

PACIFIC LEARNING PARTNERSHIP FOR ENVIRONMENTAL AND SOCIAL SUSTAINABILITY

MODULE 4: WHAT IS SOCIAL IMPACT ASSESSMENT?

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LEARNING OBJECTIVES:

- (1) **Develop** an understanding of the role and scope of SIA in relation to the EIA Process;
- (2) **Learn** about examples of the types of social impacts that can result from development proposals;
- (3) **Learn** about the guiding principles, procedure and methods used to assess and mitigate social impacts in development programmes.

Presentation will **cover**:

- ❖ Principles of SIA Good Practices;
- ❖ Benefits of Social Impact Assessment;
- ❖ SIA Process: Step-by-Step; and
- ❖ Examples of SIA methodologies and tools.

WHAT IS SOCIAL IMPACT ASSESSEMENT /SIA?

Definition:

- No widely agreed definition of SIA.
- Simply put, it focuses on the impact of development proposals /projects on people.
 - “An investigative process of **identifying and assessing key social issues and factors**, including risks and impacts, relevant to the preparation and implementation of development proposals/projects”.
- To ensure that the development operation **is informed by and takes into account these key social issues** and factors in its design and implementation.
- To **address and mitigate associated adverse social risks and impacts**, incorporate a participation strategy of a range of stakeholders and maximize the development benefits along the project development objective.
- Transitioning from “**doing no harm**” to “**optimizing Development outcomes**”

BENEFITS OF SIA

1. **Reduced** impact on people.
2. **Enhanced** benefits for those affected.
3. **Avoiding** delays and obstruction.
4. **Lowering** costs by timely actions.
5. **Better** community and stakeholder relationships.
6. **Improved** future proposals. |

SOCIAL IMPACT ASSESSMENT IN THE CONTEXT OF THE EIA PROCESS

- Both are Impact Assessment Studies. EIA combined with SIA is an entry point to **integrated** impact assessment in support of sustainable development.
- SIA behaves in the same manner as an EIA – identify and manage risks and impacts throughout project lifecycle.
 - “the aim of the SIA is to identify the human consequences of a proposed action, giving particular attention to the mitigation of adverse or unintended impacts”.
- SIA approach follows approximately the steps of the EIA process.

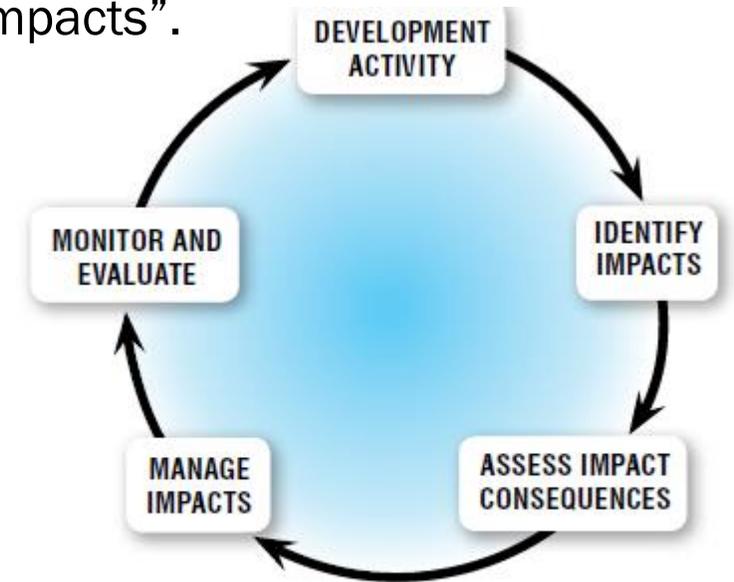
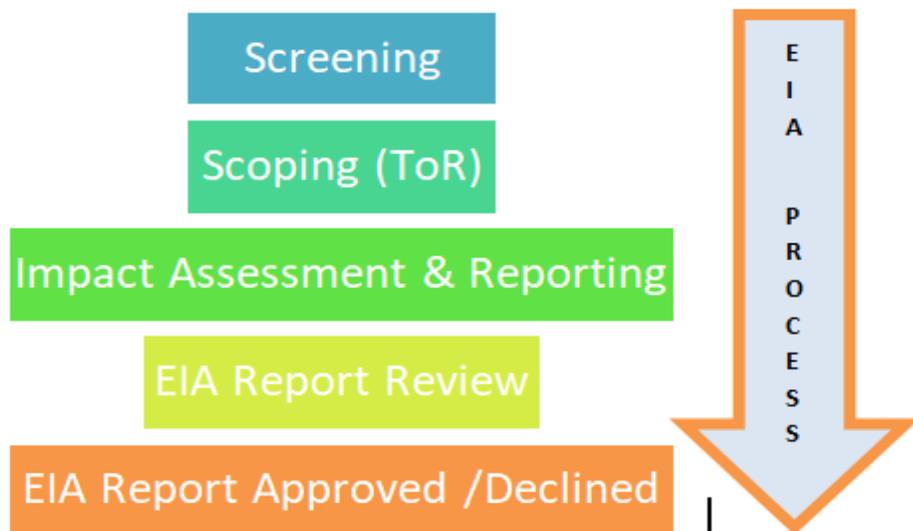
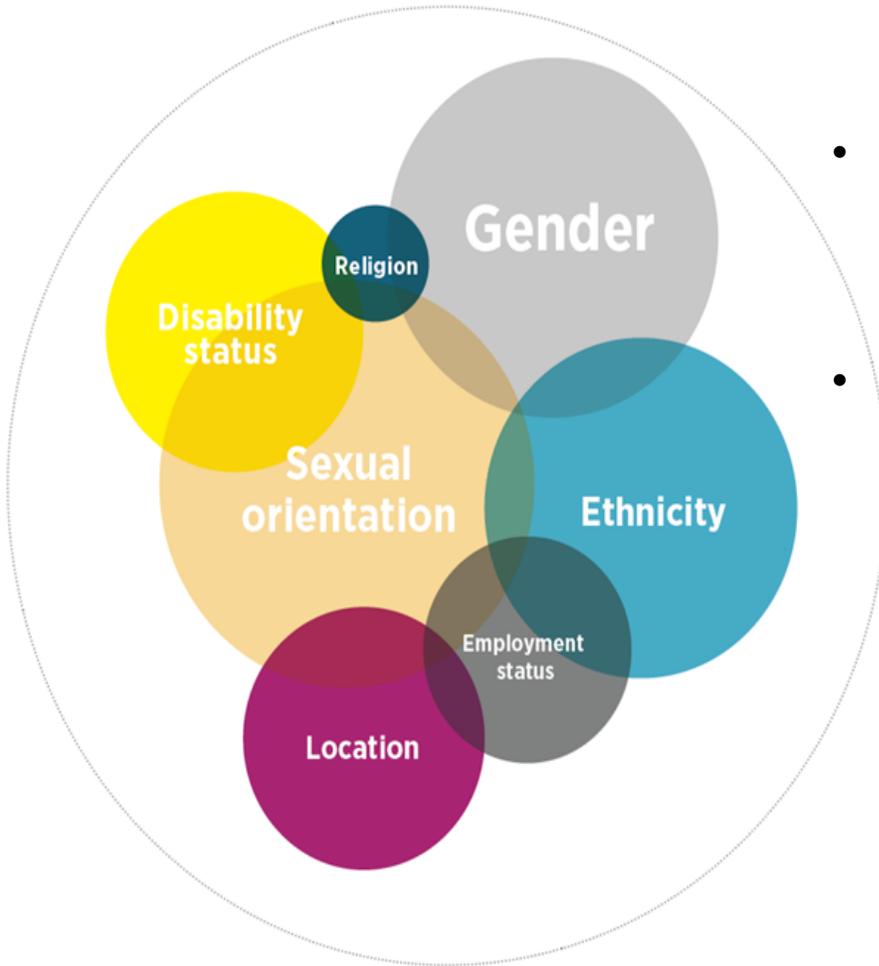


FIGURE 5 The EIA process should be seen as part of a larger project management cycle.

PACIFIC ISLAND SOCIETIES



- Societies consist of **people** and their **circumstances and characteristics** that make them unique from one country to another.
- Proposed actions that change the way **people live, relate to one another, organize themselves, and function** as individuals and members of society are considered as social impacts.
- This also includes **social-psychological changes** such as people's values, attitudes and perceptions of themselves and their community and environment.



PRINCIPLES OF SIA GOOD PRACTICE

1. **Inclusive:** involve the diverse public.
 2. **Analyze** Impact Equity.
 3. **Identify** methods and assumptions and define significance.
 4. **Provide feedback** on Social Impacts to project planners/decision-makers throughout the project's lifecycle.
 5. **Use** qualified and experienced SIA practitioners.
 6. **Establish** monitoring and mitigation programmes.
 7. **Identify** data sources.
 8. **Plan** for gaps in data.
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SOCIAL STRUCTURES AND INSTITUTIONS

1. **Formal Organizations** and rules.
 2. **Informal Institutions.**
 3. **Culture:** value systems and norms.
 4. **Relationships** and personal loyalties
 5. **Decision-making** process.
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TYPES OF SOCIAL IMPACT

1. **Lifestyle** – behavior and relationships.
 2. **Cultural** – customs, values and religious beliefs.
 3. **Community** – infrastructure, services and networks.
 4. **Amenity/Quality of Life** – sense of security, livability and futurity.
 5. **Health** – mental and physical well being.
 6. **Physical Impacts** – land, built environment (i.e construction activities)
 7. **Economic** – job opportunities = improved income,
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GOOD PRACTICE IN MITIGATION AND MANAGEMENT

1. **Identify** mitigation measures for each social impact.
 2. **Customize** them to different groups affected.
 3. **Give priority** to avoiding social impacts, then minimize them as far as practicable.
 4. **Use compensation** as last resort.
 5. **Ensure impacts** are not borne disproportionately by one group.
 6. **No one should be worse off than before.**
 7. **Treat** relocation / resettlement as a **special case** (ESS 5 – Module 7).
 8. **Livelihood** of those displaced should be improved.
 9. **Enhance** benefits for local people through job training and development packages.
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QUESTIONS OR COMMENTS?



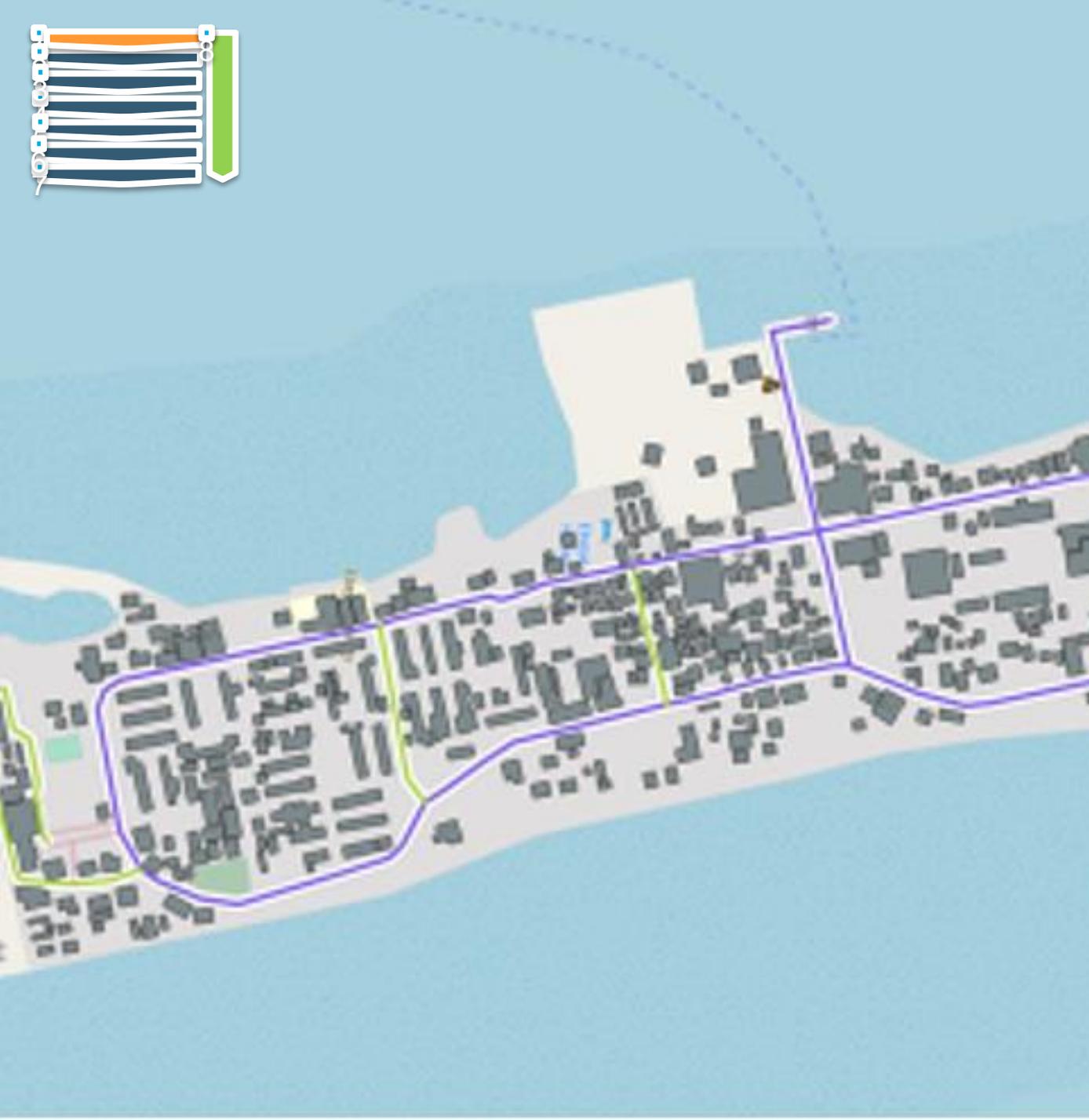
HOW DOES THIS ALL HAPPEN IN PRACTICE?

- Step by step process
- Methodologies and useful tools
- Reporting and monitoring
- Tip for reviewing social assessments



SOCIAL ASSESSMENT PROCESS





UNDERSTAND THE PROJECT

- Really get to know what's proposed
 - Program or project level
 - Objectives and activities
 - **Need to interrogate technical description and speak to designers and project managers**
 - What will be built? Where?
 - What is around the site/s? Community, cultural sites, protected areas, schools, hospitals...
 - Who owns the land?
 - When will works take place?
 - Where will materials come from and how will they be moved around?
 - How many people will be involved? Where will they be from and where will they stay?



Local workers where possible; external workers live in local area

New high speed cable to impact access to internet. 6 months construction

Special equipment needed to install cable

In operation, internet brings positive (employment) and negatives (online harassment)

THE PROJECT

LEGAL BASIS FOR ASSESSMENT...



- Covered in Module 2
- Different in each country- provide a summary in the impact assessment
- Environmental assessment may be more prominent and social
- Best practice is to integrate environmental and social assessment (and sometimes health). Lots of acronyms!

ESIA
social
health Environment
assessment
assessment health environmental
SIA social EIA
ESHIA social impact
impact

BASELINE- WHAT IS IT?



- Current situation
- Define area of influence- where will things happen?
 - Could be national or local
 - Usually goes beyond project footprint eg sourcing construction materials
- Start considering stakeholders now...

BASELINE- INFORMATION REQUIRED AND HOW TO COLLECT IT?



What to collect- will depend on project

- **Be focused and understand how information will be used!**
- Relevant demographics by gender
- Livelihood, income and skills
- Cultural heritage and ethnicity
- Indigenous groups?
- Cultural groups and systems
- Land ownership and tenure systems
- Services and infrastructure (health, education, recreation etc)
- Labor and working conditions
- Gender based violence

How to collect- will depend on project

- Qualitative and quantitative
- Secondary sources eg census, Government statistics
- Previous studies, academic reports
- Maps, photos, aerial footage
- **Discussion with community leaders or subject experts (key informants)**
- **Focus group discussions or community meeting**
- **Survey or questionnaire**
- **Participatory planning exercise**
- **Engagement with stakeholders starts here...**





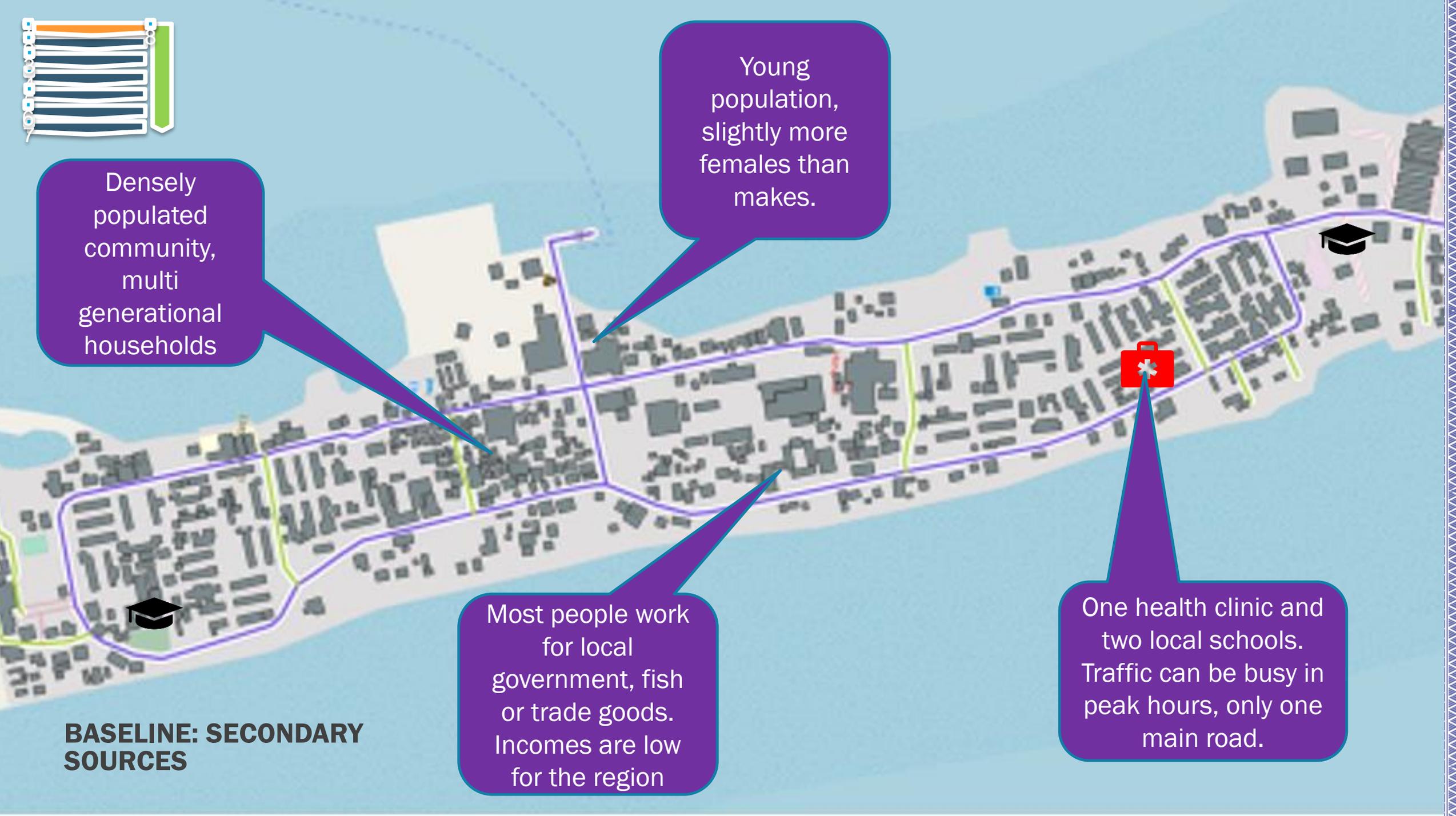
Densely populated community, multi generational households

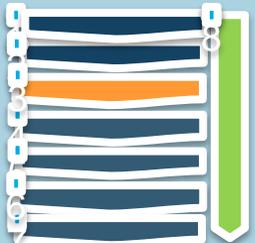
Young population, slightly more females than males.

Most people work for local government, fish or trade goods. Incomes are low for the region

One health clinic and two local schools. Traffic can be busy in peak hours, only one main road.

BASELINE: SECONDARY SOURCES



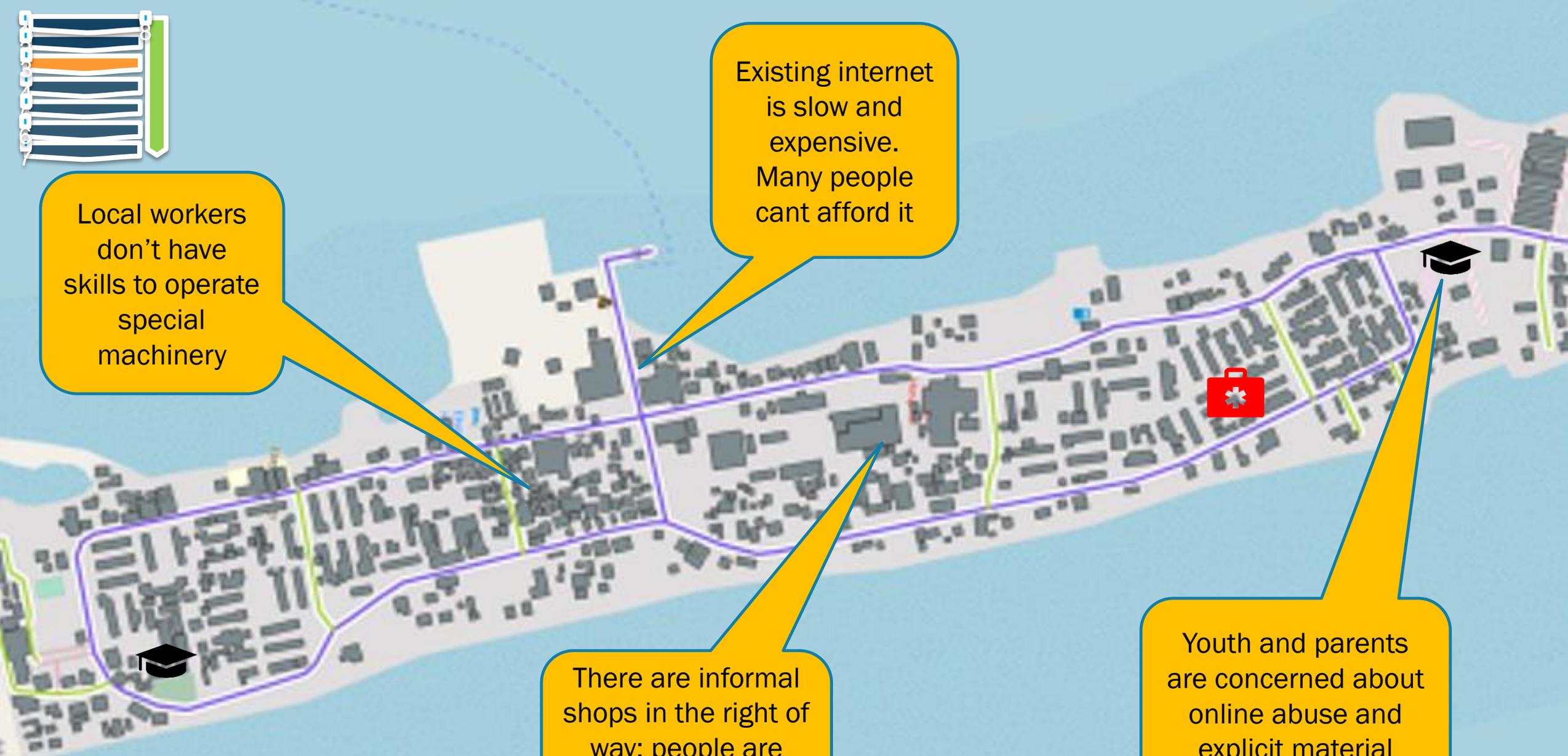


Local workers don't have skills to operate special machinery

Existing internet is slow and expensive. Many people can't afford it

There are informal shops in the right of way; people are dependent for their livelihood.

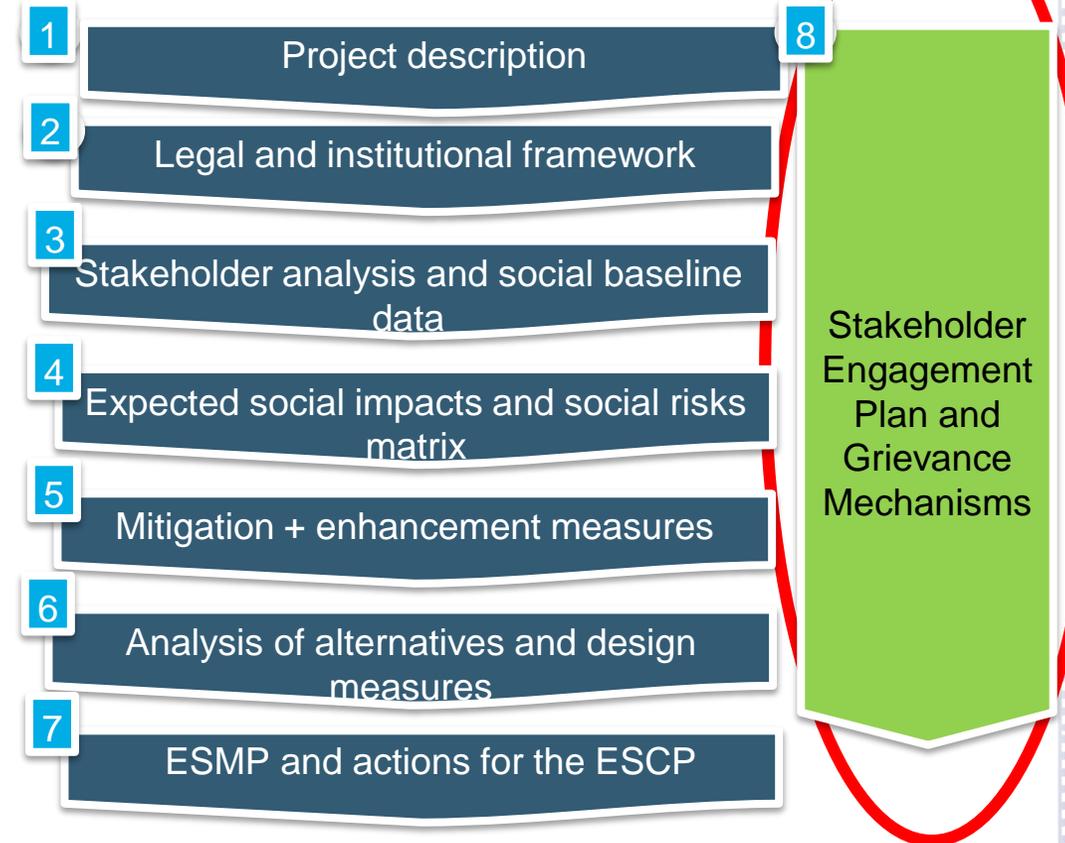
Youth and parents are concerned about online abuse and explicit material



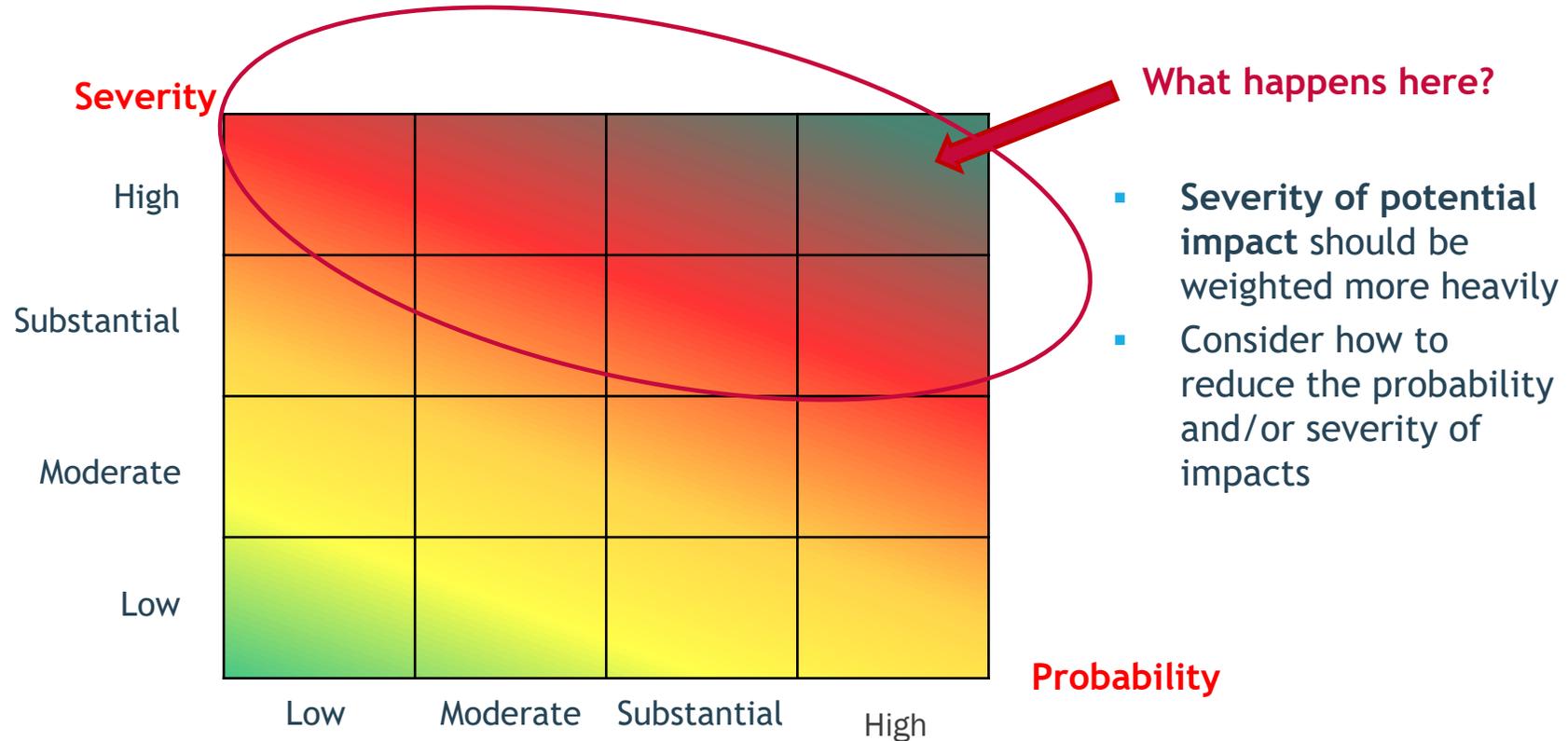
BASELINE: WITH STAKEHOLDER INPUT

STAKEHOLDER ENGAGEMENT

- Fundamental to **social impact assessment** and throughout project **implementation**
- Already covered in Module 3 and will also be addressed in Module 5
- Wont happen by accident- needs to be planned
- Make sure you consider stakeholder needs including **vulnerable groups**
- Prepare stakeholder engagement plan (come along to Module 5 to learn more!)



ASSESSING IMPACTS



EXAMPLE SOCIAL IMPACTS AND MITIGATION MEASURES

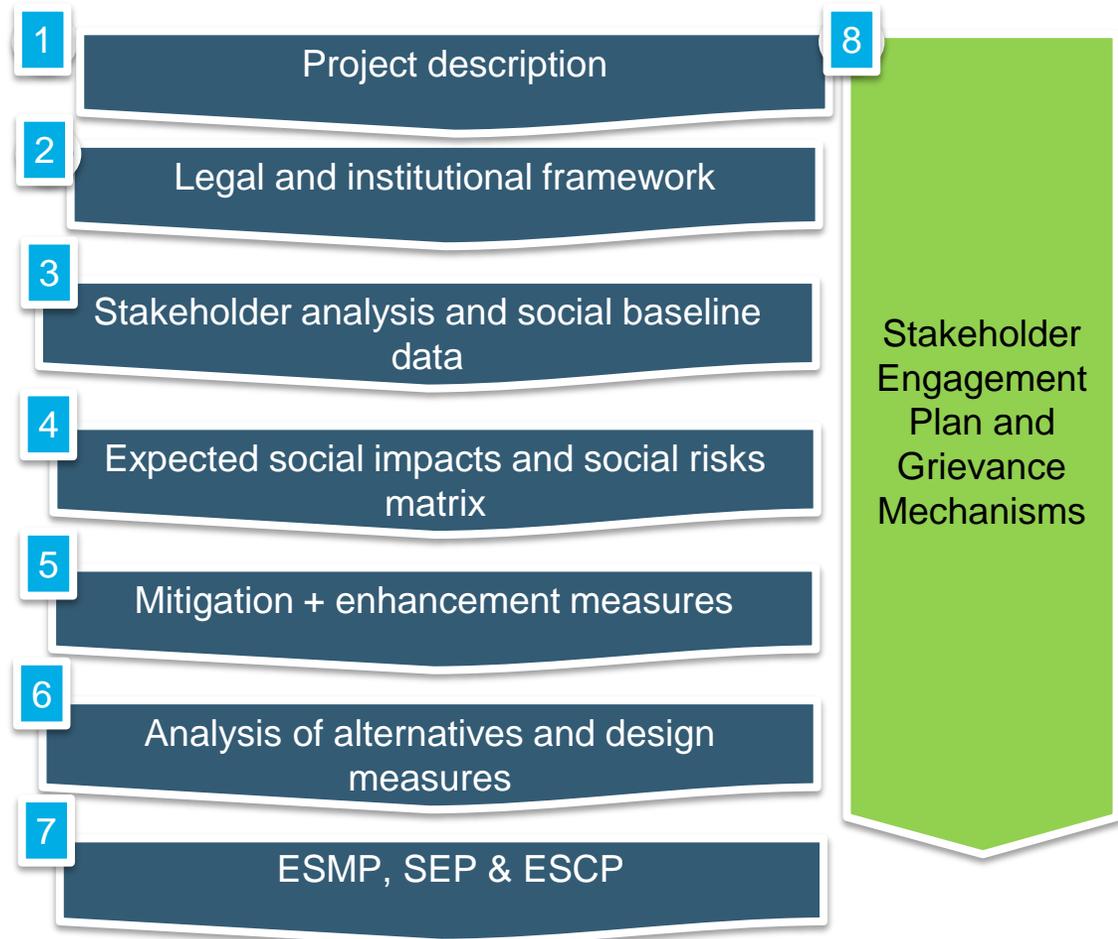
Social impacts	Mitigation
Construction impacts eg noise, dust, traffic	Construction management plans to manage; more careful management around schools and clinic
Limited employment opportunities due to lack of skills. Community expectations not met	Training program; maximise non technical opportunities for local workers
Potential for online harassment; increased risk for vulnerable groups (<u>young girls</u>)	New legislation to allow prosecution; information campaign to encourage good practices
Need to relocate shops in right of way	Prepare resettlement plan; implement before construction
High cost of internet may limit benefits being realized; some may not be able to afford likely price rise	Subsidized costs for vulnerable groups; clear communication of costs
Presence of external workforce living in local community; temporary renting of all available accommodation; potential for conflict between workers and local community;	Code of conduct for workers; sharing employment process with local community; use of local shops and services brings increased income (short term); ensure grievance mechanism available

EXAMPLE SOCIAL IMPACTS AND MITIGATION MEASURES

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 Presence of external workforce living in local community; temporary renting of all available accommodation; potential for conflict between workers and local community;	Code of conduct and cultural training for workers; sharing employment process with local community; ensure grievance mechanism available; benefit some through renting accommodation  
  Improved access to internet	Increased access to information, skills, employment  

REPORTING & DISCLOSURE

- Report on process and findings
- Culmination of effort and understanding
- For a World Bank Project usually includes:
 - Environmental and social assessment
 - Environmental and social commitment plan (ESCP)
 - Stakeholder engagement plan (SEP)
 - Resettlement plan (come to Module 7!)
 - Disclose all documents publically



REVIEWING A STAKEHOLDER ANALYSIS AND SOCIAL BASELINE DATA

- Which communities are present in the project area of impact and influence?
- Who are the project-affected and interested groups (stakeholder mapping)?
- Have the results of the public consultations been considered and reported?
- Is the baseline concise and focused?
- Does it reference key aspects: socio-demographic, cultural and economic conditions, poverty and social vulnerability, institutional capacity?
- Does it include key indicators for M&E?
- Are sources of information only secondary, or is there are also primary data? Is the data reliable? What are the key data gaps?

REVIEWING ANALYSIS AND ASSESSMENT OF IMPACTS

- Have social mitigation and benefit enhancement measures been **clearly defined**? Are they reflected in operational language and clear commitments?
- Is there a **clear and logical consistency** between social risks and impacts and proposed mitigation and enhancement measures?
- Is there a comparison of **feasible alternatives to the project**?
- Has the **mitigation hierarchy** been applied? Have potential adverse social impacts been avoided, reduced or mitigated?
- Have residual impacts been summarized and analyzed for their significance?

REVIEWING MITIGATION, STAKEHOLDER ENGAGEMENT AND GRIEVANCE MECHANISMS

- Does the ESMP include clear mitigation and enhancement measures and actions to address expected impacts during the project's construction and operation?
- Does it include monitoring objectives and indicators? Capacity development and training activities? Implementation schedules and cost estimates?
- Is there a clear linkage and consistency between the project's SA and SEP?
- Have Grievance Mechanisms proportionate to project risk and complexity been included?
- Have the results of public consultations been included in the disclosed version of the SA?



QUESTIONS OR COMMENTS?





NEXT SESSIONS:

**MODULE 5: PRACTICAL STAKEHOLDER ENGAGEMENT WEDNESDAY 25
NOVEMBER**

MODULE 6: GRIEVANCE MECHANISM THURSDAY 26 NOVEMBER

