SESSION 7:
SOCIAL IMPACT ASSESSMENT

Maputo, Mozambique ▪ May 2018
SESSION LEARNING OBJECTIVES

• Discuss social impacts in the context of USAID assessments
• Provide an overview of social impact assessment
• Learn how the social impact assessment relates to the environmental impact assessment process
• Consider gender issues
• Examine RAPs and land tenure issues.
WHAT ARE SOCIAL IMPACTS?

• Social impacts are any effect that an action or activity has on:
  – How people live, work, play, relate to one another, organize to meet their needs, use bio-physical resources, and function as individuals and society
  – Culture, including changes to the norms, values, and beliefs of a society

• We’ve all encountered adverse social impacts in development activities:
## Adverse Social Impacts, Examples

| Resettlement | Increased inequality in community | Increased migration |
| Disturbance of cultural or historic sites | Restricted access to community resources | Increased noise or light pollution |
| Exacerbate land tenure conflicts or violence | Loss of land use for customary practices | Increased risk of death/injury due to construction, traffic patterns |
| Human trafficking, increase in STDs, other social impacts from worker camps | Occupational hazards | Other? |
Drivers of Social Impacts

- Demographic change
- Environmental change
- Economic change
- Institutional change

Social Impacts
WHY DOES USAID CONSIDER SOCIAL IMPACTS?

• Because we MUST, it’s a **legal mandate**
  - NEPA
  - CEQ 1508
  - 22 CFR 216
  - …resulting in formal USAID policies, guidance, and MANDATORY procedures (e.g., ADS chapters)

• AND because we SHOULD, it’s international best practice
  - Multilateral development bank safeguards
  - IFC Performance Standards
A QUICK LOOK AT THE LEGAL MANDATES

• NEPA requires federal agencies to take a hard look at economic and social consequences of their actions...and review actions potentially significantly affecting the quality of the human environment.

• Section 1508.14 of the CEQ Regulations

• 22 CFR 216:
  – requires social impact analysis for EAs and any activity involving pesticides
  – social impacts that result from impacts to the biophysical environment can be a basis for a finding that the biophysical impact is significant
USAID’S AUTOMATED DIRECTIVES SYSTEM

• ADS 204 Environmental Procedures

• ADS 205, Integrating Gender Equality and Female Empowerment in USAID’s Program Cycle
International donors (e.g., MDBs) and some USG entities require the integration of **social safeguards** through the application and use of **Social Impact Assessments**

**Social Safeguards**

Specific policies for identifying and addressing impacts

**Social Impact Assessment**

An umbrella framework for analyzing, monitoring, and managing the social consequences of development
SOCIAL SAFEGUARD THEMATIC AREAS

1. Cultural Resources
2. Disabilities
3. Environment
4. Environmental Justice
5. Gender
6. Health and Safety
7. Human Rights
8. Indigenous Peoples (i.e., tribal populations)
9. Labor
10. Land, property and resource rights
11. LGBT Rights
12. Social Impacts
13. Socio-economic
14. Youth
### MDBs AND SOCIAL SAFEGUARDS

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* MDBs do not have explicit policies or safeguards on LGBT issues; safeguards are generally found in human rights charters and rest on two fundamental principles of international human rights law: equality and non-discrimination.

** Not specifically researched, but generally these topics are covered under social-discrimination and labor.
# USG AND SOCIAL SAFEGUARDS

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USAID AND SOCIAL SAFEGUARDS

• In 2016 USAID commissioned systematic review of how USAID integrates social safeguards into its policies, regulations, and specific guidance documents.

• Findings: 13 of the 14 thematic areas are addressed in USAID policies and guidance.
  – Environmental Justice not yet addressed.

• Assessment outputs: a website with links to relevant USAID visions, strategies, and policies; resources; and tools: http://www.usaidgems.org/socialSectorAnalyses.htm
USAID VISIONS, STRATEGIES, AND POLICIES

• Disabilities

• Gender
  – Gender Equality and Female Empowerment Policy (2012)
  – ADS Chapter 205, Integrating Gender Equality and Female Empowerment in USAID’s Program Cycle (Partially revised 2013. Effective date 2012)

• Health and Safety/Human Rights
  – USAID Global Health Vision FY 2012-2016
  – ADS Chapter 204, Environmental Procedures (Partially revised 2013. Effective date 2006)

• Indigenous Peoples
  – ADS Chapter 204, draft revision
  – Individual policy and guidance paper is in development

• Land, Property, and Resource Rights

• Lesbian, Gay, Bisexual, and Transgender

• Youth
  – USAID Youth Policy: Youth in Development: Recognizing the Demographic Opportunity (2012)
  – ADS Chapter 201, Introduction to Programming Policy

• Social Soundness
  – ADS Mandatory Reference (2014)
USAID’S SOCIAL IMPACT ASSESSMENT PROCESS

• Social impacts are considered in Reg 216 analyses and documentation (e.g., IEEs, EAs)
  – Apart from Gender Analyses, USAID does NOT develop separate Social Impact Assessment documentation

• Identification and consideration of social impacts occurs on the same timeline as environmental impacts
  – Starts in project design and continues throughout life-of-project

• Social impacts receive a threshold determination, are mitigated through implementation of an EMMP, and are monitored throughout the life-of-project
SCREENING OF SOCIAL IMPACTS

USAID’s EIA Tool → EIA Checklist with screening questions
   – Starting point, NOT a comprehensive list

1. Will actions require temporary or permanent human resettlement?
2. Will actions have the potential to cause social issues or exacerbate those already existing?
3. Are there cultural or historic sites located at or near the site?
4. Will actions affect sensitive receptors of visual, auditory, traffic, or other impacts, such as schools, cultural institutions, churches, and residences; or affect any practice of religion (e.g., by impeding access to a place of worship)?
5. Are there unique ethnic or traditional cultures or values present at or associated with the site?
SCREENING OF SOCIAL IMPACTS

6. Will any villages or towns be directly affected by the project? Are any such settlements located within a 5-km radius of the project site/sites?

7. Are any dispersed rural households located on the site or adjacent to it (within a 1-km radius)?

8. Will pastoralists, indigenous peoples, or other local people be affected? For example, via the action, will their lands no longer be usable in traditional, customary ways? Will their land or natural resource rights (including customary or temporary tenure systems) be infringed upon in any way?
SCREENING OF SOCIAL IMPACTS

9. How do impacts vary between gender? Will the activity disproportionately impact one gender versus the other?

10. What are the potential impacts on existing land tenure arrangements (whether formal or informal)? Could the action worsen existing land tenure conflicts or violence in the area?

11. Will actions, e.g., construction, refurbishment, demolition, or blasting, result in increased noise or light pollution that could adversely affect the natural or human environment?
METHODS OF SOCIAL IMPACT ASSESSMENT

• Stakeholder engagement!
  – Semi-structured interviews
  – Focus group meetings
  – Village/community meetings
  – Other participatory methods

• Participant observation

• Secondary data review

• Small-scale data collection
GENDER ANALYSIS IS INTEGRAL

How does Gender Analysis fit into Social Impact Analysis?

What is the purpose and benefit of conducting Gender Analysis?

• Highlights the different roles and behavior of men and women, which varies across cultures, class, ethnicity, income, education, and time

• These differences can result in disproportionate accrual of beneficial/adverse impacts

• And since one of the primary tools in social impact analysis is stakeholder engagement, gender analysis is essential for effective design and implementation of stakeholder engagement
USAID’S GENDER ANALYSIS PROCEDURES (ADS 205)

• Assess gender impacts at strategic planning and during project and activity design

  How will the roles and status of men and women affect the work to be undertaken?

  How will the anticipated results of the work affect men and women differently?

• Issues to examine:
  – Differences in status and access to assets, resources, services
  – Influence of gender roles and norms on the division of time between paid employment, unpaid work, and volunteer activities
  – Influence of gender roles and norms on leadership roles and decision-making; constraints, opportunities, and entry points for narrowing gender gaps and empowering females
DEEPER LOOK: COMPULSORY DISPLACEMENT AND RESETTLEMENT (CDR)

- Guidelines on Compulsory Displacement and Resettlement in USAID Programming (May 2016)
  - CDR is the “Partial or total physical displacement, economic displacement, and resettlement of legitimate landholders compelled as a result of USAID programming when the legitimate landholder does not have the genuine right or ability to refuse displacement and resettlement.”

- Developed to manage programmatic and reputational risks
- CDR is not a common element of USAID projects
  - More common with large infrastructure projects financed by MDBs
- USAID actions that may result in CDR include:
  - Partnerships that lead to infrastructure projects (e.g., Power Africa)
  - Urbanization efforts (urban transport, urban renewal)
  - Conservation projects involving Protected Areas
GUIDELINES ON COMPULSORY DISPLACEMENT AND RESETTLEMENT (CDR) IN USAID PROGRAMMING

1. Understand the legal and institutional context;
2. Identify all legitimate landholders and relevant risks;
3. If physical displacement is unavoidable, develop a Resettlement Action Plan;
4. Promote informed and meaningful engagement;
5. Improve livelihoods and living standards; and
6. Provide additional protections to vulnerable groups, especially women and indigenous peoples.

The Guidelines include key questions to answer and best practices for each of the above elements.
CDR SCREENING QUESTIONS

USAID’s EIA Tool → EIA Checklist with screening questions

1. Will actions require temporary or permanent human resettlement?
   - Does resettlement area(s) have adequate waste disposal to accommodate increased population?
   - Will actions affect any susceptible populations that have been identified—i.e., involved workers, non-involved workers, and the public (including minority and low-income communities, as appropriate)?
CDR SCREENING QUESTIONS

– Will actions result in construction on or near any other natural feature that could affect the safety of the public, or the environmental impacts of the action?
– Will actions affect the economy of the community in ways that result in impacts to its character, or to the physical environment?
– Will water availability be adequate in resettlement area(s)?
– Will resettlement area(s) be vulnerable to seasonal weather variation?
MOZAMBIQUE RESETTLEMENT ACTION PLAN (RAP) EXAMPLE
KEY CONCERNS IN REVIEW OF MDB PROPOSALS

• Ensure that social impacts considered and mitigation measures developed

• Emphasis on stakeholder engagement
  – Evidence stakeholders engaged & representative of affected people
  – Evidence that sufficient number and type of opportunities provided
  – Evidence that input received was considered

• Other social impacts:
  – Worker camps and associated public health risks, including sexual assault and harassment
  – Loss of use of resources, such as access to water sources
KEY CONCERNS IN REVIEW OF MDB PROPOSALS

• Resettlement Action Plan (RAP), if triggered
• Clear delineation of responsibilities for key actions, including monitoring
• Prior performance of project partners
• Sufficient resources (time, staff, budget) allocated to implement mitigation and monitoring measures over life-of-project
Several recent MDB proposals reviewed. Concerns identified include:

- Inconsistent stakeholder engagement, in particular with regards to communication of compensation plan
- Unclear whether communities would be compensated for loss of access to lands used for subsistence purposes
- Water usage required for project posed significant risk of reducing water availability for stakeholders
- Limited ability to review due to lack of full documentation
RESOURCES

• USAID EIA Tool (2018)
• USAID Resource Guide for ESIA (2016)
• GEMS’ Social Impacts Sector Analyses site, which contains links to additional USAID visions, strategies, and policies; resources; and tools. (2016)
• Guidelines on Compulsory Displacement and Resettlement in USAID Programming (2016)