

Elements of Social Impact Analysis and their relevance to National level REDD+

Paul Francis

prepared for

Learning Initiative on Social Assessment of REDD+

Experts' Workshop on Social Impact Assessment:

Methodologies for National or Sub-National REDD+

8-10 May 2012,

The World Agroforestry Centre (ICRAF), Nairobi, Kenya

Overview

- **(Social) Impact Analysis:**
 - What?
 - Why?
 - When?
 - How?
- Social Impact Analysis for **National REDD+** progs
 - Same questions

What is Impact Analysis?

Systematic investigation of the effects of the **changes** brought about by an **intervention**.

This implies three things:

1. **an intervention**
2. **something** that is acted upon/changed
3. **a change/impact**

What is an **intervention**?

- Can be a project, large or small, a programme, a policy, or a set of policies

What is being acted upon?

A situation or system, which, even if complex, is bounded (at least conceptually), defined by value and intention, and likely with characteristics that are:

- Physical
- Environmental
- Economic
- Societal
- Institutional
- Cultural

i.e. a small (or larger) slice of reality

What is **Impact**?

- the **positive and negative, intended and unintended, direct and indirect, primary and secondary** effects produced by an intervention.

(OECD DAC)

What are **social** impacts?

- Social impacts are a **subset** of impacts
 - they are not fully separable from other impacts, either *conceptually, causally, or in value terms*.
- *Some social impacts may be of particular policy relevance:*
 - *e.g. poverty, equity, social exclusion*
 - *Poverty is prioritized in some approaches, e.g.:*
 - *Poverty and Social Impact Analysis (PSIA)*
 - *Poverty Impact Analysis (PIA)*

Footnote:

What is Poverty and Social Impact Analysis?

A PSIA is an assessment of the distributional impact of specific policy reforms on the well-being or welfare of different stakeholder groups, with particular focus on the poor and vulnerable.

P.S: PSIA is not a method, but an approach

Some **types** of social impacts

Changes to peoples:

- **Way of life** – how they live, work and interact with one another.
- **Culture** – that is, their shared beliefs, customs, values and language.
- **Community** – its cohesion, stability, character, services and facilities.
- **Political systems** – ability to participate in decisions, level of democratization
- **Environment** – the availability/quality of air, water, food; the level of hazard or risk (exposure to noise, toxic materials, dust); sanitation, safety, other resources.
- **Health and well-being** -- in the fullest sense
- **Personal and property rights** – including economic, and civil liberties.
- **Fears and aspirations** – perceptions about their safety, their own future, and that of their children and community.

Adapted from Vanclay 2003

The **main questions** of Social Impact Analysis:

- **Who** will be affected?
- **How** will they be affected?

Why do social impact analysis?

- to design
- to plan
- to improve
- to engage
- to monitor
- to learn
- to understand

When to do social impact analysis?

Before ('ex-ante')

- To assess likely impacts in advance so as to improve design, promote positive

During ('synchronous')

- To steer / modify the program/policy

After ('ex-post')

- To learn the lessons (and act on them)

How to do Social Impact Analysis?

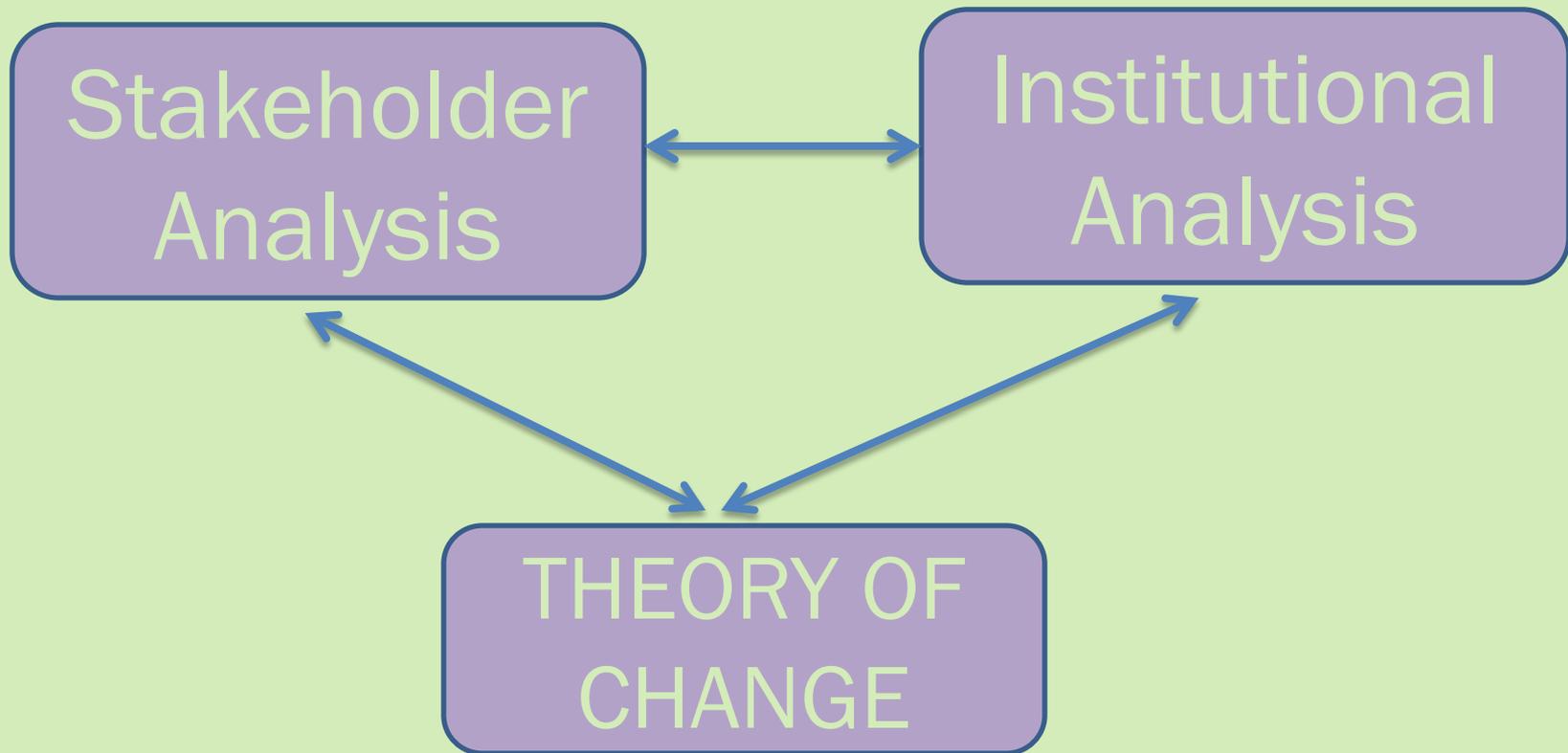
Participation

Poverty Reduction

Three groups of activities

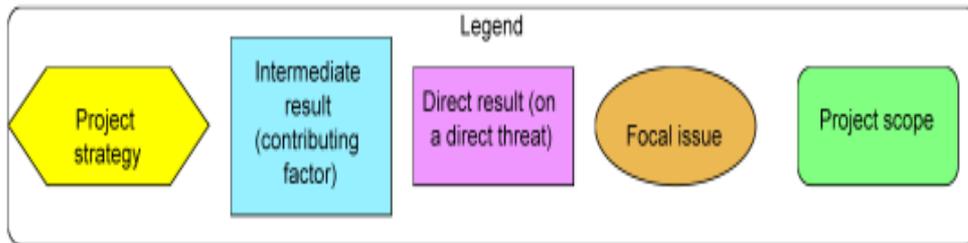
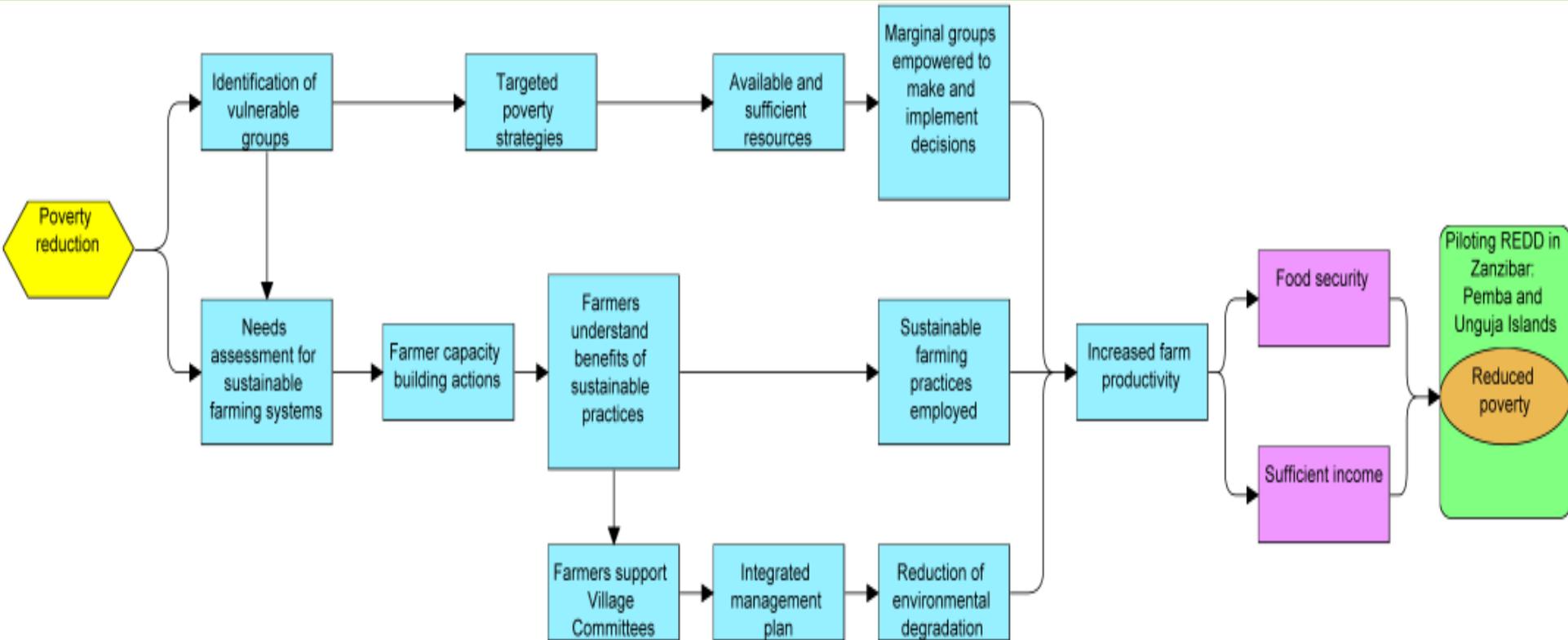
- A. **Causal analysis:** Develop a model of how the policy is supposed to work - your **Theory of Change:**
- B. **Collect data and information**
- C. **Interpret, conclude and act**

A. Develop a causal analysis: how and with whom the policy is supposed to work.



Social and Biodiversity Impact Assessment (SBIA) manual for REDD+ projects - Stage 3: Results chain of focal issue

[an example from Michael Richards]



B. Collect data and information

i.e. choose and use your methods, based on:

- Questions to be answered (types of impact, etc)
 - Form in which the answer is desired
 - Existing data
 - Client, audience, periodicity,
 - Capacities
 - Resources available,
 - Etc. *[to be discussed elsewhere]*
- Generally a mix of methods will be appropriate for a mix of purposes

C. Interpret, Conclude, and Act..

Actions include:

- Learn, disseminate, advocate, redesign.....
- Foster public debate
- Critical to build this in *from the first stage*, the stakeholders who can do this successfully.
- This stage is, at least in part, inherently political, (in that it affects interests) and is not easy to achieve (note WB evaluation)

Need to focus on :

- the **demand for** as much as the **supply of** information/knowledge
- the **coherence** of policy (which can be structured around social goals at a national level)
- Institutionalization of procedures and standards

What would this mean for REDD+?

i.e.:

What is the intervention?

What is the domain being acted upon?

What are the impacts? (direct, indirect.....

What is the National REDD+ **intervention**?

- **national** *c.f.* local/projectized impact
- (but) inseparable from **international** context, and (multiple) stakeholders/incentives
- **REDD policies and mechanisms themselves are still being defined?** (R-PP>NPD>...),
 - especially key issues such as form of *benefit distribution* and *carbon rights*
 - *an opportunity as well as a challenge*
- Some social analysis/assessment is already entailed in REDD+ formats and procedures: e.g. R-PP formats, SESA/ESMF, safeguards requirements, other standards....

What is the REDD+ **situation**?

- Broad (sectorally, geographically)
- Complex and multi-layered sets of stakeholders and institutions
- Substantial overlap with existing national policies (in forestry, environment, etc. ...)
- Overlap with other progs, esp FLEGT/VPA

What are the REDD+ impacts?

(remember...positive and negative, intended and unintended, direct and indirect, primary and secondary)

- complex
- differentiated (by stakeholder/social group)
- deferred
- difficult to predict
- contested
- difficult to measure
- (institutional, governance) process elements are critical, especially in short term

Some possible REDD+ impacts - LOCAL

- Impact on formal and informal/customary/*de facto* tenure and access rights
- Impact on income and employment sources (created/destroyed)
- Distribution of new sources of income
 - Benefit sharing to communities vs. other value-chain stakeholders [& conservers vs destroyers]
 - within communities (eligibility, targeting, sharing processes...)
 - between participating and non-participating communities
- Impact of cash on communities, local institutions, and culture
- Gender dimensions of impacts
- Change in access to public goods, services, infrastructure
- Changes in demand for products/prices

Some possible **REDD+** impacts - **NATIONAL**

- Improved environmental quality
- Savings due to improved environmental services (e.g. expenditure on flood reduction)
- Contribution to GDP
- Improved physical infrastructure
- Improved (e.g. forestry) institutions
- More accountable national institutions
- Impact on national social indicators

Is **PSIA** applicable to REDD+?

- **Policy focus**: a foundation for **evidence-based** policy making (*c.f. interest*)
- **Country, sector or issue focus** (*c.f. project*)
- **Equity focus**
- Combines **analysis** with **process**
- Promotes **inclusive** policy making and can address **political economy** issues
- Can be done **before** (*ex ante*), **during**, or **after** (*ex post*) reform

a conclusion

Method is important, and methodological choice and rigour are critical.

However, methodology and data collection are merely a part of a set of systems (often the least problematic part):

- **Conceptual system** -- a causal structure or theory of Change: What do you expect to happen? Why?
- **Knowledge and learning system** for the ongoing generation, flow of information and data – and acting on it
- **An institutional network** which channels, disseminates, and uses (or not) the data
- **A political-economic system (part of political world)** through which stakeholder interests are expressed, alliances build, decisions made and implemented (or not)
- **Financial/ resource system** (sustainable) which supports costs of continuing knowledge generation