

Social Analysis to Improve the Quality of Bank Operations


Introduction to a Social Development Framework



Social Development Core Competencies Learning Series



Social Assessment



is an iterative and flexible process that brings operationally relevant social information and analysis to bear on project/program design, implementation and evaluation. It normally includes stakeholder consultations and informed participation to discuss roles and benefits streams, and take diverse views into account. It establishes a framework for ongoing monitoring of social indicators to improve project performance.

<http://wbln0018.worldbank.org/essd/essd.nsf/SA/Home>

Social Assessment and the Project Cycle

Project Identification

- A preliminary assessment of the social development and participation issues is conducted

Documentation & Preparation

- Project Concept Document (PCD) is informed of SA, and the next steps of SA are defined
- SA is carried out as an integral part of project preparation,

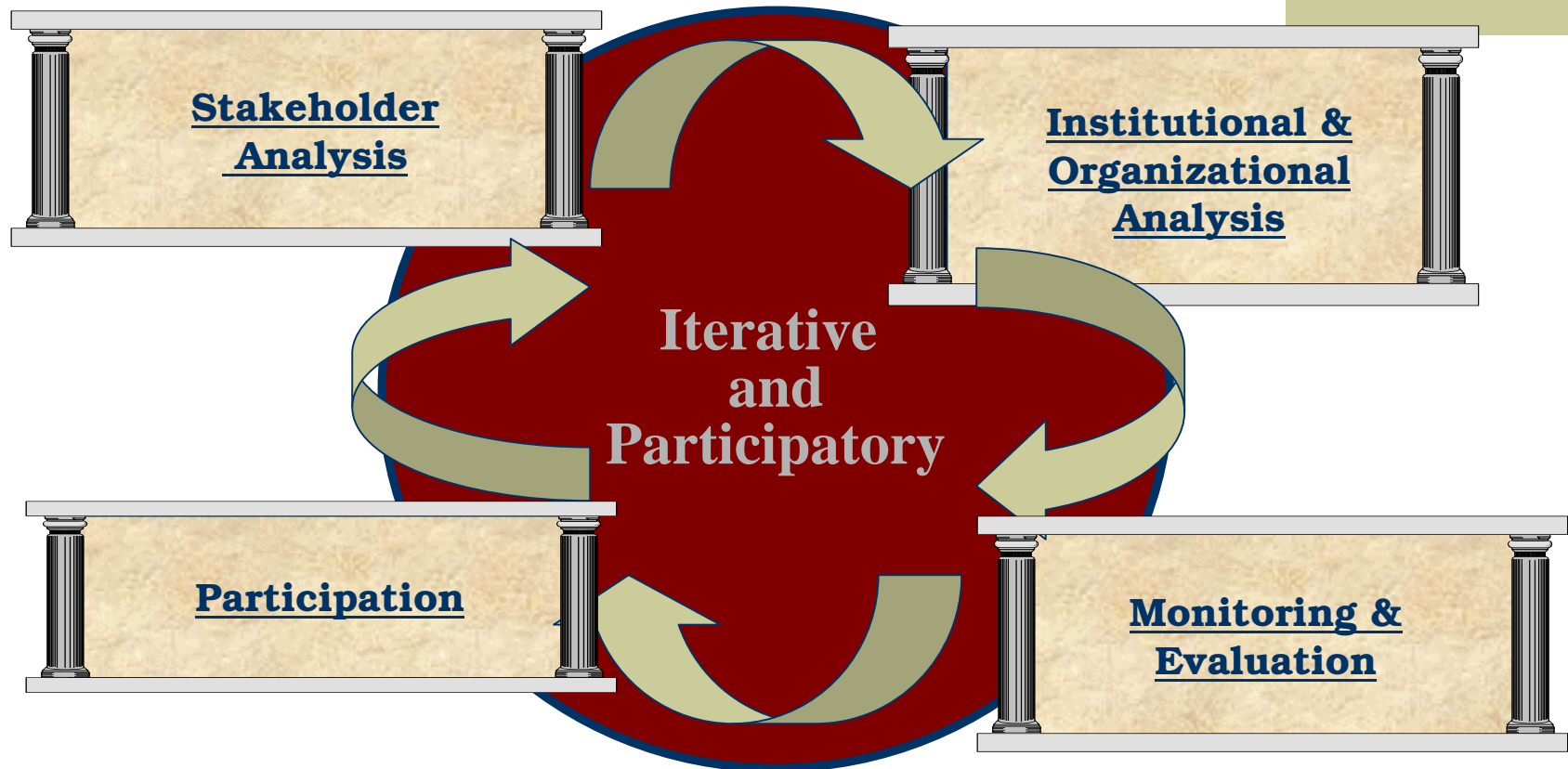
Appraisal

- Appraisal team includes SA practitioner
- SA completed and findings documented
- Project Appraisal Document (PAD) summarizes findings and recommendations of social assessment
- TT and country lawyers include relevant social issues in Loan Agreement

Implementation & Supervision

- Supervision missions include expertise to adequately supervise social development dimensions and follow up on social impact monitoring

Four Pillars of Social Assessment





Objectives of Social Analysis

- ⑩ Enable the borrower to develop strategies for *social inclusion* and *empowerment* as the means to achieve *poverty reduction* and *sustainable development*
- ⑩ Obtain stakeholder perceptions on the objectives and design of the proposed project
- ⑩ Identify opportunities and constraints, and the social risks to be considered in analysis of alternatives
- ⑩ Clarify project benefits and intended social development outcomes
- ⑩ Design optimal institutional arrangements to enhance social development outcomes and strategies to manage social risks
- ⑩ Develop indicators and mechanisms to monitor social risks and development outcomes

Social Analysis Process Enables the World Bank and the Borrower to:

- Reach agreement on key social development issues to be addressed by the proposed project or operation
- Analyze social diversity and social risks to identify impacts on different social groups
- Reach agreement on the Participation Action Plan for informed consultation with stakeholders and beneficiaries and their participation during implementation
- Understand opportunities, constraints and stakeholder interests to design effective and culturally compatible institutional arrangements
- Take social risks into account in project design and analysis of alternatives



Stakeholder Analysis

• **What are the relevant social issues?**

Identify key stakeholders (stakeholders include individuals, communities, social groups, organizations, interest groups?)

What interests do they represent?

Degree of influence and importance to the project

What can they contribute to the project?

Proposed actions to address stakeholder interests and increase their support for the project?

•e.g., information sharing, consultation, capacity-building, allocation of resources, role in monitoring

Organizational & Institutional Analysis

- **Organizational mapping: organizations relevant to the project**
- **Institutional mapping to identify opportunities and constraints**
 - **Decision-making processes**
 - **Flow of resources**
 - **Informal rules and practices that affect institutional performance**



Participation

- **Country context: enabling environment for participation**
- **Incentives and Disincentives**
- **Mechanisms of Participation for**
 - **implementation**
 - **accountability**
 - **participatory Monitoring and Evaluation**
- **Development of Participation Framework**

Monitoring and Evaluation

- **Reach agreement on key performance indicators to monitor social development processes, outcomes and impacts**
- **Establish a baseline to measure progress**
- **Define transparent evaluation procedures, including third party monitoring and participatory M&E**
- **Ensure that M&E procedures are established for the project**
- **Ensure that all M&E activities, including social impact monitoring are fully budgeted and supervised**



Social Development Quality Assurance

Criteria ensuring Quality Social
Development in Bank Operations

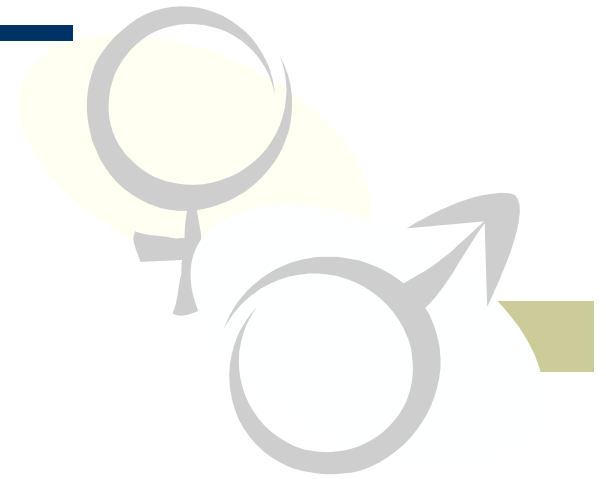


Operation's focus on poverty reduction in the context of the CAS



- ⑩ The likely impact on the poor and other vulnerable social groups was adequately assessed and reflected in the operation's design.

Gender issues



- ⑩ Identified during preparation.
- ⑩ Specific activities or measures designed to ensure inclusion of women in program benefits.
- ⑩ The potential effect of the operation on the empowerment of women has been assessed.
- ⑩ Mechanisms are in place to monitor gender impacts.



Quality of stakeholder analysis and consultation



- ⑩ There was adequate stakeholder analysis
- ⑩ There was an assessment of the degree of beneficiaries and other key stakeholders' participation





Management and mitigation of any adverse social impacts



- ⑩ An assessment was done on the adequacy of pre-existing mechanisms to manage adverse social impacts
- ⑩ If they were found to be inadequate, the project established new mechanisms or strengthened existing mechanisms

Compliance with Bank's safeguard policies

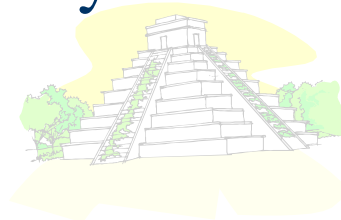
⑩ for Indigenous peoples



⑩ on Involuntary Resettlement



⑩ on Cultural Property





Implementation Arrangements



- ⑩ The arrangements to monitor implementation and to review progress with the borrower are appropriate
- ⑩ The specificity of indicators and benchmarks are appropriate
- ⑩ Monitoring responsibilities are clearly assigned
- ⑩ Arrangements for evaluating impact and measuring outcomes of poverty and social aspects are appropriate.



Other relevant social development issues and risks

- ⑩ The relationship between planned inputs and Social Development outcomes were clarified
- ⑩ The impacts were disaggregated by social groups
- ⑩ The operation took account of existing social and economic inequalities
- ⑩ The operation considered the impact of existing or potential social tension
- ⑩ The operation considered opportunities for partnership



Risk Assessment and Management



- ⑩ An assessment of key social risks has been completed and the following have been considered:
- ④ Country Risks
 - ④ Adverse impacts on the poor
 - ④ Vulnerability of development objectives
 - ④ Weak ownership
 - ④ Reputational risks



Risk Assessment and Management



⑩ Strategies for dealing with social risks were appropriate

- ④ account for country risks
- ④ mitigate adverse social impacts
- ④ negotiate with and monitor effects of influential stakeholders
- ④ build coalitions for change
- ④ manage reputational risk.

**Increase development effectiveness
for poverty reduction**

**Sustainable
economic and
social
development**

**Social
Inclusion**

Empowerment

**Development
Intervention**

**Social
Development
Strategies**

Participation

**Risk
Management
Strategies**

**Social
Diversity**

**Gender
Issues**

**Social
Risks**

**Opportunities
and
Constraints**



Social Inclusion

the removal of institutional constraints and enhancement of incentives to increase the access of diverse individuals and groups to assets and development opportunities



Empowerment

The enhancement of the assets and capabilities of diverse individuals and groups to engage and influence economic and social institutions, and to increase the accountability of public institutions.

Social Analysis establishes that:

- Operations are tailored to social and institutional context and is likely to have positive SD outcomes
- Diverse views of key stakeholders have been taken into account; arrangements made for informed participation
- Institutional arrangements, including capacity and commitment to achieve SD outcomes exist; transparent mechanisms exist for accountability of public institutions
- Potential social risks have been assessed and risk management measures are in place
- SD outcomes agreed; adequate arrangements for monitoring and evaluation of those outcomes are in place

Mapping Instruments to Social Dimensions

Dimensions

Elements of Social Analysis

	Social Diversity	Gender Issues	Social Risks	Opportunities & Constraints
Stakeholder Analysis				
Monitoring & Evaluation				
Institutional & Organizational Analysis				
Participation				