Poverty and Social Analysis (PSA) in Action
Ulaanbaatar Urban Services and Ger. Area Development Investment Program

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50 YEARS

ADB

Objectives of the Presentation

- Overview of the investment program

- Poverty and social analysis of the program

- Translating the PSA findings into actions through social development action plan (SDAP), gender action plan (GAP), and community action plan (CAP)

Overview of the Program Area

- UB population about 1.4 million, about 50% of total population
- Ger areas population about 800,000; 60% of UB's population lives in Ger areas (including vast majority of migrants); 30% of the country
- UB infrastructure designed for about 500,000 people
- Urban poverty rate 26.6% (2011)

Key Issues

- Unplanned ger area with low and medium-income households with some land ownership (right of possession or use)

- Poor sanitation, lack of adequate basic urban services and poor access to socio-economic services

- Unpaved roads

- Limited space for public facilities

- Reduced livelihood and employment opportunities

- Hugh gap in city center and ger infrastructure and services

- Poor environmental conditions (pit latrine system, water kiosk, insufficient stove)

MFF Scope (Tranche 1 and 2)

- **MFF is based on:** Revised UB Masterplan, which for the first time includes *ger* areas development; and subsenter strategy is a core element in the masterplan

- **Tranche 1:** Bayankhoshuu and Selbe subsenters in *ger* areas

- **Tranche 2:** In addition to Bayankhoshuu and Selbe subsenters, extend the urban infrastructure upgrading and spatial restructuring to two other subcenters in the northern *ger* areas, namely Dambadarjaa and Denjiin subcenters

Program Key Principles

- Improved urban planning and land use

- Improved access to sustainable urban services

- Increased economic opportunities

- Increased availability and access to social, community, and cultural services

- Reduction of pollution and improved environmental conditions

Program Outcomes and Outputs

- Outcome: **network of livable, competitive, and inclusive subsenters in UB's ger. areas**

- Outputs:

  - **Key Infrastructure** (roads, water, wastewater, heating, drainage, bridge, power, telecommunication)

  - **Socioeconomic facilities** (business incubators, parks, sport complexes, community centers, kindergartens)

  - **Improve USUG** (water supply and sewerage Authority) operation and service delivery efficiency

  - **Institutional and capacity building for** a) detailed design and construction supervision; b) support community participation, awareness and SME development; c) improve sub-center redevelopment; strengthen PMO capacity; and e) support service providers reforms.

Key Poverty and Social Dimensions in Urban Projects

- **Poverty** (income and non income aspects), **inequality, and exclusion**

- **Gender** (gender disparities across a range of economic, social, and political sectors)

- **Stakeholders and participation** (improve the effectiveness, relevance, and sustainability of development activities through engagement)

- **Social risks and vulnerabilities** (i) poor or unsafe labor conditions and retrenchment issues; (ii) affordability issues, especially those related to the provision of basic services; (iii) risks of HIV/AIDS transmission and/or human trafficking in large infrastructure projects; (iv) social impacts of natural disasters and conflicts; (v) caste-based vulnerabilities; and (vi) vulnerabilities related to disability);

- **Institutions and capacity** (formal and informal institutions; needs-based capacity development of counterparts)

Reasons to Conduct the PSA

- **To assess the social impacts** of the project on different groups of beneficiaries (direct and indirect); poor and vulnerable beneficiaries

- **To increase the relevance** of the project, especially for the poor and vulnerable groups

- **To mitigate adverse impacts**

- **Maximize the impacts** for the beneficiaries, especially for the vulnerable groups (poor, women, ethnic minorities, etc.)

- Develop relevant actions and design features **to ensure the inclusiveness** of the project

- To provide a **baseline and targets/indicators for project monitoring** (including the PPMS)

Planning the PSA

- What
- When
- How
- Who

Planning the PSA (2)

- **Poverty and Social Analysis** is an approach to assess the **social** impacts of projects/programs on the well-being of different groups of the population, particularly on the poor and most vulnerable.

- The PSA is an integral part of the project cycle (concept stage, project design and implementation).

Selection of PSA Methodologies

- Depends on
  - the sector,
  - type/nature of project,
  - financing modality,
  - country and local contexts
  - available resources (processing timeline, human and financial resources)

Methodologies Used in the PSA

- Quantitative surveys (household survey through face to face standardized interviews, secondary data analysis etc.)

- Qualitative Researches (focus group discussions (FGDs), community interviews, key informant or expert interviews, observations etc.)

- Participatory Approaches (Participatory Rapid Assessment, Seasonal Calendar, Stakeholder analysis, Transect walk, Community Mapping etc)

Qualitative VS Quantitative

Qualitative

- Qualitative research is an effort to understand situations in their uniqueness as part of a particular context.
- To explore and interpret.
- It is more flexible, the procedure is not standard
- The researcher is the primary instrument for data collection and analysis.
- Indicators and variables emerge during the fieldwork
- Subjective, context-bound
- Inductive – from specific to general
- Qualitative findings are in the form of themes, categories, concepts or tentative hypotheses or theories.
- Statistical representation is not applied, theoretical saturation is more important, non-probability based sample
- Data are "rich" and time-consuming to analyze
- Unit of analysis – a social group, community

Quantitative

- The purpose is to explain and predict.
- To test, confirm, and validate theory
- It relies on standardized procedures and data collection methods
- Instrument is the questionnaire
- It deals with predefined indicators and variables
- Objective, context-free
- Deductive approach – from general to specific
- Numerical data, statistics
- Statistically representative sample, random sampling methods/a probability-based sample
- Data are more efficient, but may miss contextual detail
- Design decided in advance, difficult to formulate the questionnaire
- Unit of analysis – household, individual

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Conventional Research VS PR

Conventional

Outside experts conduct the study, measure performance against pre-set indicators

Use of standardised procedures and tools

Participatory

Putting research capabilities in the hands of stakeholders and beneficiaries so that they can transform their lives for themselves

Project stakeholders (including local people) are active participants, not just source of information

Focus on building stakeholders' capacity for analysis and problem-solving

Takes into account local knowledge of communities about their own environment

Process builds commitment to implementing any recommended actions to improve the local situation

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Challenges of Participation

- **Time and resource consuming**
- **Enabling environment**
- **Stakeholders' Commitment**
- **Raising expectation,**
  if not done properly
- **Participation fatigue**

Focus Group Discussion

- The focus is on the group dynamic

- A carefully planned discussion to obtain perceptions of a defined target group

- Facilitated by researcher (often helped by another person)

- Address research questions that require depth of understanding that cannot be achieved through quantitative methods.

- More than just a bunch of individuals responding to your questions
  - Allows for interaction (new data, conflicting data)
  - Allows participants to interpret each others' responses
  - Not just a series of separate conversations with you!!
- The sum should be more than it's individual parts.

Forming Focus Groups

- Identify selection criteria – maximum inclusiveness (socio-demographic ad socio-economic characteristics -sex, income, ethnicity, vulnerability as well as usage of services)
- Think how to reach and select these people
- Approximately eight to twelve people with common characteristics relating to discussion topic
- The groups should be homogeneous
- Ideally we should conduct at least 2-3 FGDs with the same characteristics of people

Key Informant Interviews

- A key informant is someone who can "unlock" information for you about an issue
- It is conducted to <u>explore</u> information (when you don't know something) and/or to <u>confirm</u> information (when you want to assess what you did)
- It helps to:
    - To inform the planning of your project about the various positions on an issue
    - Potential barriers and challenges to achieving your policy goal
    - Cultural considerations of a target population
    - How best to approach a particular stakeholder group
- How to select:
    - be affected by the proposed project
    - Have the power to make policy decisions
    - Possess unique perceptions/points of view OR
    - Know the details of the research topic

Human Resources Required for the PSA

- Social development specialist in the project team

- International and national social development consultants separate from resettlement consultants

- Close collaboration among different specialists in the PPTA team

MFF T1 PSA Methodology

- Desk review and secondary data analysis

- Quantitative sample household survey

- Community assessments and participation

- *Ger* areas' institutional mapping in terms of social/community services/organizations, commercial and business establishments, and institutions

Desk Review and Secondary Data Analysis

- Overview of UB and *ger* areas population's sociodemographic and socio-economic profile

- Poverty and vulnerability data

- Social and economic infrastructure in the *ger* areas

- Other institutional resource mapping

Household Survey Objectives

1. Beneficiaries' sociodemographic profile

2. Socioeconomic situation in the project area

3. Assets, possessions, and properties

4. Access to basic urban and social services

5. Vulnerability, human, and social capitals of beneficiary households

6. Willingness to participate in the project

7. Affordability and willingness to pay for improved urban services (connection and monthly fees)

Household Survey Questionnaire Blocks

- Housing unit information
- Water Supply and Sanitation Service (availability, access, quality)
- Heating and Cooking Systems
- Solid Waste Management
- Power Supply
- Education and Health services
- Environmental Issues
- HH income and Expenditure
- Household Business, assets and loans
- Household needs
- Land Use Management
- Affordability and willingness to pay for water supply and sanitation, heating system

Community Assessment and Participation

- UN Habitat conducted Community Assessment and Participation Program

  - Community Mobilization

  - Rapid Needs assessment (with primary group leaders, CDCs and SME representatives)

  - Community Action Planning (to validate needs and priorities identified during the first step)

  - Community Survey for Skills Development for SME Development (skills inventory and demand mapping)

  - Community Survey for residents feedback on land development options (CDCs with help of their primary groups conducted land development mapping)

Community Mobilization

- Visit the community in their settlements and establish a rapport

- Determine physical boundaries of the settlement with the people

- Assist the community in holding a mass meeting and encourage them to understand the need to organize for collective action

- Assist in the formation of Primary Groups in the settlement of clusters of 10 to 15 houses

- Facilitate the primary group to select two representatives for Community Development Council

- Assist in the election and formation of the Community Development Council

- Assist in the formulation of constitution and registration of CDC.

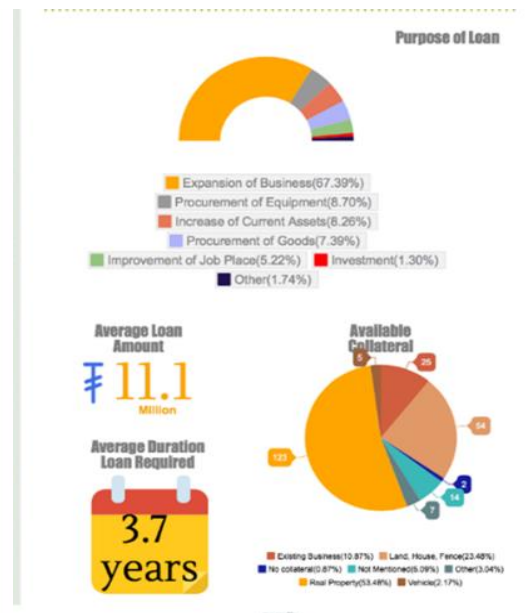# Poverty and Community Mapping

Poverty Mapping
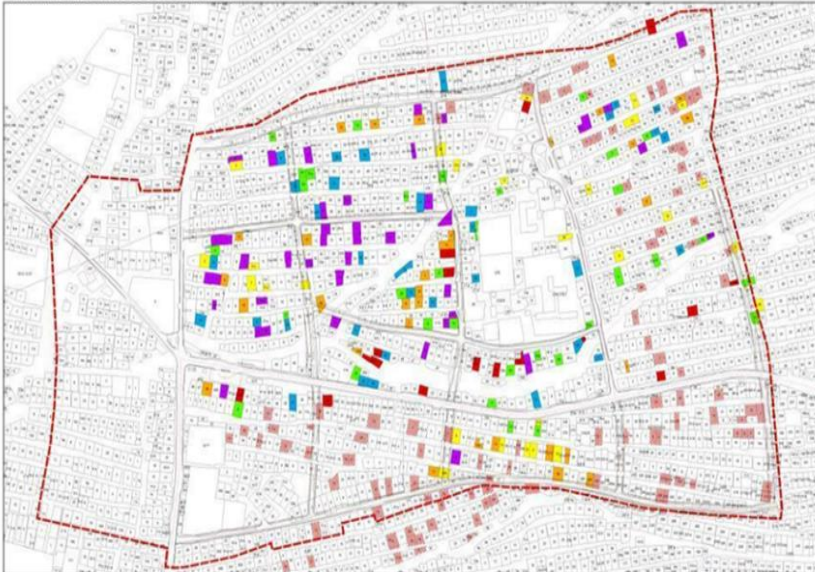
Community Profile

Ger Areas' Institutional Mapping

- Economic infrastructure (commercial and business centers and enterprises, markets etc)

- Social infrastructure (education, health, community centers etc.)

Social Documents for Loan Approval

- Summary poverty reduction and social strategy (SPRSS), summarizes project impacts and also benefits in terms of poverty, gender, social safeguards and social risks (related to labor, affordability of services)

- GAP, incorporates gender concerns in the project design and develop gender sensitive and gender responsive project design features, with relevant actions, measurable and achievable targets and indicators, and responsible institutions and budget

- SDAP, summarizes participation, communication strategies to ensure project beneficiaries, especially vulnerable groups, participation in project preparation, implementation and monitoring. SAP and CAP also include achievable and measurable targets and indicators, responsible institutions and relevant budget.

- CAP, mobilizes beneficiary communities and to strengthen the communities' participation and engagement in project design and implementation as well as to facilitate and support the subcenters' redevelopment.
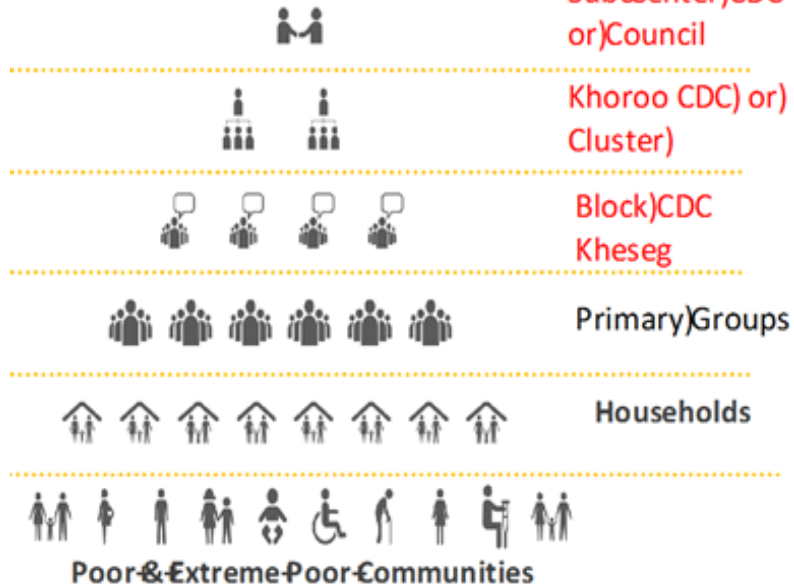
Key Measures of SDAP and CAP

- Community mobilization and re-activation/establishment of community primary groups;

- Facilitate and support the sub center community development council (CDC) and small- and medium- enterprise development council (SDC);

- Identify and prioritize CDC and SDC needs and sustain awareness and support to the project by the different stakeholders;

- Mobilize and organize community members as well as the business owners in the two sub centers affected into sub center CDC and SDC to support the development of the land use plan, local development plan, and investment plan of the project;

Structure of Current Community Organizations

Revised Structure

Sub(Center)CDC or)Council	**2** SDCs
Khoroo CDC) or) Cluster)	**7** CDCs
Block)CDC Kheseg	**56** primary groups reactivated out of 151
Primary)Groups	
Households	**819** households

Poor-&-Extreme-Poor-Communities

Key Measures of SDAP and CAP (2)

- Build consensus concerning overall strategy of urban functions development;

- Facilitate the skills mapping of the community members and matching with the demand of the small and medium enterprises as well as linking the community groups with training institutions providing vocational/technical skills training; and

- Facilitate proper monitoring and evaluation of the different aspects of these components.

Establishment of Baselines

Following activities were done by UN Habitat:

- Poverty analysis and mapping
- Community profile survey
- Business profile survey
- Community mapping of existing infrastructure and services
- Community needs assessment
- Identification of challenges and needs of different interest groups of communities for the public facilities, roads and infrastructure
- Community action planning
- Business community action planning
- Consumers' survey
- Existing businesses and services inventory

SDAP and CAP Implementation Status

- 57 in Selbe, and 94 in Bayankhoshuu Primary groups with a total coverage of 2,265 households for the two subcenters were organized.

- 7 Khoroo level CDCs (2 in Selbe and 5 in Bayankhoshuu) and 1 Sub center CDC have been re-activated and functioning with 58% female representation.

- 2 NGOs in Selbe and 1 NGO in Bayankhoshuu are being established and registered with state registration authority.

- One Business Council in Selbe, two CDCs in Selbe and Bayankhoshuu were registered as NGO with the National Registration Authority.

- Information, education, and communication campaign programs have been launched and are in line with the project progress

- Relevant education materials were also published. For (i) basic hygiene practices, (ii) water conservation, (iii) community involvement on the *ger* redevelopment, and (iv) SME development program

Gender Action Plan

The GAP aims to ensure that the project:

- includes design features for safety, security, and pedestrian mobility are integrated into road network

- collects sex disaggregated data on key issues such as utility connections, time, and cost savings

- further investigates affordability issues under improved services provision to make recommendations on providing subsidies for the vulnerable groups including female-headed households

- provides social service infrastructure which has targets for serving women so they can join economic opportunities

GAP Implementation Status

- Templates for collection of sex disaggregated data have been prepared.

- Number of women participation and contribution during the community consultations and meetings organized under the project is remarkable and well beyond the set target.

- 42.95% of women participation recorded in 56 primary groups and 58% in 7 *Khoroo* level CDCs.

- 2 business councils have been formed with 77% of active female participation

- With the immense involvement of women participation CAP and SME action plans prepared in collaboration with CDCs, BCs, and updated during the monitoring period.

Conclusion: SDAP, GAP, and CAP Implementation

The members of community organizations are becoming more confident, cooperative, and creative as they are starting to understand that communities can support and contribute in many ways to the implementation of the project and development of the sub centers instead of waiting and criticizing.

Next Steps (MTR Recommendations)

- It is recommended to (i) improve monitoring of the SDAP and GAP implementation and a quarterly reporting, (ii) prioritize identification of the missing baseline data as feasible, and (iii) continue timely collection of sex-disaggregated data of the project activities, and reporting of qualitative assessments done under the project

- Based on UN Habitat surveys, establish a comprehensive database for the monitoring and evaluation purposes. Assess the accuracy, validity and reliability of the baseline data to be used also in the PPMS.

Next Steps (2)

- Strengthen the gender responsive design features by addressing safety, security, GBV, and other gender related issues identified during the PSA;

- Expand and deepen the demand analysis for social infrastructures (VTC, business incubator, kindergarten, shelter for GDV, etc.) and continue consultations with beneficiaries

- Discuss with the concerned ministries, agencies and organizations: (i) the need and relevance of proposed new social infrastructures in the project areas; (ii) agree with the line ministries on development and provision of relevant services and programs; (iii) finalize the service provisions institutional arrangements for those infrastructures and get the formal commitment from the concerned ministries and agencies

Lessons Learned for the Next PSA

- Engage your social development specialist at the reconnaissance stage

- Explain the importance of social dimension in ADB's operations to the counterpart during the very first meeting and familiarize them with ADB's social requirements along with safeguards.

- Start the social due diligence before the PPTA main fieldworks to provide some upfront information about potential poverty, social and gender issues and possible design features.

- Plan and negotiate for an adequate budget for SDAP, GAP, and CAP implementation.

- Liaison with all potential stakeholders (governmental and nongovernmental) to maximize the project social impacts and provide sustainability.

- Ensure timely and quality social monitoring reports to assess the progress of SDAP, GAP, and CAP implementation as well as impacts of the projects on the poor and vulnerable beneficiaries.

Thank you and good luck!