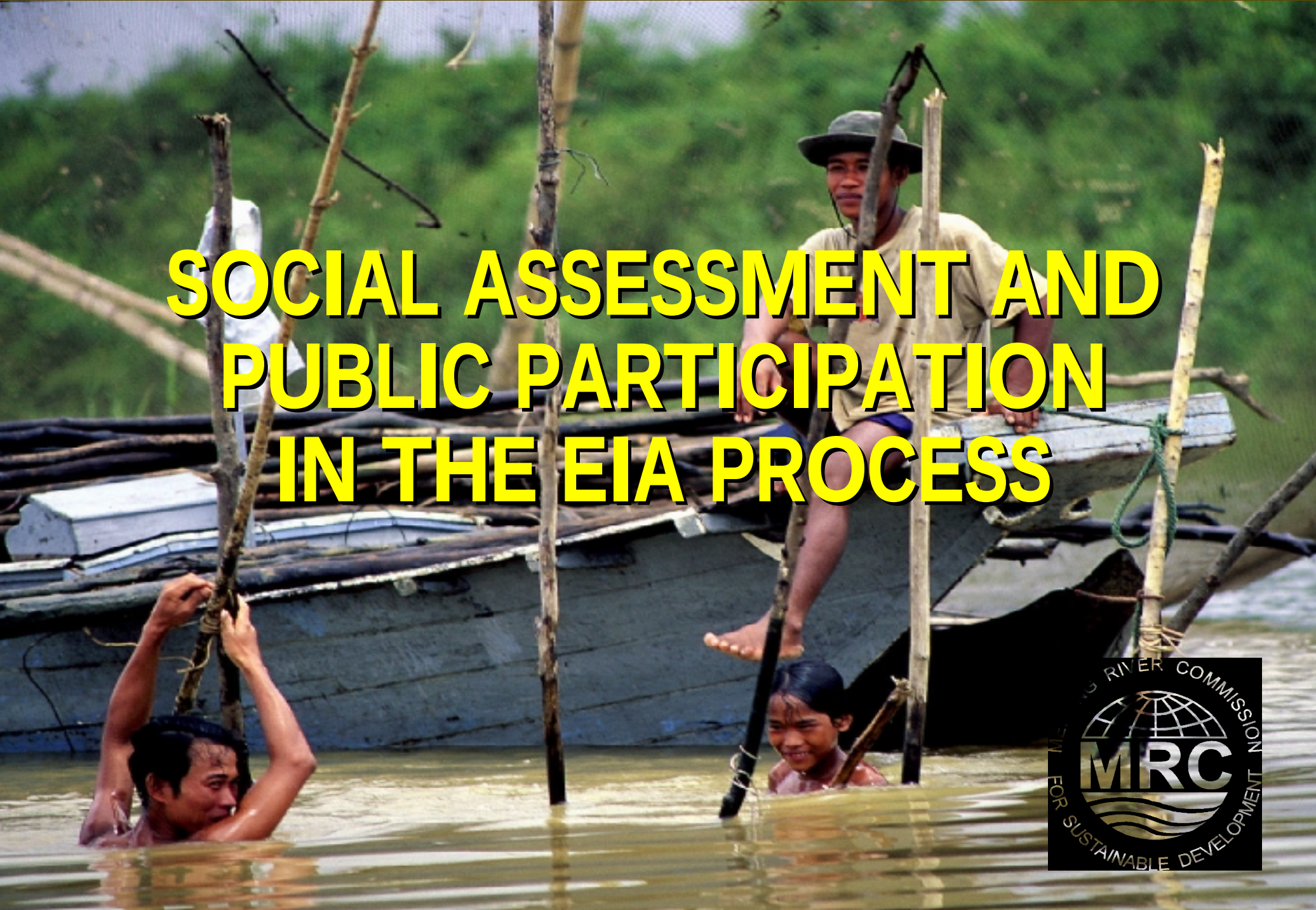


SOCIAL ASSESSMENT AND PUBLIC PARTICIPATION IN THE EIA PROCESS

MRC
RIVER COMMISSION
FOR SUSTAINABLE DEVELOPMENT

Lesson Learning Goals

At the end of this lesson you should be able to:

- Discuss the need to incorporate social dimensions into assessment of development projects and activities
- Describe types of projects which require socio-economic impact assessment (SIA)
- Detail the major steps in SIA and rapid rural appraisal (RRA)
- Identify advantages of public participation in environmental impact assessment (EIA)

Definition of Social Impacts

- Alteration of the ways in which people live, work, play, relate to one another, organize to meet their needs, and generally cope as members of society
- Cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize people's cognition of themselves and their society

Purpose of Socio-Economic Impact Assessment

To optimize the economic-cum-environmental potential of the project with respect to socio-economic parameters

SIA Principles

- Involve the diverse public: identify and involve all potentially-affected groups and individuals
- Analyze impact equity: clearly identify who will win and who will lose and emphasize vulnerability of under-represented groups
- Focus the assessment: deal with issues and public concerns that ‘really count’, not those that are ‘easy to count’

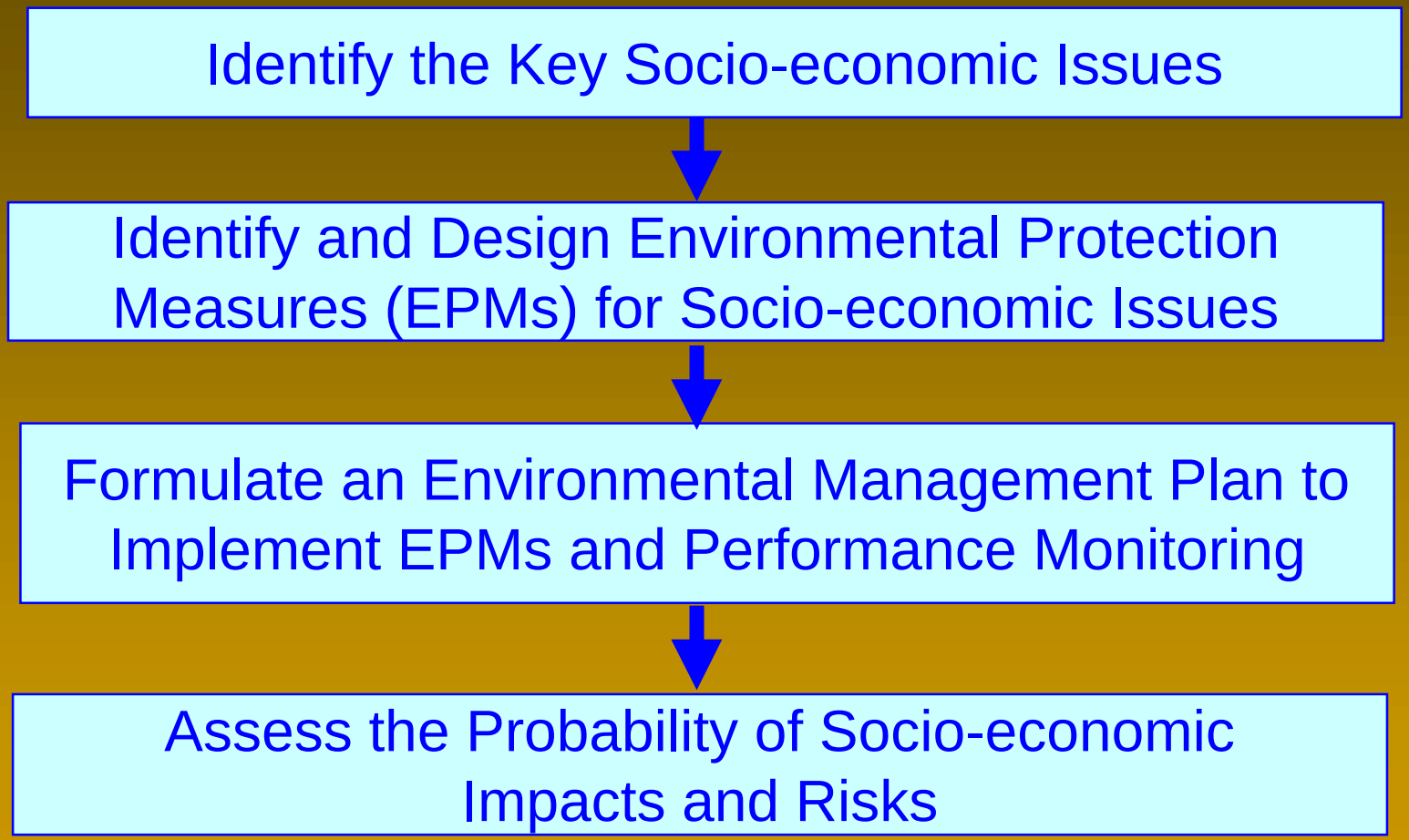
SIA Principles (Cont'd)

- Identify methods and assumptions and define significance in advance: define how the SIA was conducted, what assumptions were used, and how significance was determined
- Provide feedback on social impacts to project planners: identify problems that could be solved with changes to the proposed action or alternatives

SIA Principles (Cont'd)

- Use SIA practitioners: trained scientists employing accepted methods will provide the best results
- Establish monitoring and mitigation programs: manage uncertainty by monitoring and mitigating adverse impacts
- Identify data sources: use published scientific literature, secondary data, and primary data from the affected area
- Plan for gaps in data

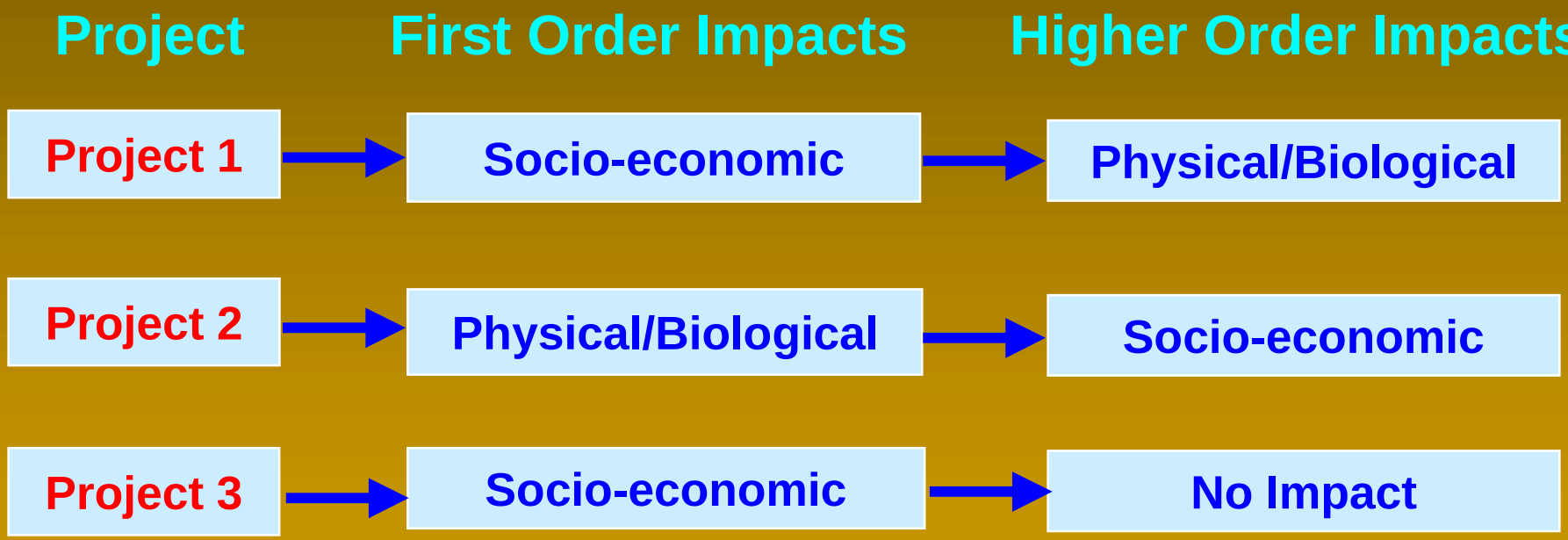
SIA Objectives



Projects Which Require SIA

- Projects that have the potential to result in negative impacts to members of a community
  - Potentially-affected community members must be involved in evaluating project desirability and designing mitigative measures
- Projects that have a socio-economic benefit to members of a community
  - SIA is required to ensure that the project's desired effects will be realized by the target population

Relationship Between Bio-Physical and Socio-Economic Impacts



Similarities Between EIA and SIA

- Desirability
- Scale
- Extent/duration of impacts in time and space
- Intensity
- Cumulative
- Synergistic
- Uncertainty

Areas of Special Concern for SIA

- Socio-economic issues in ecologically sensitive areas
  - Forest areas
  - Coastal areas
  - Rangelands
- Indigenous peoples' areas
- New land settlements
  - Planned agricultural settlement
  - Spontaneous agricultural settlement
  - Induced developments

SIA Approaches and Methodologies

Two widely-applied approaches:

- The Social Design Study - Asian Development Bank (ADB) approach
- Land Acquisition and Resettlement Plans - World Bank approach
- Both approaches are generally similar in scope and intent; more comprehensive ADB approach is profiled for illustrative purposes

Social Design Flowchart

Project Screening
Classify project by expected Social Impact

Rapid Social Assessment

1. Identify subpopulations & non-targeted populations
2. Rate level of development of subpopulations
3. Assess target population's need for project
4. Assess absorptive capacity of subpopulations
5. Interpret results of Rapid Social Assessment

Social Design Study

1. Integrate target population priorities and preferences
2. Develop strategies to maximize absorptive capacity
3. Select appropriate technical options
4. Develop implementation strategies
5. Project assessment

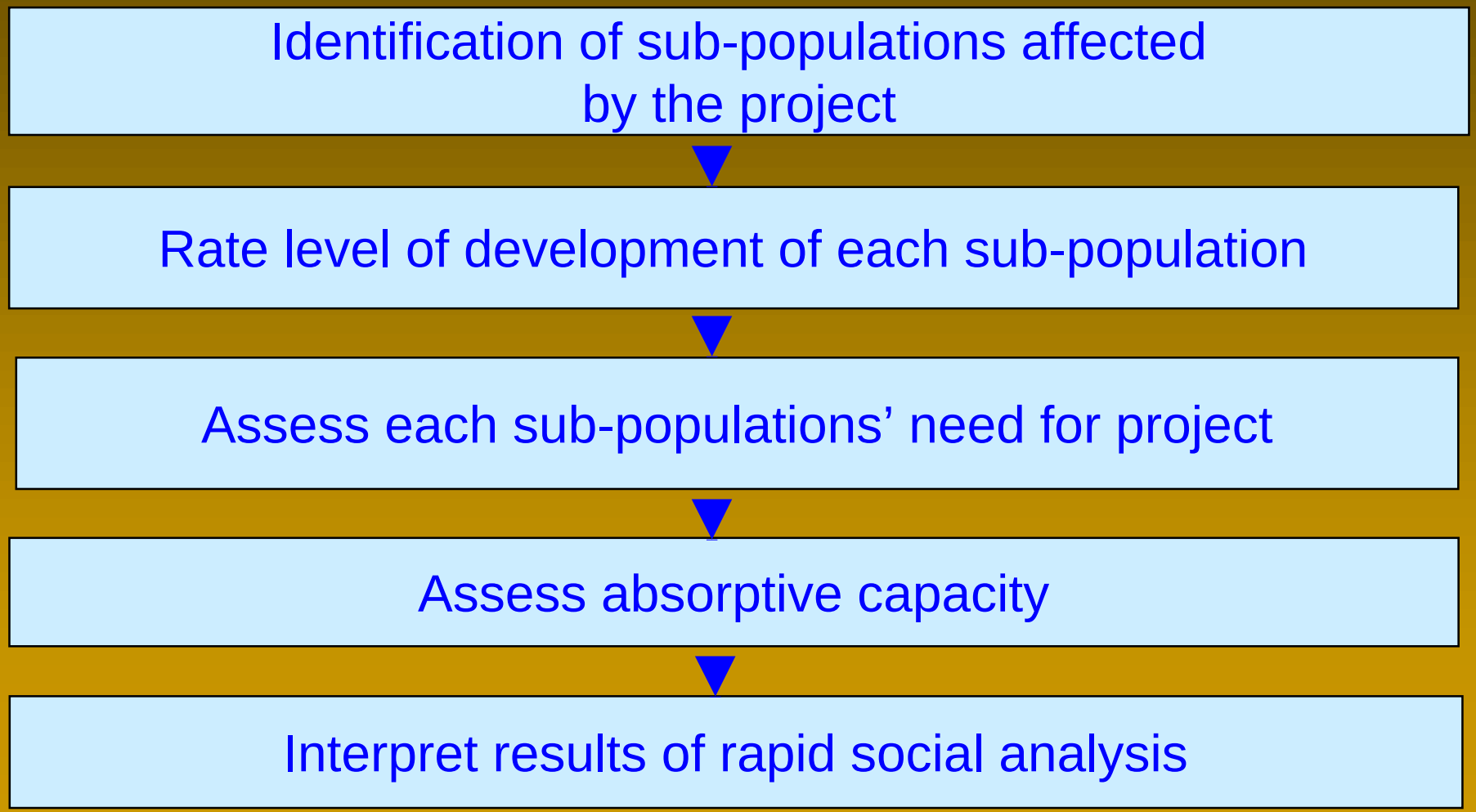
Project Screening

Category	Classification
SI 1	Projects whose primary objective is to have a positive impact in the form of poverty alleviation; almost always require active participation by project beneficiaries.
SI 2	Projects which are expected to have a direct positive social impact (e.g., rural and agricultural development, social infrastructure project); require active participation by project beneficiaries.

Project Screening (Cont'd)

Category	Classification
SI 3	Projects that rarely have immediate direct positive or negative social impacts (e.g., energy and industrial projects); can be executed and sustained without participation by project beneficiaries.
SI 4	Projects with the potential for direct negative impacts on the lives of a significant number of people, or any project with a resettlement component (e.g., dams, highways, airports).

Rapid Social Assessment



Rapid Rural Appraisal

A qualitative survey methodology using a multi-disciplinary team to formulate problems for rural research and development

RRA Principles and Practices

- Optimize trade-offs (e.g., optimal ignorance, appropriate imprecision)
- Offsetting biases
- Triangulation
- Direct face-to-face learning from rural people
- Adaptive learning process (i.e., flexible, interactive, iterative, inventive)

RRA Methods

- Secondary data review
- Direct observation
- Do-it-yourself
- Key indicators
- Semi-structured interviews
- Key informants
- Group interviews
- Chain of interviews
- Transects and group walks

RRA Methods (Cont'd)

- Mapping and aerial photos
- Diagrams
- Ranking, stratifying and quantification
- Ethno-histories
- Stories, portraits, case studies
- Team interactions
- Key probes
- Questionnaires

Rating Level for Sub-Populations

Level	Classification
High	Those who own surplus-producing land; have spacious housing and access to institutional credit, primary and secondary education, health services; and may have political power
Medium	Small farmers who produce negligible or small surpluses; they have modest housing and limited access to the services listed above
Low	Marginal farmers or the landless; their income is derived from low paid casual labor; they have no access to formal credit and little or no access to education and health services

Assessing Each Sub-Population's Need for Project

Level	Classification
High	Strong and spontaneous expressions of need related to the potential benefits of the project; willingness to be involved and to contribute
Medium	Some expressed interest and need related to the potential benefits of the project, but not as a first priority; limited willingness to contribute
Low	Preoccupation with development problems other than those addressed by the project; little likelihood of contributing

Assessing Each Sub-Population's Absorptive Capacity

Level	Classification
High	Homogeneous society; positive loan record; active local organizations; positive links with government agencies; technically innovative
Medium	Some social stratification; mixed success with past development programs; lifeless local organizations; moderate links with governmental agencies; technically static
Low	Social stratification and disunity; poor record with past development programs; no local organizations; minimal links with government agencies; technically backward

Interpreting Results

Where all of the following conditions prevail:

- No negative impact
- High level of need
- High absorptive capacity

No social design study is required

Interpreting Results (Cont'd)

Where any of the following conditions prevail:

- Limitations in need
- Defects in absorptive capacity
- Potential negative impacts for some sub-populations -

Social design study is required

Interpreting Results (Cont'd)

Where there are:

- ➔ High levels of potential negative impacts
- ➔ Significant opposition
- ➔ Major limitations to absorptive capacity

Relocation, rethinking of project concept

Social Design Study

Optimize Project Design

1. Integrate Target Population Priorities and Preferences
2. Develop Strategies to Maximize Absorptive Capacity
3. Select Appropriate Technical Options

Develop Implementation Strategies

Project Assessment (including risks)

Optimizing Project Design

1. Examine project alternatives (e.g., design, timing, size, technology, location) in terms of target population's priorities and absorptive capacity
2. Integrate target population priorities and preferences into the project:
   - » Rank project on target population priority list
   - » Estimate number of people expected to participate in project
   - » Calculate trade-offs between project alternatives in terms of sub-populations and number of beneficiaries

Optimizing Project Design (Cont'd)

3. Identify steps for maximizing absorptive capacity
   - » Accommodate existing social infrastructure
   - » Strengthen local community organizations
   - » Establish linkages between executive agency and target populations
4. Select appropriate technical options

Developing Appropriate Implementation Strategies

1. Identify and recommend changes to legislation that does not provide incentives to beneficiaries with regard to:
   - » Land tenure problems
   - » Legal problems
   - » Financial problems (e.g., access to credit)

Developing Appropriate Implementation Strategies (Cont'd)

2. Create appropriate management structure
   - » Select staff with awareness of socio-economic issues
   - » Train key government personnel in socio-economic community development techniques
   - » Involve NGOs in project execution
3. Ensure implementation schedule meets beneficiaries needs
   - » Phase in technology, training programs, institutional strengthening, etc.

Social Design Study Benefits for Project Assessment

1. Economic Analysis
   - » Improve project cost effectiveness by facilitating efficient distribution of benefits
   - » Increase project sustainability and long-term benefits
   - » Project costs may be considered long-term community investments
2. Financial Analysis
   - » Improve project cost recovery by increasing community satisfaction and willingness to pay for project benefits

Social Design Study Benefits for Project Assessment (Cont'd)

3. Risk Assessment - reviews and minimizes potential issues and problems
   - » Inadequate consideration of project's social impacts
   - » Lack of cooperation between executing agency and target group
   - » Monopolization of benefits by non-target groups
   - » Unintended negative impacts on target or non-target groups

Social Design Study Monitoring Program

1. Key Questions
   - » Are tangible project outputs reaching intended beneficiaries?
   - » What are the impacts on intended beneficiaries?
   - » Are project operations sustainable over the long term?

Social Design Study Monitoring Program (Cont'd)

2. Monitoring
   - » Executing government agencies
   - » Community organizations
   - » Population sub-groups
3. Actions
   - » Enforce agreements reached through social design study
   - » Modify ETPs so they will attain their objectives

What is Public Involvement?

The process by which the views of all interested parties concerning a proposed project or activity are integrated into the decision-making process

Why is Public Involvement Needed?

- Inform stakeholders
- Present views, concerns and values
- Maximize benefits
- Influence project design
- Obtain local knowledge
- Increase public confidence
- Provide better transparency and accountability in decision making
- Reduce conflict

When is Public Involvement Needed?

- A development-related decision requires making choices between important social, environmental and economic values
- The results of a decision will significantly affect the interests of some people or groups more than others
- The public perceives it has a lot to win or lose by a decision

Who is the Public?

- The public consists of many different segments (i.e., it is not just one collective entity)
- These publics change for each issue
- Person or groups being directly or indirectly affected by a proposed project or activity or government development-related decision, or have potential to be affected

Who is the Public? (Cont'd)

- Persons or groups who have an interest or concern or stake in an issue or a project
- Typical stakeholders include:
  - local communities
  - proponent and project beneficiaries
  - government agencies
  - non government organizations (NGOs)
  - others (e.g., donors, academics, the private sector)

Principles of Effective Public Participation

- The process must be credible
  - support by all relevant governmental agencies; accepted as the 'way of doing business'
  - appropriate representation; venues and times are compatible with participant's needs
  - open communication/adequate time is given to express views
  - concerns are acknowledged and effort devoted towards developing a workable solution
  - public is adequately informed (e.g., background information is understandable and timely)

Principles of Effective Public Participation (Cont'd)

- The process must be impartial
  - neutral process management
  - consideration of all values
  - access to information is equally available to all participants
- The process is as important as the outcome
- The process should be planned

Public Involvement Approaches

Least Public Involvement

Most Public Involvement

Persuasion

Education

Information Feedback

Consultation

Joint Planning

Delegated Authority

Self Determination

Public Involvement Techniques

- Advertising
- Newspaper inserts
- Briefs
- Focus Groups
- Public Meetings/Public Hearings
- Conferences
- Workshops/Problem-Solving Meetings
- Advisory Groups/Task Forces
- Joint Working Groups
- Self-Directed Groups

Selecting Techniques

- No one single best technique; any one of a number of techniques may be appropriate
- Technique selection depends on objectives
- Technique effectiveness depends on assessor's expertise and commitment
- Advisable to use several techniques; different techniques will reach different groups or peoples and accomplish different objectives

External Factors Affecting the Effectiveness of Public Involvement

- Poverty
- Rural settings
- Illiteracy
- Culture/local values
- Languages
- Legal systems
- Interest groups
- Confidentiality

Common Reasons for Avoiding Public Involvement

- It's too early
- It will take too long and will cost too much
- It will stir up opposition
- We will only hear from the articulate
- We'll raise expectations
- People won't understand

Concluding Thoughts

Important points to remember are:

- Social assessment encompasses a variety of processes and procedures for incorporating social dimensions into the decision-making process
- Effective social analysis and public consultation ensures that external concerns are properly understood and that inputs provided influence project design and overall approval of proposed projects and activities