

AUSTRALIA CHINA ENVIRONMENT DEVELOPMENT PROGRAM
(ACEDP)

SOCIAL IMPACT MANAGEMENT
PUBLIC PARTICIPATION
&
GENDER MAINSTREAMING
FRAMEWORKS

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A LIVING DOCUMENT

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List of Acronyms

ACEDP	Australia China Environment Development Program
ACWF	All China Women's Federation
ADD	Activity Design Document
ATL	Australian Team Leader
AusAID	Australian Agency for International Development
CAGP	China Australia Governance Program
EAT	Environment Advisory Team
EIA	Environmental Impact Assessment
GoPRC	Government of the People's Republic of China
IRBM	Integrated River Basin Management
MRW	Ministry of Water Resources
NDRC	National Development and Reform Commission
PADO	Poverty Alleviation Development Office
PCO	Program Co-ordination Office
PDD	Program Design Document
MEP	Ministry of Environmental Protection (formerly known as the State Environmental Protection Administration, SEPA)
SFA	State Forest Administration
SP&G	Social Impact Management, Public Participation and Gender Mainstreaming
SIA	Social Impact Assessment
TOR	Terms of Reference
WUA	Water Users' Association

1. ACEDP SOCIAL IMPACT, PUBLIC PARTICIPATION AND GENDER MAINSTREAMING FRAMEWORKS

1.1 INTRODUCTION

The purpose of the Australia China Environment Development Program (ACEDP) is to improve environmental protection and natural resource management (in particular water) to balance the needs of environment and human development in China.

The very intent of environmental protection and natural resource management – the balancing of the needs of environment and human development – means that policies developed to achieve this end will have social impacts. Integrated water resources management, for example, can be defined ‘as a process that promotes coordinated development and management of water, land, and related resources in order to not only maximize economic and social welfare but also ensure equity and sustainability’ (Wang Chao and Wang Peiwang, 2005: 466). Moreover, the potential social impacts of environmental protection and natural resource management policies may have different implications for men and women, for different minority groups, for poor and non-poor households, for disabled people and for other vulnerable social categories. The Government of the People’s Republic of China (GoPRC) places great importance on the goal of ‘building a new socialist countryside and a harmonious and all-round well-off society’ (People’s Republic of China, 2005). The building of such a society is dependent, therefore, on being able to assess the social, as well as other, impacts of new policies, and to manage the identified social risks that these impacts might present to any segment of society. Thus, while the primary purpose of ACEDP is to improve environmental protection and natural resource management in a way that balances the needs of environment and human development in China, the effective implementation of activities under the Program must inevitably contribute to poverty reduction. Moreover, managing these potential impacts, and their different implications for different social categories, is not only important from the perspective of social equity, but also from the perspective of the long-term effectiveness of the policies themselves.

Although managing social impacts and mainstreaming gender overlap significantly, each process has certain unique features. It is therefore important for ACEDP to have both a Social Impact Management Framework and a Gender Mainstreaming Framework, although neither one can be implemented independently of the other. Likewise, neither is likely to be effectively implemented without a well planned process of involving the public. Accordingly, all three processes are addressed in this document.

Three key factors have influenced the approach adopted in the development of these interrelated frameworks for ACEDP.

1. *The facility approach adopted by the Program.* This means that actual policy formulation and implementation will be carried out by Program partners rather than through the direct involvement of the Program Co-ordination Office (PCO) or a single counterpart organization. Accordingly, in ACEDP-supported activities involving the formulation or trialling/demonstration of policies, the responsibility for ensuring social issues are appropriately addressed will rest with the activity proponents and those contracted to facilitate the design study and its subsequent implementation. Likewise, inclusion of relevant aspects of managing social impacts, involving the public and gender mainstreaming, in ACEDP training courses, mentoring, dialogue etc, will be at the discretion of consultants contracted to manage such activities.

Notwithstanding, the PCO has the responsibility of ensuring that Program activities do meet the key requirements of the AusAID policies on gender, HIV/AIDS and poverty. It also has the responsibility for providing guidance to those contracted to ensure that the inclusion of these issues in different ACEDP-supported activities meets the varying institutional needs of the counterpart organizations.

2. *The flexibility built into Program design.* Although the initial Program focus is on water management, this focus may change over the life of the Program as the priorities of the GoPRC change – hence frameworks are required that can allow for such flexibility.
3. *The overall purpose of the Program.* The 2006 China Australia Country Program Strategy (CPS) is a shift away from discrete poverty reduction activities towards the sharing of ideas, higher level capacity building and policy engagement and policy engagement that ultimately are expected to contribute to poverty reduction. Accordingly, ACEDP has been designed to improve environmental protection and natural resource management through the enhancement of the capacity of partner organizations to formulate and implement environment-related policies. This means that the key elements of the gender and social impact frameworks need to be developed in close collaboration with partner organizations, so that they can become part of the latter's policy decision-making process. This alone will enable them to have a sustainable, long-term impact on policy formulation. It also means that a key principle underlying the frameworks should be that of facilitation and mentoring in accordance the core partner organizations' perceived needs, rather than an emphasis on the provision of standardized formal training.

In order to respond to the above factors, a three -pronged approach is proposed in this document, namely:

1. The incorporation into the ACEDP Annual Plans of a set of interrelated activities designed:
 - to enhance the capacity of partner organizations both to recognize and incorporate analysis and management of potential gender and social impacts into policy formulation;
 - to facilitate proponents' identification and management of any potential social impacts, and the different implications these might have for different social categories in the development and / or implementation of policy directions, and
 - to identify ways through which both men and women in the partner organizations can benefit from Program activities designed to enhance organizational capacity.

These activities will support ongoing policy formulation and implementation activities. They may also be incorporated into training courses, study tours, workshops, etc, initiated for some other purpose. However, they will not be directly related to any other ACEDP-supported projects. They will be focussed at the institutional level, rather than at the specific Project-level. It is hoped that by focusing these activities at the institutional level, they will facilitate change in the overall operating practices in the different organizations, and thus lead to more effective policies and procedures with respect to environmental protection.

To encourage sustainability, one output of these activities will be the development of a set of modules, jointly prepared and agreed upon by the core partners and an ACEDP consultant. These modules will be further developed in the course of the implementation of other ACEDP activities. They will become part of the battery of tools available to decision-makers involved in future environmental protection and natural resource management policy development. (See §1.1.1. below)

2. The provision of:
 - the option of mentoring support for core partners undertaking ACEDP-supported activities, and,
 - where necessary, of guidelines outlining ACEDP's approach to social impact management , public participation and gender mainstreaming. These guidelines are intended for the use of anyone designing or implementing ACEDP activities, be they policy formulation and /or implementation, training, workshops etc..

These guidelines are provided in Attachment A.

3. The development of rapid assessment checklists designed for the purpose of the screening and review of ACEDP-supported activities to ensure that they conform to good practice with respect to social impact management, public involvement and gender mainstreaming. These checklists are for use by the PCO, and the EAT

The Social Impact Management Framework contains a tool that can be used by both the PCO/EAT and those responsible for designing and / or implementing ACEDP activities to make a rapid assessment of the extent to which the design adequately addresses:

- the potential social impacts;
- the implications that these potential impacts might have for different segments of the society likely to be affected, and
- the management of these social impacts.

The Gender Framework contains a draft checklist for assessing gender equity in all ACEDP activities intended to enhance the capacity of Program partner staff. Although a draft of each of these two framework components is provided in this document, it is intended that these drafts be fully discussed with core partners, and agreement reached on their content, before they are finalized.

The checklists are provided in Attachment B.

1.1.1 The Modules to be Developed from Activities Designed to Enhance the Capacity of the Core Partners to Manage Social Impacts, Involve the Public and Mainstream Gender

As indicated above, one of the outputs of the first two sets of activities described above will be the development of three modules which can be utilized as tools in the planning of any activity to be supported through the ACEDP. They will then also be available in the longer term as guidelines for subsequent policy formulation, will be an integral part of the implementation of the Activities discussed above. These three modules will be:

1. 'Anticipating and Managing the Potential Social Impacts of Different Policy Directions: A Living Document';
2. 'Public Participation in Policy Formulation and Implementation', and
3. 'Mainstreaming Gender in the ACEDP: Guidelines'.

The basic principle underlying the development of these modules is that each will be the outcome of a collaborative partnership between the core ACEDP partners, the PCO and associated consultants.

Once they have been drafted, monitoring and evaluation of the use of these modules for policy formulation and implementation will need to be carried out regularly. This will enable the modules to be refined to ensure timely response to lessons learnt. It is suggested that a review of the effectiveness of the modules as planning tools be carried out as part of each annual review process, and any action necessary to make either the modules themselves more useful, or to enhance the capacity of those using the modules in either policy planning or implementation, be then incorporated in subsequent annual planning processes.

2 THE SOCIAL IMPACT MANAGEMENT FRAMEWORK

2.1 INTRODUCTION

The different directions that environmental protection and natural resource management may take can have a wide range of diverse and interrelated potential social impacts, not only as a result of the direct impact of the policies themselves, but also as a result of the associated activities that the implementation of a particular policy might require – infrastructure construction, provision of transport infrastructure, improved sanitation, power transmission, re-forestation or wild life protection, etc – any of which can have a range of social impacts in addition to those that are a direct and immediate outcome of the implementation of the environmental protection policies themselves.

Managing potential social impacts is not just a matter of social justice. Research has shown that appropriately addressing gender inequality issues, for example, can 'lead to greater achievements in poverty reduction, economic growth and social stability' (World Bank, 2002). As indicated in the ACEDP Program Design Document (PDD), the environmental sustainability of ACEDP outcomes will be elusive unless the Program addresses these impacts, and the ways these impacts may differ, especially in terms of their implications for vulnerable social groups amongst those affected. If the risks of negative impacts are not recognized and addressed in the process of policy formulation, the policies may be

Transparent water allocation planning and establishment of water entitlements: an example of potential social impacts

With increasing economic development and expansion of urban areas there is likely to be increasing competition between urban and rural areas for access to water resources. The 11th Five Year Plan seeks to ensure equity in resource allocation between rural and urban areas. Transparent water allocation planning procedures should facilitate the process of equitable water resource distribution between rural and urban areas, giving added protection to rural areas in event of the demand for water exceeding an ecologically sound supply. The provision of water entitlements at either the household level or to Water Users' Associations is likely to offer farmers even more security (although if equity for women with respect to control over natural resources is to be maintained, it is important that policies concerning the actual allocation of water entitlements specify that they be allocated in such a way as not to reduce this control). Further, if policy allows for trading of water entitlements, this could encourage farmers to improve the efficiency with which they use water by introducing, for example, green houses, drip-fed irrigation techniques etc. However a possible negative social impact could arise if farmers trade their water use rights in return for financing of some water saving infrastructure, such as canal lining, which subsequently proves to be less effective than anticipated. Similarly, water savings and the associated sale of water entitlements by farmers in good years could create difficulties for farmers in event of unseasonable water shortages. Thus, if this direction is followed in policy formulation, there will be a need to manage the possibility of water trading could result in households or villages becoming further locked into a cycle of poverty by trading water rights in false expectation of being able to make water savings or in order to acquire capital to cope with an emergency needs.

ignored at the grassroots level, or alternative ways of responding to these risks found by those on whom they impact - ways that may have even more detrimental impacts on the environment than did the situation that the policy sought to address. Ultimately, also, failure to address potential negative impacts may result in unforeseen implications for the realization of the broader policies of the Government of the People's Republic of China (PRoC), such as the Gender Equality and Women's Development in China, White Paper (2005), and its goal of 'building a new socialist countryside and a harmonious and all-round Xiaokang (well-off) society' (People's Republic of China, 2005).

Social impacts may be broad-based impacts that can occur regardless of the context in which particular policies are implemented. For example, regardless of where it is done, capping the volume of usable water available to each province within a river basin may impact on rural-urban equity if provincial administrators are tempted to give priority to those urban water

functions likely to foster greater economic growth. Alternatively, the occurrence of other social impacts may depend on the specific context in which particular policies are implemented – for example,

protection of catchment areas by limiting access to reforested areas may have no impact in some localities; in other districts, it may affect access to firewood and, if firewood is the main source of household fuel, place additional time burdens on either men or women, depending on who is locally responsible for such collection. Thus, an important element in identifying the potential social impacts that different environmental and natural resource management policies may take is being able to identify the different contexts in which these impacts might occur.

Different social impacts can also have different implications for different segments of society in the affected area/s. The extent to which particular communities or segments of the community are affected will be influenced in the first instance by:

1. whether particular segments of society are located in distinct geographic locales in the overall area affected by a policy (e.g. river basin slopes, land that can be irrigated, etc) and whether the locales which particular segments of society live are likely to be differentially affected by policy implementation, and
2. differences in livelihood and/or other environmentally relevant cultural practices in different communities or particular segments of communities living within an affected area.

Thus, it is important that any assessment of potential social impacts takes into account the different implications that these impacts might have for the different social categories among those likely to be affected.

Finally, social impacts may be either potentially positive or negative or both: introducing the option of water trading, for example, may encourage modernization of irrigation to enable farmers to profit from trading their entitlements and to improve their standard of living; on the other hand, if modernization does not achieve the anticipated water savings, and water entitlements have been traded in advance (e.g. in return for the cost of lining irrigation canals), the productivity, and therefore income, of all affected households may be reduced. This means that strategies designed to respond to the possible social impacts of policy directions need to consider both how to minimize potential risks and how to maximize potential benefits.

Some potential impacts can be easily predicted. The likelihood of the occurrence of other social impacts may only be recognized as a result of community participation at the time of policy formulation or implementation. Thus, if a Social Impact Management Framework is to have maximum value for sustained future use, it is important that its development is an ongoing process, building continually on lessons learnt in the course of the Program.

The Framework proposed here has been designed to try and ensure:

- to enhance the capacity of participating organizations at the institutional level to evaluate and respond to potential social impacts in future policy formulation and implementation, and
- to ensure that potential social impacts and their implications for different segments of society are addressed in all relevant ACEDP Activities involving policy formulation and / or implementation,
- in a manner that takes into account the institutional requirements of the different organizations, thereby increasing the likelihood of more effective policies in the long term, with an associated increase in the effectiveness of the protection of the environment.

In accordance with the approach outlined in the Introduction above, the Social Impact Framework has three components:

1. A set of activities intended to enhance the effectiveness of environment policies and practices in core partner organizations by heightening the capacity to identify and manage potential social impacts at the institutional level of the participating organizations.

2. Support activities for those responsible for identifying and managing social impacts in ACEDP-supported activities involving policy formulation and /or implementation.
3. The development of checklists for use by the PCO/EAT in screening and reviewing ACEDP-supported activities to ensure that:
 - likely potential social impacts have been identified, or provision made for their identification, in the feasibility and design phase of any Program activities that involve policy formulation and / or implementation, and
 - that the importance and process of social impact management is addressed in any relevant training course, workshop, study tour or similar activity.

2.2 PROPOSED ACTIVITIES INTENDED TO ENHANCE THE CAPACITY OF CORE PARTNER ORGANIZATIONS TO IDENTIFY AND MANAGE SOCIAL IMPACTS

2.2.1 Objectives

As indicated above, this set of activities has two objectives. The first is to directly enhance the capacity of core partners at the institutional level to identify and manage social impacts in the course of policy formulation and implementation. The second is to document the outcomes of these activities to produce a module:

1. that can be used by policy makers, now and in the future, to help predict potential social impacts of environmental and natural resource management policies under consideration, and
2. that suggests possible strategies for handling the risk of any negative social impacts associated with the implementation of particular environmental policies in particular contexts, and for maximizing any potential social benefits¹.

2.2.2 Description of the Activities

The precise process whereby these objectives will be achieved at different phases of the Program will be decided in meetings with each of the core partner organizations and incorporated into Activity Design Documents. It is intended that the activities will include both activities not directly related to any other Program activities, and activities mainstreamed into training courses, study tours, dialogues etc. Depending on the outcome of meetings with core partners, this process might include, for example, the following:

1. a review of lessons learnt documentation from past and ongoing relevant Projects to identify the intended and unintended social impacts that have been observed in recent environmental protection projects in different locations and contexts in China, their differential impacts on different segments of the community, and the way any risks associated with these impacts have been handled;
2. short study tours to communities in which relevant policies have been implemented, to discuss with local government agencies, NGOs and community members themselves the actual impacts of these policies, and how potential risks were (or were not) avoided;
3. workshops with the implementers of past relevant Projects in China, possibly including panel sessions with members from affected communities, to discuss the social impacts and avoidance of adverse impacts of these Projects;

¹ This module is intended to provide a companion document to the 'Public Consultation Process Framework': one of its functions will be to help identify some of the issues that will need to be considered in the course of public consultation processes.

4. pre-tour sessions before any study tour take place to discuss issues that might be explored by participants with respect to the management of social impacts, including gender impacts, and post-tour sessions to review observations and their relevance to different Chinese contexts;
5. inclusion, wherever appropriate, of a section on social impacts, including their gender implications, in any ACEDP-supported training;
6. workshops to discuss gender concepts in development, and the importance of taking into account the gender division of household and productive labour and decision-making when assessing the social impacts of any proposed environmental protection and natural resource management policy direction;
7. gender awareness and/or gender and poverty analysis training to help identify the gender or poverty sensitive implications of different social impacts;
8. a workshop in the design and feasibility stage of any ACEDP Activity involving policy formulation or implementation, to discuss with those undertaking the design, and relevant members of the proponent organization, the potential social impacts that need to be considered in the design process, and
9. a general meeting, in the design phase of any relevant ACEDP-supported Activity, with representatives of any involved non-partner government organizations at the provincial or other administrative level, for a roundtable discussion about possible social impacts and how risks associated with such impacts might be managed.

Some of the above activities may be most beneficial if carried out early in the Program; others may be more appropriate at different stages over the life of ACEDP when the need for them either arises or is recognized by core partner organizations. It is important to note that different partner organizations have had different priorities and experiences, both internally and with different international donors. Therefore, the selection of the above activities for inclusion may need to be tailored to what particular organizations see as their specific needs. This issue will also be addressed in the meetings with core partner organizations.

A consultant will be contracted to work in close association with a Chinese agency to facilitate these activities. (A scope of services will be prepared following the initial meetings to determine what activities the core partners feel will be most productive in enhancing their capacity). In contracting the consultant and Chinese agency, the emphasis will be on their capacity and willingness to mentor rather than provide formal training. At this stage, discussions are ongoing with the ACWF with respect to their involvement in this context. It is visualized that a training-of-mentors course would be carried out to enhance the capacity, as and where appropriate, of ACWF to carry out this role.

The Module arising out of these activities will be based on the systematic recording and collating of information gained in the course of the above process. A draft of the module will be prepared by the contracted consultant and distributed to core partner agencies and members of the EAT for comments and further input based on experience.

2.2.3 Outputs

The long-term outcome sought of this set of activities is more effective policy formulation and implementation resulting from changes in the organizational policies and procedures at the institutional level. However, the specific outputs will dependent of the particular combination of activities proposed by the core partners and cannot be defined at this stage.

However, one of the outputs will be the development of a module to encourage sustainability. While much can be done to predict social impacts, both positive and negative, unforeseen social impacts are always likely to arise when new policy directions are implemented. Keeping a record of actual social impacts and the circumstances in which they have occurred will facilitate their future prediction and an

understanding of how they can be effectively managed, if necessary. It will also increase the effectiveness of public participation by enabling more focussed and incisive exploration of such issues.

The final form and content to be taken by the Module will be a matter of agreement between the consultant and the core ACEDP partners. However, as a minimum, the Module should include:

1. a matrix of the potential social impacts that may be associated with the implementation of different environmental policy directions, and any potential differences in the way these impacts might affect various groups in the community – especially more vulnerable groups such as poor households, women, indigenous minorities, families in which the male head of household is a migrant labourer, etc. (see below)
2. a checklist of the risks associated with any negative impacts and the ways in which these risks have been successfully managed in different contexts in the past.
3. a commentary on the context in which different social impacts have been observed – that is, the administrative, demographic, socio-economic and geographic parameters associated with the environmental policy implementation that produced the recorded impacts. (This information will be used to add to the matrix, comments concerning those contexts in which particular social impacts are likely to occur in response to the implications of particular policies.)

The draft module should be available for use in the second Annual Planning process and, if considered necessary, workshopped with core partners before this second planning process takes place.

2.3 SUPPORT ACTIVITIES FOR THOSE RESPONSIBLE FOR IDENTIFYING AND MANAGING SOCIAL IMPACTS IN ACEDP-SUPPORTED ACTIVITIES

2.3.1 *Objectives*

The objective of these activities will be primarily to facilitate identification and management of social impacts and their implications for different segments of society in any ACEDP-supported activities directly involving policy formulation or implementation. However, it is intended that in the process this support will both directly and indirectly enhance the core partners' capacity to identify and manage social impacts both by increasing the skills level at the local authority level, and demonstrating how policy formulation and implementation can be more effective if potential social impacts are identified and managed well.

2.3.2 *Description of Activities*

2.3.2.1 *Mentoring*

The key activity in this component of the Framework will be the provision of mentoring by consultants with the relevant social issues experience to core partners, as requested. If core partners so wish, such mentoring will, budget permitting, also be extended to projects that they might be undertaking that are not specifically linked to ACEDP.

2.3.2.2 *Development of Guidelines to support identification and management of social impacts in activities involving policy formulation or implementation*

This component will also develop Guidelines on ACEDP's requirements with respect to social impact management that can be used to help identify potential social impacts in proposed activities. These guidelines will take the form of:

1. *a set of matrices that highlight some of the potential social impacts likely to be associated with different directions that might be taken with respect to environment protection policies.*

An example matrix is provided in Attachment A. This is intended to be the first of a series developed over the course of the Program. It shows the links between different Integrated River Basin Management (IRBM) policy directions, potential social impacts, gender difference in the implications of these impacts, and possible strategic directions for minimizing risks or maximizing the potential benefits of social impacts. The policy directions considered relate to the allocation of water resources, the protection of water quality in catchment areas, the establishment of water trading entitlements, the capping of water volumes utilizable by different provinces in a river basin, the formation of Water User Associations (WUA) and the encouragement of more water and environmentally friendly farming activities, etc. (In assessing potential social impacts in specific situations, consideration is also given to the impacts of those associated activities carried out to enhance or facilitate the implementation of proposed policies – the construction of water storage infrastructure, changes to transport infrastructure, water diversion, electricity transmission, etc – all of which can have social impacts ranging from changing the cost-benefits of certain income generating activities to necessitating involuntary resettlement.)

The emphasis in this example matrix is on direct and immediate impacts. Indirect impacts, such as increased income, that may arise from these direct impacts have not been recorded at this level. Most of the impacts included in the Matrix have the potential to be either negative or positive: which they prove to be will depend on the strategies adopted to minimize risks and / or maximize potential benefits.

Over the life of the Program, it is intended to develop similar matrices for any other forms of environmental policy addressed – e.g. desertification, etc. It is anticipated that these Matrices, initially currently based on desktop analysis and lessons learnt from other Projects, will ultimately be replaced by a set of matrices refined and strengthened on the basis of experience and new lessons learnt. *It is important to note that these matrices are intended as an initial guide only. Public participation is essential for a fuller understanding of likely impacts in any particular context.*

While primarily intended to assist in the identification of potential social impacts in the course of activities involving policy formulation and implementation, as it develops, this set of matrices can also be used in the course of preparation for trainings, study tours, etc.

2. *a set of guidelines for mainstreaming public participation into policy formulation and implementation.* This is discussed in Section 3 below, but is mentioned here as involving the public is a very important element in the process of identifying and managing potential social impacts.

2.4 DEVELOPMENT OF CHECKLISTS FOR THE RAPID SCREENING AND REVIEW OF THE INCORPORATION OF SOCIAL IMPACT IDENTIFICATION AND MANAGEMENT IN ACEDP-SUPPORTED ACTIVITIES

2.4.1 Objectives

The objective of providing these checklists is to enable Project Officers:

1. to rapidly screen and/or review of intended ACEDP-supported activities to ensure that where appropriate, they conform to good practice with respect to social impact management , and
2. to quickly identify how the enhancement of core partners' capacity to identify and manage social impacts can be meaningfully incorporated in ACEDP-supported activities such as training, workshops, study tours etc.

2.4.2 Activities

Two preliminary checklists relating to social impact identification and management are included in Attachment B:

1. *a summary list of all the types of activities likely to be undertaken in the course of the Program, and how such activities can incorporate aspects of social impacts identification and management, and*
2. *a more detailed tool drafted specifically for the screening and review of any activities that will directly involve the formulation and/or implementation of policies. As discussed in the Introduction, identification of potential social impacts and their gender implications will be an important element in the design of pilot or demonstration activities that will be carried out by the partners. The Program Coordination Office will be responsible for ensuring that Program activities do meet the key requirements of the AusAID policies in this respect. According a detailed tool has been drafted for use by both the PCO/EAT to identify possible social impacts and whether these have been adequately taken into account in the design process.*

The draft of this tool in Attachment B consists of:

- an initial identification of potential impacts, that need to be explored, along with whether such impacts might be gender sensitive or have a differential impact on other social groups, in the feasibility and design stage of an Activity (Part A)², and
- an initial identification, at the review stage, of whether an Activity design has given due consideration to the assessment and management of these potential impacts and areas requiring further discussion with proponents to assist them to take into account, in a gender-sensitive manner, any potential social impacts that might be relevant to the formulation or implementation of the policy directions with which their Activity is concerned. (Part B).

An initial flowchart is provided to help users work their way through the two parts of the tool. It is visualized that an assessment based on this form, followed with discussions with proponents where indicated, will be an integral part of any Activity design / feasibility study, but with mentoring, if necessary.

It should be noted that the use of this tool as part of the feasibility / design study will also provide baseline data for the monitoring and evaluation of the proposed Activity.

As with other documents, these draft checklists will be developed and refined over the course of the Program.

2.5 ROLE OF PCO

The underlying principle in this Framework is that its objectives will be obtained through the close collaboration with, and where considered necessary and appropriate, mentoring of, relevant core partner representatives. However, this also means that the PCO has certain responsibilities for facilitating, monitoring and evaluating this process, including:

1. contracting an appropriate consultant and/or Chinese agency with relevant experience that can both help schedule, plan and organization the sub-activities that core partners nominate as the

² Note: This Matrix is intended as an initial guide only. Public participation (Section 3) is essential for a more accurate prediction of likely impacts.

ones that they feel will be most effective so far as their organization is concerned, and mentor those participating.

2. monitoring and evaluating the extent to which identification and management of potential social impacts and their implications for different social groups, including men and women, is taken into account in relevant ACEDP Activities, and the effectiveness of the Framework presented here in facilitating this process;
3. ensuring that participants in study tours or relevant training sessions are not only motivated to explore social impact identification and management, including the gender implications of such impacts, but that those they visit (e.g. Australian organizations) are requested wherever possible to provide the opportunity for them to do so in the course of the tour / training;
4. ensuring that the Framework is reviewed and if necessary revised, as part of the Annual Planning Process;
5. production and distribution of the Module, once drafted by the consultant and agreed upon by the core partner organizations, and
6. ensuring that regular updating of social impact matrix is taking place, and that it is placed on the internet to assist Activity designers identify potential impacts (and its location on the internet cross-reference on Activity proposal form).

3 FRAMEWORK FOR INVOLVING THE PUBLIC

3.1 INTRODUCTION

One of key factors for the success of environmental protection and natural resource management policies is stakeholder participation (see, for example, Ngana et al., 2003; Esther and Ndalaha, 2003). There are a number of reasons why stakeholder participation is so important. These include:

1. the fact that public participation is essential to a full understanding of the potential social impacts that any proposed policy might have – including its potential risks to different segments of the affected society;
2. the benefits that can arise from taking into account local knowledge, experience and opinions when formulating policy (Wang Chao and Wang Peiwang, 2005);
3. the importance of local communities' consent in the public decision-making process (Wang Chao and Wang Peiwang, 2005), and
4. the need to build public trust for policies (Wang Chao and Wang Peiwang, 2005).

The importance of public participation is strongly acknowledged in one of the MEP project proposals, the 'Study on Mechanisms for Public Participation in Water Pollution Control and Integrated Watershed Management for Control of Eutrophication of Lakes' that has been scheduled for later in this financial year, and it is therefore intended that the Activity proposed here will collaborate closely with that intended Project.

If the advantages of stakeholder participation are to be realised, strategies are needed:

1. to involve the public at the policy formulation and initial implementation stage, in order to help predict more accurately the likely social impacts of the implementation of proposed policies, the different implications that such impacts might have for different segments of affected communities, and possible strategies for minimizing the associated social risks and maximizing the social benefits, and
2. to promote policies, once formulated, to agencies and communities that will be affected by their implementation, with a view to ensuring the latter's positive co-operation.

3.1.1 Public involvement to during policy formulation

Public involvement in policy formulation can take place at a number of levels:

1. it can simply involve the collection of information from stakeholders affected by proposed new policies, and the subsequent use of this information by policy-makers;
2. it can involve consultation with stakeholders to enable policy makers to understand and incorporate the perceptions of others during the process of policy formulation;
3. it can involve giving stakeholders a participatory role in the process of policy formulation, and / or
4. it can involve giving stakeholders a full decision-making role.

Public participation in water policy formulation and implementation in Australia, for example, has incorporated at least two different ways of involving stakeholders in planning IRBM activities: in some cases, stakeholders have either had full decision-making power and an implementation role; in other cases, they have acted solely in an advisory role (Amakali and Shixwameni, 2003). The most

appropriate form of community involvement will vary according to the nature of the policy being formulated and the context in which public participation is being sought.

In China, a well-developed and controlled process is in place for public consultation as part of the Environmental Impact Assessment (EIA) of any construction or related projects liable to impact on the environment. However, while there is a legislated procedure requiring such EIA, social impact assessment is not a legal necessity for any project, including those involving the implementation of environmental protection and natural resource management policies. This does not mean that such social impact assessment never takes place: most recent policy formulation in the area of resource management in China has involved some public involvement to assess social impacts, such as public meetings with respect to pricing policies and surveys with respect to returning slopes to forests. In recent pilot projects involving IRBM experiments with public participation have extended to involving Water Users' Associations (WUA) as key participants in the decision-making associated with policy implementation, leading Wang Chao and Wang Peiwang (2005: 472) to argue that all levels of government should encourage more Water Users' Associations to be established to take part in water management so that the span of management of water resources – and hence public participation in policy making and implementation – is much wider and more democratic.

However, in general, the public participative processes adopted by environmental agencies in China to assess the likely social impacts of proposed environmental protection and natural resource management policies are often:

1. reactive, in the sense that participation often occurs over details, such as the appropriate level of compensation, once the overall policy has been formulated (rather than being broad-based and carried out during the initial stages of policy formulation);
2. based on the participation of groups selected by Government agencies from lists kept by agencies for purposes of consultation, rather than those self-selected from affected communities, and / or
3. based on broad-based consultation with stakeholders, so that although representatives of vulnerable groups, such as NGOs, may be present, there is no specific targeting to ensure that possible social impacts on all particularly vulnerable groups, such as rural women, indigenous minority people or poor households, are systematically assessed and managed on a group-by-group basis.

This raises the question of what is the most effective form of public participation for different types of policy formulation decision-making in different types of Chinese contexts. Given the importance now placed by national government departments on public participation, a proposal concept note was prepared and approved in the First Annual Planning process for the implementation of an Activity to facilitate the effective involvement of the public in those ACEDP Activities that involve policy formulation and initial implementation. The proposal concept note indicated that this Activity should also look to enhancing, where considered appropriate and necessary, the capacity of core partner organizations to promote environmental protection and natural resource management policies, once formulated, in order to gain public awareness and cooperation in their successful implementation.

3.1.2 Promoting the proposed policies

Ensuring that social impacts are taken into account in policy formulation and implementation involves more than just identification of potential impacts and ways whereby they can be managed. There are two types of policy-making in the GoPRC that are relevant to environmental protection and natural resource management. One is the setting of targets by the National Party Congress. Provincial Governments are expected to meet these targets and there is no flexibility with respect to their doing so. Other policies are formulated in broader detail, with some flexibility in the way Provinces or even Districts or Municipalities choose to implement them.

When the more flexible policies are implemented at the Provincial level – or at administrative levels below that of the Province – there are sometimes pressures that can lead to this being done in a way that does not necessarily manage the potential social impacts of the policies in the way anticipated by those responsible for policy formulation. These pressures include, *inter alia*:

1. the system of a hierarchy of rules, regulations and laws, at different levels of government, which may result in it being impossible to enforce the implementation of a policy in the manner intended by those responsible for its formulation, especially where there is an overlap in jurisdiction of different government departments, and
2. the clash at times between the implementation of nationally formulated policies and local short-term economic development. This clash can lead to the selective interpretation or enforcement of policies. As highlighted by the World Bank, the gradual devolution of central government responsibilities to lower administrative levels weakens the government's control over policies and programs (East Asia Environment & Social Development Unit. 2002: 6-7).

Influencing the first of these two factors is outside the mandate of the ACEDP. However, ACEDP can enhance the capacity of government policy-making agencies to address the second issue, not only by enhancing these agencies' capacity to involve stakeholders at different stages of policy formulation, but by enhancing their capacity to promote policies at both different levels of government and community through effective public involvement in the course of implementation.

Accordingly, a proposal concept note was prepared and approved by in the First Annual Planning process for activities relating to public participation. Again these activities follow the three-pronged approach outlined above in the Introduction, namely:

1. where appropriate and considered necessary, enhancing the capacity of core partner organizations at the institutional level to involve the public in policy formulation and implementation;
2. facilitating the effective involvement of the public in ACEDP-supported activities involving policy formulation and initial implementation, and
3. assisting the PCO in the screening and review of proposed ACEDP-supported activities in order to ensure that they conform to good practice with respect to involving the public and / or maximize any opportunities to enhance organizational capacity in this respect.

3.2 ACTIVITIES TO ENHANCE CAPACITY AT THE INSTITUTIONAL LEVEL

3.2.1 Objective

This set of activities is intended to enhance the awareness of the importance of public involvement in core partner organizations and their capacity to plan and implement effective public participation processes, and to do this in a manner likely to lead to a change in organizational practices and procedures which will improve policy development. As with the Social Impact Management Framework, the activities will be fully documented to become part of a module that can be used for purposes of sustainability.

3.2.2 Description of Activities

As with the other ACEDP Activities described in this document, the process whereby the above objectives will be achieved will be decided in meetings to be held MEPrately with each of the core partner organizations. Depending on the outcome of these meetings, this process might include, for example, the following:

1. workshop on the importance of the selection of the appropriate form of public involvement (e.g. information collection, public consultation, direct involvement in decision-making process, etc) for different contexts and for different types of policy formulation;
2. review of official statistical data available to determine whether there is a need to advocate for gender or other forms of disaggregation in national or provincial data collection and/or presentation;
3. workshop discussion of current approaches to public participation in policy formulation in different contexts, including:
 - different strategies that have been adopted in China by different core partner organizations in different contexts;
 - the effectiveness of these different strategies, in different contexts, with respect to assessing both public response and potential social impacts, especially on more vulnerable groups, and
 - approaches to public participation in environmental protection and natural resource management policy formulation in other countries (with at least one speaker with Australian experience).
4. formal training on specific skills such as survey work or focus group discussion (or in how to review a brief for consultants to undertake such activities), if it is felt that there are gaps in knowledge of these techniques at appropriate levels in any particular agency;
5. a seminar on 'Effective Public Participation in Water Resource Management', in which key relevant personnel in core partner organizations present papers, based on the lessons they have learnt from experience of their own organization's approaches to public participation (other organizations, projects and professionals with experience in public participation might be encouraged to participate and contribute to this seminar);
6. visits to sites of previous environmental protection Projects in China that have incorporated public participation, to discuss with both communities and local agencies assessments of the strengths and weaknesses of the participation process that was adopted, and
7. a workshop with key relevant personnel from core partner organizations, academic scholars and NGO representatives, to discuss:
 - problems experienced with ensuring that social impacts are taken into account when nationally formulated water resource management policies are implemented at the Provincial, District, County, Municipal or Township / Village level;
 - strategies that might be adopted to increase compliance with the intention of water resource management policies when they are being implemented at the local level;
 - the manner in which the different sectors of the public, especially the more vulnerable segments, are informed of proposed water resource management policies and how these policies are in their long-term interests, and whether there are ways in which this information flow may be made more effective through different types of publicity campaigns, and
 - the manner in which the different sectors of the public, especially the more vulnerable segments, are informed of their rights with respect to proposed water resource management policies and what they can do if their rights – or the policies themselves – are not being observed, and whether there are ways in which this information flow may be made more effective through different types of publicity campaigns.

Depending on which the core partner organizations feel will be most productive, the implementation of a number of the above activities could be dovetailed with those selected to enhance organizational

capacity to identify and manage social impacts. Again, some of the chosen activities may need to be tailored to what organizations see as their specific needs.

The Module to be developed will be based on the systematic recording and collating of information gained in the course of the above activities. A consultant will be contracted to work in close association with a Chinese agency to facilitate the activities selected by the core partner organizations. (A scope of services will be prepared following the initial meetings to determine what activities the core partners feel will be most productive in enhancing their capacity).

In contracting the consultant and Chinese agency, the emphasis will once again be on capacity and willingness to mentor rather than provide formal training.

3.2.3 Outputs

As in the case of the Social Impact Framework, the long term outcome sought of this set of activities is more effective policy formulation and implementation resulting from changes in the organizational policies and procedures at the institutional level. However, the specific outputs will depend of the particular combination of activities proposed by the core partners and cannot be defined at this stage.

Once again, however, one of the outputs will be a module to facilitate sustainability. As with the Module discussed in the previous session, the final form and content of the Module will be a matter of agreement between the consultant and the core ACEDP partners. However, as a minimum, the Module should include:

1. a brief review of the different types of public involvement currently being used in China to help identify and manage social impacts, and their weaknesses and strengths;
2. a brief review of the different types of public involvement currently being used in China to increase the public awareness, across all segments of society:
 - of environmental protection and natural resource management policies and the reasons for these policies;
 - of how different agencies and communities will benefit from such policies, and
 - of what members of the community can do if their rights under such policies are not observed, and
3. a review of the perceived weaknesses and strengths of the above approaches in different contexts;
4. lessons that can be learnt from the different forms of public participation adopted in the course of environmental protection policies in other countries, including Australia;
5. recommendations regarding approaches to public participation intended to identify potential environmental protection policy social impacts and management in different contexts in China;
6. suggested strategies whereby environmental protection and natural resource management policies, once formulated, can be promoted in order that:
 - all segments of the public affected are made aware of these policies and how such policies are in their long-term interests, and
 - the public affected by different water resource management policies are aware of their both rights under these policies and how the members of the public can act as 'watchdogs' to help ensure that policies designed to protect the environment are implemented in the way intended.

The draft module should be available for use in the second Annual Planning process and if considered necessary workshopped with core partners before this second planning process takes place.

3.3 SUPPORT ACTIVITIES FOR THOSE RESPONSIBLE FOR PLANING AND IMPLEMENTING PUBLIC INVOLEMENT IN ACEDP-SUPPORTED ACTIVITIES

3.3.1 *Objectives*

The objective of these activities will be primarily to facilitate the planning and implementation of public involvement processes in any ACEDP-supported activities directly involving policy formulation or implementation. However, as with the facilitation of social impact identification and management, it is intended that in the process this will both directly and indirectly enhance the core partners' capacity to involve the public both by increasing the skills level at the local authority level, and demonstrating how policy formulation and implementation can be more effective if the public is involved.

3.3.2 *Description of Activities*

3.3.2.1 *Mentoring*

The key activity in this component of the Framework will be the provision of mentoring by consultants with the relevant experience, as and if requested by core partners. If core partners so wish, such mentoring will, budget permitting, also be extended to projects that they might be undertaking that are not specifically linked to ACEDP.

3.3.2.2 *Development of Guidelines to support identification and management of social impacts in activities involving policy formulation or implementation*

Draft Guideline outlining the desired ACEDP approach to planning and implementing public participation has been development and are included in Attachment A. A checklist to enable the PCO to assess whether full advantage is being taken of any opportunity in ACEDP-supported activities to enhance core partners' capacity to involve the public is also included in Attachment B..

3.4 ROLE OF PCO

As with the Social Impact Management Framework, the underlying principle in this Activity is that its objectives will be obtained through the close collaboration with, and where considered necessary and appropriate, mentoring of, relevant core partner representatives. However, the PCO will also have certain responsibilities for facilitating, monitoring and evaluating this process, including, as above:

1. contracting an appropriate consultant and/or Chinese agency with relevant experience that can both help schedule, plan and organization the sub-activities that core partners nominate as the ones that they feel will be most effective so far as their organization is concerned, and mentor those participating.
2. monitoring and evaluating the extent to which effective public participation forms part of relevant ACEDP Activities, and the effectiveness of the proposed Module in facilitating this process;
3. ensuring that participants in study tours or relevant training sessions are not only motivated to explore ways in which the public are involved in different types of environment protection and natural resource management policy formulation, but that those they visit (e.g. Australian organizations) are requested wherever possible to provide the opportunity for them to do so in the course of the tour / training;
4. ensuring that the Public Participation Module is reviewed and if necessary revised, as part of the Annual Planning Process;

5. production and distribution of the Module, once drafted by the consultant and agreed upon by the core partner organizations, and
6. ensuring a feedback and learning loop with the MEP 'Study on Mechanisms for Public Participation in Water Pollution Control and Integrated Watershed Management for Control of Eutrophication of Lakes'.

4 ACEDP GENDER FRAMEWORK

4.1 INTRODUCTION

A gender framework is a set of policies, procedures and action plans designed to ensure, so far as is feasible:

1. equal participation and decision-making by women and men in the design and implementation of developments that are being facilitated within a Program or Project, and
2. that both men and women benefit equitably from the proposed activities.

ACEDP is not a Program designed to address gender imbalances in society. However, gender equity is a cornerstone of both the Government of the People's Republic of China (GoPRC) and of AusAID. The commitments of both the GoPRC and AusAID to gender equity complement each other, re-enforcing the need to make gender considerations an explicit and integral part of ACEDP. AusAID's Gender and Development Policy seeks to ensure that women and men participate in and benefit equally from development – both in activities designed to benefit the public, and in activities designed to enhance the skills and capacity of organizations designing and implementing such activities. This Policy accords with the commitments of the Government of the People's Republic of China (GoPRC) as outlined in the Law of the People's Republic of China on the Protection of Rights and Interests of Women (2003) and the Gender Equality and Women's Development in China, White Paper (2005). It is important, therefore, to ensure that in the ACEDP, gender is not only mainstreamed in policy formulation and demonstration activities. It should also be mainstreamed in any capacity enhancement activities supported by the ACEDP for the staff of partner organizations – especially activities that can lead to the enhancement of capacities that, directly or indirectly, may be relevant to career advancement.

There are also very practical reasons, in addition to that of social justice, why it is important to consider and respond to the gender implications of any policies designed to protect the environment. Differences in the roles that they have in society mean that the behaviour of men and women can have a different impact on the environment. Equally, policies designed to protect the environment and manage natural resources can affect men and women differently. If the gender-sensitive impacts of policies are not taken into account, and strategies not incorporated to minimize negative impacts or maximize benefits, the way people cope with the implementation of new policy directives can have unintended adverse effects on the environment, or at least not result in the level of environmental protection that could be achieved.

Accordingly, to ensure that gender is mainstreamed in ACEDP, three distinct functions are required of a Program gender framework:

1. ensuring gender equity in all ACEDP activities intended to enhance the capacity of Program partner staff;
2. ensuring that, in dialogue and other activities designed to enhance the capacity of Ministries to formulate the environmental policy, the institutional capacity to respond to gender issues in the development of policy is also enhanced, as and where appropriate, and
3. ensuring that gender equity issues are addressed in any development and / or implementation of policy directions in the course of ACEDP activities.

As indicated in Section 2 above, gender mainstreaming is an integral part of social impact management: a Gender Mainstreaming Framework and a Social Impact Management Framework, therefore, will inevitably overlap and be interdependent in implementation. The first two of the above three functions are addressed as part of the Social Impact Management Activity described in Section 2, in which the Program will work with key partner organizations to identify, respond to and document, not only the potential social impacts of different environmental protection and natural resource management policies and their implementation, but the implications of these potential impacts for different segments of

affected societies, including gender sensitive implications for income status (including control over resources), health and participation in decision-making. (Note: Part A of the checklist has subdivided potential impacts according to these three of the four pillars of AusAID's gender policies (the 4th pillar, was not considered relevant in this context).

Mainstreaming gender in ACEDP Activities, however, will also require a strategy for maintaining gender equity in all ACEDP activities intended to enhance the capacity of Program partner staff. To succeed, this strategy will need to be developed in association with core partner organizations.

4.2 THE PROPOSED GENDER MAINSTREAMING ACEDP ACTIVITY

As indicated above, a strategy for ensuring gender equity in all ACEDP activities intended to enhance the capacity of Program partner staff should emerge from discussion with core partners. Accordingly, a proposal concept note was prepared and approved in the first annual planning session for the joint development of a strategy to achieve this equity.

4.2.1 Objective

The key objective of this activity is to facilitate gender equity in capacity enhancing activities undertaken with staff of the core partner organizations.

As proposed in the concept note proposal approved in the first Annual Plan, one output of this discussion should be a document that outlines an agreed strategy to ensure that:

1. gender is mainstreamed in the planning of any activities involving capacity enhancing through training, study tours or dialogue supported by the ACEDP, and
2. if and where considered necessary, awareness of the importance of gender sensitivity is enhanced among the staff of core partners and any other agencies involved in ACEDP-supported activities.

4.2.2 Description of Activity

The strategy should be the outcome of joint discussions between core partners, the PCO and the EAT. However, as a minimum, the strategy should ensure that following criteria are met, or, if not met, that reasons for their not being met are explored and if possible, ameliorated.

SELECTING PARTICIPANTS FOR CAPACITY ENHANCING ACTIVITIES

1. To avoid 'tokenism', in nominating people to attend training, study tours, core partner agencies will be asked to indicate how those nominated to participate will use the experience / skills enhanced by the activity in their work performance.
2. In setting criteria for the selection of staff to participate in any particular capacity enhancing activity, such as study tours or training courses, the PCO should hold discussions with participating organizations to review the criteria set to ensure that they do not unnecessarily, albeit unintentionally, exclude women who might be under-represented at particular levels in the organization.

1. *Men and women from partner organizations participate equitably in all training courses, study tours etc, or that their respective participation is at least proportionate to the numbers of men and women who are in positions in the core partner organizations to utilization the enhanced skills arising from the activity. Such participation can have significant implications for career advancement and hence income status. If representation of either men or women among those*

nominated to participate in capacity enhancing activities is imbalanced, the following issues should be investigated:

- Is this due to disproportionate numbers of either men or women in the participating core partner organizations whose work performance would benefit from participation in the capacity enhancing activity?
 - *If not:* Were the criteria for the selection of people to participate too restrictive? Can they be modified in future to enable a more equitable, but still effective, participation of men and women? Were there logistical reasons that hindered the participation of either men or women?
 - *If so:* What are the reasons for the under-representation of men or women in particular positions? Is there anything that is within the scope of the Project, and that is considered desirable by the partner organizations, that the Project can do to contribute to the mentoring of women who might be able to assume relevant responsibilities?

In post-training / study tour evaluation, attention should be paid to whether men and women have been equally able to utilize new experiences / skills acquired, and if not, why not?

2. *There is gender equity in the opportunity to participate in decision-making in relation to the Program – e.g. annual planning meetings, etc., and*
3. *Every effort is made to ensure balanced participation in the Program from men and women in Australian counterpart organizations involved in the Program.*

The extent of commitment of core partner organizations to the development and adherence to such a strategy will in part be dependent on the level of awareness of gender issues in these organizations: faced with time and budget constraints affecting the performance of their primary functions, gender considerations often have low priority in agencies responsible for managing resources critical to economic development and the well-being of the country. Hence, although the emphasis will again be on mentoring, some formal training in the importance of gender sensitivity may need to be encouraged as part of the process of gaining the commitment of core partner organizations to adhere to the strategy. Once again, it is important to note that at least some, if not all of the core partner organizations, have been involved in other international projects and have had different experiences and training, and hence some activities may only be relevant to certain organizations or may need to be specifically tailored to the needs of others³.

A consultant will be contracted to work in close association with a Chinese agency to facilitate the activities selected by the core partner organizations. (A scope of services will be prepared following the initial meetings to determine what activities the core partners feel will be most productive in enhancing their capacity). Once agreement has been reached on the contents of the above strategy, a brief gender mainstreaming document will be prepared by the contracted consultant for distribution to the core partner organizations, including Australian organizations involved with ACEDP. If considered appropriate, the finalized strategy should be workshopped with each of the core partner organizations. The draft module should be available for use in the second Annual Planning process and if considered necessary workshopped with core partners before this second planning process takes place.

The strategy should be reviewed as part of each annual planning process.

³ It is important to note that core partners' perceptions of the need for gender-related trainings may change over the life of the Program. This should not therefore be a one-off discussion, but one that takes place as part of each annual review.

4.3 ROLE OF THE PCO

Once again, the underlying principle in this Framework is that its objectives will be obtained through the close collaboration with and, where considered necessary and appropriate, the mentoring of, relevant core partner representatives. Nonetheless, the PCO will have certain responsibilities for facilitating, monitoring and evaluating this process, including:

1. contracting an appropriate consultant and/or Chinese agency with relevant experience that can help schedule, plan and organize collaboration with core partners to produce an agreed strategy for obtaining gender equity in capacity enhancing activities undertaken with staff of the core partner organizations, and any gender-related training/workshops that core partners may feel desirable;
2. ensuring that the above strategy is reviewed and if necessary revised, as part of the Annual Planning Process;
3. production and distribution of the strategy, once drafted by the consultant and agreed upon by the core partner organizations;
4. take the following steps to investigate, track and record progress so that the necessary information is available for use when the strategy is reviewed in the annual planning process:
 - maintain records and track via spreadsheets: i) the number of women from partner agencies involved over time in ACEDP decision-making meetings and activities, such as developing annual plans, etc, and ii) whether the roles of participating women in their organization are the equivalent to those of participating men in terms of decision-making powers with respect to relevant issues;
 - actively investigate and document the causes of any disproportionately lower involvement of women identified in any such activities;
 - document whether there is any participation of women from partner agencies involved in the ACEDP as part of a mentoring process designed to increase women's representation in any water resource management decision-making roles in which they might be currently under-represented;
 - maintain records and track via spreadsheets the proportion of male and female participants in capacity enhancing activities by the nature of activity (study tour, training, etc) and the relative status in their organization of men and women involved in each of these activities;
 - maintain records and track via spreadsheets whether gender issues are discussed in initial pilot or demonstration proposals put forward for activities seeking ACEDP support, and the proportion of such activity proposals for which some redesign/modification is requested in order to ensure that these issues are addressed;
 - maintain and track via spreadsheets whether both male and female participants in activities designed to enhance their capacity i) have been able to use any added gender insight gained from such activities in the performance of their job within the six months following the activity; and ii) if so, the extent to which they believe doing so made their performance more effective.

(Note: If this monitoring is to be used to improve the effectiveness of gender mainstreaming and of decision-makers' consideration of gender issues, it is most important that relevant information is recorded and displayed as a time line, so that improvements (or failure to improve) over time can be readily observed. Ensuring that this monitoring takes place should be part of the Program's overall monitoring and evaluation strategy);

5. Ensure that in both public tenders and in the proposal request format, Australian agencies are required to stipulate how they will mainstream gender and other social impacts into any collaborative activities they propose undertaking with ACEDP;
6. Make every effort to ensure that Australian counterpart organizations are briefed on the Program's gender strategy, and asked, so far as circumstances permit, to ensure the equitable involvement of both men and women from their organization in their interaction with the core Program partners.

5 STRENGTHENING THE CAPACITY OF A CHINESE MENTORING AGENCY

The All China Women's Federation (ACWF) is a well-respected agency in China with extensive experience in gender mainstreaming and working with communities in a manner that take into account the social impacts of proposed action. In preliminary discussions, ACWF representatives have expressed an interest in being contracted to work with ACEDP to help with the implementation of the above three Program Activities.

As discussed earlier, however, ACEDP differs in a number of respects from many of the past AusAID projects, in that:

- *the* actual policy formulation and implementation will be carried out by Program partners rather than through the direct involvement of the Program Co-ordination Office (PCO) or a single counterpart organization: this means that the identification of potential social impacts and their gender implications will need to be part of the design and feasibility study that will be carried out by the proponents for the different ACEDP activities involving policy development and / or implementation.
- although the initial Program focus is on water management, this focus may change over the life of the Program as the priorities of the GoPRC change – hence frameworks are required that can allow for such flexibility.
- ACEDP has been designed to improve environmental protection and natural resource management through the enhancement of the capacity of partner organizations to formulate and implement environment-related policies, which means that the key elements of the gender and social impact frameworks need to be developed in close collaboration with partner organizations, so that they can become part of the latter's policy decision-making process and thereby have a sustainable, long-term impact on policy formulation.

Accordingly, key principles underlying the two frameworks discussed above are:

- mentoring in accordance the core partner organizations' perceived needs,
- 'on-the-job' capacity enhancement through supporting partners in their planning and implementing ACEDP-supported activities, as and when help is required, and ultimately facilitating their feed back of lessons learnt to other agencies .

This involves a movement away from hands-on implementation and more formal training, although some formal training may be required. For this reason, it is proposed that the Activities described above be complemented by an initial program of capacity enhancement for ACWF or a similar institution. The exact contents of this program will be agreed upon in discussions scheduled for later in 2008, however, it is anticipated that the focus will be on 'training-the-mentor', with a particular emphasis on the skills required for mentoring senior officials in Chinese ministries.

ATTACHMENT A

1. EXAMPLE SOCIAL IMPACT MATRIX (INTEGRATED RIVER BASIN MANAGEMENT EXAMPLE)

POLICY DIRECTIONS WITH POTENTIAL SOCIAL IMPACTS	POTENTIAL SOCIAL IMPACTS	SOURCES OF POTENTIAL GENDER DIFFERENCES IN IMPACT	SOURCES OF POTENTIAL DIFFERENCES IN IMPACT ON OTHER VULNERABLE GROUPS	POSSIBLE STRATEGIES FOR MINIMIZING RISKS AND/OR MAXIMIZING BENEFITS
Protection of water quality and associated reduction in land degradation to protect water catchment areas	<p><i>Potential impacts which could be positive or negative:</i></p> <p>1. Impact on pattern of income generating activities practised by farmers in the targeted river basin (i.e. the increase, decrease or elimination of certain activities as a result of banning activities or encouraging change to create buffer zones, re-forest certain areas, protect erosion of steep slopes, etc)</p> <p>2. Impact on the techniques and practices adopted in farmers in their income generating activities</p> <p><i>Potential benefits</i></p> <p>1. Increased farm-based income generation if successful strategies to encourage land use change are developed and implemented</p> <p>2. Improved supply of safe drinking water throughout the river basin, with associated health benefits</p> <p><i>Potential risks</i></p>	<p>1. Men and women share animal husbandry and agricultural activities when the men are present in the village. However, there is usually a gender component to the division of labour with respect to farm-based activities. Gender differences in impact in affected areas in the river basin will accordingly be contingent on:</p> <p>i) household division of labour with respect to productive activities in the affected areas, and</p> <p>ii) the relationship between this division of labour and the types of activities that will be affected.</p> <p>2. In situations in which men control the household income, women may have a source of income that is their own</p>	<p>Poorer households are less likely to be able to afford to buy bottled water, and hence likely to benefit disproportionately from improved access to safe drinking water. Other differences in impact on different vulnerable groups will depend on:</p> <p>i) differences in types of farming activities practised in the affected area by poor and non-poor households and by different ethnic groups, etc., and</p> <p>ii) whether those farming activities differently practised by different groups are ones likely to be affected by the IRBM policies to be implemented.</p>	<p>Gender-sensitive consultation / participative planning held with farmers, including representatives of vulnerable groups, followed, as required, by:</p> <ul style="list-style-type: none"> - training - market research on alternative crops - provision of extension services - provision of micro-credit, and / or - incorporation of community into existing programs of local government agencies⁴ <p>Where policy implementation is likely to impact on access to firewood, biogas and electricity subsidies can make alternative energy sources more affordable. If construction of biogas or other facilities requires financial contribution from households, consideration needs to be given to organizing payment schedules</p>

⁴ Most provinces have a range of programs which could be tapped to assist farmers respond to the need to change farming practices or income generating activities as a result of IRBM policies: for example, PADO may have funds that can be used to facilitate poor households' income-generation activities; the Women's Federation or Rural Credit Cooperation Units may have micro-credit funds to assist poor households; the Conversion of Farmland into Forest Land Program might provide subsidies for farmers converting farmland into forest (or grass), the Forestry Bureau in some areas has a biogas development program that provides a subsidy for villagers wanting to install biogas to save firewood. It is possible that as part of an IRBM approach, the different programs could be integrated to facilitate changes in farming practices

	<p>1. Increasingly difficult access to firewood 2. Increased migrant labour, especially among men, should changes in farm-based income generating activities lead to a reduction in farm income generating potential (or as a unintentional result of compensation for latter).</p>	<p>‘spending money’ – e.g. sale of eggs. Attention therefore should also be paid to: i) gender differences in ‘control’ over income from different sources ii) gender aspects of the patterns of household budgeting decisions in the affected areas, and iii) the gender-specific affects that changes in pattern of income-generating activities might have on this budgeting. 3. If there is an improved supply of safe water, the demands of household cleaning, cooking and childcare, which are usually the responsibility of women, mean that women are likely to be disproportionately benefit from this. 3. Firewood collection is often the responsibility of women: the need to travel longer distances to do this can significantly increase the burden on either men or women’s time, depending on who is responsible.. 4. Women may be disproportionately affected in households in which the men are or become migrant labourers. Apart from obliging women to assume much of the responsibility for farm activities, it has been suggested that male migrant labour, is a factors currently contributing to the feminization of poverty in China.</p>	<p>to be implemented.</p>	<p>that take into account seasonal factors in terms of ability to pay of the household member responsible for payment.. <i>Gender-specific aspects of strategy</i> Particular attention needs to paid to ensuring that women are included in all trainings and participative planning sessions – timing and location of such activities may need to take into account women’s responsibilities. If necessary, MEPrate sessions should be held. Gender analysis may need to be undertaken. If women’s sources of discretionary income are affected, participative planning should be carried out with affected women to determine feasible alternative sources of income-generating activities – and whether adopting such alternative activities might require marketing assistance, training and/or micro-credit.⁵</p>
<p>Introduction of water saving techniques</p>	<p><i>Potential impacts which could be positive or negative:</i></p>	<p>As above - gender differences in such impact in affected areas will be</p>	<p>Other differences in impact on different vulnerable groups will</p>	<p>As above - gender-sensitive consultation / participative planning held with farmers,</p>

⁵ In situations in which male labour migrant is common, any impact on farm-based income generating activities will have an impact on women’s income

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<p>for particular income generating activities (e.g. improved irrigation techniques)</p>	<p>1. Impact on the techniques and practices adopted by farmers in their income generating activities <i>Potential benefits</i> 1. Increased farm-based income generation if successful <i>Potential risks</i> 1. Increased migrant labour, especially among men, should changes in farm-based activities lead to a reduction in farm income generating potential.</p>	<p>contingent on i) household division of labour with respect to productive activities in the affected areas, and ii) the relationship between this division of labour and the types of activities that will be affected.</p>	<p>depend on i) differences in types of farming activities practised in the affected area by poor and non-poor households and by different ethnic groups, etc. and ii) whether those farming activities differently practised by different groups are ones likely to be affected</p>	<p>including representatives of vulnerable groups, followed, as required, by: - training - market research on alternative crops - provision of extension services - provision of micro-credit, and / or - incorporation of community into existing programs of local government agencies⁶ <i>Gender-specific aspects of strategy</i> Particular attention needs to be paid to ensuring that women are included in all trainings and participative planning sessions – timing and location of such activities may need to take into account women’s responsibilities. If necessary, MEPrate sessions should be held.</p>
<p>Capping the water volume of utilizable water for each province within a river basin</p>	<p><i>Potential benefits</i> i. Capping the volume of usable water for each province within a river basin may motivate the adoption of less water demanding activities or techniques by changing the cost-benefit ratios for certain types of farming activities. <i>Potential risks</i> i. Conflict between rural and urban areas in the allocation of water resources essential for development: Capping the water volume of utilizable water for each province within the key river basins may tempt Provincial governments to</p>			<p>Need to ensure that an administrative structure for water allocation is in place that is representative of all provincial stakeholders and that the need for a balance between economically productive and other forms of water use is recognized.</p>

⁶ Most provinces have a range of programs which could be tapped to assist farmers respond to the need to change farming practices or income generating activities as a result of IRBM policies: for example, PADO may have funds that can be used to facilitate poor households’ income-generation activities; the Women’s Federation or Rural Credit Cooperation Units may have micro-credit funds to assist poor households; the Conversion of Farmland into Forest Land Program might provide subsidies for farmers converting farmland into forest (or grass), the Forestry Bureau in some areas has a biogas development program that provides a subsidy for villagers wanting to install biogas to save firewood. It is possible that as part of an IRBM approach, the different programs could be integrated to facilitate changes in farming practices

	give priority allocation to urban areas to prevent water shortages that could slow economic development.			
Allocation of water entitlements	<p><i>Potential impacts which could be positive or negative:</i> Water allocation policies may preclude or encourage the expansion of certain activities as a consequence of the need to set targets for different river basin functions (recreation, tourism, hydropower, domestic water, etc), with resultant impacts on the different sectors in the local labour market</p> <p><i>Potential benefits</i></p> <ul style="list-style-type: none"> i. Water allocation policies may encourage greater transparency and awareness of water use issues. ii. Water allocation policies may encourage more efficient use of water by users at all levels' <p><i>Potential risks</i></p> <ul style="list-style-type: none"> i. A policy involving an annual process of water allocation based on percentage of water allocated in previous year could limit farmers' capacity to change cropping patterns, restrict innovation and / or discourage risk-taking. ii. Water allocation policies may unintentionally encourage the over-draft of ground water for irrigation, at the expense of accessibility of water for domestic use, to reduce dependence on water allocation. Ease of access to water for domestic use has a range of health implications. 	If accessibility to water for domestic use is affected, this may have a disproportionate impact on the work burden of either women or men, depending on the household division of labour so far as water collection is concerned.	Poorer households might be more risk adverse	All sectors should be fully represented on the body/ies responsible for deciding on water allocations, and prior consultation should be carried out to ensure that their views are appropriately represented. If necessary, training should be provided to those representing farmers to ensure that they can be effective on committees. Gender-specific aspects of strategy Women's voices should be equally represented in water allocation discussions.
Water trading options	<p><i>Potential benefits:</i></p> <ul style="list-style-type: none"> i. The opportunity to trade water entitlements could encourage changes (e.g. modernization of irrigation) to enable farmers to profit from trading their entitlements. <p><i>Potential risks:</i></p> <ul style="list-style-type: none"> i. If such changes do not achieve the anticipated 		Poorer households would be disproportionately affected by any loss in productivity as a result of trading of water entitlements	Independent technical expertise should be available to provide independent advice prior to any village level scheme for saving and then trading part of their water allocation, particularly in situations in which advanced trading takes place. . Consideration might be given to making

	<p>water savings, trading of water entitlements in advance of actual savings in water use (e.g. in return for the cost of lining canals) may reduce the productivity of all households.</p>			<p>the validity of trading agreements should be conditional on advise having been provided to the community as a whole prior to signing of agreement Consideration might be given to organizing low-cost loans for any infrastructure or equipment necessary for water savings, rather than locking farmers into water savings before they can be sure of making them. <i>Gender-specific aspects of strategy</i> The Chinese government and judiciary would need to clarify whether or not equality rights have legal precedence over other rights, such as the village's right to allocate water entitlements.</p>
<p>Formation of water user groups at the community level, and formal recognition of their role in water allocation processes</p>	<p><i>Potential impacts which could be positive or negative:</i> The formation of water user groups at the community level, and formal recognition of their role in water allocation processes, will inevitably impact on the relative control over water resources held by different segments of the community. <i>Potential benefits</i> i. This policy would give greater control to farmers over their water resources and thus facilitate their crop planning and encourage more efficient water use to the ultimate benefit of all sectors of the community. <i>Potential risks</i> i. Some Water User Groups may not have the capabilities to manage water allocations at the village level.</p>	<p>If water entitlements are allocated on a household level, unless associated paperwork is in joint names, the control of women over water resources could be reduced, resulting in less attention being paid to women's water needs (gardening, household activities etc) The same process could also occur if men are over-represented or have a more powerful voice in WUAs. For example, some experiences with allocation of water resources at the community level have shown this to be most effective when the village leader is also leader of the WUA (pers. comm., Mr Chen). However, occupancy of the position of Village Leader and that of Chairman of the WUAs by the same person may mean that recognition of policy impacts of particular policies on</p>	<p>None yet identified</p>	<p>Independent technical expertise should be available to provide independent advice prior to any village level scheme for saving and then trading part of their water allocation, particular in situations in which advanced trading takes place. . Consideration might be given to making the validity of trading agreements should be conditional on advise having been provided to the community as a whole prior to signing of agreement <i>Gender-specific aspects of strategy</i> The Chinese government and judiciary would need to clarify whether or not equality rights have legal precedence over other rights, such as the village's right to allocate water entitlements.</p>

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		different vulnerable groups is limited: since the Chinese government has introduced competitive village elections for Village Committees, both women and men participate freely in these elections, but there may have been a reduction in the number of women elected to village committees' (UN Task Force on Gender 1999).		
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<p>Involvement of public and different sectors in policy formulation</p>	<p><i>Potential benefits:</i> i. Increase in community involvement in decision-making is likely to result in fewer unintended detrimental impacts resulting in environmentally damaging solutions by community members ii. Enhanced capacity of community members to understand and contribute to environmental policies and regulations and hence greater commitment to adherence to them <i>Potential risks</i> i. Inappropriate levels of public involvement may lead to frustration and rejection of policy</p>	<p>None identified yet</p>	<p>None identified yet</p>	<p>Care needs to be taken to ensure that public involvement involves the appropriate sectors, at the appropriate levels (national or local) and appropriate forms⁷ <i>Gender-specific aspects of strategy</i> Special efforts might be required to ensure that women and other vulnerable groups are mainstreamed into all relevant public involvement processes.</p>
<p>Charging for pollution discharge into waterways, and / or advocacy of safe household waste management in catchment areas (including sanitary animal, human, liquid and, solid waste management)</p>	<p><i>Potential benefits:</i> i. Reduction in community-generated pollution, with clear associated health benefits</p>	<p>None identified</p>	<p>None identified</p>	<p>The maximization of the impact of any policies designed to reduce community-generated pollution may require intensive campaigns to encourage behavioural change, and assistance to remove barriers to behavioural change (e.g. subsidies or micro-credit to assist with the construction of sanitary latrines etc) <i>Gender-specific aspects of strategy</i> Because of their links to the health of children and other family members, women may be more concerned than men about these sorts of issues. In advocating change, consideration should be given to women as both the target group and the conveyors of relevant messages. Consideration might also be given to making micro-credit opportunities available through women's</p>

⁷ Public involvement can be at a number of different levels – e.g. information collection through survey, focus group discussion, etc; exchange of information in consultation processes; participative planning and / or allocation of responsibility for decision-making and /or implementation to those affected.

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				<p>groups, again basing repayment schedules on the timing and capacity of women's ability to pay.</p>
<p>Development of infrastructure to facilitate policy implementation</p>	<p>Potential impacts which could be positive or negative:</p> <p>Potential benefits</p> <p>i. Increase in temporary unskilled employment opportunities</p> <p>ii. Temporary economic benefits to the affected area</p> <p>Potential risks</p> <p>i. Impact on Land acquisition / resettlement</p> <p>ii. Impact on risk of HIV/AIDS transmission: IRBM policies in themselves are unlikely to have any direct impact on HIV/AIDS transmission. However construction activities may well be associated with initial planning and implementation of an IRBM approach. Temporary construction camps or importing of migrant labour increasing risk of HIV/AIDS transmission</p>	<p>Given the different roles and responsibilities of men and women in society, relocation is likely to affect men and women differently, especially if men are participating in migrant labour. However, changes in ease of access to children's educational facilities, health services and water for domestic use, for example, are all likely to have a greater impact on women than men. Women in neighbouring villages are likely to be at particular risk of contracting and transmitting HIV/AIDS when construction camps are established nearby.</p>	<p>Resettlement can be particularly disruptive to minority communities if it splits existing communities. Research in some provinces has showed a significantly lower awareness of the cause and prevention of HIV/AIDS among some ethnic groups.</p>	<p>The Government of China has policies to ensure the protection of people being resettled. However, in certain circumstances, participative planning may need to pay special attention to the needs of women, minorities or other vulnerable groups. Occupation Health and Safety Plans for construction camps concerned with infrastructure development as part of a IRBM plan should include HIV/AIDS issues, including plans for the provision of information on HIV/AIDS prevention to all workers, and if possible, the provision of access to condoms. Gender- and ethnic-sensitive efforts should also be made to increase knowledge of both men and women about HIV/AIDS transmission in all villages near construction camps. (Care may need to be taken to ensure that this done in a way that does not lead to unfounded hostility towards camps as a perceived sources of infection simply due to their existence.)</p>

Source: Department of Sustainability and Environment (2005). *Effective Engagement: Building Relationships with Community and other Stakeholders*, Version 3 (<http://www.dse.vic.gov.au>)

2. GUIDELINES FOR PLANNING A PUBLIC PARTICIPATION STRATEGY

INVOLVING CIVIL SOCIETY DURING THE FORMULATION AND IMPLEMENTATION OF ENVIRONMENTAL PROTECTION POLICY CAN ...

- lead to better policy outcomes;
- lead to better relationships between the relevant Ministries or bureaux with members of civil society;
- enhance the reputation of the Ministry or bureau responsible for the policy formulation / implementation;.
- increase the understanding of social issues within the relevant Ministry or bureaux, and .
- build fruitful partnerships and networks for the future.

Source: Department of Sustainability and Environment (2005). Effective Engagement: Building Relationships with Community and Other Stakeholders Version 3. (<http://www.dse.vic.gov.au/>)

2.1 PREPARATORY CHECKLIST

PREPARATORY CHECKLIST

Before starting to plan the actual engagement of civil society members, it is important that:

- it is clearly defined who will be the key decision-makers in the process;
- the purpose of engaging members of the civil society is clearly defined;
- the anticipated outcome/s of engaging civil society members are clearly defined;
- the people, groups or organizations from civil society who are to be engaged in the policy formulation / implementation are clearly defined, and
- there is general agreement concerning the level of decision-making at which different representatives of civil society will be engaged.

2.2 DEFINING WHO WILL BE THE KEY DECISION-MAKERS IN PLANNING THE ENGAGEMENT OF CIVIL SOCIETY REPRESENTATIVES

If the advantages to be derived from engaging civil society are to be fully realized, then it is important that the planning and the ownership of the engagement process rests with the key decision-makers in the formulation or implementation of the proposed policy. This ensures that the process is planned in a way that takes into account the purpose of engaging civil society and the level at which the latter will be involved in decision-making during the policy formulation or implementation process.

It is often more efficient for an organization to contract experienced consultants to carry out specialised forms of public participation such as focus group discussions or social surveys. However it is usually more effective if both the overall plan for public engagement and briefs for consultants are prepared by the policy decision-makers themselves.

Accordingly, in the Australia China Environment Development Program, Design Teams should ensure that the necessary components for the *development* of a plan for any engagement of civil society are incorporated into the Activity Design Document. However, the plan itself should be developed in the course of implementing the Activity.



Note: If the decision-makers decide to contract consultants to undertake the actual engagement process (e.g. surveys, focus group discussions, etc) it is often useful to write into contracts that the consultants will brief the decision-makers on their sampling procedure, proposed techniques and logistics (e.g. times and location of meetings to be held, etc.) before starting to engage the public. This way, the decision-makers can review the proposed strategy and be more confident that the output will meet their expectations.

2.3 DEFINING THE PURPOSE OF ENGAGING CIVIL SOCIETY IN A PARTICULAR CONTEXT

It is important to clarify the purpose/s of involving the public in the formulation and / or implementation of a policy before beginning to plan the engagement process itself. Possible reasons for engaging the public, for example, might be:

- to become aware of any likely concerns regarding a proposed policy on the part of those who may be affected, in order to be able to take these into account in the formulation or implementation of the policy;
- to establish mechanisms through which affected members of the public can influence, on a long-term basis, the implementation of policies, once formulated;
- to ensure that all affected people, groups or organizations can have a long-term say in the ongoing allocation of resources affected by the policy /legislation, etc;
- to identify or clarify the potential social impacts of policy implementation on the different social groups that may be affected (e.g. men and women, ethnic minorities, poor households etc), so that these impacts can be managed in a way that:
 - minimizes the risks of adversely affecting segments of the public, especially the most vulnerable (see further the note below.), and
 - maximizes any opportunities likely social impacts might present for alleviating poverty.
- to identify conflicts of interests between different people, groups or organizations which might increase the risk of failure when it comes to implementing the policy, and / or
- to establish mechanisms for ensuring public awareness of:
 - new or existing policies, their rationale, and the rights of those affected, and
 - the ways whereby the public can exercise rights when policies are implemented.



Note: Consultation with civil society representatives should not be the only means used to identify the potential social impacts of a proposed policy. Such impacts can be predicted through, for example, review of other Projects' lessons learnt about impacts, review of literature, statistical analysis, analysis of legal implications of proposed change in relation to the legislative rights of different segments of society, deduction based on observation, etc. However, even when potential social impacts have been predicted from other sources, public consultation can be a useful means of clarifying the likelihood of their actual occurrence, their potential significance, and the viability of different ways of managing them.

2.4 DEFINING THE PEOPLE, GROUPS OR ORGANIZATIONS FROM CIVIL SOCIETY FROM WHOM INPUT SHOULD BE SOUGHT DURING POLICY FORMULATION / IMPLEMENTATION

To define the groups who are most likely to provide meaningful input into the formulation or implementation of a policy:

- list all the persons, groups or organizations who are likely to be significantly affected, either positively or negatively, by the proposed policy or change in policy, and
- subdivide the people and/or groups listed according to gender, ethnicity, social or income classes, occupational or service user groups, etc, wherever it is felt that the impact of the policy could differ for people with different social characteristics such as these.

To be sure that those most likely to be affected by the proposed policy have been identified, discussions might be held with organizations such as the ACWF or the Ethnic Affairs Bureau, or government or non-government organizations or networks.

Once those likely to be affected have been listed, consider each group in terms of how important it is that some direct or indirect input be obtained from that group or social segment in the course of policy formulation and / or implementation. In determining this relative importance, consideration should be given to both:

- the relative importance of a group or segment's cooperation in, or compliance with, policy dictates, and
- the goal of establishing a 'well-balanced and harmonious society'.



Note: While government bureaux and local authorities are not, strictly speaking, part of civil society, as potential implementers or policies, or managers of policy impacts, it is important that they are not ignored in the course of consultation.

2.5 DEFINING THE LEVEL OF DECISION-MAKING AT WHICH CIVIL SOCIETY REPRESENTATIVES WILL BE ENGAGED

There are a number of different levels in the decision-making process in which members of the public might be involved.

Level	Degree of participation in decision-making
Inform	The public is provided with balanced and objective information to assist them to understand the problems, alternatives and solutions associated with the policy formulated or the process of implementation
Consult	Public feedback is sought on analyses, alternatives and decisions relating to the policy being formulated or implemented (ideally there should also be feedback to the public on the reasons for the decisions made.)
Involve	The public is worked with consistently throughout the process of policy formulation and / or implementation to ensure that public concerns and aspirations are consistently understood and considered.
Collaborate	The policy formulators or implementers partner with the public in each aspect of the decision-making, including development of alternatives and the identification of preferred solutions
Empower	The final decision-making is placed in the hands of the people.

Source: Department of Sustainability and Environment (2005). *Effective Engagement: Building Relationships with Community and Other Stakeholders* Version 3. (<http://www.dse.vic.gov.au/>)

In deciding on the level of involvement, a number of factors need to be taken into account. For example, consultation is likely to be most appropriate when:

- the issues associated with the policy being formulated are technical, and /or require a fair level of understanding to ensure informed responses on the part of the public - especially if only limited information can be meaningfully supplied before participation takes place;
- the policy makers have limited flexibility in their decision-making;
- implementing the final policy decisions will involve co-ordination across the boundaries of a number of different administrative units, each of which may have different vested interests, and
- time and budget are limited.

The engagement process, however, can often be strengthened if carried out in two phases:

- a preliminary phase in the initial stages of policy formulation, involving experts or key informants from civil society, and carried out in order to obtain relevant information as a basis for the initial drafting of policy, and
- a second, more extensive phase of engagement of civil society, once a draft policy has been formulated. In this second phase, those participating are informed of the proposed policy and the issues, problems and alternatives considered in the course of its formulation, and their concerns and perceptions of potential impacts ascertained.

(Different levels of participation in the decision-making process may need to be adopted in the different phases.)



Note: Failure to ensure that those participating understand the way in which their input will be used in the decision-making can lead to false expectations on the part of the public, and discredit the whole engagement process.

3 CHECKLIST FOR ASSESSING ENGAGEMENT PLANS

CHECKLIST FOR ASSESSING THE ENGAGEMENT PLAN ITSELF

- Techniques for engaging relevant sectors of civil society have been chosen, taking into account the overall objectives and the purpose of seeking civil society engagement into the formulation or implementation of the proposed policy.
- The information required by the different segments of society, if they are to make an informed input to policy formulation and / or implementation, has been identified.
- A plan for conveying this information has been developed
- If ongoing, long-term input is required during policy implementation, any training needs of those who will provide this input have been identified.
- Logistical requirements for implementation of the plan have been outlined (detailed briefs, if consultants are to implement the plan; timing and chose of venues etc, if the Ministry staff are to so).
- The plan has been checked to ensure that all aspects are gender sensitive
- A method of evaluating the outcome of the implementation of the plan has been incorporated into the overall monitoring and evaluation scheme for the policy implementation.

3.1 CHOOSING THE TECHNIQUES FOR ENGAGING CIVIL SOCIETY REPRESENTATIVES AT THE CHOSEN LEVEL OF INVOLVEMENT IN DECISION-MAKING

Level of involvement in decision-making	Some appropriate techniques
Inform	Radio/TV Broadcasts Newspapers Existing NGO networks
Consult	Use of existing NGO networks (e.g. WWF network); Use of existing Ministerial 'NGOs' (e.g.) Formation of Consultative Committees Focus Group Discussions Expert panels Forums Requests for written submissions ⁸ Surveys
Involve	Hotlines (e.g. hotline managed by the Legal Center for Pollution Victims) Involvement of existing community groups or networks Involvement of specialized groups (e.g. Water Users' Associations)
Collaborate	Inclusion of civil society representatives on decision-making groups (eg inter-sectoral water allocation boards) Establishment of advisory panels with participants from civil society
Empower	Delegation of management of certain issues to the public (e.g. wetlands management)

In selecting techniques, consideration needs to be given to identifying the most cost-effective means of ensuring representation of all the groups, organizations and social segments identified in the preparatory stage of developing the engagement plan. For example, this might require the direct involvement of a representative sample of people from all affected segment of society (e.g. through national surveys); alternatively, there might be organizations (e.g. NGOs / County Ethnic Bureaux/ACWF, etc) with sufficient knowledge to be able speak reliably on behalf of some or all of the affected society.

In deciding whether an existing organization can effectively represent the range of views that might exist in a particular segment of society, a number of factors need to be taken into account, including, for example,

- whether the organization has sufficient knowledge of the range of opinions / life patterns likely to exist among a particular segment of society to be able to effectively predict the impacts of the proposed policies across this segment as a whole;

⁸ This is not an appropriate technique to use on its own. Australian experience, for example, has shown that interpretation of public opinion can be distorted by bogus submissions submitted under aliases in order to lend particular weight to certain opinions. Given the ease with which bogus letters or submissions can be manufacture, the number of submissions supporting a particular view should never, by itself, be the basis for recommendations

- whether the input from the organization is likely to be one-sided (for example, male leaders of water user associations may be able to talk knowledgably about the impact of water allocation policies on village life from the perspective of the farmer, but may not be particularly aware of the impact of water allocation decisions on village women who need to access water for cleaning the house, childcare etc), and
- whether the organization has vested interests in particular outcomes, so that their input is likely to only represent a limited range of the different concerns held overall by of a particular segment of society.



Note: One way of testing the above issue is to talk to a particular organization / NGO / etc it is believed will understand the concerns of and impacts on a particular social group, and then do a small sample of interviews with the people that group represents, to determine how effectively these have been represented.

3.2 IDENTIFYING THE INFORMATION REQUIRED BY THE DIFFERENT SEGMENTS OF SOCIETY IF THEY ARE TO MAKE AN INFORMED INPUT AT THE LEVEL OF DECISION-MAKING AND PLANNING HOW IT WILL BE CONVEYED

At the very least, people need to understand the reasons why a policy/regulation is required, what the options are and what the foreseeable impacts might be. For example:

- if public preferences are being sought, the public need to know the range of technically viable options available,
- if inputs into national policy formulation are required, those providing input may need to understand the legislative and budget constraints affecting policy before providing a meaningful input.

This information can be provided through the media, the use of existing NGO networks, introductions to public meetings or focus group discussions, or in the course of surveys.

However, consideration should be given as to whether certain information needs to be provided in advance to ensure:

- that a representative range of people attend meetings or prepare submissions, etc, and / or
- that the involved public have an opportunity to reach considered conclusions before providing input.

3.3 ASSESSING ANY TRAINING NEEDS THAT THOSE WHO WILL BE ENGAGED IN POLICY FORMULATION AND /OR IMPLEMENTATION MIGHT HAVE IF ONGOING INVOLVEMENT IS SOUGHT

Under certain circumstances, in addition to being provided with basic information relating to the policy under consideration, some civil society participants may also require some training. This requirement applies mainly when long-term collaboration is being sought through community representation on advisory panels, allocation boards etc.

Participation in groups that consist mainly of experts, for example, often requires training for 'non-experts' on how they can ensure their voice is heard. Such training might include, for instance, how to ensure items are placed on an agenda for discussion, lobbying for support in advance, careful preparation (and possibly pre-circulation) of a position statement, etc.

3.4 CHECK THAT ALL ASPECTS OF THE PLAN ARE GENDER SENSITIVE

Gender equity is not the same as gender statistics! Gender equality is equality of opportunity. Ensuring equal numbers of male and female representatives, when civil society input into policy formulation is sought, may not in itself ensure gender equity in input into policy formulation and / or implementation.

Achieving gender equity, even in public participation, requires a focus on both men's and women's roles, especially when preparing the logistics of a public engagement strategy. For example:

- if the selected techniques for gaining public input involve meetings, it is important not to schedule these meetings at a time when women are more likely to have family commitments – preparing a meal, getting children to bed etc.
- if a survey is to be carried out and interviewing is only done in the daytime, the reactions of men may be greatly underrepresented, as indeed may those of any women without young children.
- if meetings are held with men and women together, depending on the culture, women may be unwilling to express views contradictory to those expressed by men.
- if public meetings, calls for submission, etc are advertised in the media, either men or women might be more likely to be reached by the particular media selected
- if a meeting is being held involving staff of a particular organization in which the men occupy the most senior positions, women may feel less free to express any contradictory concerns when senior men are present, etc.



Note: The degree of difficulty likely to be experienced by members of the public with respect to attending public meetings/participating in surveys etc is likely to be associated with factors such as distances from centres of population clusters, physical terrain or nature of work, all of which may be directly correlated with the potential social impacts of proposed policies or legislation.

ATTACHMENT B

CHECKLISTS FOR SCREENING INCORPORATION OF SOCIAL ISSUES INTO ACEDP-SUPPORTED ACTIVITIES

1. CHECKLIST FOR MAINSTREAMING SOCIAL IMPACT MANAGEMENT ACEDP ACTIVITIES

ACTIVITY	SUGGESTIONS FOR MAINSTREAMING SOCIAL IMPACT MANAGEMENT	COMMENTS
<p>Training associated with the formulation or implementation of a <i>specific</i> environmental protection policy (e.g. integrated river basin management), when that policy:</p> <p>(i) has direct implications for public well-being or livelihood; (ii) requires public compliance / cooperation, <i>and / or</i> (iii) seeks to inform or influence behaviour.</p>	<p>Inclusion of:</p> <ul style="list-style-type: none"> • a session on the importance of the identification and management of social impacts and their gender implications at all levels of policy formulation and policy implementation, followed by group discussion of some case studies relating to the relevant policy issue, and • review of some case studies of similar examples of policy formulation in similar contexts, to highlight some of the social impacts identified, how they were addressed, and risks associated with failure to address them appropriately. <p>(Note: If training takes place with people who will not be directly involved in planning public involvement, it is recommended that only a session on the importance during policy formulation/implementation of identifying and managing social impacts and their gender implications is included in their training. The purpose of this session would be to ensure that they will be supportive of those who will be doing the planning.)</p>	<p>Training programs are to be developed in the first phase of implementing the SI GPP Framework. Once developed, the PCO will be able to provide copies and advise on their use, if so required.</p> <p>The PCO will also be able to advise on Chinese agencies potentially able to provide trainers in these topics who have adult learning skills.</p>
<p>Training that relates to general environmental protection policy-making</p>	<p>Inclusion of a session on the importance of identifying and managing social impacts and their gender implications in the course of policy development, with some local examples, and</p>	
<p>International study tours</p>	<p>If associated with policy formulation / implementation, inclusion of:</p> <ul style="list-style-type: none"> • a follow up of the pre-tour monitoring questionnaire with brief discussion asking everyone to nominate some issues around management of social impacts and their gender implications that they would like to explore during tour. • pre-visit briefing of host organizations with respect to the importance of the participation during the visit of their personnel who have been involved in managing social impacts and their gender implications. (As part of the briefing, the questions that the visitors wish to explore should be passed to the host organization.) 	<p>An Australian Implementing Agent will be contracted to facilitate Australia-based activities that form part of the SP&G Framework. Part of their responsibility will be to brief recommend possible host sites, if requested, and to ensure that all host sites are alerted in advance to the importance of involving members of their staff or community members who can talk about steps taken to manage social impacts.</p> <p>Relevant Project Officers will coordinate with the Australian Implementing Agency in the course of planning the tour.</p>

ACTIVITY	SUGGESTIONS FOR MAINSTREAMING SOCIAL IMPACT MANAGEMENT	COMMENTS
<p>Establishment of ongoing dialogue with a channel for policy exchange, where one or more policies that are the subject of dialogue:</p> <p>(i) have direct implications for public well-being or livelihood; (ii) require public compliance / cooperation, <i>and / or</i> (iii) seek to inform or influence behaviour.</p>	<ul style="list-style-type: none"> Encouragement of both Chinese and international organizations involved in the exchange of ideas to include, in the dialogue, representatives who have been involved managing social impacts and their gender implications. 	<p>The Agencies contracted to implement the SP&G activities in Australia and in China could assist with encouraging if so required.</p>
<p>Design of any activity that will involve the formulation or implementation of a policy that:</p> <p>(i) has direct implications for public well-being of livelihood; (ii) requires public compliance / cooperation; and / or (iii) seeks to inform or influence behaviour</p>	<p>The ADD should incorporate a strategy for identifying likely social impacts and their gender implications, managing resultant risks and maximising potential benefits. Depending on relevance, this strategy might include:</p> <ul style="list-style-type: none"> public consultation; review of lessons learnt in other similar projects; review of existing national policies/legislation which might be relevant to potential impacts; review of existing statistics which might be relevant to potential impacts (e.g. give some indications of the numbers affected etc) 	
<p>Implementation of pilot / demonstration activities</p>	<p>The Activity should include:</p> <ul style="list-style-type: none"> the implementation of any necessary support activities highlighted in the original design document (e.g. training, mentoring etc) the development of a plan for involving the public at the appropriate level (eg national, local) <p>the implementation, either directly or indirectly through consultants, of the plan.</p>	<p>For further information, please refer to 'Guidelines on Developing a Public Participation Strategy', Attachment A above).</p> <p>On request, the PCO Project Officers will be able to advise on Chinese agencies potentially able (i) to provide support services, (ii) to mentor those developing the plan, or supervising its implementation, and /or (iii) to act as consultants in the implementation of the plan.</p>
<p>Work Attachments / Internships</p>	<p>?</p>	<p>?</p>
<p>Visits to other project sites</p>	<p>Wherever possible, visitors should be given the opportunity to talk not just to those implementing the project, but to people potentially impacted (or representatives of these people – e.g NGO, ACWP, etc). This may provide additional insight into how effectively social impacts were identified and managed.</p>	<p>Support in preparing for such visits can be provided by Project Officers or the Chinese SP&G Framework Implementing Agency, once contracted.</p>

2. CHECKLIST FOR MAINSTREAMING PUBLIC PARTICIPATION INTO ACEDP ACTIVITIES

(For Guidelines on Developing a Public Participation Strategy where required for ACEDP-supported Activities, see Attachment A)

ACTIVITY	SUGGESTIONS FOR MAINSTREAMING PUBLIC PARTICIPATION	COMMENTS
<p>Training associated with the formulation or implementation of a <i>specific</i> environmental protection policy (e.g. integrated river basin management) that:</p> <p>(i) has direct implications for public well-being or livelihood; (ii) requires public compliance / cooperation, <i>and / or</i> (iii) seeks to inform or influence behaviour.</p>	<p>Inclusion of:</p> <ul style="list-style-type: none"> • a session on the advantages of involving the public in the course of policy development / implementation, ensuring gender equity of opportunity in public participation. Ideally this should be followed by group discussion of some case studies relating to the relevant policy issue, and • detailed sessions on how to actually plan a public involvement strategy of the kind required <p>(Note: If training takes place with people who will not be directly involved in planning public involvement, it is recommended that only a session on the advantages of public involvement and a brief overview of what is involved in planning such involvement is included in their training. The purpose of this session is to ensure that they will be supportive of those who will be doing the planning.)</p>	<p>Training programs are to be developed in the first phase of implementing the SP&G Framework. Once developed, the PCO will be able to provide copies and advise on their use, if so required.</p> <p>The PCO will also be able to advise on Chinese agencies potentially able to provide trainers in these topics who have adult learning skills.</p> <p>It is recommended that the training focus on planning requirements rather than on how to use specific techniques. While those seeking public involvement should always be responsible for planning this involvement, it is often more efficient for highly experienced outside consultants to be brought in to actually implement the plans.</p>
<p>Training that relates to environmental protection policy making in general</p>	<p>Inclusion of:</p> <ul style="list-style-type: none"> • a session on the advantages of gender equity involvement of the public in the course of policy development, with some local examples, and • time permitting, a brief overview of what is involved in planning such involvement. 	
<p>International study tours</p>	<p>If associated with policy formulation / implementation, inclusion of:</p> <ul style="list-style-type: none"> • a follow up of the pre-tour monitoring questionnaire with brief discussion asking everyone to nominate some issues around public participation, and ensuring gender equity in public participation, that they would like to explore during tour,. • pre-visit briefing of host organizations with respect to the importance of the participation during the visit of their personnel who have been involved in public participation and ensuring gender equity in such participation (as part of the briefing, the questions that the visitors wish to explore should be passed to the host organization.). • a visit to at least one organization in the host country that has effectively involved the public, and ideally, where appropriate, to a community that has been involved in the course of the relevant environmental protection policy formulation or its implementation. • a discussion facilitated by an international expert, prior to departure, that includes discussion of the weaknesses and strengths 	<p>An Australian Implementing Agent will be contracted to facilitate Australia-based activities that form part of the SP&G Framework. Part of their responsibility will be to brief recommend possible host sites, if requested, and to ensure that all host sites are alerted in advance to the importance of involving members of their staff or community members who can talk about steps taken to involve the public in a gender sensitive manner.</p> <p>Relevant Project Officers will coordinate with the Australian Implementing Agency in the course of planning the tour.</p> <p>(Note: As part of the overall M&E of the study tour, there should be a specific evaluation of public participation, social impact management, gender equity etc.)</p>

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	<p>observed, and the extent to which findings in Australia with respect to public participation, gender equity in participation, can be meaningfully adapted to different contexts in China.</p>	
<p>Establishment of ongoing dialogue with a channel for policy exchange, where one or more policies that are the subject of dialogue:</p> <p>(i) have direct implications for public well-being or livelihood; (ii) require public compliance / cooperation, <i>and / or</i> (iii) seek to inform or influence behaviour.</p>	<ul style="list-style-type: none"> • Encouragement of both Chinese and international organizations involved in the exchange of ideas to include, in the dialogue, representatives who have been involved in public participation and managing gender equity in the process. 	<p>The Agencies contracted to implement the SP&G activities in Australia and in China could assist with encouraging if so required.</p>
<p>Design of any activity that will involve the formulation or implementation of a policy that:</p> <p>(i) has direct implications for public well-being of livelihood; (ii) requires public compliance / cooperation; and / or (iii) seeks to inform or influence behaviour</p>	<p>The ADD should incorporate a strategy for involving the public which:</p> <ul style="list-style-type: none"> • clearly states the purpose of the proposed public participation; • states who will be decision-makers with respect to planning public participation, and what is their current level of knowledge, experience with respect to public participation; • indicates what, if any, support might be required to enhance the capacity of decision-makers to develop a plan to engage the public in a manner that is gender equitable, and • outlines the key components for development and implementation of a public participation plan in the ADD work plan and budget (e.g. enhancing the capacity of decision-makers; planning workshops; implementation of proposed plan etc). 	<p>For further information, please refer to 'Guidelines on Developing a Public Participation Strategy', Attachment A above)</p>
<p>Implementation of pilot / demonstration activities</p>	<p>The Activity should include:</p> <ul style="list-style-type: none"> • the implementation of any necessary support activities highlighted in the original design document (e.g. training, mentoring etc) • the development of a plan for involving the public at the appropriate level (eg national, local) and in a manner that is gender sensitive, and • the implementation, either directly or indirectly through consultants, of the plan. 	<p>For further information, please refer to 'Guidelines on Developing a Public Participation Strategy', Attachment A above).</p> <p>On request, the PCO Project Officers will be able to advise on Chinese agencies potentially able (i) to provide support services, (ii) to mentor those developing the plan, or supervising its implementation, and /or (iii) to act as consultants in the implementation of the plan.</p>
<p>Work Attachments / Internships</p>	<p>?</p>	<p>?</p>
<p>Visits to sites</p>	<p>Wherever possible, visitors should be given the opportunity to talk not just to those implementing the project, but to people potentially impacted (or representatives of these people – e.g NGO, ACWP, etc). This may provide additional insight into how effectively the public were involved</p>	<p>Support in preparing for such visits can be provided by Project Officers or the Chinese SP&G Framework Implementing Agency, once contracted.</p>

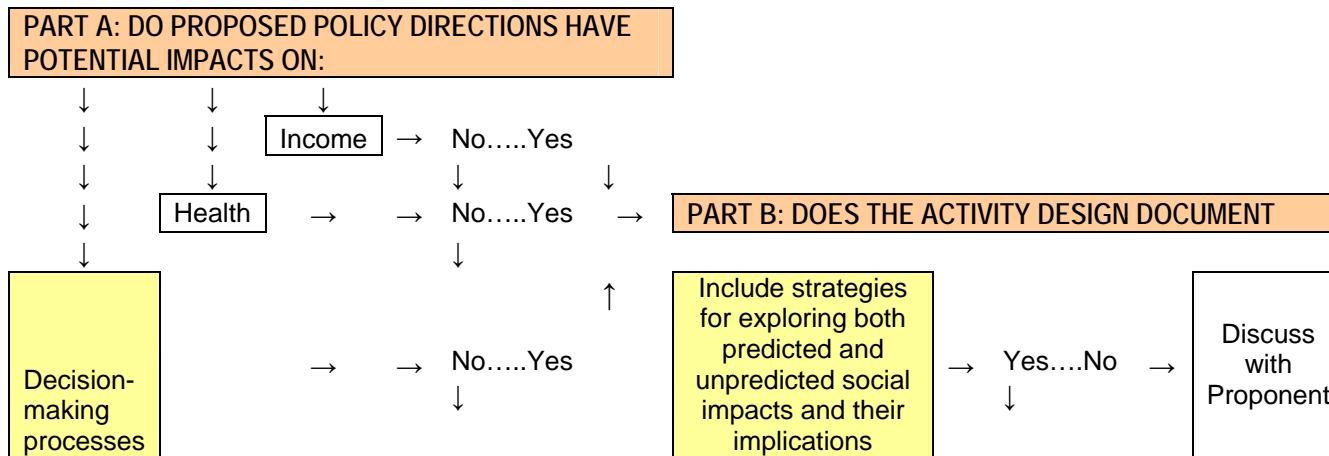
3. CHECKLIST FOR REVIEWING DESIGN OF ACTIVITIES SPECIFICALLY INVOLVING POLICY FORMULATION AND / OR IMPLEMENTATION

(Note: This tool has not yet been pre-tested. Also, while the Matrix may assist in their identification, but is not meant to be an exclusive list of potential impacts)

The use of this tool involves two steps:

1. The first step involves completion of Part A, based on determination of whether the formulation or implementation of policy in the proposed Activity is likely to have social impacts on the affected communities, and if so, whether these impacts are likely to have different implications for men and women. This step can be facilitated by the use of the draft matrix in Appendix 1.
2. The second step involves the completion of Part B, based on an assessment of the Activity Design Document (ADD) to determine whether it incorporates action that needs to be taken if:
 - risks arising from social impacts are to be minimized, and
 - potential benefits arising from social impacts, especially with respect to poverty alleviation, are to be maximized.

Figure 1 below provides an overview of the overall process reflected in the Rapid Social Impact Assessment Tool. Parts A and B, which follow, are formats for guiding and recording the outcome of the assessment.



**No action
required**

DOES THIS INVESTIGATION INCLUDE:

A review of existing national policies relevant to these impacts	→ Yes....No ↓	→	Discuss with Proponent
A review of relevant lessons learnt about these impacts from other Projects	→ Yes....No ↓	→	Discuss with Proponent
A review of international best practice regarding management of these impacts	→ Yes....No ↓	→	Discuss with Proponent
Incorporate public consultation regarding social impacts and their differential effects	→ Yes....No ↓	→	Discuss with Proponent
A review of access to relevant statistics	→ Yes....No ↓	→	Discuss with Proponent
A review of pertinent legislation	→ Yes....No ↓	→	Discuss with Proponent

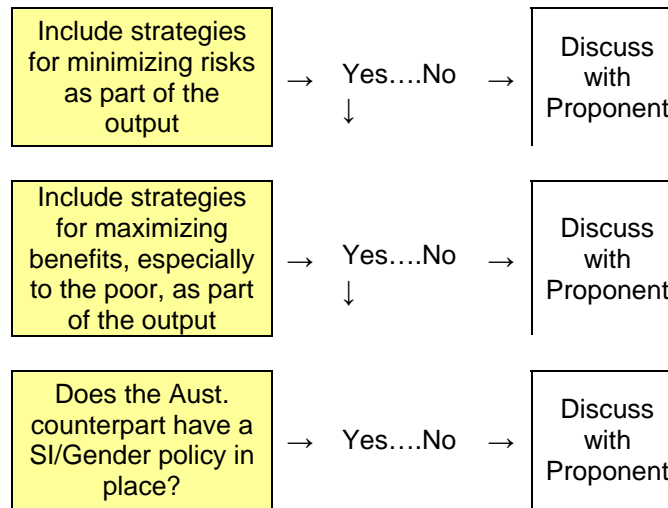


Figure 1: Flow Chart for Rapid Social Impact Assessment Tool

Part A. Format for rapid assessment of potential social impacts of policy directions relevant to activity design

To complete Part A, please circle 'yes' or 'no' for each row, according to whether the impact described in Column 1 is one potentially associated with the policy direction/s being addressed in the Activity design. (To help determine whether the impact is potentially likely to occur, please refer to the draft matrix in Appendix 1) (Column 3 indicates whether the potential social impact is likely to be gender sensitive.)

1. POTENTIAL IMPACT	2. IS THIS IMPACT LIKELY TO BE ASSOCIATED WITH POLICY DIRECTIONS ADDRESSED IN ACTIVITY?	3. POTENTIAL GENDER IMPLICATIONS OF SUCH AN IMPACT
<i>On income status (including control over resources)⁹</i>		
1. Potential impact on pattern of income generating activities (i.e. the increase, decrease or elimination of certain activities)	No Yes →	This has potential differential gender implications for income status (including control over resources)
2. Potential impact on the techniques and practices adopted in income generating activities.	No Yes →	This has potential differential gender implications for income status (including control over resources)
3. Potential impact on male migrant labour	No Yes →	This has potential differential gender impact for i. income status (including control over resources) ii. health if added work burden falls to either women or men iii. Participation in decision-making
4. Impact on willingness of farmers to innovate or take risks with respect to their income-generating activities	No Yes →	This has potential differential gender implications for income status (including control over resources)
5. Impact on the local labour market	No Yes →	This has potential differential gender implications for income status (including control over resources)
6. Impact on degree of equity between rural and urban areas	No Yes →	No yet identified gender implications
7. Impact on the relative control over natural resources that is held by different segments of the population at the community level.	No Yes →	This has potential differential gender implications on participation in decision-making

⁹ The three categories into which these potential impacts have been grouped reflect three of the four pillars of the AusAID gender strategy

1. POTENTIAL IMPACT	2. IS THIS IMPACT LIKELY TO BE ASSOCIATED WITH POLICY DIRECTIONS ADDRESSED IN ACTIVITY?	3. POTENTIAL GENDER IMPLICATIONS OF SUCH AN IMPACT
<i>On health</i>		
8. Impacts on ease of access of households to water for domestic use, and the implications of this for health	No Yes →	This has potential differential gender implications on health, including work load burden
9. Impact on safety of water for domestic use with associated impact on health	No Yes →	This has potential differential gender implications for health
10. Reduction in community-generated pollution, with clear associated health benefits	No Yes →	This has no yet identified potential differential gender implications, however, in general family and children's health tends to be of greater concern to women, and hence this impact may differentially affect women
11. Impact on access to/price of fuel for cooking etc	No Yes →	This has potential differential gender implications for health and well-being if it involves added unshared work burden
12. Impact on risk of HIV/AIDS transmission	No Yes →	This has potential differential gender implications on health
<i>On participation in decision-making</i>		
13. Impact on the relative control over water resources held by different segments at the community level.	No Yes →	This has potential differential gender implications on participation in decision-making
14. Impact on community involvement in decision-making	No Yes →	This has potential differential gender implications on participation in decision-making
15. Enhanced capacity of community members to participate effectively in policy-related decision-making	No Yes →	This has potential differential gender implications on participation in decision-making
16. Impact on degree of control/conflict between different agencies responsible for water allocation	No Yes →	Depends on gender composition and participation within affected agencies, and the interests represented by these agencies
17. Impact on land acquisition and resettlement	No Yes →	This has potential differential gender implications for: i. income status (including control over resources) ii. health and well-being

Part B. Format for rapid assessment of whether investigation and management of social impacts has been appropriately addressed in ADD

Question 1 - Does the ADD identify the likely social impacts of the Activity and include strategies for identifying any other social impacts that might occur? *(Please circle, 'yes', 'no' or 'not clear' in Column 1 and follow the arrows.)*

Yes→	Does the proposed Activity need to consider gender implications of the potential impacts <i>(Please refer to Column 3 of table in Part A.)</i>	Yes, already in design <i>(Go to Q.2)</i>	
		Yes, not yet in design →	Issues requiring discussion with Activity proponent: <i>(Go to Q.2 after answered)</i>
		No→	Reason/s why not: <i>(Go to Q.2 after answered)</i>
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?	<i>(Go to Q.2 after answered)</i>	
No→	Should inclusion of a review in the Activity design be discussed with the proponent?	No→	Reason/s why not: <i>(Go to Q.2 after answered)</i>
		Yes→	Issue/s to be discussed with Activity proponent: <i>(Go to Q.2 after answered)</i>
	Does the Activity review need to check that gender implications of the potential impacts have been taken into account? <i>(Please refer to Column 3 of table in Part A.)</i>	No→	Reason/s why not: <i>(Go to Q.2 after answered)</i>
		Yes→	Is this acknowledged in the Activity design?
		Yes <i>(Go to Q.2)</i>	No→ Issues requiring discussion with Activity proponent: <i>(Go to Q.2 after answered)</i>

Question 2 - Does the ADD include an investigation of the implications of these potential social impacts for different segments of affected communities?

Yes→	Does the investigation need to consider gender implications of the potential impacts? <i>(Please refer to Column 3 of table in Part A.)</i>	No→ Reason/s why not: <i>(Go to Q.3 after answered)</i>	
		Yes→	Is this acknowledged in the Activity design?
			Yes <i>(Go to Q.3)</i>
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?	<i>(Go to Q.3 after answered)</i>	

No→	Should inclusion of an investigation of social impacts in the Activity design be discussed with the proponent?	No→	Reason/s why not: <i>(Go to Q.3 after answered)</i>		
		Yes→	Issue/s to be discussed with Activity proponent <i>(refer to Part A and Q.3 below):</i> <i>(Go to next row after answering)</i>		
	Does the investigation need to consider gender implications of the potential impacts? <i>(Please refer to Column 3 of table in Part A.)</i>	No→	Reason/s why not: <i>(Go to Q.3 after answering)</i>		
		Yes→	Is this acknowledged in the Activity design?	Yes <i>(Go to Q.2)</i>	
	No→	Issues requiring discussion with Activity proponent: <i>(Go to Q.3 after answering)</i>			

Question 3 - If an investigation of key social impacts is included in the design, does this investigation include:

3a) A review of lessons learnt from past relevant Chinese Projects regarding social impacts, including their gender implications? *(Please circle, 'yes', 'no' or 'not clear' and follow the arrows.)*

Yes (Go to Q.3b)				
Not clear→	What clarification, if any, is required from proponents with respect to this aspect of the design?			
No →	Should inclusion of such a review in the design be discussed with Activity proponent:	No→	Reason/s why not:	
		Yes→	Issues requiring discussion:	

3b) A review of international best practice? *(Please circle, 'yes', 'no' or 'not clear' and follow the arrows.)*

Yes (Go to Q.3c)				
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?			
No →	Should inclusion of such a review in the design be discussed with Activity proponent:	No→	Reason/s why not:	
		Yes→	Issues requiring discussion:	

3c) Public consultation on potential negative and positive aspects of this impact, and viability of different strategies and / or participative planning where appropriate? *(Please circle, 'yes', 'no' or 'not clear' and follow the arrows.)*

Yes (Go to Q.3d)			
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?		
No →	Should inclusion of public consultation strategy in the Project design be discussed with Activity proponent:	No→	Reason/s why not:
		Yes→	Issues requiring discussion:

3d) Examination of available statistics at national or provincial level? *(Please circle, 'yes', 'no' or 'not clear' and follow the arrows.)*

Yes (Go to Q.3e)			
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?		
No →	Should inclusion of such an examination in the design be discussed with Activity proponent:	No→	Reason/s why not:
		Yes→	Issues requiring discussion:

3e) Assessment of existing legislation to determine its relevance and / or the need to advocate for clarification (e.g. clarification of whether or not gender equality rights have legal precedence over other rights, such as the village's right to allocate water entitlements) ? *(Please circle, 'yes', 'no' or 'not clear' and follow the arrows.)*

Yes (Go to Q.4)			
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?		
No →	Should inclusion of such an assessment in the design be discussed with Activity proponent:	No→	Reason/s why not:
		Yes→	Issues requiring discussion:

Question 4 - Do proposed Activity outputs include of strategies for minimizing social risks and maximizing social benefits in the policy directions that are evolved? *(Please circle, 'yes', 'no' or 'not clear' and follow the arrows.)*

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Yes→	Brief summary of how Activity design addresses this issue:				
Not clear→	What clarification, if any, is required from proponent with respect to this aspect of the design?				
No →	Should inclusion of strategies for managing social risks in proposed Activity outputs be discussed with the proponent?	No→	Reason/s why not:		
		Yes→	Issues requiring discussion:		
	Should the strategy /strategies have specific gender components? <i>(Please refer to Column 3 of table in Part A.)</i>	No→			
		Yes→	Are these acknowledged in Activity design?	Yes	
Not clear→	Issues requiring discussion with Activity proponent:				
No→					

4. SUMMARY CHECKLIST

The following diagram is intended to provide a quick checklist for Project Officers to screen ACEDP-supported activities to ensure both that good practice is followed with respect to involving the public, managing social impacts and gender equity, and that every opportunity is taken to enhance institutional capacity with respect to these issues.

NOTE: Monitoring and evaluation activities have not been included here, as it has been decided that the M&E of social impact, public participation and gender issues will form part of the broader Program M&E strategy.

Key to Diagram

Approved – Funding already approved

Proposed in ADD – these activities have been included in the ADD which has been submitted for approval

Proposed – It is intended to include these activities in the Phase 2 ADD for the Social Impact and Gender Framework

If requested – this can be provided if core partners so desire (however, at times it might be worth while for the Project Officer to encourage a partner to request this

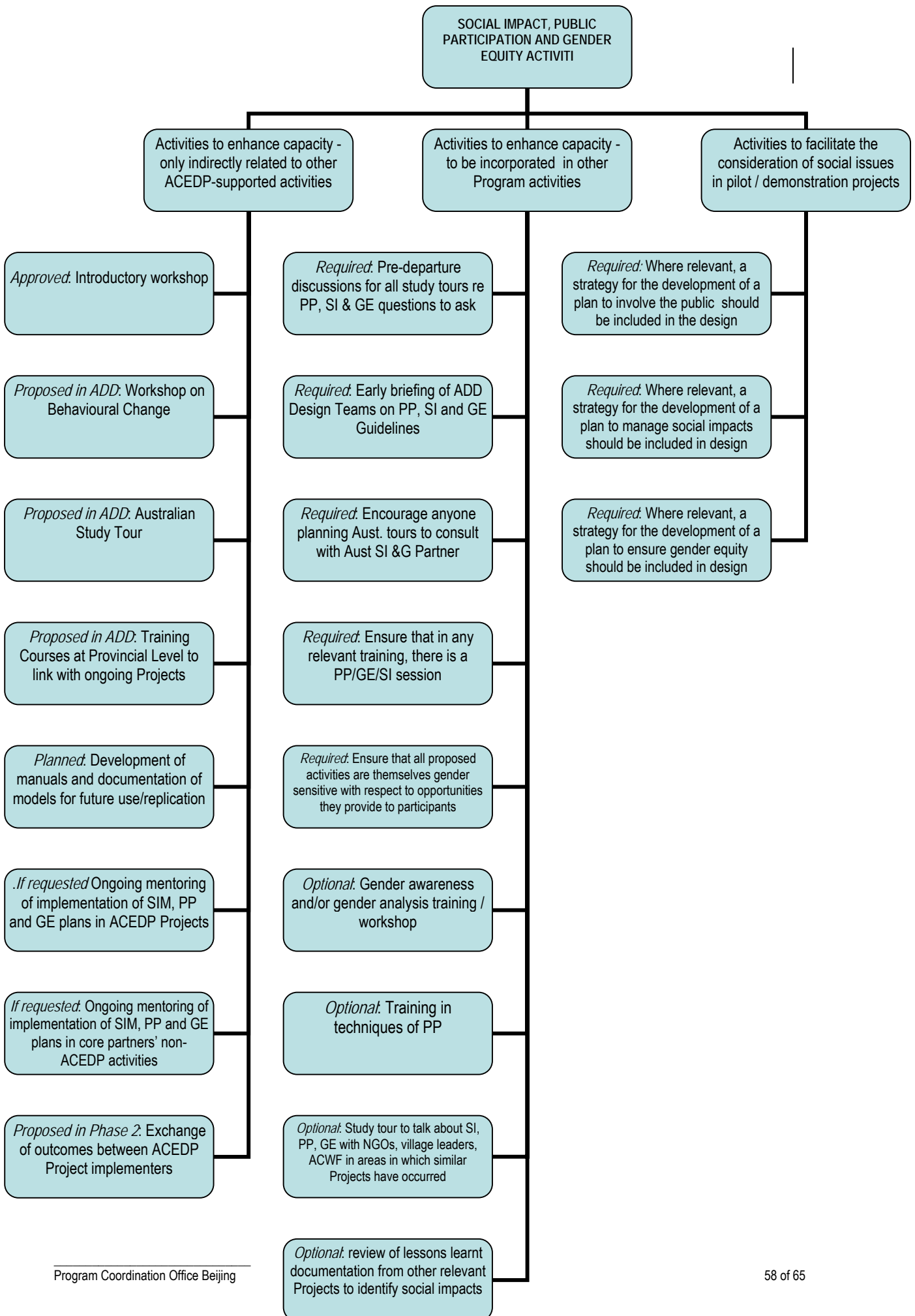
Required – this is something that Project Officers should check has been done for all specified activities

Optional – this is something that might be suggested by Project Officers

GE – Gender Equity

PP – Public Participation

SI – Social Impact



APPENDIX 1: PEOPLE CONSULTED

NAME	POSITION	ORGANIZATION	PHONE/EMAIL
Bei Tao, Ph.D	Deuty Director General	Dept. of Policy and Law, MEP	66556152 beitao@yahoo.com
Xia Jun	Deputy Division Director	Dept. of International Cooperation State Forestry Administration	(010) 84238722 Xial@forestry.gov.cn
Wang Yuan	Programme Official	Dept. of International Cooperation National Development and Reform Commission	68535887 yuan wang@public3.bta.net.cn
Jiao Xueli	Division Director	Dept. of International Cooperation National Development and Reform Commission	68535961 xlijiao@public3.bta.net.cn
Huo Enquan	Deputy Director-General	Dept. of International Cooperation National Development and Reform Commission	68535898 enqanhuo@public3.bta.net.cn
Ruixiang Guo	National Coordinator	UNIFEM	8532 0930 ruixiang.guo@unifem.org
Joyce Wu	Programme Associate	UNIFEM	8532 0933 Joyce.wu@unifem.org
Wei Xue Cheng		MEP	135 2293 7445 cheng.weixue@MEP.gov.cn
Guang Xia	Director General	Policy Research Venter for Environment and Economy of Ministry of Environmental Protection	86 10 8463 0955 xiag@public.bta.net.cn
Robert Speed	Australian Team Leader	Water Entitlements and Trading Project Room 1102A, Wuhua Building, 4A Chegongzhuang Dajie Xicheng District Beijing 100044	86 10- 6800 4074 robert_a_speed@yahoo.com.au
Wu Zhuanying		Project Management Center for Conversion of Cropland to Forest and Grassland, State Forestry Administration	86 10 84239111 zhuanying@yahoo.com
Shi Yubo	Chief of Division	Division of Urban Water Affairs Department of Water Resources Ministry of Water Resources 2 Lane 2, Baiguang Rd., Beijing 10053	86 10 63202614 shiyb@mwr.gov.cn
Xu Kezhu	Deputy Director	Center for Legal Assistance to	86 10 62210318

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		Pollution Victims” China University of Political Science and Law 25 Xituchen Rd Haidan District Beijing 10008	xukezhu@hotmail.com
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