

INITIAL POVERTY AND SOCIAL ANALYSIS

Country:	Philippines	Project Title:	Infrastructure Preparation and Innovation Facility
Lending/Financing Modality:	TA loan	Department/Division:	Southeast Asia Department/Transport and Communications Division with Philippine Country Office

I. POVERTY IMPACT AND SOCIAL DIMENSIONS

A. Links to the National Poverty Reduction Strategy and Country Partnership Strategy

Inadequate infrastructure is one of the most critical binding constraints to the country's inclusive growth and sustainable development, as identified in the ADB Country Partnership Strategy 2011–2016. The technical assistance (TA) loan is in line with the Government of the Philippines overall development strategy and infrastructure development objective as outlined in the Philippine Development Plan (PDP). The PDP calls for institutional strengthening, capacity development; and strategic alliance building, all of which will be supported through the proposed TA loan.

B. Poverty Targeting and Sustainable Development Goals Targeting

- General Intervention Individual or Household (TI-H)
 Geographic (TI-G) Non-Income MDGs (TI-M1, M2, etc.)

Sustainable Development Goals (SGD):

SDG 8: Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

SDG 11: Make cities and human settlements inclusive, safe, resilient and sustainable.

The proposed TA loan will improve the planning, design, and startup efficiency of infrastructure projects in transport and the water sectors. The outputs will be (i) improved innovation, quality, and timely start-up of infrastructure projects; (ii) capacity building of line agencies (the Department of Public Works and Highways [DPWH] and the Department of Transport [DOTr]) in public infrastructure planning and management; and (iii) strengthening national public-private partnership implementing agencies.

The outputs of the TA loan will eventually contribute to reducing poverty and deprivation, and will support economic growth by: (i) providing enhanced access to education, healthcare, housing, and other social services that allow communities to lift up their standards of living and to stay resilient to external shocks; and (ii) providing urban areas with reliable and efficient infrastructure systems.

C. Poverty and Social Analysis

1. Key issues and potential beneficiaries. Potential direct beneficiaries of the TA loan include DPWH and DOTr. For the infrastructure investments that will be taken up, potential beneficiaries include residents of urban areas, transport system users and operators, urban water supply and sanitation. Ensuing projects prepared under the proposed TA loan will focus on strategic urban areas of the Philippines.

Poverty and social analyses will be carried out under the TA loan for selected projects to identify the socioeconomic profile in the project influenced areas, expected benefits and constraints and ability of the poor and vulnerable groups to benefit from the projects.

2. Impact channels and expected systemic changes. Projects will be designed incorporating features to support social inclusion and poverty reduction. Urban infrastructure directly impacts on poverty through disproportionately high costs of mobility and access to clean water for many of the urban poor. The TA loan will support the government in preparing and initial stages of implementing infrastructure projects in urban areas, reducing the cost of travel and clean water.

3. Focus of (and resources allocated in) the PPTA or due diligence. Due diligence will be undertaken to assess the ensuing project potential impact on poverty reduction and related social aspects, including: HIV/AIDS; human trafficking; access; gender and labor opportunities.

II. GENDER AND DEVELOPMENT	
1. What are the key gender issues in the sector/subsector that are likely to be relevant to this project or program?	Sex-disaggregated data on socioeconomic indicators relevant to the ensuing projects will be collected during the TA loan project preparation activities. Gender and development focus will examine the needs, demands, and constraints faced by the poor, women and vulnerable groups in the areas of influence for
ensuing projects. Equitable access to the benefits and opportunities associated with urban infrastructure will be incorporated in the project preparation activities. Gender analysis will be carried out to inform the design of the project, where appropriate. The poverty and social assessment will assess the health and social risks associated with the infrastructure project, like HIV/AIDS, human trafficking.	
2. Does the proposed project or program have the potential to make a contribution to the promotion of gender equity and/or empowerment of women by providing women's access to and use of opportunities, services, resources, assets, and participation in decision making?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No. Please explain. The proposed TA loan will fund project preparation activities.
3. Could the proposed project have an adverse impact on women and/or girls or widen gender inequality?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No. Please explain. The proposed TA loan will fund project preparation activities.
4. Indicate the intended gender mainstreaming category:	<input type="checkbox"/> GEN (gender equity) <input type="checkbox"/> EGM (effective gender mainstreaming) <input checked="" type="checkbox"/> SGE (some gender elements) <input type="checkbox"/> NGE (no gender elements)
III. PARTICIPATION AND EMPOWERMENT	
1. Who are the main stakeholders of the project, including beneficiaries and negatively affected people? Identify how they will participate in the project design.	DPWH and DOTr, as well as other development partners will benefit from the proposed TA loan project preparation activities and related capacity development. For the ensuing projects the beneficiaries will likely include urban residents, transport users, water supply and sanitation users, affected persons, and businesses.
2. How can the project contribute (in a systemic way) to engaging and empowering stakeholders and beneficiaries, particularly, the poor, vulnerable and excluded groups? What issues in the project design require participation of the poor and excluded?	The proposed TA loan will hold discussions with key counterpart and government officials on community mobilization, consultation and communication plans to support ensuing projects, such as potential needs of the community in project areas, social-related issues such as gender, HIV/AIDS, human trafficking, child labor, environment and social safeguard issues.
3. What are the key, active, and relevant civil society organizations in the project area? What is the level of civil society organization participation in the project design?	<input checked="" type="checkbox"/> Information generation and sharing <input checked="" type="checkbox"/> Consultation <input checked="" type="checkbox"/> Collaboration <input type="checkbox"/> Partnership Relevant civil society organizations in the urban areas will be identified and engaged in the project preparation activities to ensure alignment with national plans, local needs, and also to ensure inputs of residents are incorporated in project design.
4. Are there issues during project design for which participation of the poor and excluded is important? What are they and how shall they be addressed?	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No Project preparation activities under the proposed TA loan include strengthening safeguard units and public procurement and land acquisition systems in key line agencies (DPWH and DOTr).
IV. SOCIAL SAFEGUARDS	
A. Involuntary Resettlement Category	<input type="checkbox"/> A <input type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> FI
1. Does the project have the potential to involve involuntary land acquisition resulting in physical and economic displacement?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

<p>The proposed TA loan will not finance any infrastructure investment or undertake activities with involuntary resettlement impact. The proposed TA loan includes an output to strengthen safeguard units in key line agencies (DPWH and DOTr). Resettlement planning documents will be prepared for selected subprojects in accordance to ADB's Safeguards Policy Statement (2009) and national regulation.</p>										
<p>2. What action plan is required to address involuntary resettlement as part of the PPTA or due diligence process?</p>										
<p> <input type="checkbox"/> Resettlement plan <input type="checkbox"/> Resettlement framework <input type="checkbox"/> Social impact matrix <input type="checkbox"/> Environmental and social management system arrangement <input checked="" type="checkbox"/> None </p>										
<p>B. Indigenous Peoples Category <input type="checkbox"/> A <input type="checkbox"/> B <input checked="" type="checkbox"/> C <input type="checkbox"/> FI</p>										
<p>1. Does the proposed project have the potential to directly or indirectly affect the dignity, human rights, livelihood systems, or culture of indigenous peoples? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>The proposed TA loan will not finance any infrastructure investment or undertake activities that will impact any indigenous persons. The proposed TA loan includes an output to strengthen safeguard units in key line agencies (DPWH and DOTr). Indigenous Peoples planning documents, if required, will be prepared for selected subprojects in accordance to ADB's Safeguards Policy Statement (2009) and national regulation.</p>										
<p>2. Does it affect the territories or natural and cultural resources indigenous peoples own, use, occupy, or claim, as their ancestral domain? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p> <p>The proposed TA loan focus is on large urban areas.</p>										
<p>3. Will the project require broad community support of affected indigenous communities?</p> <p><input type="checkbox"/> Yes <input checked="" type="checkbox"/> No</p>										
<p>4. What action plan is required to address risks to indigenous peoples as part of the PPTA or due diligence process?</p> <p> <input type="checkbox"/> Indigenous peoples plan <input type="checkbox"/> Indigenous peoples planning framework <input type="checkbox"/> Social Impact matrix <input type="checkbox"/> Environmental and social management system arrangement <input checked="" type="checkbox"/> None </p>										
<p style="text-align: center;">V. OTHER SOCIAL ISSUES AND RISKS</p>										
<p>1. What other social issues and risks should be considered in the project design?</p> <table border="0"> <tr> <td><input type="checkbox"/> Creating decent jobs and employment</td> <td><input type="checkbox"/> Adhering to core labor standards</td> </tr> <tr> <td><input type="checkbox"/> Labor retrenchment</td> <td><input type="checkbox"/> Spread of communicable diseases, including HIV/AIDS</td> </tr> <tr> <td><input type="checkbox"/> Increase in human trafficking</td> <td><input type="checkbox"/> Increase in unplanned migration</td> </tr> <tr> <td><input type="checkbox"/> Affordability</td> <td><input type="checkbox"/> Creating political instability</td> </tr> <tr> <td><input type="checkbox"/> Increase in vulnerability to natural disasters</td> <td><input type="checkbox"/> Creating internal social conflicts</td> </tr> </table>	<input type="checkbox"/> Creating decent jobs and employment	<input type="checkbox"/> Adhering to core labor standards	<input type="checkbox"/> Labor retrenchment	<input type="checkbox"/> Spread of communicable diseases, including HIV/AIDS	<input type="checkbox"/> Increase in human trafficking	<input type="checkbox"/> Increase in unplanned migration	<input type="checkbox"/> Affordability	<input type="checkbox"/> Creating political instability	<input type="checkbox"/> Increase in vulnerability to natural disasters	<input type="checkbox"/> Creating internal social conflicts
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<p>2. How are these additional social issues and risks going to be addressed in the project design?</p> <p>The proposed TA loan will only finance the preparation and design of eventual investments.</p>										
<p style="text-align: center;">VI. PPTA OR DUE DILIGENCE RESOURCE REQUIREMENT</p>										
<p>1. Do the terms of reference for the PPTA (or other due diligence) contain key information needed to be gathered during PPTA or due diligence process to better analyze (i) poverty and social impact; (ii) gender impact, (iii) participation dimensions; (iv) social safeguards; and (v) other social risks. Are the relevant specialists identified?</p> <p><input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>										
<p>2. What resources (e.g., consultants, survey budget, and workshop) are allocated for conducting poverty, social and/or gender analysis, and participation plan during the PPTA or due diligence?</p> <p>Poverty, social and gender analysis will be conducted in the project formulation output as part of improvements to project readiness.</p>										