is sparsely populated compared to other areas of the district. It has almost no perennial source of irrigation. large in terms of geographical area of around 3,000 square Km and its population is around 14,000.

Union Council (UC) Ajram is located in the southern part of Saranan tehsil and it is bound in the south by Pajpai tehsil of Quetta district. The UC is least developed in terms of physical and social sector infrastructure and is endowed with scarce natural resources. The union council has no perennial source of irrigation like spring, steam or *kareze* and only a small area could be irrigated with hill torrents.

Population of the union council is around 14,000 living in 51 small villages scattered over a large area. Population of the union council is ethnically diverse comprising Pathan and Brahvi groups and perhaps in equal proportion. Majority of the Pathan population belong to Kakar tribe while majority of the Brahvi people belong to Pirkani tribe. Entire population adheres to *Sunni* Islam and there is religious minority in the UC.

Level of literacy among men is negligible and women are almost illiterate throughout the UC. Primary schools were established by government in large villages and majority of these schools were defunct for long period and some are even to this day. In several villages primary schools are functional. There is no high school in the union council. There are two health facilities, one Basic Health Unit (BHU) and one civil dispensary. NO doctor is appointed in the BHU and paramedical staff provides services in both health facilities.

BRSP is working in Ajram since 2007 and a vast majority of the villages or village clusters have established Community Organisations (CO). There are about 111 COs, 71 of these are Men COs and 40 are Women COs. About 40 villages have established Village Organisations (VO) and five villages have neither VO nor CO.

BRSP mobilised VOs/COs to establish Local Support Organisation (LSO) and in 2013 two LSOs, one representing Pathan population and the other representing Brahvi were formed. In 2014 both LSOs were merged and registered under the Voluntary Social Welfare Agencies (Registration and Control) Ordinance of 1961.

### **Organisation of LSO**

LSO elections were held in 2014 with secret ballot and LSO officers were elected by members of the general body. Since there are two ethnic groups in the union council, its organisational structure includes two Vice presidents and two general secretary one from Pathan group and the other from Brahvi group. All officers of the LSO including the Councillor are illiterate except one member of the executive body who is matriculate and college student.

### **Representative Status of the LSO**

There are 111 COs and 41 VOs in the union council according to LSO officers but its general body comprises only 51 members. Although it was informed that all 111 COs and 41 VOs are functional and none was dormant but LSO has not given representation to a vast majority of the organised entities in the LSO. This indicates LSO is not broad-based as its general body excludes many organised entities.

All members of the general body are male. Women COs are not represented in the general body and LSO leaders informed that male members of general body also represent women COs. Because of enforcement of segregation of sexes women are not allowed to attend meeting with men.

### **LSO Objectives**

LSO leaders were unable to precisely inform about purpose and objectives of the organisation. They said that objective is to create awareness among people but were unable to inform about the subject of awareness. The other objectives was to solve the problems of people but were unable to inform about what problems they were going to solve. They have no idea what they have written as Purpose and Objectives of the LSO on the application form for registration. They have no clarity about objectives or how they can work for betterment of the people.

This clearly indicates that proper social mobilisation was not done for establishment of the LSO.

### **Resources**

LSO was not provided any seed money by BRSP or PPAF nor it has any resources to earn income from any source. LSO informed that they hold monthly meeting of executive body and quarterly meeting of general body. They discuss problems their problems in these meetings.

### **Analysis of Future Plans**

LSO has no future plan.

BRSP representative informed that LSO will be provided Rs. 1.8 million from PPAF funds for microcredit business. LSO will use this amount to initiate microfinance in Ajram union council. Farmers in the area borrow from money-lenders and commission agents at about 30% to 40% interest rate per annum. Instead of borrowing from money lenders and commission agents they can borrow from LSO on the same interest rate.

BRSP's this proposal is not tenable and is without proper survey and analysis. Agriculture in the area is very limited and dependent upon rain in the catchment area that brings hill torrents for shorter duration. Only patches of land are irrigated with this system. Crops are grown only if the land is irrigated. Rainfall occurs in January-March and there is no monsoon in this area of arid climate. With irrigation in this season short duration and high value crops like vegetables and melons can be grown in the area. Chemical fertilisers cannot be used and are not required in the area because hill torrents bring lot of silt and enhance fertility of the soil. Pesticides may be required for melon and vegetable crops in case of pest attack.

The LSO officers are illiterate, they have no office and staff to disburse loan and properly maintain loan record. BRSP has not provided training in Bookkeeping to LSO because of lack of literacy skills in the LSO leadership. BRSP plans to send one of its field staffs periodically to LSO to prepare and maintain record of loan disbursement and recovery. Loan disbursement and recovery will be the entire responsibility of the LSO.

It can be predicted that LSO which lacks management and financial skills and has no potential customers of microcredit will not be able to manage this loan portfolio.

### **Capacity Building**

Two members of the LSO were provided training as Community Resource Person in ESM at Karachi.

### **Recommendations**

After interviewing LSO, it is perplexing why it has been formed? What are its objectives and how LSO will achieve these objectives? No guidance has been provided to LSO on these matters. It appears that it is just fashionable to form LSO and this appears to be its only *raison d'être*.

Not – broad-based, representative =/ dormancy hidden

LSO needs strengthening in organisation and management. Its members should know why they have formed it. How they are going to generate funds for development. How can they make proposals for obtaining funds from donors?

## **Totano Bandai Welfare & Development Organisation – LSO**

### **Union council Totano Bandai, tehsil Kabal, district SWAt – PO EPS**

#### **LSO**

Union Council Totano Bandai, Tehsil Kabal, District Sawat, Khyber Pakhtunkhwa

Union council Totano Bandai is sparsely populated compared to other areas of the district. Total geographical area of UC is around 115440 Acres mostly terrain and its population is around 23258.

#### **Topography of UC**

Union Council (UC) Totano Bandai is at a distance of 21 km from Syedu Sharif, 7 km from tehsil Kabal. It is bounded by many villages with Kotlai in the South of Totano Bandai, Qalagy in the North, Kala Kalay on the Eastern side and Dir on Western side of UC. The UC is well developed in terms of physical and social infrastructure. Sources of irrigation of union council are springs, steam and hill torrents.

Population of the Union Council is around 23258 living in 9 small villages scattered over a large area. Population of the union council is ethnically diverse comprising 5 social groups Khattak, Mimikhail, Khushalkhail, Sarenkhail and Mariskhail. Majority of the Pashtun population belong to Yousfzai tribe. Entire population adheres to *Sunni*.

Level of literacy among men and women is commendable. In total there are about 8 Primary Girls Schools and 10 Primary Boys Schools in the UC and one Boys Middle School and Girls Middle School, Girls high school that are established by government in the UC. All schools are functional with high enrolment rate, In addition to that around five Private schools are also operational. There is only one civil dispensary for the entire UC.

EPS is working in Totano Bandai since 2012 and a vast majority of the villages or village clusters have established Community Organisations (CO). There are about 107 COs, 73 of these are Men COs and 34 are Women COs. All 9 villages have established Village Organisations (VO).

#### **Organisation of LSO**

The organisational structure includes Vice presidents and general secretary from Yousfzai tribe. All officers of the LSO including the Councillor are illiterate except few members of the executive body who are educated. On the operational structure of the LSO mostly Cos and VOs were not that much familiar.

#### **Representative Status of the LSO**

There are 107 COs and 9 VOs in the union council according to LSO officers but its general body comprises only 27 members. Although it was informed that all 107 COs and 9 VOs are functional and none was dormant but LSO has not given representation to a vast majority of the organised entities in the LSO. This indicates LSO is not broad-based as its general body excludes many organised entities.

All members of the general body are male. Women COs are not represented in the general body and LSO leaders informed that male members of general body also represent women

COs. Because of enforcement of segregation of sexes women are not allowed to attend meeting with men.

### **LSO Objectives**

LSO leaders were unable to precisely inform about purpose and objectives of the organisation. They said that objective is to promote peace but they don't know how to promote. The other objectives were to uphold women rights, alleviate ignorance through education, improve livelihood infrastructure but they don't know how to do to achieve these goals on ground. They have no idea what they have written as Purpose and Objectives of the LSO on the application form for registration. They have no clarity about objectives and its practical implementation for the betterment of the people.

This clearly indicates that proper social mobilisation was not done for establishment of the LSO.

### **Resources**

LSO was not provided any seed money by EPS or PPAF nor it has any resources to earn income from any source. It seems to look that LSO is totally non-functional.

### **Analysis of Future Plans**

LSO has not clearly defined future plan because all the members of LSO were illiterate and don't know about objectives and goals.

### **Capacity Building**

The general lack of knowledge about purpose and objectives of LSO among its officers and executive body members indicate need for capacity building. Social mobilisation at organised entities (VOs/COs/CBOs) level needs to be strengthened for institutional development.

LSO needs to develop its objectives with specific reference to its area of operation. It should focus on development needs of the area and draft objectives to address these development needs in specified time frame.

LSO shall be trained in developing project proposal and

LSO shall be provided office costs for one year

LSO shall be provided seed money for productive investment to earn small income on timely bases.

Provide training on ESMF

## Women LSO Hajipur

### Union council Hajipur district Rajanpur – PO NRSP

1. Amroza Parveen President
2. Salma BB Voice President
3. Sameena Kanwal General Secretary
4. Kulsoom BB General Body Member

#### Organisational Structure of LSO Hajipur

Number of General Body members 29

Number of Executive Members 7

#### Number of Officers

President – 1

Vice President – 1

General Secretary – 1

Treasurer – 1

Joint Secretary – 1

Number of villages

Total Number of villages – 18

Total Number of VOs - 18

Total Number of COs – 222

Number of villages without any community organisation – 0

Union Council Hajipur, Tehsil Jampur, District Rajanpur, Punjab

Total geographical area of Union Council Hajipur is around 42367 Acres and its population is around 37359.

#### Topography of UC

Hajipur is the uncion council of jampur, in District Rajanpur. Sources of irrigation of union council is canal water.

Population of the Union Council is around 37359 living in 18 small villages. Population of the union council is ethnically diverse comprising 4 social groups Chng, Malik, Burra, and Baloch. Population adheres to *Sunni, Shia and Ahle Hadith* of muslims.

Level of literacy among men and women is very low. In total there is only one 8 Primary School for boys and girls both. All schools is functional with low enrolment rate of 47 boys and 31 girls. There is only one civil dispensary for the entire UC.

#### Organisation of LSO



The organisational structure includes President, Vice presidents and general secretary. All officers of the LSO are illiterate except few members of the executive body who are semi-literate. On the operational structure of the LSO mostly COs and VOs were not that much familiar.

### **Representative Status of the LSO**

There are 222 COs and 18 VOs in the union council according to LSO officers and all the members of COs and VOs are female, no male member in any organised entity and how it is possible that in 18 villages 222 COs. General Body of LSO comprises only 29 members. Although it was informed that all 222 COs and 18 VOs are functional and none was dormant but LSO has not given representation to a vast majority of the organised entities in the LSO. This indicates LSO is not broad-based as its general body excludes many organised entities.

All members of the general body are female. Male COs are not represented in the general body and LSO leaders informed that only female members of general body represent all COs.

### **LSO Objectives**

LSO leaders were unable to precisely inform about purpose and objectives of the organisation. They said that objective is to work on gender equality but all the members of COs, VOs and LSO are female, not even a single male was member of LSO. The other objectives were to uphold women rights, alleviate Poverty but they don't know how to achieve these goals on ground. They have no idea what they have written as Purpose and Objectives of the LSO on the application form for registration. They have no clarity about objectives and its practical implementation for the betterment of the people.

This clearly indicates that proper social mobilisation was not done for establishment of the LSO.

### **Resources**

LSO was provided 412000 as seed money by NRSP and PPAF.

### **Analysis of Future Plans**

LSO has not clearly defined future plan because all the members of LSO were illiterate and don't know about objectives and goals.

### **Capacity Building**

The general lack of knowledge about purpose and objectives of LSO among its officers and executive body members indicate need for capacity building. Social mobilisation at organised entities (VOs/COs/CBOs) level needs to be strengthened for institutional development.

LSO needs to develop its objectives with specific reference to its area of operation. It should focus on development needs of the area and draft objectives to address these development needs in specified time frame. LSO shall be trained in developing project proposal and

### **Recommendations**

After interviewing LSO, it is perplexing why it has been formed? What are its objectives and how LSO will achieve these objectives? No guidance has been provided to LSO on these matters. LSO needs strengthening in organisation and management. Its members

should know why they have formed it. How they are going to generate funds for development. How can they make proposals for obtaining funds from donors?

## Jeay Bhitai LSO

### Union Council Dhabeji, District Thatta, PO – IET

1. Saleh Muhammad	Chairman
2. Haseen a Bano	Vice Chairperson
3. M Azeem	Vice Chairman
4. Sulan Ahmad	Information Secretary
5. Ghulam Abbass	Joint Secretary
6. Abdul Latif	Finance Secretary
7. Ghulam Mustafa	Pres Secretary

#### Organisational Structure of LSO

Number of General Body members 20 (12 men and 8 women)

Number of Executive Members 17 (13 men and 4 Women)

#### Number of Officers

President – one

Vice President – 2

General secretary – 2

Treasurer – 1

Information Secretary – 1

Number of villages

Total Number of settlements - villages – 64

Total Number of VOs - 8

Total Number of MCOs – 123

Total Number of WCOs – 122

Non-member WCOs – 84 not active

Non-member WCOs – 45 not active

Number of villages without any community organisation – 5

Estimated coverage of UC population 50%

Union council is about 50 km from Karachi city on the main road to Badin. Because of its proximity many people commute to Karachi for work. According to information provided the union council has witnessed a large influx of Pathan people. Majority of these in-

migrants are engaged in retail trade activities. Rural population of the UC is engaged in agricultural production activities.

Dhabeji is peri-urban settlement with large market along both sides of the highway. According to available information level of educational attainment by men in Dabeji is higher than rural areas of the district.

LSO was established in July 2013 and it is registered with social welfare department under the Voluntary societies registration ordinance of 1961. The LSO was assisted with provision of digital hub a few months ago which it has established in a rented portion close to its office. The LSO informed that it was earning profit of around RS. 7,000 a month. LSO has no paid staff its accounts are looked after by concerned executive members and the president.

LSO has held three elections in two years as there are several contenders for leadership slot. The LSO has not extended its membership 84 male and 45 female COs in the union council. There are two vice presidents and general secretaries in the LSO which indicates existence of two factions.

The rural population is engaged in agriculture while large number of government servants, working on water pumping station for Karachi, Pakistan railways and other department. About 50% of the household in Dhabeji town are employed by government or private sector agencies and some work in Karachi and its vicinity.

## Appendix – 3: Best-in-class Case Studies

### Diesel Operated Irrigation Tube-Well Subproject

#### Village Malikabad, Union Council Hajipur,

#### District Rajanpur PO-NRSP

The village Malikabad comprises about 30 households and Women CO was established in the village in 2014. The CO prepared proposal for diesel powered tube well to overcome deficit irrigation provided by canal. The WCO comprised women from landowning and tenant households. No exact data on landownership and tenancy was available for the community. According to available information the number of landowning household was about 16. Among these the largest holding was 18 acres and about half a dozen landholdings were around six acres each. About ten landowners have smaller holdings of one acre or less. If these statistics is correct then there was equity in the subproject benefits.

About 23 households were sharecropping tenants which included persons with small landholdings. Tube well was demanded by women CO and none of the cultivators is member of the CO. Tube well is operational for the past six months. Cost of operation is shared by water users.

O&M is provided by the WCO which has collected money for this purpose.

The subproject provides benefit to all members who pay the cost of tube well operation without any restrictions. The economic benefit of the subproject are significant because it overcomes deficit irrigation. The income of landowners and tenants has increased because of this subproject. This has increased cropping intensity which provides additional labour days to landless labourers.

The tube well is not extracting more water than required because of high cost of operation. It also provides clean drinking water to community. Its management and O&M is carefully looked after and it is free from disputes.

## Sewerage System in Village Sulaiman Khel, Union Council Ajram District Pishin, PO - BRSP

The village is located in flood plains of sparsely populated union council Ajram. The village has no water source and village was buying water from tankers. The cost of water tanker was about Rs.3,000. BRSP was implementing solar tube well in the village which is expected to be completed in April 2016.

The total population of village is about 250 persons. The village is located in isolation as the nearest village is not in sight. The remarkable thing about the village is complete lack of any single tree in the village.

The sewerage system comprising primary and secondary pipelines was completed in January 2016. There is scarcity of water in the village and because of high price it is consumed with utmost economy. After completion of tube-well for drinking purpose community well have access to more water.

All pipeline was buried under ground and properly covered septic tanks were provided. The disposal of the sewage was in the desolate and highly undulating land at the outskirts of village.

Village street are clean and there was no open defecation in the village.

## Appendix – 4: Interview Schedule for Consultation with POs on ESMF

The World Bank – PPAF-III

Third Party Validation of Annual Environmental and Social Monitoring / Assessment (Fifth Phase)

### Consultations on ESMF with PPAF POs

#### Interview Schedule

It will be appreciated if PO management staff, ESMF Focal Persons, head of social mobilisation/ organisation and community development staff are present for this consultative group interview.

- 1 Name of Interviewer \_\_\_\_\_
- 2 Date \_\_\_\_\_
- 3 Name of PO \_\_\_\_\_
- 4 Address of PO \_\_\_\_\_
- 5 Name and designation of the Respondents:
  - a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
  - d. \_\_\_\_\_
- 6 Name of ESMF Focal Person \_\_\_\_\_  
OR  
No Focal Persons appointed
- 7 Project Area of PO.
  - a. Number and name of districts \_\_\_\_\_
  - b. Number of union councils \_\_\_\_\_
  - c. Number of villages \_\_\_\_\_

- 8 Major Sectors of PO's Work:
- a. \_\_\_\_\_
  - b. \_\_\_\_\_
  - c. \_\_\_\_\_
  - d. \_\_\_\_\_
- 9 Types of interventions implemented under PPAF-III with total number of subprojects in each category from July 2015 to date.
- Number of subprojects in  
CPI \_\_\_\_\_ WECC \_\_\_\_\_ Health \_\_\_\_\_ Education \_\_\_\_\_
- Asset Transfer \_\_\_\_\_ LEP Training \_\_\_\_\_ microcredit \_\_\_\_\_
- 10 Do you have any understanding regarding environmental and social assessment approach? Please elaborate.
- 11 What are the major environmental and social issues in your project area? Please describe briefly.
- 12 Why in your opinion environmental and social assessment of small scale community development subprojects is required? Please explain.



13 Do you think that environmental and social assessment of subproject in your project area shall be carried out now and in the near future?

Yes, it must be carried out

It shall not be mandatory

It is not required and appears unnecessary

14 In your opinion what are the linkages between environmental and social impact and poverty in your project area? Please cite examples.

15 What is your opinion about ESMF guidelines for specific subprojects implemented by COs in your project area?

These are very apt, cite example \_\_\_\_\_

These are complex cite example \_\_\_\_\_

Unnecessarily elaborate Cite example \_\_\_\_\_

Any other, please explain Give your opinions about these

16 In your opinion your staff, particularly, social organisers and field engineers understand ESMF guidelines of specific subprojects implemented by COs in your project area.

To a great extent

To some extent

Not at all

17 What is the feedback you get about compliance to ESMF guidelines for specific subproject from CO members?

- It is new thing and they hardly understand it
- They think it is formality and comply with it
- They understand its importance and eagerly comply
- 18 Please show us if you have printed copies of following documents in your office?
- |                                       |           |                          |               |                          |
|---------------------------------------|-----------|--------------------------|---------------|--------------------------|
| ESMF 5 <sup>th</sup> edition          | Available | <input type="checkbox"/> | Not available | <input type="checkbox"/> |
| ESMF <i>Rahnuma Kitabcha</i> in Urdu  | Available | <input type="checkbox"/> | Not available | <input type="checkbox"/> |
| ESMF <i>Tarbiati kitabcha</i> in Urdu | Available | <input type="checkbox"/> | Not available | <input type="checkbox"/> |
- 19 In your opinion how many of your male and female Social Organisers and Field Engineers have read these books?
- |                                       |      |       |        |       |
|---------------------------------------|------|-------|--------|-------|
| ESMF 5 <sup>th</sup> edition          | Male | _____ | Female | _____ |
| ESMF <i>Rahnuma Kitabcha</i> in Urdu  | Male | _____ | Female | _____ |
| ESMF <i>Tarbiati kitabcha</i> in Urdu | Male | _____ | Female | _____ |
- 20 Have you read the ESMF 5<sup>th</sup> edition?
- Very busy and have no chance yet to read it
- Only read some portions relevant to subprojects
- Read most of it
- 21 Have you read the *Ranuma Kitabcha*?
- Not read
- Only some portions
- Read most of it
- 22 Have you read the *Tarbiati Kitabcha*
- Not read
- Only some portions
- Read most of it
- 23 Do you think that ESMF guidelines for specific subprojects are easy to understand and simple translate into practice?
- To a great extent
- To some extent
- Not at all

24 Do you think that ESMF provide guidelines for inclusion of women in subproject planning

Yes

No

25 Do you think that ESMF provides enough guidelines for defining adverse impact of the subprojects?

26 Do you think that ESMF provides enough information on defining mitigation measures for subproject?

27 What kind of suggestion you would like to give to improve ESMF with respect to mitigation measures.

28 ESMF is a living document, periodically modified for easing compliance to it in subprojects. The 5<sup>th</sup> edition will be revised in due course, what are your suggestions for further improvements in the next edition of ESMF for improving compliance by all stakeholders (COs, POs and PPAF). Please elaborate.

29 What are your suggestions for improvement in the next edition of the ESMF so that it is user friendly and easy for the COs to comply with it?

## Appendix – 5: Interview Schedule for Consultation with POs on ESMF Training and Monitoring

The World Bank – PPAF-III

Third Party Validation of Annual Environmental and Social Monitoring / Assessment (Fifth Phase)

### ESMF Training and Monitoring of PO

#### Interview Schedule

It will be appreciated if PO management staff, ESMF Focal Persons, head of social mobilisation/ organisation and community development staff are present for this consultative group interview. PO will provide ESMF quarterly monitoring reports submitted to PPAF.

Date of Interview \_\_\_\_\_

Name of Interviewer \_\_\_\_\_

1 Name of PO \_\_\_\_\_

2 Name and designation of the Respondents:

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

d. \_\_\_\_\_

3 Name of ESMF Focal Person \_\_\_\_\_

OR

No Focal Person is nominated by PO

4 How many members of your staff have attended ESMF training organised by PPAF in the past?

Name of staff

Designation

5 When these training were conducted?

Month \_\_\_\_\_ Year \_\_\_\_\_ Place of Training \_\_\_\_\_

Month \_\_\_\_\_ Year \_\_\_\_\_ Place of Training \_\_\_\_\_

6 To what extent these training were helpful in understanding of project specific ESMF guidelines?

To a great extent

To some extent

Just little bit

7 The ESMF Focal Persons trained by PPAF has provided training to Social Organisers and Field Engineers of your organisation?

YES

NO

8 Do you think that these training provided knowledge and skill to conduct environmental and social assessment of subprojects?

To a great extent

To some extent

Just little bit

9 What were the most important aspects of training which you think needed improvement in future ESMF training?

10 What is your rating for following aspects of the ESMF training you have attended?

Understanding of the ESMF (Please tick one): very good/ good/ mediocre/ very little

Venue of the training (Please tick one): very good good not bad

Knowledge and skills of trainers (Please tick one): excellent good not good

Length of training sessions and breaks were

Appropriate sessions were lengthy

Refreshments and lunch during training were

Very good good not bad

11 What will you recommend for future ESMF training so that ESM guidelines are clearly understood by participants?

12 What will be your recommendations for future ESMF training so that participants attain capability of obtaining compliance to ESM guidelines

13 Based on your past experience what are your recommendations to increase the usefulness and effectiveness of future ESMF training?

14 Have you prepared any ESM guidelines in Urdu for COs/VOs specific subproject for your field staff and Community Organisations?

Yes \_\_\_\_\_ NO \_\_\_\_\_

15 During past one year how many male and female COs were imparted ESM training by your staff?

Male COs \_\_\_\_\_ Female COs \_\_\_\_\_

No ESM training was imparted for COs \_\_\_\_\_

16 How many of the male and female COs was provided printed copies of the following documents?

*Rahnuma Kitabcha* \_\_\_\_\_ Male COs \_\_\_\_\_ Female COs

*ESMF Trabiati Kitabcha* \_\_\_\_\_ Male COs \_\_\_\_\_ Female COs

17 Have you prepared translation of Form-A and Form-B in Urdu for specific subprojects implemented by your organisation?

YES

NO

18 DO you arrange training session for dissemination of ESMF guidelines to community men and women when they apply for specific project?

YES

NO

19 How your staff ensure that ESMF screening form (Form-A) is completed after careful consideration of all aspects given in it?

20 Who prepares ES screening of subproject and completes Form A?

CO/VO officers

ESM Focal person of PO

Concerned Community Organiser

Any other (please specify)

21 What is the mechanism for monitoring compliance of ESM during subproject implementation?

Field visit to subproject by PO staff for monitoring

Written communication by CO/VO about project progress and ESM compliance

Email by CO/VO about project progress and ESM compliance

CO/VO provide Information on phone about project progress and ESM compliance

No monitoring of ESM compliance is done by PO staff

22 Do you think that community members and COs have understood the importance of environmental and social issues?

23 What is attitude of COs towards compliance of ESMF guidelines on their project?

They understand importance of ESM and carefully comply with

They consider it an unnecessary formality

They are indifferent to it

24 On any subproject implemented under PPAF-III, had anyone identified adverse impacts of subproject during screening phase?

YES

NO

25 If yes please provide detail of the project and the adverse impact.

26 What kinds of measures were implemented to mitigate adverse impact?

27 In other subproject how mitigation measures are defined to overcome the adverse impact?

28 What percentage of subproject cost is allowed for mitigation cost in subproject implemented by your organisation?

29 Have you implemented any subproject which has outstanding environmental and social issues that have emerge sometime after completion of the subproject?

30 What are these issues and on which subprojects?

31 What kind of corrective measures were taken to address these outstanding issues?

None

Detail of actions taken by CO / by PO/ by PPAF

32 How many of the subprojects implemented to date require mitigation measures or corrective action now?



- 33 Have you imparted ESMF training to private good beneficiaries (asset transfer, enterprise development, training and microcredit)?
- 34 Does your staff inform agricultural borrowers to refrain from use of synthetic chemical pesticides?
- 35 Do you monitor compliance of ESM by private good intervention beneficiaries?
- 36 How you conduct monitoring of ESM compliance for private good intervention beneficiaries?
- 37 Have you monitored that small business subprojects have posted sign in shops for not selling cigarette and other addictive substances to person under 18 years of age?
- 38 Have you monitored that auto workshops have made appropriate arrangements for collection and disposal of refuse and hazardous materials?

## Appendix – 6: Interview Schedule on Implementation Plan Development Process

The World Bank – PPAF-III

Third Party Validation of Annual Environmental and Social Monitoring / Assessment (Fifth Phase)

### Implementation Plan Development

#### Interview Schedule

It will be appreciated if PO management staff, infrastructure development and social mobilisation manager are present.

PO will provide copy of implementation plan annual work plan, baseline survey, need assessment survey reports.

Date of Interview \_\_\_\_\_

Name of Interviewer \_\_\_\_\_

1. Name of PO \_\_\_\_\_

2. Name and designation of the Respondents:

a. \_\_\_\_\_

b. \_\_\_\_\_

c. \_\_\_\_\_

3. Please provide copy of your implementation plan for 2015-16

4. Have you prepared baseline survey of your project area union councils?

YES

NO

5. If yes, when this baseline survey was conducted. Month \_\_\_\_\_ Year \_\_\_\_\_

6. In how many union councils this baseline survey was conducted?

Name of Union councils: i) \_\_\_\_\_ ii) \_\_\_\_\_

iii) \_\_\_\_\_ iv) \_\_\_\_\_ v) \_\_\_\_\_

7. When these union councils were included in the project area? Month \_\_\_\_ Year \_\_\_\_

8. How many villages of the union council have established Community Organisations or Village Organisations?

9. How many villages of the union council have not established Community Organisations or Village Organisations?

10. What is the population coverage (or percentage) of union councils under PPAF-III project?

UC \_\_\_\_\_ Population Covered \_\_\_\_\_ Population not Covered \_\_\_\_\_

UC \_\_\_\_\_ Population Covered \_\_\_\_\_ Population not Covered \_\_\_\_\_

UC \_\_\_\_\_ Population Covered \_\_\_\_\_ Population not Covered \_\_\_\_\_

11. What is the population coverage (or percentage) of union councils for Livelihood Enhancement and Enterprise Development (LEED)?

UC \_\_\_\_\_ Population Covered \_\_\_\_\_ Population not Covered \_\_\_\_\_

UC \_\_\_\_\_ Population Covered \_\_\_\_\_ Population not Covered \_\_\_\_\_

UC \_\_\_\_\_ Population Covered \_\_\_\_\_ Population not Covered \_\_\_\_\_

12. What are the major activities for Livelihood Enhancement implemented in the union councils?

13. What kind of Enterprise Development activities were implemented in union councils?

14. Have you started development activities in these union councils with PPAF funding or you have implemented projects in these union councils with other donor funds?

- With PPAF funds alone
- With PPAF and other donors
- With other donors

15. Have you conducted Need assessment survey for the union councils where PPAF-III funds are utilised?

YES

NO

16. Have you conducted Goal Oriented Project Planning or problem analysis or discrepancy analysis for the project area?

17. Have you developed problem tree for the project area?

18. What are the important problems in the hierarchy of problem tree?

19. How you develop Implementation Plan for PPAF-III? For example, you conduct consultations with Community members / LSOs or any other, please explain.

20. How you know that this kind of projects will be demanded by COs in the project area?

21. What are the most important community needs in the PPAF-III project area?

22. What are your main considerations in developing Implementation Plan for PPAF-III?

23. Have you developed long-term implementation plan for 3 to 5 years period for the PPAF-III?
  
24. Have you developed annual Implementation Plan for PPAF-III?
  
25. Do you prepare any narrative summary to justify the data provided in the excel sheet of Implementation Plan?
  
26. Do you prepare annual review of Implementation Plan for PPAF-III?
  
27. What are the lessons learnt in development of the Implementation Plan for PPAF-III?

## Appendix – 7: Interview Schedule for Best-in-class Case Study

The World Bank – PPAF-III

Third Party Validation of Annual Environmental and Social Monitoring / Assessment (Fifth Phase)

### Best-in-class Case Study

#### Interview Schedule

Date of Interview \_\_\_\_\_

Name of Interviewer \_\_\_\_\_

- 1 Name of Respondents
  
- 2 Name of PO \_\_\_\_\_
- 3 Name of CO/VO \_\_\_\_\_
- 4 Name of LSO (if any) \_\_\_\_\_
- 5 Name of village \_\_\_\_\_ UC \_\_\_\_\_ Tehsil \_\_\_\_\_
- 6 District \_\_\_\_\_
- 7 Demographic information  
Number of households \_\_\_\_\_ Estimated Population \_\_\_\_\_
- 8 Social groups (kinship groups, caste groups, etc.) in the village:
- 9 Religious and sectarian groups in the village
- 10 Major Economic Activities in the Village with number of households in each activity?

Landlords \_\_\_\_\_ Peasants \_\_\_\_\_ Landless agriculture labour \_\_\_\_\_

Government service \_\_\_\_\_ private service \_\_\_\_\_ wage labour \_\_\_\_\_

Other activities (please specify each activity by number of households) \_\_\_\_\_

\_\_\_\_\_ \_\_\_\_\_  
Number of persons working in other areas \_\_\_\_\_

11 Land tenure

What is the largest agricultural landholding in village \_\_\_\_\_ acres

What is the smallest agricultural landholding in village \_\_\_\_\_ acres

How many landowners are not cultivators of land \_\_\_\_\_

How many household are peasant proprietor (land owner cultivator) \_\_\_\_\_

How many households are landless \_\_\_\_\_

12 How many households do not own home and are living on rent or without rent in village?

\_\_\_\_\_

13 What are the important crops grown in the village

\_\_\_\_\_

14 What is the system for irrigation of land? \_\_\_\_\_

15 Number of Persons in regular employment by gender

Men \_\_\_\_\_ women \_\_\_\_\_

16 Is this village provided regular public transport service?

17 Law and order situation of the village and surrounding area is peaceful?

18 Please describe economic activities of community women

19 Extent of poverty **PO**

How many households in the village have poverty score of below 20 according to poverty scorecard data? Number \_\_\_\_\_

- 20 Educational institutions in the village with enrolment.  
Primary school \_\_\_\_\_ Boys enrolled \_\_\_\_\_ girls enrolled \_\_\_\_\_
- 21 Nearest health facilities – distance from village \_\_\_\_\_
- 22 Water supply and sanitation
- 23 Title of the subproject
- 24 Components of the subproject
- 25 Please check following papers are available in the PO file:
- i. CO Resolution,
  - ii. Project proposals / application for project,
  - iii. project design,
  - iv. Operation and Maintenance (O & M) plan for subproject,
  - v. ESMF screening forms - Form –A
  - vi. identification of mitigation measures and costs,
  - vii. procedure for implementation of subproject,
  - viii. approval of subproject by operational unit,
  - ix. Subproject completion reports Form –B
  - x. ESMF compliance report sent to PO,
  - xi. Water quality test report for hand pump and tube-well
- 26 Please check following papers are available in the CO file:
- xii. CO Resolution,
  - xiii. Project proposals / application for project,
  - xiv. project design,
  - xv. Operation and Maintenance (O & M) plan for subproject,



- xvi. ESMF screening forms - Form –A
  - xvii. identification of mitigation measures and costs,
  - xviii. procedure for implementation of subproject,
  - xix. approval of subproject by operational unit,
  - xx. Subproject completion reports Form –B
  - xxi. ESMF compliance report sent to PO,
  - xxii. Water quality test report for hand pump and tube-well
- 27 Please obtain copy of the Resolution of the subproject
- 28 Please check that compliance to all items in the Form-A has been done?
- 29 Please check that Form-A is complete and signed by all concerned persons?
- 30 Please check that Form-B is complete and signed by all concerned persons?
- 31 Women were consulted on project design?
- 32 Women were provided awareness about ESMF compliance?
- 33 Community men were provided awareness on all aspects included in the Form-A?
- 34 Adverse impact of the subproject identified at planning stage with all community members?
- 35 If there was any adverse impact then mitigation measures for the subproject were proposed at planning stage?
- 36 What were the mitigation measures?
- 37 Mitigation measures implemented during project implementation?
- 38 Has this community received any guidelines in Urdu for environmental and social screening of this specific subproject?  
Yes            No
- 39 Is this subproject located at recommended distance from historical, cultural sites, designated protected area or ecological site?  
Yes                    No

- 40 Is this subproject located at recommended distance from the designated and notified protected and wildlife sanctuary?  
Yes                      No
- 41 How many trees were cut for construction of subproject and how many trees were planted in compensation?  
  
Number of trees cut \_\_\_\_\_ Number of trees planted \_\_\_\_\_
- 42 Subproject site is neat and clean – from solid waste, garbage and contaminating objects and unused construction material, etc.?
- 43 Whether any O&M was done on the subproject in recent months?
- 44 Whether subproject needs any O&M right now? If yes what is required?
- 45 Do you think that implementation of this subproject has resulted in making some group of people more vulnerable and marginalised?
- 46 Does this subproject comprising any type of dam and gabion has caused adverse environmental or social impact on the upstream community or downstream community?

#### **Education Facility**

- 47 The subproject was implemented with the support of School Management Committee?  
Yes                      NO  
There was no School Management Committee in the village?
- 48 Where this school is located  
Close to the housing area of community  
About 4 furlong away from housing area of community  
In mountainous areas school is located at high elevation and four furlong away from community?

49 School premises and classrooms are clean and without any trash like wrappers and plastic bags or waste paper.

50 One large dustbin outside and two small dustbins in classroom are available and in use?

Large Dust

Dustbin are in place in classrooms

No dustbin in classrooms

No dustbin outside

51 If there is water tank in school when it was cleaned last time? Month \_\_\_\_\_ year \_\_\_\_\_

52 What type of latrine was provided in school?

Flush \_\_\_\_\_ Pit \_\_\_\_\_ Other \_\_\_\_\_

53 What is the level of cleanliness of latrine?

It is clean and in use

Not cleaned since long and still in use

Not cleaned and not in use (abandoned)

#### Health facility

54 What is the overall level of cleanliness in the health facility?

55 Have separate latrines been provided for male and females?

Yes

No

56 Have latrines been provided that are linked with p-trap and septic tank?

Yes

No

57 If yes, what is the condition of lavatories?

Latrines are clean and in use

Not cleaned since long and still in use

Not cleaned and not in use (abandoned)

58 Has complete sterilisation equipment, incinerators and needle cutter been provided?

Yes

No

59 The local Health Management Committee is aware of the hospital waste management rules of 2005.

Yes

No

- 60 Has separate area been designated for sterilisation in BHU/RHC/CH and is in use?  
Yes and in use  
No such separate area designated for sterilisation
- 61 Has safe disposal pit or (local made incinerator) for hazardous waste available and in use?

## **WATER SECTOR PROJECTS**

### **Please confirm that location of this tube well is:**

250 Meter away from other major source of drinking water

100 meter away from garbage dumps, fuel sales outlet, auto workshop, industry

100 meter away from existing tube-well

50 meter away from cesspit, cesspool

30 meter away from pit toilet, animal pen, fields using organic fertilizer

15 meter away from septic tank

7 meter away from drain, ditch, and house

### **Please confirm that this Hand pump is**

100 meter away from major safe drinking water source

50 meter away from lavatories and solid waste dumps

### **Please confirm that this underground water tank is**

50 meters away from latrines and solid waste dumps

### **Please confirm that this rainwater harvesting pond is**

50 meters away from latrines, solid waste dumps and agricultural fields

### **Please confirm that this community biogas plant is**

200 meters away from residences and sources of water supply

Single household biogas plant is 20 meters away from house

### **Please confirm that this windmill water pump is**

250 meters away from safe drinking water source

### **Please confirm that this septic tank is**

50 meters away from ground water well

**Please confirm that the fresh water source (tube well, hand pump, well, stream) is:**

30 meters away from livestock and poultry sheds or fish ponds

### Rating of Subproject by compliance

**IMPORTANT** This section of the interview schedule will be completed by mutual consensus of Interviewers based on discussions with community members and inspection of the subproject. This should be completed after completion of field visit to subproject

- 1 Awareness of PPAF’s Environmental and Social Management Guidelines
  - a. About 75% community men know about Environmental and social management guidelines of PPAF
  - b. About 50% community men know about Environmental and social management guidelines of PPAF
  - c. About 25% community men know about Environmental and social management guidelines of PPAF
  - d. Less than 10% community men know about Environmental and social management guidelines of PPAF
- 2 Cleanliness of the project surroundings
  - a. Surroundings are neat and clean
  - b. There is dry garbage – solid waste in surroundings
  - c. There is animal dung or standing waste water nearby
- 3 In your opinion what is respondents’ candid opinion about compliance to Environmental and Social Management Guidelines
  - a. It is very important for sustainable development
  - b. It is important because donor demands it
  - c. It is just formality
  - d. It is unnecessary burden
- 4 What is the present condition of the subproject?
  - a. It is in good condition because of proper management
  - b. It is working but without proper care
  - c. It needs care
  - d. It has clear signs of disrepair
- 5 How will you rate the O&M arrangements for subproject from 1 to 5? 1 means very good and 5 means very bad. Please encircle one  
  
1      2      3      4      5

## Appendix-8: Interview Schedule for LSO

The World Bank – PPAF-III

Third Party Validation of Annual Environmental and Social Monitoring / Assessment (Fifth Phase)

### Interview Schedule for LSO

This interview will be conducted with LSO management and members of the board of directors.

Date of Interview \_\_\_\_\_

Name of Interviewer \_\_\_\_\_

1. Name of PO \_\_\_\_\_
2. Name of LSO \_\_\_\_\_
3. Union Council \_\_\_\_\_ District \_\_\_\_\_
4. Date of establishment of LSO office? Month \_\_\_\_\_ Year \_\_\_\_\_
5. Date of Registration of LSO \_\_\_\_\_
6. Law under which it is registered \_\_\_\_\_
7. Annual Audits of the LSO was conducted by audit Firm?  
YES                    in Month \_\_\_\_\_ Year \_\_\_\_\_  
NO
8. What are the major objectives which LSO want to achieve?
  - i) \_\_\_\_\_
  - ii) \_\_\_\_\_
  - iii) \_\_\_\_\_

9. Please provide details of villages and organised entities in the Union Council and their membership of the LSO.

**Abbreviation:**

- MCO – Men Community Organisation
- WCO – Women Community Organisation
- VO – Village Organisation
- CBO – Community Based Organisation
- UC – Union Council

1	<b>Variables</b>	<b>Number</b>	<b>Population Covered</b>
2	Total number of villages in UC		
3	Total number of VOs in UC		
4	Number of VOs who are member of the LSO		
5	Number of VOs who are not member of the LSO		
6	Total number of MCOs in UC		
7	Total Number of MCOs who are member of the LSO		
8	Total Number of MCOs who are not member of the LSO		
9	Total number of WCOs in UC		
10	Total Number of WCOs who are member of the LSO		
11	Total Number of WCOs who are not member of the LSO		
12	Total Number of CBOs in the UC		
13	Total Number of CBOs who are member of the LSO		
14	Total Number of CBOs who are not member of the LSO		

9 Estimated Population of the union council \_\_\_\_\_

10 Estimated Population of union council covered by the LSO \_\_\_\_\_

11 Organisational structure of the LSO – please provide names of important officers of the LSO

Names	Designation	Basic Membership – Name of CO /VO/ CBO
	President / Chairman	
	Vice President / Vice Chairman	
	Secretary	



- 9 Number of persons in the Board of Directors: Men \_\_\_\_\_ Women \_\_\_\_\_
- 10 Number of persons in the general body of LSO: Men \_\_\_\_\_ Women \_\_\_\_\_
- 11 How much funds were provided to LSO for establishment (office and staff) cost  
RS. \_\_\_\_\_
- 12 Who provided these funds \_\_\_\_\_
- 13 Number of Paid Staff of LSO
- Manager \_\_\_\_\_
- Other (Specify) \_\_\_\_\_
- Other (Specify) \_\_\_\_\_
- Other (Specify) \_\_\_\_\_
- 14 What are the sources of income for LSO?
- 15 What is the annual Income of LSO from its sources of income?
- 16 How many COs were organised by LSO in its area?  
No. of COs \_\_\_\_\_  
No. of VOs \_\_\_\_\_
- 17 How many of the organised entities are dormant or not properly functional in March 2016?  
MCOs \_\_\_\_\_ WCOs \_\_\_\_\_  
VOs \_\_\_\_\_ CBOs \_\_\_\_\_
- 18 Have you succeeded in obtaining funds for your development initiatives from donors?  
If yes, please give name of donors and amount of funds received
- Donor \_\_\_\_\_ Funds Rs. \_\_\_\_\_
- Donor \_\_\_\_\_ Funds Rs. \_\_\_\_\_
- Donor \_\_\_\_\_ Funds Rs. \_\_\_\_\_

19 What are the reasons if LSO is yet not successful in obtaining donor funds for its development initiatives?

20 How many women members of the general body attend LSO general body meetings in the past one year?

All Women members attended general body meetings

50% of the women members attended general body meetings

About 25% of the women members attended general body meetings

21 How many Women member of the Board of Directors (BoD) attended meetings in the past one year?

All Women members of the BoD attended meetings

50% of the women members of the BoD attended meetings

About 25% of the women members of the BoD attended meetings

22 Number of approved subprojects for COs that were proposed by LSO.

i. \_\_\_\_\_

ii. \_\_\_\_\_

23 Names of subprojects proposed and implemented by your LSO.

Name of Subproject \_\_\_\_\_

Number and name of villages benefitting from the subproject \_\_\_\_\_

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24 How many members of the LSO were provided training as **Community Resource Person** on ESMF?

Men \_\_\_\_\_ Women \_\_\_\_\_

25 How many COs were provided ESMF awareness by male Community Resource Persons?

Number of COs \_\_\_\_\_

26 How many WCOs were provided ESMF awareness by female Community Resource Persons?

Number of WCOs \_\_\_\_\_

27 Do the Community Resource Persons provide awareness to CO about ESMF guidelines and assist them in fulfilling requirements stated in Form-A.

YES  NO

28 How LSO has carried out ESMF awareness and guidelines (Form-A) for larger subproject for several villages proposed and implemented by LSO

Called general body meeting and provided information  
Invited concerned VO and CO for ESMF awareness meeting  
Conducted separate meeting with concerned CO and VO

29 LSO members and/or staff has attended ESMF training organised by PPAF?

YES  NO  go to Question

30 When this training was organised, please give information about training venue and date.

Month \_\_\_\_\_ Year \_\_\_\_\_ City \_\_\_\_\_

31 If yes, please inform that this training has increased your understanding of the environmental and social issues in implementation of small scale community development subprojects?

To a great extent   
To some extent   
Just a little bit

32 Your PO has ever conducted ESMF training for LSO staff and general body?

YES   
NO  go to Question No. 26

33 If yes, do you think these training sessions have increased awareness about environmental and social assessment of subproject?

To a great extent   
To some extent   
Just little bit

34 Have your LSO provided subproject specific ESMF training to CO general body?

YES   
NO

35 How you ensured Compliance to ESMF guidelines by CO in their subprojects?

36 Whether LSO assisted in completion of Form- A for the specific subproject?

37 Please check which of the following documents are available with the LSO.

ESMF 5 <sup>th</sup> edition	Available	<input type="checkbox"/>	Not available	<input type="checkbox"/>
ESMF <i>Rahnuma Kitabcha</i> in Urdu	Available	<input type="checkbox"/>	Not available	<input type="checkbox"/>
ESMF <i>Tarbiati kitabcha</i> in Urdu	Available	<input type="checkbox"/>	Not available	<input type="checkbox"/>

38 How many LSO Board members have read any of these documents?

Above 75%   
About 50%   
Less than 25%

39 How many members of the general body are aware of that compliance to ESMF guidelines is mandatory for PPAF subprojects?

Above 75%   
About 50%   
Less than 25%

40 Had LSO prepared any system for monitoring of its activities and projects?

Yes  please provide details of the main monitoring activities of LSO

No monitoring system prepared yet

41 Have often LSO make arrangement for monitoring subproject?

Once in six months   
Once in a year   
None

42 In implementation of **livelihood enhancement and enterprise development** activities LSO informs all beneficiaries about ESMF compliance in their activities?

Yes provide information to all   
Only half of them are informed

43 How often LSO visit **livelihood enhancement and enterprise development** beneficiaries to monitor compliance of ESMF in their specific activities?

Once in six months  Once in a year

None

44 At what stage LSO defines mitigation measures for subprojects?

Before implementation of the subproject

During subproject implementation

At the completion of subproject

45 How mitigation cost for subproject is calculated?

---

46 For what kind of activities mitigation cost is used?

47 Please inform about progress towards achievement of the major objectives stated in response to Question No. 8 above.

i) \_\_\_\_\_

ii) \_\_\_\_\_

iii) \_\_\_\_\_

48 Please provide copy of the LSO monitoring Report.

## **Appendix -9: Workshop Report**

### **Lessons Learnt from the Third Party Validation of ESMF Compliance**

#### **1. Purpose of Workshop**

Main purpose of this workshop was to share the observations and findings by third party during third party validation of ESMF for project PPAF-III. And also point out gaps in ESMF compliance and how to overcome these gaps. Presentations presented by Social Consultant from Halcrow Pakistan were:

1. Importance of ESMF for sustainable development
2. ESMF Compliance – PO Experience
3. LSO's Understanding and Implementation of ESMF

Workshop also includes:

Question and Answer Session,

Presentations of LSO's members,

And Experience sharing of PO's and LSO's Members regarding ESMF compliance and problems faced during implementation of subprojects and ESMF Compliance Gaps and success stories.

#### **2 Date and Location of Workshop**

Workshop was held on 29<sup>th</sup> March in Dream Land Motel, Islamabad from 09:15 am to 15:30. Opening remarks were given by Media Advisor of the PPAF and introduction of the workshop was provided by Ijlal Hussain and Adnana Rao of ESM Unit.

#### **3 Proceeding**

The workshop was opened at 9:45 with opening speech of PPAF's Media Advisor.... She thanked all the members for attending this workshop. Then everybody introduced himself with name, area, designation and institution.

Afterwards Head of PPAF ESM Unit Ms. Adnana Rao gave introductory speech and mentioned the objectives of workshop. She also gave presentation on mechanism of ESMF compliance.

#### **4 Workshop Sessions and Discussions**

Workshop was comprises on 4 main sessions, in which 3 presentation mentioned above was included and question and answer session. All three presentations were presented by Mr. Saif ur Rehman Sherani Social Consultant from Halcrow Pakistan

##### **Importance of ESMF for sustainable development**

In this presentation Social Consultant mentioned:

The importance of ESMF in community development,

Major factors affecting the sustainable development,

Goals of sustainable development,

And describe the organizational structure of community institutions.

### **ESMF Compliance – PO Experience**

The next presentation presented by Social Consultant was based on the observations and key findings about PO's on ESMF compliance which he and his team observe during their field visits. In his presentation he points out the gaps of ESMF compliance by the PO's side. Majority of PO's were not aware of the ESMF importance and even they don't possess any document regarding ESM. But some PO's were well aware of the importance of ESM and possess documents related to ESM.

### **LSO's Understanding and Implementation of ESMF**

In this session Social Consultant gave brief presentation on

History of formation of LSO's,

Organizational structure of LSO,

Obligations of LSO,

And share their experience about LSO's formed by PO's.

### **Questions and Answers Session**

This was last session of the workshop.

In this session members of PO's and LSO's raised some questions on previous session's presentations.

### **Presentations of LSO Members**

The last session was presentations of LSO members in which they told about problems of their area and their achievements to overcome that problems and some of their success stories.

## **5 Participants of the Workshop**

The workshop was attended by staff of PPAF operational units and staff of the Halcrow Pakistan and TPV consultants. From Halcrow Pakistan participants included, Usman Malik - Director Environment, Qasim Bashir – Business Development Manager, Zulqarnain - Junior Environmentalist, S R Sherani - Social Development Consultant and Muhammad Asher – TPV Project assistant.

The participants of the workshop comprised Focal Persons of 20 POs and two representatives of their LSOs.

Sr. No.	List Of PO's	No. Po Staff	No. LSO Members
1	NRSP	1	2
2	ADO	1	2
3	Moajz	1	2
4	FDO	1	2
5	BLCC	1	2
6	BRSP	1	2
7	TF	1	2
8	BRDRS	1	2
9	PIDS	1	2
10	BRDS	1	2
11	SRSP	1	2
12	EPS	1	2
13	AKRSP	1	2
14	Sungi	1	2
15	CMDO	1	2
16	BB	1	2
17	TRDP	1	2
18	IET	1	2
19	BRDS	1	2
20	HANDS	1	2
<b>Total</b>		<b>20</b>	<b>40</b>

## 6 Closing Remarks

The PPAF Media Advisor and Mr. Ijlal Hussain thanked all the participants of the workshop and Halcrow Pakistan for their presentations in the workshop.



## Appendix -10: Selected Photographs - KPK



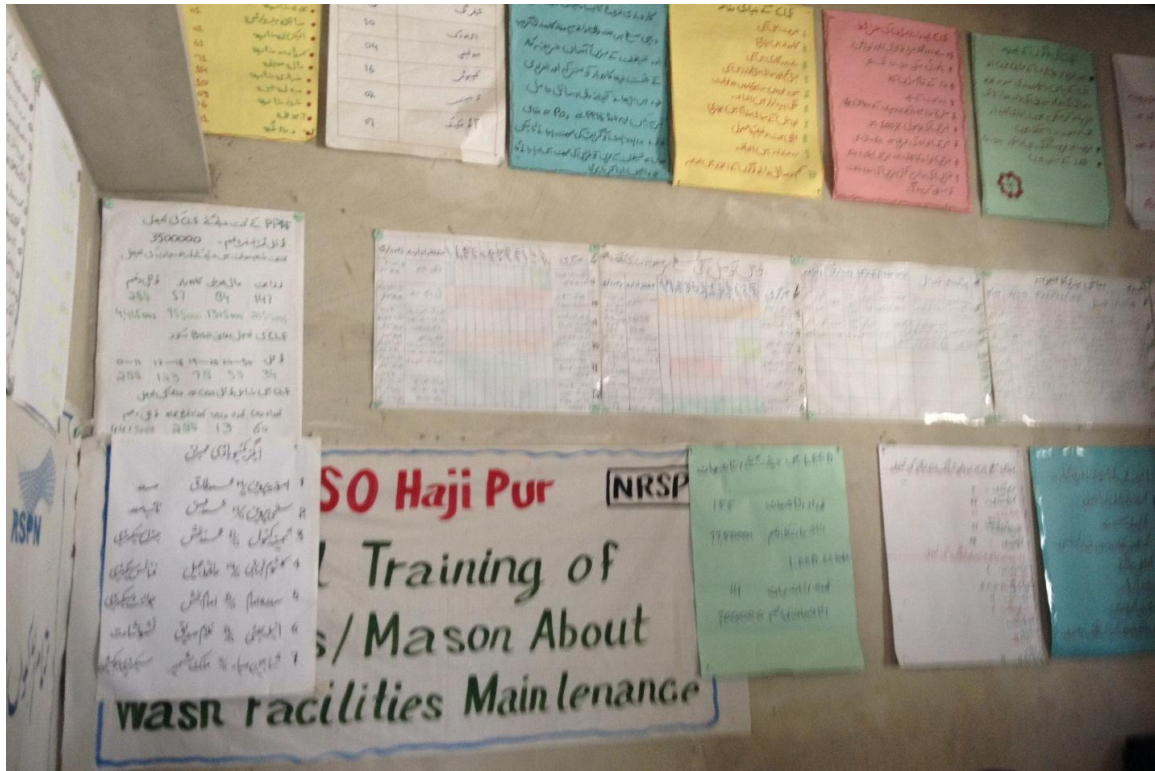






## Selected Photographs - Rajanpur – Punjab









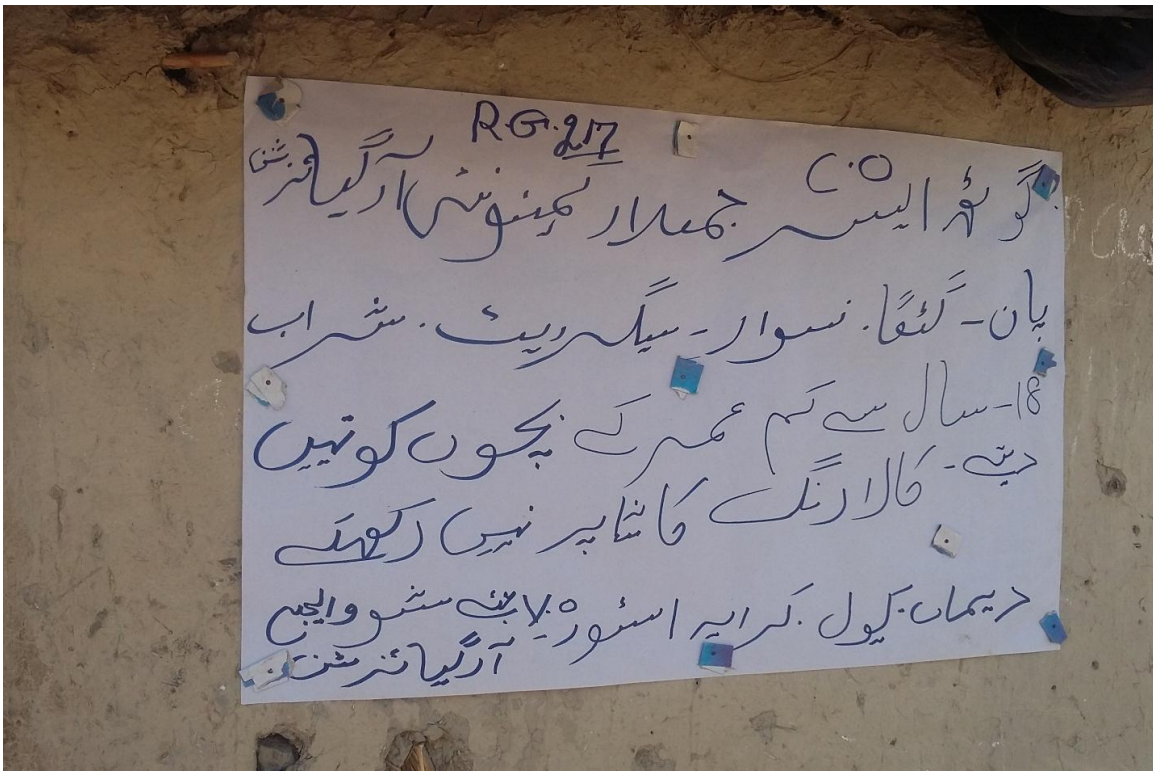


## Selected Photographs - Pashin – Balochistan



## Selected Photographs - Photographs - Thatta - Sind









## Selected Photographs - Workshop









