SOCIAL IMPACT ASSESSMENT

Report of a Research Project on
Social Impact Assessment of
R&R Policies and Packages in India

Council for Social Development
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GUIDELINES

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Chapter I

INTRODUCTION

1   The impacts of development projects occur in different forms. While significant benefits result for the society, the project area people may often bear the brunt of adverse impacts. This can happen, for example, when they are forced to relocate to make way for such interventions. There is now a growing concern over the fate of the displaced people. This has given rise to the need to understand beforehand the implications of adverse project impacts so that mitigation plans could be put in place in advance.

2   The National R&R Policy, issued in 2007, recognizes the need to carry out Social Impact Assessment (SIA) as part of the resettlement planning and implementation processes. Section 4.1 in Chapter IV Social Impact Assessment (SIA) of the Policy reads as follows:

> Wherever it is desired to undertake a new project or expansion of an existing project, which involves involuntary displacement of 400 hundred or more families, *en masse* in plain areas, or two hundred or more families *en masse* in tribal or hilly areas, DDP blocks or areas mentioned in the Schedule V or Schedule VI to the Constitution, the appropriate Government shall ensure that a Social Impact Assessment (SIA) study is carried out in the proposed affected areas in such manner as may be prescribed.

3   While an assessment of social impacts prior to the commencement of a new project or expansion of an existing is now obligatory under the new national R&R policy, the appropriate guidelines for the purpose do not yet exist. This Handbook on Conducting Social Impact Assessments aims to fill this gap. It explains the basic concept of social impact assessment, the step-by-step process of conducting SIA, and the SIA methodology. In short, it aims to provide practical guidance on carrying out Social Impact Assessment, as envisaged in the national R&R policy, 2007.

4   There is going to be an increase in demand for a set of how-to-do guidelines on conducting social impact assessments, especially from Government resettlement planning and implementation agencies. This Handbook has been prepared to meet this demand for project personnel, both planners and practitioners, involved in conducting R&R operations.

5   In addition, this Handbook will also be useful to consultants, NGOs and the others involved in conducting social impact assessments. Applied social scientists, trainers, NGOs, others concerned with resettlement issues, and the affected people will also find in this Handbook much that is relevant to their interests.

6   This Handbook is organized into six chapters. Chapter I is a brief introduction to the Handbook. Chapter II explains the meaning of social impact assessment and what SIA can do to help design projects that genuinely respond to the needs of the affected people. Chapter III describes the methodology of data collection for purposes of impact assessment. Chapter IV presents an overview of the principles for social impact

assessment. Chapter V outlines steps involved in carrying out social impact assessment. Finally, chapter VI provides guidance on preparing a SIA Report.

Chapter II

SOCIAL IMPACTS AND SOCIAL IMPACT ASSESSMENT

7   Planners and decision makers increasingly recognize the need for better understanding of the social consequences of policies, plans, programmes and projects (PPPPs). Social Impact Assessment (short form for Socio-economic Impact Assessment) helps in understanding such impacts.

8   Social Impact Assessment alerts the planners as to the likely benefits and costs of a proposed project, which may be social and/or economic. The knowledge of these likely impacts in advance can help decision-makes in deciding whether the project should proceed, or proceed with some changes, or dropped completely. The most useful outcome of a SIA is to develop mitigation plans to overcome the potential negative impacts on individuals and communities.

9   SIAs can assist advocacy groups as well. A Social Impact Assessment report, done painstakingly, showing the real consequences of the project on affected people and suggesting alternative approaches, gives credibility to their campaigns.

<u>A Historical Overview</u>

10   Social scientists have long been involved in doing impact assessment, almost since the dawn of their discipline. A canal study carried out by Condorcet in the nineteenth century is believed to be the first Social Impact Assessment. (Prendergast 1989) However, Social Impact Assessment, as it is known today, emerged much later.

11   The beginnings of social impact assessment can be traced to developments as recent as those during the1970's. By this time, "development agencies began to use impact assessments – which were about predicting, before the start of a project, its likely environmental, social, and economic consequences – in order to approve, adjust, or reject it." (Roche 1999: 18)

12   From the early 1980s, several new methods of enquiry emerged, including Rapid Rural Appraisal (RRA), Participatory Action Research (PRA), Participatory Rural Appraisal (PRA) (Chambers 1997; Oommen 2007). These sought to make people and communities active participants, rather than mere objects of assessment.

13   By the early 1990s, social science professionals were also able to develop an acceptable set of SIA guidelines and principles. (IOCPGSIA: 1994 and 2003, and IAIA: 2003) Around this time, the practice of SIA also got firmly established among development agencies as a way to assess the impacts of development projects before they go ahead. SIA is now part of the formal planning processes in most development organizations. In some countries, SIA is a legal requirement.

14   Social impact assessments have been carried out for a variety of projects, including projects in such diverse sectors as water, sanitation and health, coal sector, urban transport systems, pastoral development programmes, and livelihood support

projects (Cernea and Kudat 1997; Roche 1999). But it is for resettlement projects that SIAs have been found particularly useful. Modak and Biswas (1999:209) observe:

> The subject has evolved basically to identify project-affected people and find measures to mitigate negative impacts, or compensate irreversible losses following a participatory process

15   In recent years, much has been written on applications and methodology of Social Impact Assessment. The subject is widely taught, often in conjunction with other professional and academic courses, and training programmes. Numerous consulting firms have come up to offer SIA expertise in project preparation, implementation, monitoring and evaluation. These firms, along with skilled practitioners and academics are regularly hired by projects to produce SIA reports that are required in advance of proposed new projects for their approval.

16   In the beginning, SIA was carried out as part of Environmental Impact Assessment (EIA). Increasingly, SIA is now carried out as an exercise independently of EIA, because these are two different kinds of assessments.

Current Scene in India

17   In India, SIA has been generally carried out as part of the Environment Impact Assessment clearance process. As part of the EIA process it has therefore not received the attention it deserves.

18   Social Impact Assessment has now become an important part of the project preparation process, especially for the preparation of Resettlement Action Plans (RAPs). In this process, SIA is carried out as socio-economic survey that identifies social and economic impacts on people and communities facing project-induced displacement. In addition, data thus generated is used in designing mitigation measures as well as in monitoring mitigation implementation.

19   Resettlement policies have lately made social impact assessment a major part of the resettlement planning process. In 2006, a provision was included for conducting SIA in the Orissa R&R Policy 2006. The National R&R Policy 2007 has made a provision for conducting SIA whenever a new project or expansion of an existing project is undertaken. (See Annex IV) But this provision is limited to only those cases which involve displacement of 400 hundred or more families, *en masse* in plain areas, or two hundred or more families *en masse* in tribal or hilly areas, DDP blocks or areas mentioned in the Schedule V or Schedule VI to the Constitution. Undoubtedly, these are good beginnings, but as yet the guidelines to give effect to these policy provisions do not exist.

20   The World Bank, ADB, IFC, UNDP, as well as most multilateral and private agencies, including commercial banks, require some kind of prior social impact assessment for all the projects that they finance.

21   The issue is no longer whether SIA should be carried out or not, but how it should be carried out so that the local people benefit from the project and not lose from it, certainly not those who are poor to begin with.

What are Social Impacts?

22   Social Impacts are the changes that occur in communities or to individuals as a result of an externally-induced change. IOCPGSIA (2003: 231) defines social impacts as "the consequences to human populations of any pubic or private actions that alter the ways in which people live, work, play, relate to one another, organize to meet their needs, and generally cope as members of society. The term also includes cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize their cognition of themselves and their society." Social Impacts are both positive and negative.

23   Changes may effect: employment, income, production, way of life, culture, community, political systems, environment, health and well-being, personal and property rights, and fears and aspirations. These impacts can be positive or negative. In short, a social impact is a significant improvement or deterioration in people's well-being.

24   Examples of projects with significant social impacts include: dams and reservoirs (disruption due to relocation), power and industrial plants (influx of work force, pressure on infrastructure), roads and linear projects (dislocation of activity networks), and landfill and hazardous waste disposal sites (seen as health risks).

Differential Impacts

25   Projects affect different groups differently. Some people tend to benefit, others lose. Often, impacts are particularly severe for vulnerable groups: tribal people, women-headed households, elderly persons, landless persons, and the poor.

Types of Impacts

26   Not all projects cause similar impacts. For example, impacts that are commonly experienced in urban projects are different from those in hydropower projects. The common hydropower project impacts include the following:

- Submergence of vast areas, usually in hilly, sparsely populated regions, inhabited by agriculture-dependent rural and tribal communities
- Forced displacement (often resulting in impoverishment)
- Boomtowns (uncontrolled influx of construction workers, crime, social evils)
- Downstream adverse changes in agro-production systems

27   On the other hand, there is no submergence in urban projects. People are affected by loss of jobs, not by loss of agricultural lands.

28   The following is an illustrative list of possible impacts:

Social/Cultural
- Break-up of community cohesion
- Disintegration of social support systems
- Disruption of women's economic activities

- Loss of time-honoured sacred places of worship
- Loss of archeological sites and other cultural property

Economic
- Loss of agricultural lands, tress, wells
- Loss of dwellings and other farm buildings
- Loss of access to common property resources
- Loss of shops, commercial buildings
- Loss of businesses/jobs
- Overall reduction in income due to above losses

Public Infrastructure and services
- Government office buildings
- School buildings
- Hospitals
- Roads
- Street lighting

Identifying Impoverishment Risks

29   Identifying impoverishment risks which projects often create is part of the exercise to identify adverse project impacts. The impoverishment risks analysis model adds substantially to the tools used for explaining, diagnosing, predicting, and planning for development. (WCD: 297) The eight most common impoverishment risks to the project area people, as described by Cernea (1996), are as follows:

- *Landlessness*: Expropriation of land removes the main foundation upon which peoples' productive systems, commercial activities and livelihoods are constructed.
- *Joblessness*: Loss of employment and wages occurs more in urban areas, but it also affects rural people, depriving landless labourers, service workers, artisans, and small business owners of their sources of income.
- *Homelessness*: Loss of housing and shelter is temporary for the majority of displacees, but threatens to become chronic for the most vulnerable. Considered in a broader cultural sense, homelessness is also placenessness, loss of a group's cultural space and identity.
- *Marginalization*: Marginalization occurs when families lose economic power and spiral downwards. It sets in when new investments in the area are prohibited, long before the actual displacement. Middle-income farm households become small landholders; small shopkeepers and craftsmen are downsized and slip below poverty thresholds. Economic marginalization is often accompanied by social and psychological marginalization and manifests itself in a downward mobility in social status, displaced persons' loss of confidence in society and in themselves, a feeling of injustice and increased vulnerability.
- *Food Insecurity*: Forced displacement increases the risk that people will undergo chronic food insecurity, defined as calorie-protein intake levels below the minimum necessary for normal growth and work. Sudden drops in food crops availability and income are endemic to physical relocation and hunger lingers as a long-term effect.

- *Increased Morbidity and Mortality*: The health of affected persons tends to deteriorate rapidly due to malnutrition, increased stress and psychological traumas. Unsafe water supply and waste disposal tend to proliferate infectious disease, and morbidity decreases capacity and incomes. The risk is highest for the weakest population segments – infants, children, and the elderly.
- *Loss of Access to Common Property*: Loss of access to commonly owned assets (forestlands, water bodies, grazing lands, and so on) is often overlooked and uncompensated, particularly for the assetless.
- *Social Disarticulation*: Community dispersal means dismantling of structures of social organization and loss of mutual help networks. Although this loss of social capital is harder to quantify, it impoverishes and disempowers affected persons.

30   These adverse impacts must be identified by a SIA study. WCD (2000: 241) is emphatic that the impact assessment studies must identify and delineate various categories of adversely affected people in terms of the nature and extent of their rights, losses and risks. This signals a departure from the way that social impacts were assessed in the past and will empower the planners and stakeholders to incorporate the full extent of social impacts and losses in the decision-making process.

What is Initial Social Impact Assessment (ISIA)?

31   An Initial Social Impact Assessment (ISIA) is carried out if the project impacts are likely to be minor or limited, which can be easily predicted and evaluated, and for which mitigation measures can also be prescribed easily. Generally, information for ISIA is obtained during a field visit to areas that will be affected by the project and through discussions with people whom it may affect positively or otherwise. The ISIA is also done to confirm whether this indeed requires a full-scale Social Impact Assessment (SIA). Usually a comprehensive SIA is required for large projects, which entails a more detailed study, time, and resources.

What is Social Impact Assessment?

32   There is no generally agreed definition of Social Impact Assessment (SIA). It may be defined as a process that seeks to assess, in advance, the social repercussions that are likely to follow from projects undertaken to promote development, such as dams, mines, industries, highways, ports, airports, urban development and power projects. It is a tool that can help decision-makers to foresee the likely negative impacts of their actions so that steps necessary to prevent or at least to contain them could be taken in time. As an aid to the decision making process, SIA provides information on social and cultural factors that need to be taken into account in any decision that affects the lives of project area people.

33   Goldman and Baum (2000:7) define Social Impact Assessment (SIA) as a method of analyzing what impacts actions may have on the social aspects of the environment. It involves characterizing the existing state of such aspects of the environment, forecasting how they may change if a given action or alternative is implemented, and developing means of mitigating changes that are likely to be adverse from the point of view of the affected population.

34   The IOCPGSIA (2003: 231) defines SIA in terms of efforts to assess, appraise or estimate, in advance, the social consequences that are likely to follow from proposed actions. These include: specific government or private projects, such as construction of buildings, siting power generation facilities, large transportation projects…

35   Finsterbusch and Freudenburg (2002: 409) define the three terms in '*Socio-economic Impact Assessment*'(socio-economic, impact, and assessment) as follows:

> *Socio-economic*: In essence, the *socio*-half of the term *socio-economic* can be seen as covering social and cultural impacts of development, and as incorporating the traditional subject matter of sociology, anthropology, and psychology, in particular, with input from other fields as well. The *economic*-half of the term is generally seen as including not only economics, but also demography and planning, again with input from other fields, as needed. These are emphases, rather than rigid distinctions.

> *Impacts*: The *impacts* are the direct as well as indirect "effects" or "consequences" of an action (such as constructing a dam, digging a coal mine, or building a highway). "In short, impacts include all of the significant changes that take place because of what an agency does and that would not have occurred otherwise"

> *Assessment*: In the SIA context, *assessment* tends to have an unusual meaning: The "assessment" of impacts is carried out before the impacts actually occur. In other words, an SIA is often anticipatory rather than empirical. It attempts to assist the planning process by identifying the likely effects before they take place. The estimates of likely future impacts are based on the existing empirical knowledge of the impacts of similar actions in the past.

Advantages of Doing Social Impact Assessment

36   The main advantages of doing a systematic Social Impact Assessment (SIA) include the following:

- *Identifying Affected Groups*: SIA helps in identifying people and groups who affect or are affected by the project
- *Allying Fears and Winning Trust*: SIA can help allay fears of affected groups and build a basis of trust and cooperation which is so essential for successful project implementation
- *Avoiding Adverse Impacts*: SIA provides the basis for preparing mitigation measures to avoid, reduce or manage adverse impacts
- *Enhancing Positive Impacts*: SIA preparation also helps identify measures to maximize/share project benefits
- *Reducing Costs*: Addressing social impacts at an early stage helps to avoid costly errors in future
- *Getting Approval Faster*: A well prepared SIA demonstrates that social impacts are taken seriously and helps in getting project clearance faster

37   Social impact assessment is predicated on the notion that decision makers should understand the consequences of their decisions before they act and that the people affected will not only be appraised of the effects, but have the opportunity to participate in designing their future. (IOCPGSIA 2003:248)

Chapter III

STEPS IN CONDUCTING
SOCIAL IMPACT ASSESSMENT

38   When planning to conduct a social impact assessment, time spent in preparation is rarely wasted. It is important, at the outset, to be clear about the purpose of the assessment, the unit of assessment, time available, the competence of the team for the task, and such other issues.

39   A social impact assessment process, as WCD (2000) envisaged, should be built on three elements:

- A detailed assessment of the socio-economic conditions of the people who may be negatively affected (Cernea's risk assessment model can be useful);
- A detailed study of the impacts in terms of the extent of displacement, the loss of livelihoods, the second-order impacts as a result of submergence, construction mitigation measures, downstream impacts, and host communities; and
- A detailed plan to mitigate these impacts and an assessment of the costs of such measures.

40   This chapter outlines the steps involved in carrying out the Social Impact Assessment process, and includes suggestions on how to follow them. (IOCPGSIA 1994)

Step 1: Define the Impact Area

41   The first step is to define the *Area of Impact*. The size of the area varies according to a project. A dam submerges a large, contiguous geographic area affecting several villages. The impact from a highway and other linear projects occurs along the corridor as small strips of land on either side of the road. The SIA team must get a map showing clearly demarcated area that will be affected by the project (both directly and indirectly).

42   In addition, field visit to the area needs to be undertaken to have a better understanding of the geographic limits of the area and the people living there.

Step 2: Identify Information/Data Requirements and their Sources

43   Review the existing data on impacts likely to follow from the project to see if that could be used for assessment purposes. This may provide disaggregated data according to caste, religion, sex and other administrative categories, such as persons below poverty line. The secondary should be checked as much for its adequacy as for its reliability.

44   This review will also help identify the need for collection of additional primary data through surveys and participatory methods.

Step 3: Involve All Affected Stakeholders

45   Share information and consult with all stakeholders. Stakeholders are people, groups, or institutions which are likely to be affected by a proposed intervention (either negatively or positively), or those which can affect the outcome of the intervention. Develop and implement an effective public involvement plan to involve all interested and affected stakeholders. The first step in developing plans for consultation and participation is to identify stakeholders who will be involved in the consultative processes. The basic questions to consider in identifying stakeholders include:

- Who will be directly or indirectly and positively and negatively affected?
- Who are the most vulnerable groups?
- Who might have an interest or feel that they are affected?
- Who supports or opposes the changes that the project will produce?
- Whose opposition could be detrimental to the success of the project?
- Whose cooperation, expertise, or influence would be helpful to the success of the project?

Step 4: Conduct Screening

46   Social Impact Assessment (SIA) process begins with screening. Screening is undertaken in the very beginning stages of project development. The purpose of screening is to screen out "no significant impacts" from those with significant impacts and get a broad picture of the nature, scale and magnitude of the issues.

47   This helps in determining the scope of detailed SIA that would be subsequently carried out.

Step 5: Carry Out Scoping in the Field

48   The next step is scoping. Essentially, this involves visit to the project site, and consultation with all stakeholders. It is important to confirm their understanding of key issues. On-site appreciation of impacts is indispensable for projects that cause displacement on a large scale. The local knowledge can be invaluable in finding alternatives that help avoid or at least reduce the magnitude and severity of adverse impacts.

49   This is an initial assessment of likely impacts and not meant to determine the level of impact. It should only identify all of the issues and affected groups to get 'all the cards on the table'

50   The next step is undertaking Social Impact Assessment and the following are the major activities:

Step 6: Prepare a Socioeconomic Profile of Baseline Condition

51   To assess the extent of social impacts, it is necessary to assess the socio-economic conditions of the affected people. This assessment generally involves

conducting a socioeconomic survey and a broad based consultation with all affected groups.

52   The socioeconomic profiling should not be restricted to adversely affected population. The survey should include those who benefit from the employment and other economic opportunities generated by the project.

Step 7: Survey of Host Population

53   This survey is carried out to see that in the host area enough land, income earning opportunities and other resources exist to sustain additional population from the affected area, and that this influx does not put pressure on local resources that the host population may resent. The other important thing to see is that the people being relocated and the hosts are socially from a similar socio-cultural background. The similarity in background helps greatly reduce social/ethnic frictions.

Step 8: Identify and Assess the Impacts

54   Once the range of impacts that are predictable has been identified, the next step is to determine their significance (that is, whether they are acceptable, require mitigation, or are unacceptable). Since many impacts are not quantifiable, it is impossible to rank them objectively. The community perceptions of an impact and those of the SIA team are not necessarily the same. The affected people should therefore be consulted in ranking impacts.

55   If impacts are found unacceptable, the SIA must clearly state that giving reasons. Generally, the Social Impact Assessment is expected to result in specific mitigation plans to address relevant social/resettlement issues and potential impacts.

Step 9: Develop a Mitigation Plan

56   Develop a mitigation plan to firstly avoid displacement, secondly to minimize it, and thirdly to compensate for adverse impacts. The major contribution of a SIA study is to help plan for, manage, and then mitigate any negative impacts (or enhance any positive ones) that may arise due to a proposed project.

Chapter IV

PRINCIPLES FOR
SOCIAL IMPACT ASSESSMENT

57   The principles to guide the concepts, process, and methods of conducting social impact assessment are by now well established. These are meant to ensure sound scientific enquiry. The principles are based on expert judgment of the professionals from relevant disciplines, including sociology, anthropology, development studies, economics, geography, policy planning, and management, and the best practices established in this area over the past thirty years.

Principles of SIA Good Practice

58   The principles for social impact assessment were first developed by the Inter-organizational Committee on Principles and Guidelines for Social Impact Assessment (IOCPGSIA 1994). Basically, these principles are as follows:

(1): *Involve the Diverse Public*

It is important to first identify all potentially affected groups and individuals, and involve them throughout the SIA process. This involvement must reach out to groups that are routinely excluded from decision making due to cultural, linguistic and economic barriers (lower caste and tribal groups, minorities and poor people). The involvement should be truly interactive, with communication flowing both ways between the agency and affected groups. This engagement will ensure that stakeholder groups understand what the project is about and the possible ways it might affect them, both positive and negative.

(2): *Analyze Impact Equity*

Projects affect different groups differently. Impacts should therefore be specified differentially for affected groups, not just measured in the aggregate. Identification of all groups likely to be affected is central to the concept of impact equity. There will always be winners and losers as a result of the decision to build a dam or undertake some other development work. SIA should identify who will win and who will lose, but no groups and individuals that are considered vulnerable due to race, ethnicity, caste, gender, occupation, age or other factors should have to bear the brunt of adverse social impacts.

(3): *Focus the Assessment*

Often, time and resources available for doing social impact assessment are very limited. In such circumstances, the best course is to focus on the most significant social impacts, giving high priority to impacts identified by the people themselves. It is well known that some groups low in power do not usually participate in project preparation stage, but SIA must ensure that their concerns are fully addressed. At the same time, the role of SIA practitioners in impact analysis and assessment remains important. They have the expertise to help prioritize issues, and are able to identify impacts often missed out by the people themselves.

In addition to impacts on households, an accurate assessment of loss to the community assets also needs to be carried out. This impact assessment should include the following: (a) Common property resources, (b) Public structures, (c) Cultural property, and (d) Infrastructure

(4): *Identify Methods and Assumptions and Define Significance*

SIA should use easily understood methods and assumptions that are transparent and replicable. The methods and assumptions used in the SIA should be made publicly available. A brief summary should clearly describe the methods used, the assumptions made, and the significance of impacts determined. This will allow decision makers as well as affected people to evaluate the assessment process.

(5): *Provide Feedback on Social Impacts to Project Planners*

The SIA findings are inputs for designing a project to mitigate negative impacts and enhance positive impacts. The project design process must ensure that all affected and interested persons get an opportunity to comment on the draft before it is given a final shape.

(6): *Use SIA Practitioners*

Trained social scientists using social science research methods alone will get the best results. An experienced SIA practitioner will know what data to look for. His familiarity with impacts that have occurred elsewhere under similar settings will be an asset. It will be easier for him to identify the full range of impacts and then select procedures appropriate for their measurement. The presence of a social scientist in the interdisciplinary team will reduce the probability of any major social impact remaining uncounted.

It is extremely important that the SIA practitioner be an independent social scientist, not a part of the regulatory authority sponsoring the SIA study.

(7): *Establish Monitoring and Mitigation Programmes*

The monitoring of important social impact variables and the mitigation programmes is critical to the SIA process. The monitoring and mitigation should be a joint responsibility of the project and the affected community.

A social impact assessment not only predicts the likely impacts, it should also identify means to mitigate those adverse impacts. Mitigation includes: avoiding the impact by not undertaking the project; or undertaking it with a modified design that reduce the impact; or by compensating for unavoidable and/or irreducible impacts.

(8): *Identify Data Sources*

Generally, SIAs draw on the following three sources of information: (a) Published scientific literature, (b) Secondary data sources including various government documents and official reports, and (c) Primary data from the affected area. All these three sources are important, but not all projects may need them in equal measure. Some

SIAs may require more primary data from the affected area than the published materials from journals or books, for example.

The SIA can usefully consult previously published social science books, journal articles that document knowledge of impacts and case studies from similar projects. The best secondary data sources include census, compendium of statistics, land records data, and several government planning and development reports. Survey research, informant interviews, and participant observation are among the important primary data sources that can be used to verify data collected from other sources. Often, project area people are quite knowledgeable about the local socioeconomic situation and can provide a better understanding of the broader range of likely impacts.

(9): *Plan for Gaps in Data*

Often, data relevant and necessary to carry out an assessment is not available yet the SIA is to be carried out. In circumstances when information is incomplete or unavailable, it should be made abundantly clear that assessment has been made in the absence of relevant and necessary data, explaining why this could not be obtained.

Chapter V

SOCIAL IMPACT ASSESSMENT
METHODS AND TOOLS

59   Social Impact assessment study should be carried out as early in the project planning stage as possible. The basic objectives of this study are to provide:

- Baseline information about the social and economic conditions in the project area
- Information on potential impacts of the project and the characteristic of the impacts, magnitude, distribution, and their duration;
- Information on who will be the affected group, positively or negatively
- Information on perceptions of the affected people about the project and its impact
- Information on potential mitigation measures to minimize the impact
- Information on institutional capacity to implement mitigation measures

Examples of Questions to be Addressed in SIA

60   Some questions that are commonly addressed in social impact assessment include the following:

- Who are the key stakeholders? What do they already know about the proposed project, its impact and the measures being contemplated to mitigate its negative impact
- What are their interests? Are the objectives of the project consistent with their needs, interests and capacities?
- What is the impact of the project on various stakeholders, and particularly on women and vulnerable groups?
- What social factors affect the ability of stakeholders to participate or benefit from the operations proposed? (gender, caste, ethnicity, or income level)
- What institutional arrangements are needed for participation and project delivery?
- What are the risks which might affect the success of the project? (lack of commitment or capacity, resource crunch, incompatibility with existing conditions)
- How does the project address needs of different stakeholders?
- Do any of these issues pose risks to overall project success and sustainability?

Sources of Information

61   The SIA relies on both secondary and primary data.

    (a) Secondary Source: Such sources of data include:
        - Government census data
        - Land records, including records of land transactions
        - District gazetteers
        - Other administrative records (such as NSS)
        - Documents from non-governmental organiztions

(b) Primary Source: The existing data from secondary sources cannot however be a substitute for project-specific surveys. In addition, SIA derives much more relevant information directly from surveys of various kinds including socioeconomic survey, and meetings with the affected people.

Methods and Tools

62   Conducting social impact assessment involves the use of a broad array of data collection methods, quantitative and qualitative, common in social science research. Often, a combination of tools may be required to do social assessment. In addition to substantive analytical tools, SIA uses participatory methods that contribute to a better understanding of the project. These can also help increase the ownership of projects.

63   The choice of tools and methods will depend on several factors, such as the project and the affected people. The methods that work for urban projects may not prove much useful for projects located in tribal areas, for example. Other factors will include: time and resources constraints for social assessment, and the availability of experts.

64   Clarity on social assessment methodology is important. SIA often needs to use multiple units of analysis, such as households, individuals within the households, and communities. The household unit is generally used for purposes of resettlement planning. (A household may consist of a nuclear family, extended family, or a unit including non-related members).

65   It is important to always consider the gendered nature of impacts.

Data Collection Methods

66   There are several methods of collecting socioeconomic data for purposes of conducting social impact assessment. The methods generally in use include:

Quantitative Methods

- Land Acquisition Survey (persons with titles, those without titles and others including tenants, sharecroppers should all be counted)
- Census Survey
- Socioeconomic Survey (This should involve only a percentage of total population selected on a random basis)
- Other administrative records (such as NSS)

Qualitative Methods

- Key Informant Interviews
- Focus Group Discussions (FGDs)
- Rapid and Appraisal
- Public Hearing

Qualitative Methods

67   *(a) Key Informant Interview*: A questionnaire helps to establish baseline conditions prior to undertaking a project. The questions should cover all aspects of socioeconomic situation (such as religion, caste, family size, education, skills, occupation and income).

68   The design of the questionnaire is rather important. It should focus on key issues, yet be simple and in the local language. Persons selected to conduct the interviews should be properly briefed and trained to get the questionnaires completed.

69   The team conducting the interviews should include female members, as they alone are in a position to talk to women, especially in rural areas and among communities where there are restrictions on their movements.

70   The quality of information generated through interviews is dependent on a number of factors, which include the following:

- The relationship that the interviewer is able to establish with the respondent.
- Willingness to adjust interviews to the time convenient to respondents
- Ability to listen to answers patiently, and to probe and cross-check them in a thorough but polite way
- Recognizing that same questions can be asked (and answered) in several others ways
- Taking notes in a way that does not interrupt the flow of conversation and appear threatening

71   *(b) Focused Group Discussions (FGDs)*: In FGDs, one or more researchers guide a group discussion using probes but letting group members discuss the topic among themselves. The group has 6 to 10 participants to discuss issues set out by the researcher. The researcher usually uses an interview guide but minimally structures the discussion.

72   Focused Group Discussions (FGDs) Disadvantages:

1. They do not give quantitative estimates of characteristics of a population
2. They are susceptible to interviewer baises
3. There are many things that participants will not real in group situations

73   Focused Group Discussions (FGDs) Advantages

1. Group interviews can…provide background information for designing projects and programmes, generate ideas and hypotheses, for intervention models, provide feedback from beneficiaries, and help in assessing responses to recommended innovations. They are also useful for obtaining data for monitoring and evaluation purposes and for interpreting data that are already available. (Kumar 1987a v)

74   *(c) Rapid Appraisal*: Sometimes the approach known as 'rapid appraisal' (known by several different names) may be valuable. Partly, this approach arose as a reaction against time and budget consuming surveys. This low-cost method is based on in-depth interviews with critical informants known to be knowledgeable about the issues to be explored. In-depth interviewing is supplemented by analysis of secondary data and group interviews with representatives of relevant groups in the community. The key to rapid appraisal techniques is to compress the research process so that data are collected, analyzed and put together in a useable form in the shortest possible time span.

75   *(d) Public Hearing*: A public meeting is open to all affected and interested persons. The team first describes the project and its likely impacts, both positive and negative, and then allows free discussion on all issues. People often provide useful feedback on the project and its impacts which can be a useful input to the process of decision-making

Quantitative Methods

76   *(a) Land Acquisition Survey*: Land acquisition for projects leads to displacement and loss of livelihoods for local people. A land acquisition assessment survey provides detailed information on who and how many will be adversely affected by land loss. This survey is largely based on government land records, land use maps, statistical information, and existing legislation and administrative practice with respect to land acquisition, and project planning documents, but the data often require on the spot verification during a field visit.

77   This is a rapid, low-cost preliminary assessment done at the project identification stage. The Land Acquisition Survey is expected to provide answers to questions such as the following:

- Where is the land that is required for the project?
- Who is the land's current owner?
- What is the tenure status of the present land users?
- What is the procedure for land acquisition?

78   Typically, the land acquisition survey includes only persons with legal title to land. The non-titled persons (sharecroppers, tenants, informal dwellers) are not included. This is often referred to as the "official" list of affected persons.

79   *(b) Census Survey*: This is the most important survey, as it helps to determine the exact number of people who will bear the brunt of adverse project impacts, and the total property affected. Since the purpose of the census survey is to prepare an inventory of all affected persons and properties, it should cover the following:

- All affected persons living in the project area
- All affected property
- The level and sources of all incomes, and the project's impact on them

80   Typically, the census uses the household as the basic unit for data collection. Data should be disaggregated by gender, caste, tribe and other social categories.

81   In addition, a comprehensive list of common property to be affected by a project should also be prepared. This will include:

- Common property resources: These include pastures, fishing ponds and forests including sources of building and craft materials, biomass for domestic energy.

- Public structures: These include schools, clinics, places for worship, bathing and washing places, community centres, lampposts, playgrounds, wells, and bus stops

- Cultural property: Cultural property includes archeological sites, monuments, burial grounds, places of historical or religious importance.

- Infrastructure: This includes all infrastructure destroyed or disrupted by project construction activities, including roads, bridges, power lines, and water and sewage lines.

82   *(c) Socioeconomic Survey*: This study generates information on impacts on critical socioeconomic aspects of the affected population. These include: demographic details (family size, sex ratio, literacy/education levels, population by caste, tribe, religion, gender, age groups, and vulnerable groups) socioeconomic production systems, sources of income, patterns of social organization and leadership, women's economic activities and income, ancestral property provisions and custom, levels of health and nutrition, etc.

83   In projects that do not involve a large population, socioeconomic survey and census are usually combined. In projects that cause large scale displacement, the socioeconomic survey is a separate sampled survey of roughly 10-20 percent of the total affected population, selected on a random basis. It is, however, important that the survey covers a statistically valid representative sample of all strata of the affected population (including women and other vulnerable groups).

84   The socioeconomic profiling should not be restricted to adversely affected population. The survey should include those who benefit from the employment and other economic opportunities generated by the project.

The Limitations of Quantitative Methods

85   Quantitative data collection methodology also has its limitations. Factors such as the adequacy of sample, the cooperation of respondents, the experience of the survey team and the adequacy of supervision over the team in the field can bias not only sampling but data collection as well.

86   SIA practitioners usually balance quantitative and qualitative methods of collecting data to ensure as complete an understanding of the project's impacts on the affected people as possible.

Chapter VI

FORMAT OF A SOCIAL IMPACT
ASSESSMENT REPORT

87   Once a Social Impact Assessment has been completed, a formal Report with a brief Executive Summary should be prepared for submission to the authority which sponsored it.

<u>Contents of a SIA Report</u>

88   This Report should be divided into several distinct sections, each section dealing with different aspects of the SIA process. A format for a Social Impact Assessment Report is attached as Annex 4.

Introduction: This section includes the purpose of the report. It describes its scope and how it is organized (provide brief outline of the contents of the report).

Description of the Project: Provide in this section brief details of the project, the objectives of the project, need for the project, the project location, the proposed schedule for implementation. Furnish a drawing showing the project layout, and its location.

Methods in Identifying Project Impacts: Describe the methods used in conducting the assessment, both quantitative and qualitative.

Anticipated Project Impacts: Describe project impacts on different groups, both positive and negative, as identified by the SIA.

Affected Population: This section contains details about the total affected population, such as male and female ratio, age profile, marital status, occupational structure, etc.

Affected Vulnerable Groups: Provide details regarding all vulnerable affected households, including scheduled castes/scheduled tribes/other backward classes, Women-headed households, squatters and encroachers, disabled and those unable to work, elderly and children without support, and the very poor

Inventory of Losses to Households: This section contains full information on losses to both assets immovable as well immovable. These include land, houses, other structures, income and livelihood, and social networks

Losses to the Community: Provide a complete list of community property affected by the project. This will include all public buildings, common property resource (such as pastures and rivers), cultural property (includes archeological sites), and infrastructure (roads, bridges, and canals)

Public Consultation and Disclosure: This section will describe the process followed to involve the affected people and other stakeholders. It summarizes their comments and describes how these were addressed. Describe activities undertaken to share information

Findings and Recommendations: This section will provide an overall assessment of impacts and make recommendations for further action on the basis of the impact assessment, including abandonment of the project if in relation to the benefits the impacts are too severe to manage.

Mitigation Plan: If the recommendation is to mitigate the project impacts, provide details of an action plan for mitigation, including relocation and income and livelihood restoration plans.

Recommendations

89   On the basis of its findings the Report should finally make its recommendation to the sponsoring authority. It should clearly state whether the project could proceed as it is, or proceed with some changes, or dropped completely.

Sharing SIA Report with Stakeholders

90   The SIA sponsors should ensure that the Report is publicly made available once it has been formally submitted to them.

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National R&R Policy 2007

CHAPTER-IV

4.   **Social Impact Assessment (SIA) of Projects**

4.1   Whenever it is desired to undertake a new project or expansion of an \existing project, which involves involuntary displacement of four hundred or more families *en masse* in plain areas, or two hundred or more families *en masse* in tribal or hilly areas, DDP blocks or areas mentioned in the Schedule V or Schedule VI to the Constitution, the appropriate Government shall ensure that a Social Impact Assessment (SIA) study is carried out in' the proposed affected areas in such manner as may be prescribed.

4.2.1 The above SIA report shall be prepared, in such proforma as may be prescribed, considering various alternatives, and using agencies accredited in the manner prescribed.

4.2.2 While Undertaking a social impact assessment, the appropriate Government shall, *inter alia,* take into consideration the impact that the project will have on public and community properties, assets and infrastructure; particularly, roads, public transport, drainage, sanitation, sources of safe drinking water, sources of drinking water for cattle, community ponds, grazing land, plantations; public utilities, such as post offices, fair price shops, etc.; food storage godowns, electricity supply, health care facilities, schools and educational/training facilities, places of worship, land for traditional tribal' institutions, burial and cremation grounds, etc.

4.2.3 The appropriate Government may specify that the ameliorative measures, which will need to be undertaken for addressing the said impact for a component, may not be less than what is provided in a scheme or programme, if any, of the Central Government or a State Government in operation in that area.

4.3.1 Where it is required as per the provisions of any law, rules, regulations or guidelines to undertake environmental impact assessment also, the SIA study shall be carried out simultaneously with the Environmental Impact Assessment (EIA) study.

4.3.2 In cases where both EIA and SIA are required, the public hearing done in the project affected area for EIA shall also cover issues related to SIA. Such public hearing shall be organised by the appropriate Government.

4.3.3 Where there is. no requirement for EIA, the SIA report shall be made available to the public through public hearing to be organised by the appropriate Government in the affected area.

4.4.1 The SIA report shall be examined by an independent multi-disciplinary expert group constituted for the purpose by the appropriate Government. Two non-official social science and rehabilitation experts, the Secretary/Secretaries of the

department(s) concerned with the welfare of Scheduled Castes and Scheduled Tribes of the appropriate Government or his (their) representative(s), and a representative of the requiring body shall be nominated by the appropriate Government to serve on this expert group.

4.4.2 Where both EIA and SIA are required, a copy of the SIA report shall be made available to the agency prescribed in respect of environmental impact assessment by the Ministry of Environment and Forests, and a copy of the EIA report shall be shared with the expert group mentioned in paragraph 4.4.1.

4.5 The SIA clearance shall be accorded as per the procedure and within the time limits as may be prescribed.

4.6 The SIA clearance shall be mandatory for all projects involving involuntary displacement of four hundred or more families *en masse* in plain areas, or two hundred or more families *en masse* in tribal or hilly areas, DDP blocks or areas mentioned in the Schedule V or Schedule VI to the Constitution; and the conditions laid down in the SIA clearance shall be duly followed by all concerned.

4.7 The Ministry of Defence, in respect of projects involving emergency acquisition of minimum area of land in connection with national security, may be exempted from the provisions of this Chapter, with due institutional safeguards, as may be, prescribed, for protecting the interests of the affected families and achieving the broad objectives of this policy.

A Typical Format for Conducting Census

Name of Village Household : Date	
Name Sex Age Relation to Household Head (HH) Primary Occupation Secondary Occupation Number of HH Members Disaggregated by Sex Property Ownership with Estimated Value - Structures - Land and Type - Other: Wells, Trees, Livestock Highest Level of Education Income - Farm-based - Off-farm labour - Informal Sector Activities - Other: Remittances	
Name and Signature of Surveyor	Name and Signature of Informant

Draft Outline of a Socioeconomic Profile

A   Location and Physical Characteristics
- Map (showing roads, land use, rivers, bridges, major settlement areas)
- Description of location

B   Economic
- Ownership of assets
    Land (amount, type, distribution, security of tenure)
    Nonland (livestock, equipment, buildings)
- Type of livelihood (subsistence, commercial or both)
- Household income/expenditure
- Skills
- Use and access to credit
- Use and access to marketing services
- Use and access to commercial inputs

C   Social Infrastructure
- Access to health services
- Education (primary, secondary, informal)
- Water and sanitation
- Housing
- Roads and communication
- Energy

D   Demographic
- Age/Sex/Family size
- Birth/Death rates
- Health and nutrition (children and adults)
- Migration (in and out)
- Number of single parent households
- Gender differentiation of households

E   Social Organization
- Family structures
- Social structures in the community
- Information about how collective decisions are made
- Local institutional structure
- NGOs in the community
- Level of social respect and initiative

Content and Format: Social Impact Assessment

Outline of a Social Impact Assessment Report

Executive Summary

Introduction

Description of the Project

Methods in Identifying Project Impacts
1 Land acquisition survey
2 Census
3 Socioeconomic survey and studies
4 Consultation with project area people

Anticipated Project Impacts
a. Positive Impacts
b. Adverse Impacts

Affected Population

Affected Vulnerable Groups
- Scheduled castes/scheduled tribes/other backward classes
- Women-headed households
- Squatters and encroachers
- Disabled and those unable to work
- Elderly and children without support
- The very poor

Inventory of Losses to Households
- Land
- Houses
- Other structures
- Income and livelihood
- Social networks

Losses to the Community
- Public buildings
- Common property resource
- Cultural property
- Infrastructure

Public Consultation and Disclosure

Findings and Recommendations

Mitigation Plan
- Relocation
- Income and livelihood restoration

3

Social Impact Assessment
TRAINING MODUULES AND MATERIALS

I

TRAINING MODULES

A Guide to Social Impact Assessment Training

CONTENTS

A Guide to Social Impact Assessment Training

I   Background

Under the National Rehabilitation & Resettlement Policy 2007, an assessment of social impacts prior to the commencement of a new project or expansion of an existing project involving displacement is mandatory. This Training Guide is intended to support capacity building in Social Impact Assessment (SIA). It is meant for the trainers of officers and staff who will henceforth be involved in conducting social impact assessments of all upcoming projects that involve involuntary resettlement.

To date, SIA has been given much less attention in comparison to environmental impact assessment (EIA). Even in countries where SIA with/without EIA is a legal requirement, institutions engaged in providing SIA training lack a training manual, and instead rely on social science literature, journal articles, and project reports.

International development institutions including the World Bank, International Finance Corporation (IFC) and Asian Development Bank (ADB) have lately produced guidebooks on conducting census, socioeconomic surveys and other studies for identifying and assessing project impacts, but these still fall far short of a systematic training manual. They are meant to guide their staff and consultants in identifying project impacts and in preparing resettlement plans in accordance with their policies and procedures.

It is, then, no surprise that a training manual exclusively for social impact assessment does not exist as yet. All that presently exists is a brief discussion of this topic in environmental impact assessment (EIA) training manuals, which indeed have been developed very systematically. The United Nations Environment Programme EIA Training Resource Manual (Second Edition 2002) is one such resource. This includes SIA Training as one its several training modules, entitled 'Topic13: Social Impact Assessment'.

This Guide is a small step in developing a training handbook for use in conducting training workshops on social impact assessments. This will also be useful for trainers of resettlement training programes/workshop.

II   Training Objectives

This training guide is designed to support the implementation of social impact assessment (SIA) provision of the National R&R Policy 2007.

Broadly, the objectives of the SIA training programme, as this Handbook envisages, are to provide understanding of social impact assessment and to develop the skills required to conduct SIA. The modules cover the following:

- An overview of social impact assessment
- Key elements in the SIA process
- Involving affected communities in SIA
- Sources of SIA information
- Social research methodology and data collection
- Identifying and Assessing Impacts
- Approaches to mitigate adverse impacts
- The format of a SIA report

Training in social impact assessment for personnel dealing with resettlement is expected to improve overall the capacity to manage projects that cause displacement.

III   Structure of the Training Workshop

The training course consists of nine modules.

Module 1 Introduction to Social Impact Assessment

This module seeks to provide a brief introduction to the subject, describing it as a process that analyses how development project proposals affect people's lives and identifies measures to mitigate their adverse impacts.

Module 2 Causes and Types of Social Impacts

The module explains the term 'social impacts' , which can be both positive and negative, intended and unintended, affects different groups differently, and provides an illustrative list of common impacts of various kinds: social/cultural/ economic/public infrastructure and services.

Module 3 Steps in Conducting SIA

A series of steps that constitute the SIA process are presented in this module. Beginning with the screening which determines whether SIA is required, the module

dwells on the process of preparing a socioeconomic profile of the population likely to be affected, identifying and assessing the key impacts, and the measures devised to deal with adverse impacts.

Module 4 Principles of Good Practice in SIA

The principles to guide the process and methods of conducting social impact assessment are meant to ensure that SIA is done in a sound, scientific way. This module discusses these generally acceptable principles of good practice.

Module 5 Sources of SIA Information and Methods of Data Collection

SIA relies on both secondary and primary sources of data. It involves the use of a broad array of quantitative as well as qualitative data collection methods, common in social science research. The sources of SIA information and the methodology of data collection are the focus of this module.

Module 6 Identification and Assessment of Social Impacts

The identification of key impacts and an assessment of their significance is an important step in the SIA process, in which the significance of each impact is assessed. If impacts appear to be adverse, SIA must clearly suggest a course of action to be followed, including their mitigation or even outright rejection of a project proposal.

Module 7 Community Involvement in SIA

Often the affected people are in a better position to predict the likely outcome of a project proposal. They can foresee adverse impacts that are likely to be triggered by the project. Community involvement is therefore basic to the SIA process. This module discusses the ways to involve the affected people in identifying adverse impacts and identifying ways to mitigate them

Module 8 Impact Mitigation

The usual outcome of a SIA is a plan to mitigate possible adverse project impacts. This module discusses the approaches to impact mitigation and the procedures to develop a mitigation plan.

Module 9 Format of a SIA Report

This module explains how a formal report should be prepared once the social impact assessment has been completed. It describes the several distinct sections into which a report is divided with a short executive summary. The most important section of a SIA report is the last section which contains the recommendations for action.

IV   User's Guide

Using the modules presented in this Training Guide, trainers should design their presentations with the needs and background of participants in mind, and concentrate on those modules that are most relevant to the participants.

Ideally, a short questionnaire designed to ascertain training needs should be completed by participants well before the workshop commencement. This will give trainers a better understanding of the training needs. Once that is done, it will be easier to develop a workshop responsive to exact needs of the audience.

The modules can be presented either in the sequence presented in this Guide or rearranged in a different sequence in light of the participants' needs.

Trainers can design a short programme for senior officials using the material presented in this Guide. Alternatively, a longer programme can be organized for practitioners in the field who will need a more detailed understanding of all the stages involved in conducting SIA.

It should be possible to cover most raining sessions in one hour fifteen minutes, Training methodology should be a mix of(a) Lecture (b) Group discussion and (c) Filed visit

Trainers will require the following equipment to make their presentations; (a) Laptop for powerpoint presentation (b) Pocket sized microphone and (c) Flipchart with pens

Required Reading: SIA Guidelines (prepared for this project)

V Session Outlines

The session outlines/modules included in this Guide are meant to help trainers organize their presentations. They are focused on substantive issues in SIA. The trainer can add or delete materials from the session outlines to suit the identified needs of the participants.

The material included in session outlines is usable for preparing a powerpoint presentation.

Module 1
Introduction to Social Impact Assessment

_____

What is SIA?
- **SIA is the Process of Assessing, in Advance, the Social Impacts Likely to Follow from a Project Proposal**
- **It is an Attempt to Quantify Those Impacts**
- **It alerts the Planners to Understand the Potential Consequences of a Proposed Project**
- **It is a Powerful Tool Allowing Decision Makers to Initiate Steps Necessary to Prevent/Contain Harmful Potential Impacts**

Why do SIA?
- **Identifying Potential Impacts First Step in Planning Process**
- **Helps in Identifying Potential Impacts Essential for Planning Purposes**
- **Helps in Identifying Groups Likely to be Adversely Affected**
- **Helps in Designing Projects that Neutralize/Soften Adverse Impacts**
- **Helps in Designing Projects that Enhance Positive Impacts**

Why do SIA? (contd)
- **Provides Opportunity to Explain Project's Objectives to Affected Groups**
- **Provides Affected People an Avenue to Express their Views**
- **Helps in Allaying Fears and Winning Trust of Affected People**
- **Helps People Identify Development Opportunities from the Project**
- **Lowers Projects Costs by Timely Actions**
- **Reduces Delays in Projects Clearance**

Module 2
Causes and Types of Social Impacts

What are Social Impacts?
- **Social Impacts are Consequences to Human Populations of any Public/Private Actions**
- **These Include Changes in Ways They Live, Work, Play, Organize to Meet Their Needs**
- **Changes My Effect: Employment, Production, Way of Life, Culture, Community, Political Systems, Property, Norms, Values, Beliefs, Fears, Aspirations**
- **These Impacts Can Be Positive or Negative**
- **In Short, Social Impact is a Significant Improvement or Deterioration in Wellbeing**

What are Social Impacts? (contd)
- **Different Groups Experience Impacts Differently**
- **Some Win, Some Lose**
- **Impacts Severe for Vulnerable Groups (Tribal People, Women)**
- **Impacts Differ from Project to Project (Dams, Urban Projects, Place to Place)**

Illustrative list of Impacts
Social/Cultural
- **Break-up of community cohesion**
- **Disintegration of social support systems**
- **Disruption of women's economic activities**
- **Loss of time-honoured sacred places of worship**
- **Loss of archeological sites and other cultural property**

Illustrative list of Impacts (contd)
Economic
- **Loss of agricultural lands, tress, wells**
- **Loss of dwellings and other farm buildings**
- **Loss of access to common property resources**
- **Loss of shops, commercial buildings**
- **Loss of businesses/jobs**
- **Overall reduction in income due to above losses**

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Illustrative list of Impacts (contd)
Public Infrastructure and services
- **Government office buildings**
- **School buildings**
- **Hospitals**
- **Roads**
- **Street lighting**

Module 3
Steps in Conducting SIA

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The SIA Process

- **Screening: Decide If and What Level SIA is Required**
- **Scoping: Identify the Key Social Issues**
- **Impact Analysis: Predict the Impacts of a Proposal and Evaluate their Significance**
- **Mitigation: Plan Action to Prevent, Reduce or Compensate for Adverse impacts**

The SIA Process (Contd)
- **Reporting: Provide the Information for Use in Decision-Making**
- **Review: Check the Quality of the SIA Report**
- **Decision-Making: Approve, Reject the Proposal or Approve Condionally**
- **Follow Up: Monitor, Manage Impacts**
- **Public Involvement: Inform and Consult with Stakeholders**

Steps in Conducting the SIA process
- **Define the Impact Area**
- **Identify Information/Data Requirements and Their Sources**
- **Involve all Affected Stakeholders**
- **Conduct Screening**

Steps in Conducting the SIA process (contd)
- **Carry Out Scoping in the Field**
- **Prepare a Socioeconomic Profile of Baseline Condition**
- **Survey of Host Population**
- **Identify and Assess the Impacts**
- **Develop a Mitigation Plan**

Module 4
Principles of Good Practice in SIA

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Principles of Good Practice
- **Involve the Diverse Public**
- **Analyze Impact Equity**
- **Focus the Assessment**
- **Identify Methods and Assumptions and Define Significance**

Principles of Good Practice (contd)
- **Provide Feedback on Social Impacts to Project Planner**
- **Use SIA Practitioners**
- **Establish Monitoring and Mitigation Programmes**
- **Identify Data Sources**
- **Plan for Gaps in Data**

Module 5
Sources of SIA Information and
Methods of Data Collection

Sources of SIA Information
- **SIA Uses Both Secondary and Primary Data**
- **Secondary Sources Include: Data on the Proposal, Census and Vital Statistics, Other documents**
- **Primary Sources Include: Project-specific Survey and Field Research**
- **SIA Uses Both Quantitative and Qualitative Methods**

Secondary Sources:
- **Project Report and Related Documents**
- **Government Census Data**
- **Land Records**
- **Published Literature on the Project Area and its People**

Secondary Sources (contd)
- **Secondary Data No Substitute for Project-Specific Surveys**
- **Use Primary Data: Quantitative and Qualitative**
- **Includes Relevant Data Gathered directly from the Field**
- **Various other Surveys, Studies**

Methods and Tools
Quantitative Methods
- **Land Acquisition Survey**
- **Census Survey**
- **Socioeconomic Survey**

Qualitative Methods
- **Key Informant Interviews**
- **Rapid Rural Appraisals**
- **Focus Group Discussions (FGDs)**
- **Public Hearing**

Module 6
Identification and Assessment of Social Impacts

Identifying and Assessing Social Impacts
- **The First Task in Resettlement Planning is to Identify Project's Adverse Impacts**
- **Identify All People Affected by Project**
- **Understand Impacts on Livelihoods of those Affected**

- **Describe Project Impacts on Different Groups**
- **Quantify Impacts As Far As Possible (Some Are Not Quantifiable)**
- **Involve Affected Groups in Ranking Impacts According to Their Severity**

Module 7
Community Involvement in SIA
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Purpose and Objective of Public Involvement
- **Informing Stakeholders**
- **Obtaining Information on Local Socio-Economic Conditions**
- **Gaining their Views, Concerns**
- **Winning Public Trust**
- **Incorporating People's Perspective in Decision-Making**
- **Making Decision-Making Transparent and Accountable**
- **Reducing Conflict**

Public Involvement
- **Levels of Public Involvement**
- **Key Stakeholders**
- **Principles of Public Involvement**
- **Public Involvement in Key Stages of the EIA Process**

Principles of Public Involvement
- **Inclusive: Involves all Stakeholders**
- **Open and Transparent: Proposal is easily Understood**
- **Relevant: Focused on Issues that Matter**
- **Fair: Conducted without Bias towards any Group**
- **Responsive: To Stakeholder Concerns and Needs**
- **Builds Confidence and Trust**

Developing a Public Involvement Programme
- **Determining the Scope of Involvement**
- **Identifying Affected Groups and other Stakeholders**
- **Selecting Techniques Relevant to Local Situation**
- **Providing Feedback to Stakeholders**

Module 8
Impact Mitigation
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Mitigating Impacts
- **Give Priority to Avoid Social Impacts**
- **Minimize Them as far as Practicable**
- **Identify Mitigation Measures for Each Impact**
- **Customize Them to the Different Affected Groups**
- **Ensure Impacts are Not Borne Disproportionately by Any Group**

Mitigating Impacts (Contd)
- **No One Should be Worse Off than Before**
- **Treat Relocation/Resettlement as a Special Case**
- **Livelihoods of those Displaced should be Improved**
- **Enhance Benefits for Local People through Job Training and Development Packages**

Module 9
Format of a SIA Report

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Preparing a SIA Report

- **A Report on SIA Required for Decision-Making by Project Proponent**
- **Prepare a Formal Report for Submission to the Sponsoring Authority after completion of the Social Impact Assessment**
- **Provide a Brief Executive Summary**

- **Divide the Report into Distinct Sections**
- **Introduction, Methodology Used, Likely Impacts, Recommendations, Mitigation Measures**
- **Provide Recommendations with Full Justification**
- **Share the Report Widely**

VI   Bibliography

This Bibliography is meant for trainers who would wish to further pursue Social Impact Assessment studies to enhance their understanding of this subject of growing importance.

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