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SOCIAL AND BEHAVIORAL FACTORS

IN PROJECT WORK

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## PREFACE

1. The Bank, as well as the Borrowers and consultants assisting them, necessarily make assumptions about human behavior in project work: the level of interest people will show in what the project offers; the ease and speed with which they will abandon their accustomed ways of doing things and turn to new ideas and approaches; their willingness to contribute labor or cash; their preferences and dislikes, and so on. These assumptions may be correct, especially when designers and implementers of the activities and the people they are meant to serve come from very similar backgrounds. But more often than not, such is not the case; therefore, many of the social and behavioral assumptions need to be re-examined during the design stage and checked against actual information about the social and cultural context.

2. The foregoing applies particularly, but not solely, to poverty oriented projects, which normally incur increasingly complex social risks. Early consideration of social factors (through an analysis of the social feasibility of the project) will allow problems, which might otherwise lead to implementation bottlenecks, to be resolved during the design stage. For example, it may contribute to a more accurate assessment of the demand for the project, a better match between the project population and the selected technology or institutional channels, a greater commitment by intended beneficiaries toward implementing the project, better access to benefits; and the minimizing of unintended negative consequences. In other words, and as the report illustrates, social inputs properly tailored to project resources and needs are not "icing on the cake" but basic ingredients of successful projects and of direct and practical use in development banking.

3. The report itself should be seen as part of an ongoing process in which the Bank and its Borrowers are becoming aware of the human and social side of development projects.

4. A number of our colleagues were consulted in the preparation of the report and many will recognize their own ideas and experiences in it. We would obviously welcome any further contributions they may wish to make, as well as suggestions regarding directions for further work.

5. Obviously, this report is not the final word on the subject. The field itself is developing, as is our understanding of it. The essential contribution of this report, therefore, is to record the progress made and to generalize its implications so that project design may be improved without sacrificing the efficiency of project preparation.

## Social and Behavioral Factors in Project Work

### Introduction and Summary

#### Introduction

0.01 This report proposes an operational framework for dealing with social and behavioral questions during project generation, appraisal, and implementation, especially in poverty oriented projects. It is addressed to decision makers in the Bank, such as Division chiefs, mission leaders, and operating staff who are called upon to make daily decisions on which issues or design questions are important in projects under their responsibility and how they should be handled in practice. The report should also be helpful for advising staff in the borrowing countries responsible for project preparation.

0.02 The hypothesis underlying the report is that the success of a poverty oriented project will often be determined by how well identification and elaboration of the project concept and implementation strategy has taken into account the social context in which the project will be implemented.<sup>1/</sup> This argument is not new and is generally well recognized by Bank staff, particularly those with extensive field experience. Staff awareness has also been sharpened through the nearly seven years of related efforts carried out within the Bank (workshops, seminars, and papers) and under Bank projects. Leading sectors in promoting such awareness have been agriculture and rural development, rural roads, water and wastes, and urban.<sup>2/</sup>

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1/ The term "social context" is used in a broad sense to include the political, cultural, resource, technological, behavioral, and other factors which make up the total project environment. Social and behavioral factors are implicitly considered in most Bank-financed projects (in market studies, socio-economic and institutional studies, studies of labor productivity and training requirements, determination of user requirements prior to architectural studies, etc.). In the case of poverty oriented projects, the socio-cultural gap between (a) project sponsors, designers, or managers and (b) beneficiary agency staff and ultimate beneficiaries, is usually greater than under more conventional projects. Hence the need for considering the social context more explicitly.

2/ The effort was started in 1972 when the Bank's Central Projects Staff commissioned a report on the use of anthropology in project operations. (See Glynn Cochrane and Raymond Noronha, A Report with Recommendations on the Use of Anthropology in Project Operations of the World Bank Group, World Bank, March 1973). This was followed by the full-time appointment of a sociologist to deal with the social and cultural variables in agricultural and rural development projects and of a Bank's adviser on women in development. At present, the Bank employs three sociologists or anthropologists full-time on project work, about ten in various generalist capacities, and a growing number of consultants in the same fields. A series of workshops has been organized by the Rural Operations Review and Support Unit on the sociological factors in the various types of development interventions in agriculture, ranging from irrigation and livestock projects to formal or informal credit. Parallel efforts have been made in the tourism, feeder roads, water and wastes, urban sectors, and by the Office of Health and Environmental Affairs and the Projects Advisory Staff.

0.03 The purpose of the present report, therefore, is not to make a case for considering social and behavioral factors, but to aid staff, and indirectly, Borrowers, in doing so more efficiently in practice. The recommendations made are often close to what is already being attempted under particular Bank projects, but may not yet be in general use throughout the Bank. We have also made a special effort to tailor any recommendations to project cycle and budgetary constraints to the extent possible. Because the report itself results from a collaborative effort with staff, many will recognize their own ideas and experiences in it.

0.04 The most important project policy implication of the paper is that particularly poverty oriented projects should not only plan for the physical and financial access to the goods and services provided, but also for the actual and continued use of such goods and services. Such a shift in focus would allow more systematic recognition of several behavioral, social-cultural, resource, and other constraints between access and use (see Chart 1: Planning for Access versus Planning for Use). The essential technique for doing this within the Bank project cycle is by analyzing the social feasibility of engineering, technical, or institutional choices and by designing ways to improve such feasibility, if necessary.

#### Summary

0.05 The report is divided into three sections. The first section discusses priorities among Bank projects by examining when the social context and behavior of the project populations (and, occasionally, other groups involved in the project) justify special attention. The second section suggests ways to bridge the gap between any available social and behavioral information and its actual use in project design, within the framework of three major areas of concern in project preparation. The third section provides an overview of what kinds of "social" techniques are available and how they might fit into the project cycle. The Annexes to the report consist of a series of tools such as terms of reference, checklists, and guidelines, which may be useful to Bank staff in advising Borrowers and in structuring the work of consultants assisting the Borrower.

#### I. When Social and Behavioral Factors are Important

0.06 It is unlikely that resources for social studies or analyses in most Bank sectors will be adequate within the next few years. While the need for special attention to populations displaced by large-scale infrastructure projects is obvious, further definition of priorities, even within poverty oriented projects, seems warranted. The characteristics of the population towards which the project is targeted should be the major criterion for defining such priority. Certain subgroups among the poor, such as pastoralists, fishermen, landless farmers, women, and indigenous peoples previously cut off from development, can be considered especially difficult to reach with project benefits and over short time periods. Therefore, in projects directed to such populations, the project concept needs to be assessed on the basis of a more thorough understanding of the people involved in order to find a critical wedge for intervention; and greater care may be necessary

in adapting standard technologies and implementation strategies to the particular social context. Also, certain strategies, such as those which call for changes in long-established practices or involve participation of beneficiaries in planning, management, construction, or maintenance, are much more difficult to implement in large, time-bound Bank projects than in small, pilot interventions under which they have usually been conceived. Thus, the need for adequate consideration of social and behavioral (or "human") factors in project work is not limited to Bank sectors or subsectors such as agriculture and rural development, urban, health, nutrition, and population, but also extends to certain newer style projects in rural roads, water and wastes, and education.

## II. How Social Information Can Be Used for Making Design Decisions

0.07 The report selects major project design areas to illustrate how use of information on social and behavioral factors can improve the project concept, its technical and institutional design, and its likely impact on project beneficiaries. Clearly, all these areas and issues do not come up in all projects, nor are all the linkages suggested relevant in all cases in which they could occur. Given Bank staffing patterns and those of many of the borrower agencies with which it deals, the report emphasizes the close connection of such questions with the work of sensitive and experienced engineers, urban planners, architects, specialists in management, health/nutrition, population, education, and other fields. The design areas discussed in this section are as follows:

### (a) need for the project:

- assessing the needs of low-income populations for the project goods or services;

### (b) technical and institutional design:

- selecting or adapting technologies so that they can be acceptable and beneficial to users and appropriate to their social environment;
- planning private or public buildings and residential layouts for low-income users;
- deciding on the feasibility of, and procedures for, active participation of local people in project planning, construction, maintenance, or management;
- selecting appropriate institutional arrangements.

### (c) project impact:

- improving access of the project populations to project benefits and equitable distribution of such benefits among them; and
- recognizing and sometimes avoiding (or at least minimizing) unintended negative effects of the project on people in its area of influence -- or of such people on the project.

## Need for the Project

0.08 Assessing the needs of low-income populations. Data about project populations' interests, priorities, and skills can either be used as a leading source of information on which to base definition of the project concept (e.g., in the case of urban and rural development projects), or, it can perform a proxy function for assessing interest in and need for a particular intervention being considered. The latter function is especially relevant to those Bank sectors and projects serving new populations (e.g., water and wastes, rural electrification, rural telecommunications, rural roads, and sometimes even nutrition/health/population, and education) in which there is sometimes little historical precedent and normal sources of data on demand may not exist or be unreliable. This function is particularly helpful in identifying existing informal alternatives that, in the view of project beneficiaries, may already reasonably satisfy their needs, thereby helping to guard against overoptimism and the frequently erroneous assumption that project goods and services will be entering into a vacuum. The real situation is often not one of monopoly, but of fierce competition — from non-governmental housing arrangements in urban projects, private water sources or informal purchasing arrangements with water supplies, traditional practitioners providing health care, and even in some countries traditional education systems (e.g., Koranic schools). Time-consuming surveys are not always the only means to get at such information. More rapid methods can also be used to amass and compare data from a variety of sources and predict with reasonable accuracy who will want what and under what conditions of price, timing, delivery system, management, and so on.

## Technical and Institutional Design

0.09 Choice and design of technology. The development community is by now fully aware of the importance of considering "appropriate" technologies. But what may appear appropriate from a Government or funding agency's viewpoint may not necessarily appear so to the final user. When the latter's viewpoint is not known to, or considered by, the project designer, the project is vulnerable to the risk that the intended beneficiaries may end up not using its services or technologies. Since many of the engineering or technical aspects of such technologies are not very complicated, it is often a range of user-related issues that need most attention during design — for example, the beneficiaries' access to time, money, land, or other indispensable resources, or the existence of undesirable practices, beliefs, or similar obstacles (see Chart 1: Planning for Access versus Planning for Use). There is nothing particularly esoteric about socio-technical questions, but they do imply (a) focusing on users rather than on inputs alone, (b) concentrating on what other technologies, skills, behavior patterns, or resources are required and exist to ensure that access to the technology will be followed by its actual use, and (c) adapting the technology to the user characteristics and/or building education components or incentives into the project. Most of the activities required can be carried out rapidly in the field without interfering with the critical path of project preparation.

0.10 Spatial design and architectural design. Understanding of the proposed users and their likes, prejudices, living conditions and habits, social organization, and other socio-economic characteristics is relevant

to spatial planning and architectural design, not only in urban projects (in which it is normal practice to gather such knowledge) but also in other Bank-assisted projects that provide living accommodation and public or communal buildings for the rural and urban poor (e.g., education, agriculture and rural development, health/nutrition/population, industry). To the extent feasible, understanding of the users would include information on such issues as (a) peoples' views on convenience (which is a major consideration when planning communal facilities such as family planning clinics and nutrition centers which need to establish a demand); (b) ideas about privacy (which are relevant to decisions on location and siting); and (c) ideas about security, social status, personal identity, and so on (which may be relevant when selecting construction materials, dimensions of windows, and other details). As in other design areas, it is not always easy or possible to let available information influence actual design decisions, and to balance efficiency and affordability with attractiveness and appropriateness.

0.11 Community participation in project planning, construction, maintenance, and management. Grassroots involvement in planning or management and use of local labor is often desirable (especially in countries where public financing for project maintenance is difficult to obtain, or where labor-intensive construction methods are more economical). At the same time, appraisal or implementation of recently financed Bank projects suggests that the feasibility of local participation should not be taken for granted by project designers: interest may be low or labor may be scarce when needed for construction work; there may be no truly representative grassroots structures which can link up those of the government; or people may not have enough information or experience to make sound investment decisions. Bank-financed projects are, in addition, larger and more sensitive to time than the small-scale, often informal, activities upon which prior experience was gained and on which project design is predicated. The purpose of feasibility analysis, in this case, would be to define whether the strategy proposed for involving local people would (a) work or not, (b) to what degree and with what kind of involvement, (c) under what conditions (reward, timing, organization, etc.), (d) for how long (local contributions tend to weaken over time), and (e) with what implications for distribution of costs and benefits. Normally, feasibility analysis will lead to specific recommendations (such as the provision of government incentives, training of local people, and promotional activities) for ensuring that the strategy works, does not delay project implementation, or threaten the distribution of benefits under the project.

0.12 Social aspects of institutional design. The major contribution of social information and feasibility analysis to building institutional arrangements and processes will be (a) at the grassroots level, and (b) in developing a mediating system between the grassroots and central levels to bridge the possible communication gap between the two. Such a need is likely to occur where decentralization is a key objective in poverty oriented activities. Among the specific uses to which social analysis and design can be put for a variety of Bank projects are the following: setting up criteria and procedures for selecting, hiring, and supervising

field staff to ensure they are accepted by and credible to their clientele; reviewing local organizational arrangements and leadership structures and processes (traditional/modern; formal/informal) in order to identify an organizational basis for transfer of some or all of the planning, management, or other project functions; establishing a system of promoters or animateurs to complement the efforts of technical staff in their contacts with local people; reviewing and designing efficient communication and feedback channels to ensure high morale among field staff and/or rapid and useful information flows between management and the local level.

### Project Impact

0.13 Social design for equitable distribution of benefits. Many of the reasons why benefits (a) accrue to other people than those intended (or to only a small segment of the intended target population) and (b) are outweighed by their costs (or become lost entirely) are because project design has stopped short of focusing on use and benefit. The problem may be the absence of essential resources among all or part of the target population, the opportunity costs of change, social or religious costs, the presence of other people who might (and are better equipped to) compete for the project benefits, or might oppose them, and so on. Some of these constraints to achievement of distributional objectives can be overcome by a small change in design. Others call for a major reorientation of the project. Probably the most promising elements or components being added to poverty oriented projects are those designed to bridge the knowledge gap between what the lower-income groups now know and what they need to know to fully appreciate and use new technologies or opportunities by the time they become available. Such development communications, especially when properly synchronized with the various project components, could benefit a wider range of projects.

0.14 In the case of unintended negative effects, the Bank rightly focuses on those direct or indirect effects on project beneficiaries — or on other groups in the area — which can be foreseen in time and about which something can be done. Not only can social information (and analysis of the social feasibility and impact of a project) help to predict many such effects at the design stage, but also it can often identify corrective measures such as legal action to protect poor farmers against speculators and provision of new skills or functions to market women or water vendors losing their jobs.

### III. Useful Social Techniques

0.15 There is a variety of applied social techniques that can be useful in project identification, design, and appraisal. Thus far, greater emphasis has been placed in Bank projects on social assessment (or collection and analysis of background social information) and impact measurement, whereas our review argues for more frequent attention to the feasibility stage. Where resources allow (as for the preparation of rural and urban development projects), analysis of social feasibility should be an integral part of the iterative process of project design. Where resources are more

limited, a most useful and cost effective approach would be to combine, during a two to three week field assignment, social feasibility analysis with social design ("social engineering" or "packaging") of the project. This field assignment may result in modifications of project technology or implementation strategy, improved design of project information systems, and sometimes may result in the inclusion of additional information, education, communication, or other components that would improve access to, and distribution of, the project benefits.

0.16 A major limitation, however, is that the methodology for social feasibility analysis itself is at present underdeveloped, certainly when compared with the sophistication of economic analysis in the Bank. Like the latter, such development cannot be expected to come overnight. Another limitation, both within and outside the Bank, is staffing. In view of existing budgetary constraints, short-term measures would be to hire staff, whenever possible, with dual professional capabilities (such as social and economic, or social and technical), and to identify and groom consultants with similar professional versatility (e.g., social and health for water and wastes assignments; social and managerial for rural roads project work), and with operational acumen, sector understanding, and development experience.

## I. WHEN SOCIAL QUESTIONS NEED TO BE RAISED IN PROJECT WORK

1.01 Resources available to Borrowers and the Bank for thorough analysis of social and behavioral factors in project work are presently limited and likely to remain so during the next few years. This chapter therefore suggests priorities to help those managing the project cycle, especially project design, decide which types of projects merit most attention.

### Priority Sectors

1.02 Certain social and behavioral factors are informally considered in a number of projects, such as those requiring market studies, determination of user requirements, methods to increase labor productivity, or introduction of organizational improvements. There are, however, two categories of projects in which these factors need to be considered more explicitly and systematically at the successive stages of the project cycle: (a) large-scale infrastructure projects (dams, highways, mining, petroleum exploration); and (b) projects directed toward the rural or urban poor. The former may require the organization and settlement (permanent or temporary) of a large labor force in an often unfamiliar or remote environment and may cause unintended hardships to many people in the area of influence. The problem in the latter is not poverty per se, but the fact that such people are likely to be more traditional in their way of thinking and in their life style, often illiterate or poorly educated, and generally very different from those who plan, design, or manage development activities for them. Project identification and design should therefore start with, and be based on, a fairly intimate understanding of the project populations and their environment, so that their likely response to the project goods, services, or activities can be more accurately assessed and potential local resources (technologies, skills, organizations) can be drawn on, which might otherwise be easily overlooked.

### Priority Project Populations

1.03 There are certain kinds of project populations that are invariably difficult to reach with project benefits and over short time periods. They include populations previously cut off from development, those divided into warring factions or ethnically or religiously diverse, pastoral populations, fishermen, landless farmers, displaced populations (perhaps because of a project-caused lake), and women as a target population.

1.04 The first stage in introducing social and economic change to previously bypassed populations is often the most difficult. Project technology and implementation strategies therefore require careful adaptation to very traditional people such as those living in parts of Papua New Guinea, Western Samoa, or Brazil; they cannot be "thrust into the twentieth century" in one five-year leap (the typical span of Bank-financed projects). If the project population comprises a number of

different ethnic groups, there is always a need to question whether project technology and implementation strategies will be appropriate to all subgroups or whether they will need to be adapted to cater to internal differences. Where social conflict exists, any project requiring cooperation is likely to encounter difficulties, and even services need to be located keeping such conflicts in mind. 1/ Nomadic populations invariably pose problems which require social and cultural understanding to arrive at an effective solution. 2/ Populations which have been displaced against their will tend to be distrustful, without leadership and frequently lacking in initiative. Fishing communities are often a society within a broader society, having their own norms, values, leadership patterns, and life style, which need to be well understood if any change introduced among them is to work. 3/ Women are usually difficult to benefit selectively, disproportionately, or even equitably, because of the way in which society is organized and the woman's role traditionally defined. 4/

#### Priorities Strategies

1.05 Certain project implementation strategies can involve a high social risk, especially when their success depends on the human factor, about which little may be known and over which there is only minimal control. The following are examples: (a) designing measures to control or slow down uncontrolled migration toward the project area; 5/ (b) radically changing established food, health, sanitation, or family planning habits or practices of project populations — especially of the rural or the urban poor (usually such practices are tied into the social or family structure and organization or are linked to basic beliefs, values, and norms, all of which make them

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1/ For instance, a particular group would not use a school, health center, or public telephone located in "enemy" territory. One might expect such problems in parts of Africa where tribal conflicts are commonplace, but we have seen instances of such occurrences in countries like Costa Rica and Peru (between two antagonistic communities).

2/ For instance, it is better to adapt provision of social services to the travel patterns of a nomadic people than to try to settle the nomads; but this requires an understanding of the routes taken, life style, and other variables. For a discussion of these alternatives, see Saad Eddin Ibrahim and Donald Cole, Saudi Arabia: Accelerated Literacy Program. A Sociological Overview of Saudi Bedouins: Assessment of Their Needs. (Draft Report). TASS Division, World Bank, September 1977: pp. 113-127.

3/ Paul Alexander, "Innovation in a Cultural Vacuum: the Mechanization of Sri Lanka Fisheries." Human Organization, Winter 1975, pp. 333-44.

4/ Gloria Scott, Recognizing the "Invisible" Woman in Development: the World Bank's Experience. World Bank, October 1979.

5/ The problems are well known in the case of major mining, industrial or construction works, and agricultural settlement projects. They are also being recognized in the forestry sector (PHILIPPINES: Watershed Management and Erosion Control Project).

particularly difficult to change); and (c) requiring a contribution from the intended beneficiary when the benefits will either materialize much later (tree crops), have poor visibility (those resulting from preventive health measures), or remain outside the beneficiaries' control (water from irrigation canals when needed).

1.06 Project strategies relying on "popular" or "community" participation also involve high social risks. 1/ Nevertheless, they are gaining in popularity in Bank projects. Bank economists tend to associate local involvement with the provision of labor inputs, seeing this as a way of lowering project or maintenance costs and of transferring cash directly to the poor. This contrasts with the reasoning of sociologists and anthropologists, who tend to think more about involving local people in investment selection and technology design and sometimes in project evaluation activities. From such participation they foresee such benefits as improved self-reliance, self-sustaining development, and assurance of appropriate project concept, strategy, and technology. But the benefits expected by the economist or the sociologist may not materialize unless a number of physical, financial, managerial, social, and political feasibility issues are first reviewed, so that the most appropriate strategy can be chosen to fit that social context. 2/ Only when community participation has proven effective over a considerable period of time, and structures and processes are already in place, can detailed feasibility analysis be dispensed with. 3/

#### Other Considerations

1.07 Reality, however, is rarely clear-cut. Projects combining the above-mentioned sectors, populations, and strategies are obviously more likely to face social risks than other projects. Nevertheless, the degree to which social factors should be thoroughly considered in project work may also vary according to such other criteria as (a) the availability of competent and experienced managers; (b) the existence of successful precedents in the country; (c) the relative size of the socially sensitive

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1/ Especially when such participation is expected to take place on a large scale and within strict time constraints.

2/ The strategy may require certain control measures to ensure that the expectations of communities involved in project planning are not raised beyond reason and that benefits are channelled as intended.

3/ Frequently it is assumed that if people are accustomed to cooperating with each other on communal endeavors they will also do so under the new project. But cooperative activities traditionally performed at the initiative of the community may not necessarily take place when government initiates them, wants to control their execution, or tries to channel them into other areas of endeavor -- especially when there is a lack of mutual trust between the people and government.

project component or activity compared to the project as a whole; (d) the number of people concerned, especially in the case of involuntary resettlement; (e) the extent of "popular" participation; and (f) the magnitude of the behavioral changes expected of people as in the case of health, nutrition, or water and wastes projects. 1/ Therefore, although in theory it is possible to anticipate the kinds of projects in which social or behavioral issues are likely to arise, in practice, project and country specific questions will also need to be considered.

1.08       What are the possible consequences of ignoring the social side of project work in the kinds of situations outlined? Implementation problems may occur, or the project may have a regressive, or even a negative, impact. We believe that what are loosely described as management problems during project implementation may often reflect a socially inappropriate design. 2/

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1/ For instance, the change from using a stream to using a standpipe for water supply, or from using a field to using a pit privy for sanitation, can generally be viewed as a more significant behavioral change than a change from using an uncovered well to using one that has been cleaned out, deepened, treated, and covered, or from using a pit privy to using an aqua privy. Again, in behavioral terms, using different quantities of the accustomed ingredients in the diet would constitute a lesser change than adopting some entirely new food product.

2/ See the final interpretation of the origin of the implementation difficulties encountered by the Madagascar Beef Cattle Development Project (Loan 585-MAG) and Project Performance Audit Report of April 11, 1977. See also the Audit Report for the Trinidad and Tobago Caroni Sugar Project (Loan 888-TR), dated December 28, 1979.

## II. MAJOR USES OF SOCIAL AND BEHAVIORAL INFORMATION IN PROJECT DESIGN

2.01 In Chapter I, we examined the question of when social issues might be explicitly considered in project work. We now examine how information on social and behavioral factors can improve the project concept, its technical and institutional design, and its likely impact on project beneficiaries. <sup>1/</sup> Many Bank staff members are familiar with the types of cases described here, since they are largely based on their own experience. Our purpose is to synthesize such experience, highlight similarities across sectors, and, where needed, suggest shifts in emphasis or orientation so that social issues may be dealt with more efficiently, especially in large-scale projects.

### A. Assessing the Needs of Low-Income Populations

2.02 Where population groups have been without the goods or services being considered for them, often little information is available about their needs and interests in the proposed investment. New population groups are of particular concern, not only in such sectors as rural development and agriculture, urban projects, nutrition, education, health, industry/credit (small-scale enterprises), and population, but also in such sectors as transportation (rural roads), water and wastes, energy (rural electrification), and telecommunications (rural telephone and telex, etc.), in which engineering considerations predominate.

2.03 As Bank experience has suggested, assumed levels of demand for a project among low-income populations may not always exist. Educational services in Ghana's Upper Region, water supplies for the urban poor in El Salvador, maternity centers in Jamaica, rural sanitation in Nicaragua, and other project experience illustrate the point. Differences between expected and actual interest in project activities are not always a result of an inappropriate choice of technology or pricing policy: no felt need for improvement in that particular area may have existed.

2.04 Thus, social inputs are required (a) to organize, interpret, check or supplement centrally available information on the project population (numbers, distribution, growth, mobility, socio-economic profile) for better predicting demand;<sup>2/</sup> (b) to verify that what the intended project beneficiaries want corresponds to the planners' and project designers'

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<sup>1/</sup> Within these broad areas, a number of specific issues have already benefited from treatment in greater depth. The relevant reports are quoted in the text.

<sup>2/</sup> The Urban Poverty Analysis is an efficient method to improve accuracy of background information. School mapping can perform a similar function in education projects.

assumptions, and, if they do not, (c) to identify ways of bridging the gap between the two through persuasion and motivation, community consultation procedures, 1/ providing incentives in cash or kind, or other methods.

2.05 The more likely obstacles to demand that may be revealed by social information include:

- (a) informal alternatives which project populations presently have for dealing with the problems that the project has tentatively identified (e.g., informal sources of credit, if credit is an issue, 2/ informal arrangements for water and sanitation for a water/wastes project, 3/ illegal subdivisions which compete with legal ones, 4/ traditional health-care systems, if a health component is contemplated, 5/ and so on). Costs and benefits of these informal alternatives should be considered, as should the extent to which they may continue to compete with the project;

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1/ For illustrations of successful direct community consultation, see BOTSWANA: Second Urban Project (opinion surveys) and LESOTHO: First Urban Project (traditional community meetings).

2/ In Malaysia, the Bank concluded that the presumed advantages of institutional credit to small farmers over informal sources are often less than planners expect, because the lower formal interest charges are largely negated by higher transaction costs. Therefore, institutional lenders could seldom compete with informal sources in terms of the range of services, convenience, timeliness of services, flexibility of repayment, and reliability of continued supply. For a general discussion of the subject, see F.J.A. Bouman, Indigenous Savings and Credit Societies in the Third World — Any Message? (Background Paper for the World Bank Sociological Workshop, 1977).

3/ It is true that existing alternatives for water supply are recognized under many Bank projects. In at least some cases, however, their continued competitiveness from the users' perspective seems to be underestimated. Probably one reason for this is that it is assumed that area people will immediately recognize that the project water supplies are better for their health and that this will outweigh any other arguments. This is far from the case, as often the connection between water quality and health is not made by traditional people, or they assume that all water is "pure" and "good" or that certain traditional sources have "spiritual" qualities, which make them better than public water supplies.

4/ EL SALVADOR: Monitoring and Evaluation of Urban Development Projects - Analysis of the Level of Demand for Low-Cost Housing in Usulután, World Bank, May 1978.

5/ For instance, in many parts of India the Dai or traditional midwife competes with the government midwife or multipurpose health worker, and the Marthrawadi or traditional healer, with the medical practitioner or health worker.

- (b) the opportunity cost of accepting the goods or services provided under the project (e.g., the value of children's labor at home or in the fields weighed against schooling; the value of women's time spent bringing their children to feeding programs instead of working in the fields);
- (c) existing taboos, beliefs, or social norms that deter people from wanting what the project provides (e.g., people may believe that powdered milk will cause diarrhea, or that malaria prophylaxis will result in infertility).

2.06 In general, the less accustomed the project population is to the goods or services the project provides, the more carefully the population characteristics, social context, and informal alternatives should be considered prior to making a final decision on the scope of the project, or on the technological options available, the planning horizon, pace of project implementation, and similar basic questions in project planning and design.

## B. Technical and Institutional Design

### Choice and Design of Technology

2.07 Even if a need for the project goods or services is recognized by the target groups, a wrong technological choice can result in a negative or weak response to the project or in poor care of the technology once it is in place. There has been considerable activity in the Bank in the area of appropriate technology under the Technology Unit of PAS and through research projects in some of the CPS Departments (e.g., in sanitation, in agriculture, in sites and services, and in road construction). In general, the need to analyze the trade-offs between various technological alternatives is fully recognized.

2.08 We have noticed, however, a tendency in project work to define appropriateness of technology from the viewpoint of the planner or project designer rather than of the beneficiary. For instance, labor-intensive techniques are frequently referred to as "appropriate technologies," but they may not be, especially when labor is in short supply. <sup>1/</sup> Similarly,

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<sup>1/</sup> Population density may be low, people may be fully engaged in agriculture or men may have migrated to the cities leaving already fully occupied women as farm managers, and so on. This issue was recognized during preparation of the GUINEA-BISSAU: First Roads Project, when the Bank staff felt that labor-intensive technologies might not be appropriate because (a) traditional agricultural output in the south is the main demand for manpower, thereby making it unlikely that a large surplus labor force would exist; and (b) there was a colonial history of forced labor. Similar situations have also existed in other countries, but not all Bank projects have recognized their importance in time (Completion Report for the LESOTHO: Thaba Bosiu Rural Development Project).

fuel-saving solar cookers may seem ideal, but may not be appropriate if they need to be used during mid-day hours when women are in the fields, or if they must be rotated every 20 minutes. 1/ Again, certain kinds of low-cost or non-conventional sanitation systems often are defined as appropriate, and they may well be from the planner's perspective. The user, however, may want and demand something better that he may have seen among higher-income populations. 2/ This suggests that a technology will be socially appropriate when (a) project populations will want and correctly use what is provided, and (b) the technology can smoothly fit into the users' life style and the society without any negative side effects.

2.09 Choosing a socially appropriate technology therefore requires three steps:

- (a) specify the social, behavioral, and resource requirements of the technology;
- (b) assess the corresponding characteristics of the project population 3/and its environment; 4/ and
- (c) compare both types of information to verify that the technology and the people are compatible.

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1/ For a review of the appropriateness of technologies in terms of a particular group of users, see Marilyn Carr, Appropriate Technology for African Women. United Nations, 1978, 90 pp.

2/ As was found by a recent Bank water and wastes mission to Nigeria (oral report of consultant) and under the Philippines Urban Project.

3/ Both users and those who may influence them (e.g., parents of school-going children).

4/ Such as land tenure and use patterns, availability of time or money, the existing division of work. See Rural Development Projects: a Retrospective View of Bank Experience in Sub-Saharan Africa. Operations Evaluation Department, World Bank, October 1978: pp. 24-30.

2.10 Such cross-checking can be especially helpful not only in defining the users' willingness and ability to pay, but also in choosing among different technological options (e.g., the pit privy versus the bucket latrine, or the irrigation canal versus the tubewell), in deciding location questions (where relevant), and in identifying (a) areas for cutting technology costs (with no effect on user response), (b) small details that need to be altered to improve use, 1/ or (c) the need for complementary project components to facilitate use. 2/ Charts 1, 2, and 3 illustrate the successive decision and design steps involved.

2.11 A close linkage between technology decisions and social information requires a timely and ongoing dialogue between technical, economics and social specialists, or access to technical specialists who are intimately familiar with relevant social aspects of the problem. We have encountered a few cases in which such linkage has existed in Bank project work. 3/ Frequently, however, the social side of project work has continued in isolation from project technology decision making.

#### Spatial Planning and Architectural Design 4/

2.12 Social questions are relevant to physical and spatial planning in

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1/ For instance, introduction of improved mud stoves with two cooking holes instead of three for women who possess only two pots.

2/ Where it appears likely that the final technological product will fall short of complete user appropriateness, "gap-bridging" measures (such as motivation, project-related user education, and maintenance training) can be built into projects in time and paid for under the loan. Alternatively, a phased approach or pilot testing may be preferred when proceeding immediately with full-scale implementation would seem too risky. (Preparation of the INDONESIA: Smallholder Cattle Development Project revealed as one of the potential project risks that smallholders would sell their animal for slaughter as soon as they received it. The launching of a pilot project was therefore recommended as a way to better understand farm production systems and farmers, and their response to various technical proposals).

3/ See "Appropriate Technology in World Bank Activities," July 19, 1976, Appendix 3. More recently, a series of livestock projects in Western Africa (Chad, Niger, etc.) is attempting to adapt project design to the traditions of pastoral societies.

4/ See L. Menezes and H. Perrett, Social and Behavioral Aspects of Architectural Design: A Checklist, World Bank/PAS (forthcoming), for a discussion of these questions, on which this section is largely based.

many urban projects <sup>1/</sup> and in those education, health, nutrition, population, rural development, and industrial projects that provide shelter and communal or public buildings. The concept of appropriateness to user wants and needs extends to the design and location of individual dwellings (for shelter) and groups of these, as well as buildings and spaces for communal use and common services (roads, utilities).

2.13 Master plans, feasibility studies, architectural briefs, and the actual design itself, may need to consider not only the numbers of proposed beneficiaries and their income and expenditure levels, but also how such people presently live; the purposes for which they use the facilities they now have and the surrounding areas; how they view privacy, convenience, and safety; what they consider to be correct and attractive, or, the reverse; with whom they are willing to live in close proximity or share facilities, and with whom they would refuse to do so.

2.14 More specifically, answers to these questions often prove useful in relation with:

- (a) physical and spatial planning: the design of residential layouts and the siting of roads, paths, and open spaces needs to take into account existing patterns of interaction or conflict within a community since it will reinforce or retard such activities as trading, play of children, and the practice of sports. In the siting of communal facilities, account needs to be taken of the same patterns (which may determine the extent to which certain groups will have access to them, particularly in ethnically or religiously diverse areas), <sup>2/</sup> as well as of the user's view of convenience <sup>3/</sup>— an essential question in relation with facilities which need to establish a demand, such as family planning clinics;
- (b) architectural design: in determining the size and distribution of private indoor and outdoor space, architects may need to take a careful account of who the users will be (it may be customary to sublet rooms as an additional source of income, as found in Kenya Urban Projects), as well as their preferences or prejudices (which may, for instance, determine the feasibility of double bunking in student dormitories). In addition to such information, knowledge about user perceptions of social status and personal identity may be useful for choosing construction

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<sup>1/</sup> Analysis of social data is usually included in the Terms of Reference of urban projects.

<sup>2/</sup> School catchment areas may need, for example, to be differentiated socially as well as spatially. William T. S. Gould, Guidelines for School Location Planning. World Bank Staff Working Paper No. 308, November 1978: p. 21.

<sup>3/</sup> What will be considered convenient may be a function of climate, beneficiaries' past experience, age, health, travel or other activity

materials, 1/ specifying design details (such as the number, dimension, and positioning of windows) and deciding which aspects of design should be fixed and which left flexible. Sensitive local architects and contractors are often aware of local customs or practices, but the extent to which their information applies to the project population may need to be verified.

2.15 Pre-appraisal review of such questions may suggest the need for changes to official building regulations, design modifications or additional components (such as promotion of the program, community organization, education for use of new technologies — such as cooking stoves and fuels or sanitation facilities — and instruction in maintenance). Annex 1(H) illustrates how these kinds of questions might be dealt with in the context of pre-appraisal project work.

Community Participation in Project Construction, Maintenance, and Management 2/

2.16 The Bank and Borrowers do not always recognize that community participation is much more difficult to implement successfully in large projects than in small ones. There are several reasons for this difference. In small projects administered by voluntary or religious agencies or community development organizations, for instance, community participation can be tailored to existing differences in local capabilities and interests, and can be made flexible and slow in pace. Intensive use is also made of dedicated field staff. But in large projects such as those financed by the Bank, the approach necessarily becomes more standardized, operates according to a fixed and probably inflexible schedule, and may suffer from inadequate supervision and support when good field staff cannot be spread thinly or trained quickly enough; management is demanding; and problems are common.

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1/ Certain subgroups may associate particular construction materials with inferior status. This phenomenon has been observed in India, Nigeria, Peru, and other countries (for instance, certain ethnic groups in Northern Nigeria prefer not to live in mud houses, although it is climatically appropriate). Types of flooring and roofing also tend to have status implications.

2/ For a summary of the Bank's experience, see Community Participation: Research, Project Design and Implementation. Note to the Executive Directors, February 9, 1979.

2.17 Therefore, when considering involvement of local communities under Bank-assisted projects, it is particularly important (a) to obtain the information necessary to determine the feasibility of the kind and extent of desired involvement, and (b) to carefully choose or design methods for supporting community participation in the project, looking at the associated managerial as well as social questions.

2.18 Analysis of the social feasibility of local participation requires particular attention when local people are involved in decision making (as well as provide their labor or other contributions), when the schedule is lengthy and demanding (and involves a time lag between participation and rewards), and when there are few precedents of collaboration between Government and local communities in a particular country. 1/ What determines feasibility in practice will vary. But it is never simply a question of "natural" motivation or interest in the project, as sometimes is assumed by project designers or appraisers. Nor will payment of labor always solve all problems — another common assumption. For instance, if local labor is being sought for construction or maintenance of a road, school, health center, or water supply, certain questions need to be answered such as: population numbers and composition in the area (including sex and age); distance from the project works; general interest in the project; effect of different incentives on availability and productivity of labor; timing of the labor (vis-à-vis the agricultural cycle or urban work patterns, religious, civil and social obligations) and other competing demands; 2/ attitudes toward manual work; 3/ availability of social or managerial arrangements for supporting local inputs, and (where labor is unpaid, or poorly paid) existing traditions

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1/ For a full discussion of this question, see Milton Esman and John Montgomery, The Administration of Human Resource Development. World Development Report, 1980. Background Paper.

2/ Design assumptions about availability of time to local people often appear overoptimistic in retrospect. The Audit Report on an agricultural project in East Africa noted that family workers in the traditional system of agriculture were assumed to be largely underemployed and to have limited opportunities for employment outside the project. It was therefore expected that the cooperatives set up under the project would have a steady labor force, with each member working 50 to 100 days per year. In actual practice, labor had to be recruited from outside for the land-clearing stage, and labor inputs remained uneven among the cooperative members. Problems with labor shortages have also been encountered in rural roads projects in Kenya (in some areas) and in the case of Liberia, may threaten the maintenance of rural roads. One of the major factors not being adequately considered in the African context in particular appears to be the outmigration of males to urban jobs.

3/ For instance, in some African countries work on roads has overtones of colonialism, forced labor, and even slavery, which may be difficult to overcome.

of self-help 1/ and whether they would also operate in the case of Government-sponsored works. But if there is interest in having local people operate and manage services that the project has provided, management experience and skills will likewise need to be reviewed. 2/ If the issue is participation in decision making, feasibility analysis should, among other things, ensure that the people have the information or experience to enable them to make a rational choice, which will not lead to disappointment later (perhaps resulting in rejection of the project facilities or services). 3/

2.19 Ultimately, social feasibility is a matter of degree. One of the functions of social design is therefore to try to increase the feasibility of local participation which can be done more easily in some areas than in others. For instance, it may be feasible to increase local labor productivity through changing to a task-based work pattern, organizing along family or clan lines, timing activities better, providing transportation and water at the work site or health/nutrition inputs, or by adding social incentives or increasing economic ones. 4/ Alternatively, if no

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1/ See, for instance, TANZANIA: Seventh Education Project. The appraisal mission concluded that community self-help school construction, as proposed in the project request, would not be feasible in four of the project districts where, for socio-cultural reasons, self-help is not practicable.

2/ For a discussion of this question with reference to irrigation systems, see E. Walter Coward, Jr. and Gilbert Levine, The Analysis of Local Social Organization for Irrigation Project Preparation Studies: An Exploration of Possibilities, paper prepared for World Bank Sociological Workshop, 1978.

3/ It will also be necessary to assess project management ability to deliver the goods or services on time. Failure to do so may lead to a distrust of all government programs. See R.G. Frachem, et al., Water, Health and Development: An Interdisciplinary Evaluation (London: Tri-Med Books, Ltd., 1978).

4/ For health/nutrition inputs, see, for instance, The Study of Labor and Capital Substitution in Civil Engineering Construction, World Bank Transportation Department, September 1978, pp. 145, 153, and 161. For examples of social/economic incentives, see R. Noronha, Working Papers for the Community Forestry Project in Gujarat, India (introduction of smokeless, low-cost stoves and cremation facilities as an incentive for village participation in community forestry plantation). For changes in work patterns and ways to relate employment conditions to local traditions, see B. Clamagrand, L'industrialisation par le secteur productif traditionnel dans les pays en cours d'équipement. September 1977, pp. 24 and 41. See also Heli Perrett, LIBERIA: Feeder Roads Project. Community Participation in Routine Maintenance of Project Roads, April 17, 1979.

structures exist for channeling community inputs, it may be possible to set them up if there is enough time and staff to do so (e.g., by expanding the functions of local user associations or local development associations). 1/ But if patterns of cooperation are necessary, say, for use of irrigation water, but do not exist, perhaps because of internal conflicts or simply an individualistic orientation, 2/ it is usually wiser to assume that they cannot be developed under the time frame of a Bank-financed project.

2.20 Another function of social design is to ensure that the costs of local participation or contribution (e.g., labor, cash, kind) and the ensuing benefits (e.g., cash, kind, marketable skills, prestige) are equitably distributed.

#### Social Aspects of Institutional Design

2.21 This section discusses a number of aspects of project management and staffing which would also benefit from being based on an understanding of the project beneficiaries and their social environment. Bank staff generally recognize that institutional issues may be affected by "human" factors, but they may not always have readily accessible tools for guiding Borrowers in handling such factors.

##### (a) Selection, hiring, and motivation of field staff and management

2.22 Field staff such as agricultural or credit extension agents, health and population workers, teachers and inspectors, and even district engineers and construction foremen, often play a pivotal role in determining who is reached by a project and in influencing beneficiary response. They should therefore not only be technically competent, but also motivated and empathetic, acceptable and credible to diverse subgroups among their clientele (for instance, women as well as men, large landowners as well as landless farmers,3/ different ethnic groups, and varying educational levels). In addition to this challenge is the difficulty in getting trained people to stay in rural areas far from modern conveniences and services, and at the comparatively low level of remuneration that the government is able to offer.

2.23 The problem then is to decide: whether to use as field staff local people or outsiders, men or women, people from one tribe or another; and,

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1/ The NEPAL: Narayani Zone Irrigation Development Project (Stage II) relies on Water Users' Groups for implementation, operation and maintenance of the project, similar to those successfully formed in Stage I of the project.

2/ Customs of participation vary between countries and cultures, and where they have died out, cannot be developed or revived over a short period of time.

3/ See M. Asseo and J.C. Reverdy, BRAZIL: Piauí Rural Development Project. Preliminary Identification of Sociological Factors Affecting Project Implementation. Report of June 28, 1979.

within these broad categories, which kinds of people or combination of characteristics would best suit project needs; what specific kinds of selection or nomination procedures would produce best results; 1/ what kinds of non-technical training they might need (e.g., in community organization or cross-cultural communications); what kinds and levels of incentives (social and economic) would work best; 2/ how to build continuing motivation into the system and maintain a high morale and task orientation; how to ensure that field staff will be subject to a dual accountability -- to the government on the one hand and to the local people on the other; 3/ and what kinds of two-way vertical and horizontal communication and reporting procedures might be required for their support. 4/

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- 1/ Nomination by local people of their own representatives to be given training by the government has been used in a number of Bank projects as the approach to selecting sensitive field staff. For instance, in the AFGHANISTAN: Ghazni-Wardak Agricultural and Rural Development Project the village nominates at least two persons with adequate qualifications to undergo village health worker training; in the NEPAL: Forestry Project, the ward elects the forestry extension agent, who is then given intensive training; in the RWANDA: Mutara Agricultural Development Project, extension workers have been recruited among participant families; in the NIGER: Dosso Agricultural Development Project, contact farmers would be selected in consultation with the other members of the production groups. Even where local people are the ones who select the field workers, the best person, or the most acceptable one, may not be selected for the job (as may happen when the position is well paid or prestigious, and the village leader may favor his relatives). Therefore, certain ground rules may need to be laid down by the project.
- 2/ See the proposed INDIA: Tamil Nadu Nutrition Project for use of badges and name recognition through the mass media as social incentives for field workers.
- 3/ See Milton J. Esman, "Development Administration and Constituency Organization," Public Administration Review, March/April 1978, p. 170. Also, see E. Walter Coward, Jr. and Gilbert Levine, The Analysis of Local Social Organization for Irrigation Project Preparation Studies: An Exploration of Possibilities. (Op. cit.)
- 4/ This refers to communication within the same level in the organization, such as among field staff or between communities involved in similar activities. These kinds of communication links can sometimes play an important role in motivation. The proposed INDIA: Tamil Nadu Nutrition Project includes such a mechanism for the continuous upgrading of village level nutrition workers; the Quarterly Progress Report under the NEPAL: First Rural Development Project serves the same purpose.

2.24 The "Training and Visit" system of agriculture extension imaginatively combines several ways to deal with these questions. It involves disseminating, step-by-step, well-known elements of knowledge while minimizing the risk of failure for the intended beneficiary, and efficiently ensuring that the extension workers do their job, feed back the problems from the field and receive continuous training.

2.25 In the selection and hiring of management (upper and middle) and technical assistance, one also needs to consider similar kinds of questions -- in particular, the cultural empathy of those considered for the final project clientele and for local socio-political objectives, if they are expatriates.<sup>1/</sup> Such sensitivity to, or understanding of, the project beneficiaries goes beyond essential linguistic capabilities.<sup>2/</sup> Management training should therefore also focus on these questions.

(b) Local organizational arrangements

2.26 There is increasing interest both among governments and international lenders in using "grassroots" leadership and organizations for dealing with simpler field activities (including construction, operation, and maintenance), and for creating an identifiable point around which activities in nutrition, family planning, or non-formal education can be organized. Frequently, the reason for doing so lies in inadequate managerial resources in the public sector, but sometimes it derives from the necessity to ensure project effectiveness.<sup>3/</sup>

2.27 The kinds of questions to be raised in reviewing existing organizational arrangements at the local level and in deciding on structural modifications or institution-building efforts (e.g., training, provision of materials, equipment, or manuals) will not differ markedly from those to be asked at upper levels. But first it is necessary to have an understanding of informal and traditional social processes and local social and socio-political forms of organization (some directly development-related,

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<sup>1/</sup> The problems that arose with expatriate management of a Bank forestry project in Malaysia illustrate what can happen when such questions are not considered. The Audit Report notes the importance of selecting people who share common objectives with local people and who are not only capable technically but willing or able to adjust technology to local conditions. This question is also being examined by the Western Africa as part of its review of agricultural project management training needs.

<sup>2/</sup> This was considered a major factor in the successful training program implemented under the SIERRA LEONE: First Highway Project.

<sup>3/</sup> Use of traditional village structures (the "ton") in Mali proved to be a precondition for reaching girls with functional literacy programs and enforcing sanctions against teachers' absence. P. Faston, Rapport final de l'évaluation de l'alphabétisation fonctionnelle dans l'OACV, Ministère de l'Éducation Nationale, Bamako, Mali, 1978: pp. 204-206.

others not). Organization analysis and design at lower levels also call for greater flexibility and adaptability than at upper levels: uniform administrative solutions may not be appropriate, project design may need to specify two or more alternatives to fit the particular local differences in capabilities or cultural differences, and contingency plans should also be laid out in case the approach, or part of it, fails.

2.28 In addition, it may be necessary to assess the extent to which certain local management arrangements may leave control of resources and benefits in the hands of a few and negatively affect the distribution of benefits under the project. 1/ When no measures are likely to minimize this risk, new structures may be required. 2/

(c) Project information and learning systems

2.29 In a growing number of Bank-assisted projects in sectors such as water and wastes, roads, rural development and agriculture, and nutrition, two very different parties cooperate: the public sector and the project population. The public sector is usually represented by a hierarchically structured and usually centralized and rigid bureaucracy, which may be closely tied to the political, economic, or professional elite. The project population is often represented by a neighborhood or community organization or association, which is loosely structured and informal. A communication gap may emerge between the two. A similar gap may also occur between the central and field levels of the bureaucracy. 3/ An understanding of the social and behavioral as well as other characteristics of the parties involved is required to design ways to bridge these gaps.

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1/ This question is discussed in the report of the Rural Works mission to Bangladesh (July 1979), Appendix 7.

2/ See INDIA: National Dairy Development Project in which the introduction of the Amul Dairy cooperatives within the traditional rural setting was essential to overcome the economic and social obstacles raised by traditional local organization against small farmers.

3/ Specific factors which often accentuate communication difficulties between the two levels include the spatial distance between them; the differences in general organizational structure and processes; differences in technical skills; language, cultural, economic, ethnic or religious differences; differences in general orientation, with the central government level often more interested in inputs and the field level in outcomes.

2.30 Monitoring and evaluation activities, although important, are not sufficient by themselves. Under most development projects (including many financed by the Bank) they often appear to generate raw data rather than directly useful information or learning. Hence, there is a need to plan design, and sometimes finance the structures and processes which will allow proper use of this information as well as its collection. Furthermore, monitoring and evaluation itself needs to be kept as simple as possible, and relatively low in cost, in order to be acceptable to the Borrower. 1/

2.31 Some of the questions to be raised in information planning and its use under Bank projects include: what specific kinds of information will management need for decision making; at what specific points in the implementation process will the information need to be used; who specifically among management will be using it; how will the information be collected, analyzed, organized, etc.; will the procedures set up be efficient; how accurate will the information generated be; how can it be ensured that the needed information reaches management, field staff, or user associations in time (e.g., reports to be passed from lower levels to the district or state level management may need to be sent concurrently to the central level to avoid delays). Such information planning should encompass not only both written reporting procedures and the role of direct contact as a way of passing on information at all levels, but also their frequency and effectiveness.

2.32 Under certain circumstances, major measures may need to be designed and financed under the project to improve quality or flows of information. Obviously, setting up special procedures for collecting and monitoring data is one of these. Others may involve establishment of technical channels (such as two-way radio) to speed up information flows, particularly between distant field work sites and workers and referral or supply points. 2/ In other circumstances, the information gap between central and field levels may call for building up an entire mediating system between them. This may require a choice between expanding the roles of agency field staff (engineers, extension agents, health personnel, etc.), developing a system of community agents (promoters or "animateurs"), or building a hierarchy of local organizations (community roads associations, water supply associations, etc.).

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1/ William E. Smith, The Design of Organizations for Rural Development Projects. Progress Report. Draft prepared for Projects Advisory Staff and the Rural Development Division of the World Bank (January 1980). See also OED, Built-In Project Monitoring and Evaluation: First Review, Report No. 1758, October 14, 1977, which reports monitoring and evaluation costs on six small farmer rural development projects in Africa, ranging from US\$65 to US\$300 per family surveyed, with expatriate assistance and field level measurement of yields and area cultivation as the most costly components.

2/ The preparation of the BANGLADESE: Second Population and Family Health Project recognized this problem and built the necessary corrective measures into the loan.

C. Project Impact

Social Design for Equitable Distribution of Benefits

2.33 The Bank is concerned with project impact and distribution of income or other benefits generated by the project. However, even when projects are intended to benefit the rural or urban poor or specific subgroups among them, experience has proven that this goal is not always achieved. Benefits may be lost — that is, they do not accrue to anyone, as when new farm-to-market roads have already deteriorated by the time farmers have adjusted to market-oriented production patterns, when marketplaces or telephones are not used because they are poorly located, or when health benefits from improvement of water quality do not materialize because of deficient hygiene practices of users. Or, the benefits may reach the poor only temporarily or they may accrue to other people than those intended — usually those who are better off, as when paid road work jobs go to richer area farmers rather than to small farmers or the landless, 1/ food distribution programs reach those who are not malnourished, or national examination systems and lack of textbooks discriminate against the rural poor. 2/ Or, benefits may accrue to only a small percentage of all intended beneficiaries, as when agricultural advice, fertilizer, irrigation water, credit, and so on, accrue to a minority of area small farmers. 3/ Or, they may be outweighed

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1/ As, for instance, under one East African rural roads program. In this case, relatively rich area farmers are being hired for road works at the official minimum wage level, which in turn allows them to hire up to three agricultural laborers for their farms (the same salary regulations do not apply here).

2/ S. Heyneman, Textbooks and Achievement: What We Know. World Bank Staff Working Paper No. 298, October 1978.

3/ For example, the selected "pilot" farmers, who may not be accepted as models by others in the area because they do not adhere to the accepted social norms (e.g., sharing income, supporting their relatives, contributing farm labor to community cooperative efforts), or for other reasons. (See also, Marita Koch-Weser, Beneficiary-Participation in the PIDER Project in the Yucatan, Draft Report, May 1979, and Michael M. Cernea, Measuring Project Impact: Monitoring and Evaluation in the PIDER Rural Development Project - Mexico. World Bank Staff Working Paper No. 332, June 1979.) In the case of the BANGLADESH: Low Lift Pump Project, it was recognized that, given the social structure in rural areas, the project may not help to alleviate existing inequities. The result might actually be even greater exploitation of the small farmer by those who possess the means to own pump sets (most likely the large farmers and landlords). Neither the Government nor the responsible agency would be in a position to protect the interests of the small farmer, and once pump sets were sold, they would be out of the Government's control and it would be difficult to determine accurately the actual amounts being levied on small farmers and sharecroppers by the owners of the pump sets.

by their costs, as when contributing to a community construction project may mean losses in agricultural production, or the real cost of credit 1/ may be such that it makes no financial sense to the small farmer.

2.34 Where does the problem lie? When the equity objectives of a project violate traditional sharing of benefits (or costs) and threaten the local elite, their achievement will always be difficult and subject to a number of constraints. But this problem can be alleviated (if not overcome) through timely recognition of the specific social or behavioral constraints that the poor (or other disadvantaged groups, such as women) may encounter in gaining access to the project benefits. The following constraints are the most common:

- (a) Absence among the project population of the necessary values, attitudes, or information that would allow access or encourage use.

FOR EXAMPLE: they may not appreciate the importance of a pure source of water; smaller farmers may be the last ones to find out where to get subsidized credit or better seed varieties; or they may apply for such benefits only when it is too late.

- (b) Absence among all or some of the project population of certain essential resources not supplied by the project.

FOR EXAMPLE: the knowledge or skills to use the technology or to deal with regulations, 2/ shortfalls in cash or time, problems with access to land or other non-human inputs (e.g., water, fuel, tools, transport, textbooks, or reading material).

- (c) The real (or expected) financial cost of change.

FOR EXAMPLE: the real cost of credit to the small farmer; or the cost of the bus fare, shoes, and clothing required to send a child to the distant school, plus the opportunity cost to the parents of the child's work on the farm; the

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1/ That is, the cost of the credit after adding to the interest rate such other costs as travel expenses, food, bribes, opportunity costs of time lost from work, document preparation costs, etc. See identification mission report of proposed MALAYSIA: Rural Credit Project.

2/ Unless credit documentation is adapted to the level of literacy of the small farmers (as occurred under the AFGHANISTAN: First Agricultural Credit, Cr. 202), they will not benefit (BRAZIL: Grain Storage Project, Loan 85), PPAR, June 29, 1979.

opportunity cost to mothers of collecting food supplements for their malnourished child; or the expected loss of land to the urban squatter or the rural renter, which would stop either one from investing in its improvement.

- (d) The non-monetary (psychological, social, religious) costs of change to whatever the project provides.

FOR EXAMPLE: loss of status, criticism by neighbors, relatives, or "holy men."

- (e) The presence of other people in the area who might want whatever the project provides and have better access to it than target groups.

FOR EXAMPLE: better-off farmers have better access to well-paid road work due to the selection and hiring criteria of road foremen (e.g., education, strength) or of local leaders (e.g., political influence); male heads of households are likely to share food packages intended for their young children because of intra-family food distribution patterns.

- (f) The diversion of credit for goods or services provided by the project to other uses.

FOR EXAMPLE: farmers may want to use part of the credit ostensibly borrowed for fertilizer to pay their children's school fees or to buy medicines, or urban entrepreneurs may use it to buy radios or watches.

2.35 Awareness of these constraints can be used to directly influence project technology and implementation strategy decisions — if it is still early in the project cycle. It may call for a fairly small change, such as definition of different selection criteria for road workers, or the provision of reading materials to supplement available textbooks. Or it may involve a complete redesign of a project component, such as the credit system, to make it more accessible and acceptable to lower-income groups (e.g., through decentralizing and speeding up lending procedures; changing borrower selection criteria; developing a system of local "promoters" or first clients, local supervisory capability, or borrower associations, or tying in loans to specific productive inputs). <sup>1/</sup>

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<sup>1/</sup> See, for instance, Robert Blayney, El Salvador Second Urban Project: Impact of Small Scale Enterprise (SSE) Credit Program on Women Entrepreneurs. World Bank, Development Analysis and Programming (DAP), May 24, 1979.

2.36 The information may, in certain cases, also underline the need for building completely new components into projects to provide lower-income groups with missing inputs. 1/ But some resource gaps are difficult to deal with under Bank projects, as in the case of land constraint. Time-saving devices for the poor are also difficult to introduce successfully. 2/ The area in which the Bank could best expand its attention at the present time, and in a wide range of projects, is in bridging the essential and specific information gaps between what lower-income groups or subgroups now know and what they need to know if they are to benefit under the project. The need for such a focus has already been recognized under agricultural and rural development as well as urban projects. 3/ It is also argued for in the papers on rural roads, and particularly on water and wastes, which were produced under this review effort. 4/ Development communications planning may provide those otherwise disadvantaged with the means to catch up with, or even have an edge on, the competition.

#### Unintended Negative Effects

2.37 The Bank, together with other major development agencies, is becoming more aware of unintended negative consequences that well-intentioned development activities can have, either directly or indirectly, on area people. Hydroelectric projects may displace large numbers of people in the lake area (who would rather stay where they are and have difficulty adjusting to a new environment), may impair people's health, or may cut off downstream populations from their accustomed supplies of irrigation water. 5/ Off-farm

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1/ For instance, small freight vehicles to small and medium-sized farmers to ensure materialization of the potential benefits from rural roads (proposed INDIA: Bihar Rural Roads Project).

2/ Marilyn Carr, Appropriate Technology for African Women. See also the proposed Center for the Promotion of Rural Artisans under the proposed TOGO: Education Project.

3/ See, for instance, John P. McInerney, The Technology of Rural Development, World Bank Staff Working Paper No. 295, October 1978, pp. 12-13, and Mario Kamenetzky, Technology Policy in the Context of a Country's Socio-Economic Development (draft), World Bank, Science and Technology Unit, April 1979.

4/ Heli Perrett, Social and Behavioral Aspects of Water Supply and Waste Disposal Project Work, PAS, June 1979, pp. 6-17; and Heli Perrett, Social and Behavioral Aspects of Rural Roads Project Work, TRP/PAS, February 1979.

5/ Thayer Scudder, Some Policy Implications of Compulsory Relocation in Connection with River Basin Development and Other Projects Impacting upon Low-income Populations. California Institute of Technology, Pasadena, May 1977.

employment opportunities for small farmers may place additional burdens on women farmers or lead to a decrease in agricultural productivity. 1/ Introduction of cash-cropping may result in increased malnutrition. 2/ Introduction of tractors may lead to unemployment of agricultural workers. 3/ Mass tourism, large-scale mining or petroleum exploration may threaten social stability and local values and cultures. 4/ Construction of rural roads may, under given conditions, lead to displacement and dispossession of poorer area farmers, especially renters or those with no modern legal rights to land. 5/ Improvement of highways may result in loss of human and animal life, especially when there is considerable pedestrian, bullock cart, and bicycle traffic — and when traffic rules are not known or not strictly enforced. 6/

2.38 There is also another aspect of the problem: the situation in which certain area people in one way or another are an impediment to achieving project objectives and may therefore indirectly have a negative effect on others. These kinds of problems are also recognized by Bank staff, as when area farmers do not comply with laws to protect forests and thereby cause erosion, 7/ or when area people cause high operation or

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- 1/ Such problems were reported in the early phases of the Mexican Rural Roads Program which is collaborating in the Bank-financed MEXICO: PIDER Projects.
  - 2/ Reports of such occurrences are not infrequent, but are only likely to be recognized over the longer term, that is, after Project Completion Reports. The preparation team for the PAPUA NEW GUINEA: Southern Highlands Project reported, for instance, that the worst nutritional conditions were found among families in which adult males were employed in the monetized economy.
  - 3/ The issue came up during design of the EGYPT: Agricultural Development Project. See also, J. McInerney and G. Donaldson. The Consequences of Farm Tractors in Pakistan, World Bank Staff Working Paper No. 210, February 1975, 94 pages.
  - 4/ R. Noronha, Social and Cultural Dimensions of Tourism: A Review of the Literature in English, World Bank Staff Working Paper No. 326, April 1979.
  - 5/ For a discussion of this question, see Heli Perrett, Social and Behavioral Aspects of Rural Roads Project Work, PAS/TRP, February 1979, pp. 17-18.
  - 6/ Per Fossberg et al. Report on Seminar on Road Safety in Developing Countries. (Draft) PAHO/World Bank, December 1979.
  - 7/ As occurred, for instance, in the COLOMBIA: Caueta Colonization Project.

maintenance costs of services, 1/ or otherwise threaten the achievement of project objectives. 2/

2.39 In a number of cases we have illustrated, the delay between project activities and undesirable effects is so long, or the process so indirect or diffuse, that it is impossible to foresee or avoid effects during the preparation and implementation period of a first project. Other unintended negative effects are fairly sizeable, while at the same time avoidable and have therefore rightly received most of the Bank's attention. Their recognition and handling usually requires understanding of the social and behavioral characteristics of the people affected.

2.40 Solutions themselves vary. For example, a technical decision may be required (better waste-water disposal systems to avoid negative impact from a water supply project, wider road shoulders for pedestrians, or the lowering of the height of a dam to minimize the area flooded). 3/ Or, it might be a matter of legal protection (e.g., instituting measures against land speculators or for legalization of traditional land rights so that area

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- 1/ The MALI: Urban Development Project Appraisal Report noted, for instance, that people in the project area tended to use ditches for disposal of solid waste, thereby clogging drains and causing water stagnation. One result was the high incidence of malaria, a major cause of death among children under five.
- 2/ For instance, when area people are a threat to the watershed and water quality, as occurred under the KOREA: Seoul Sewerage Project and the HONDURAS: San Pedro Sula Water Supply and Sewerage Project. Or, where they destroy tree seedlings in order to obtain more employment for planting them, as was recognized by the PHILIPPINES: Watershed Management Project Brief; or where weigh-scale operators use the scales for increasing their personal income, as has been recognized to occur in several countries where the Bank is involved in financing such technology.
- 3/ Thayer Scudder, "Some Policy Implications." See also Social Issues Associated with Involuntary Resettlement. OMS 2.33. The feasibility study of the Nangbeto Hydroelectric Project in Togo/Benin is expected to focus on this question.

small farmers will not be disadvantaged from a rise in land values). 1/ Or, an education or training component may need to be built into the project (e.g., training of market women in new skills such as grading of produce and packaging, so they can adjust to and compete with modern marketing systems). Or, it may be a matter of a simple "social engineering" activity (e.g., relating the need for meter readers or kiosk attendants to the fact that the project will displace a number of water vendors who might fit the job), 2/ or a not-so-simple one such as developing a fairly complex series of measures to protect the interests of the area people in petroleum exploration projects. 3/

2.41 Social and human obstacles to achieving project objectives are often recognized too late, and when they are, the solution of moving the offenders out of the area is adopted too readily. But the Bank's awareness of such questions and its willingness to consider solutions is clearly developing. The Bank should encourage systematic and timely review of alternatives, especially those mentioned above.

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- 1/ The appraisal of the TUNISIA: Rural Roads Project (which had a large agricultural component) recognized that the long time required for the State Lands Bureau program to provide land titles in the project area called for an interim measure which would allow people with collective titles some form of proof of ownership. The "Certificat de Possession" — a simpler measure taking about three months to obtain — was therefore used as equivalent security in cases where cadastral or Islamic titles are lacking. In the case of another Bank project (rural development) in West Africa, the question was not looked at carefully enough during project design, with the result that it is taking area farmers as long as ten years to obtain titles to their tribal land, mainly because they do not have the necessary "cash" to speed up the process (which might cut it down to as little as ten days). This is having negative effects on their willingness to participate in the project activities, particularly those involving longer-term investments, such as tree planting.
- 2/ For instance, the KENYA: Water Supply Project has employed former water vendors as kiosk attendants. Similarly, vendors might be trained to perform other new roles such as water use and hygiene inspectors.
- 3/ Guidelines for the protection of indigenous peoples and cultures are being prepared by the Bank's Office of Environmental and Health Affairs.

### III. SOCIAL FACTORS AND THE PROJECT CYCLE

3.01 Consideration of social factors in project work can be a difficult task. One of the probable reasons is that the available techniques are not particularly well adapted to the operational needs and the time constraints of the project cycle. Another reason is that social inputs often occur too late to influence project design. 1/

3.02 A better understanding of what the field offers could improve the utilization and proper timing of social information for project design. This section, therefore, gives, first, an overview of available methodologies most relevant to sectors with an established tradition of considering social and behavioral factors and commanding the necessary manpower and budgetary resources (e.g., urban and rural development). Then, we propose a specially adapted methodology for use in those sectors of lending which have limited resources for this kind of work.

#### Available Methodologies

3.03 There are five main types of social techniques which can be useful in project identification, design, and appraisal:

- (a) social assessment or diagnosis: this involves identifying the intended beneficiaries, their location, growth, migration and mobility patterns, their social and family organization, their internal patterns of conflict and cooperation, and their socio-economic profile or other relevant traits which would assist in making project concept and design decisions; 2/
- (b) social pre-feasibility: this involves using available social information for elaborating the project concept and verifying its social acceptability in a preliminary manner;

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1/ For a recent exception, see the PAPUA NEW GUINEA: Transport Sector Review Report, July 1979.

2/ Social assessment can range from extensive primary data gathering activities to rapid field analysis of existing data over a 2-3 week period. The Urban Poverty Analysis carried out on a systematic basis by an urban planner/anthropologist provides an example of the latter method, whereas the former is favored by agricultural and rural development staff.

- (c) social feasibility analysis and social feasibility appraisal: these correspond respectively to the roles of the potential Borrower and the Bank in assessing whether assumptions about project populations and their response actually conform to reality;
- (d) social design, "engineering," or "packaging": these represent the applied use of social information and analysis during the design stage to make project technology and introduction strategies more appropriate, or to incorporate certain special measures or components into the design (social "packaging" of the technology) in order to ensure that target groups or others will cooperate with, or benefit from, the project, or that the project's unintended negative consequences will be minimized; <sup>1/</sup>
- (e) social impact forecasting and measurement of project impact: in that order, these represent the design stage and project implementation stage activities focusing on assessing the likely effects of the project on distribution of benefits. The former requires a judgment before the fact; the latter is a more precise after-the-fact activity based on data generated by the project.

3.04 In practice, analysis of the social feasibility of engineering, technical, and institutional choices should be part of an iterative process leading to changes in target populations or the design of ways to improve feasibility. Forecasting of social impact would follow a similar path, though with a time lag, and be repeated more formally during project appraisal. Annex 2 and Charts 4 and 5 provide more detailed suggestions on the use of these techniques in the Bank project cycle.

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<sup>1/</sup> An example of social engineering can be found in the INDIA: Gujarat Community Forestry Project, in which the Bank is providing improved crematoria as an incentive for participation in the forestry project (one for every 3-4 villages). The social acceptability of the new crematoria was carefully assessed in terms of traditional burial rituals. Another is the suggestion made by the MALI: Basic Needs Health Sector Survey Mission that any attempt to introduce simple work-saving technologies (or other innovations) for women operate through the village elders who influence their decision making. A number of suggestions for making the community participation approach more efficient, acceptable, and equitable can be found in the LIBERIA: Community Participation in Routine Maintenance of Rural Roads mentioned earlier. Other examples under Bank projects include the use of traditional social groups (Zabaline) for removing urban trash (EGYPT: Urban Development Project); or local leadership to recover construction or small-scale business loans (ZAMBIA and EL SALVADOR urban projects); or the setting up of community incentive schemes to restrain fertility (INDONESIA: Population Project).

Making Best Use of Scarce Resources: the One-shot Approach for Providing Assistance to Borrowers

3.05 Social inputs and specialist services have been most frequently used in the past for social assessment (background data collection usually) and for measurement of the impact of a project 1/— activities that are both data-intensive and fairly high in cost. They are therefore difficult to incorporate routinely into Bank project work in all sectors requiring only some attention to user questions, and are sometimes too cumbersome to serve the needs of busy decision makers (Bank and Borrower).

3.06 Many of the Bank's sectors of lending (such as Transportation, Water and Wastes, Energy, and Industry) can, at best, dispose of only limited resources to focus on social or user questions. In addition, Borrowers and their consultants rarely have expertise in this area. There is thus a need for a specially tailored and rapid social input to help Borrowers analyze the social feasibility of the project technology and implementation strategy and to assist in designing improvements to both. At least initially the Bank may have to pay for a social specialist familiar with the sector 2/ on a two to three week assignment from its own budget until Borrowers and consultants assisting them build up the necessary expertise. 3/ The one-shot approach would focus on the following:

- (a) A review of project assumptions about the values, attitudes, behavior, and general response of project populations, together with a "mini-diagnosis" or assessment of those characteristics of the project populations or of their socio-environment which may be expected to create an incompatibility with the project assumptions;
- (b) An assessment of whether response of the intended project population is likely to develop as assumed, under what alternative (project) conditions, and with what consequences to the distribution of benefits and costs;

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1/ Project impact studies are being carried out not only in urban and rural development projects, but also in other sectors, such as transportation, on a more limited scale.

2/ These specialists need not always be sociologists or anthropologists, but can also be socio-economists, social geographers, IEC (information, education, communication) specialists, or technical specialists with a good background in the social/behavioral field.

3/ Alternatively, social feasibility studies can be financed from funds included in an earlier project. For example, Credit 291-NEP included a study for the development of tourism in the Khumbu Valley, Nepal, aiming at minimizing the detrimental impact of trekkers on the local mountain people and on the environment.

- (c) Recommendations for changes or additions to project technology or design that are needed to improve the social feasibility of the project, with itemization and costing of additional project inputs or packaging arrangements; and
- (d) The design or modification of project information systems and related institutional arrangements that are needed to keep an eye on remaining social risks in the project and to let upper management know what is happening at the field level as project activities and user response develop.

3.07 The precise timing of this kind of activity is important. Terms of reference for engineering consulting firms or preparation teams involved in socially sensitive sectors should provide for entrance and interlinkage points for social inputs, whether by their own staff/consultants or local expertise.

3.08 There are, however, two major problems. One is that the methodology for social feasibility analysis itself is at present underdeveloped, certainly when compared with the sophistication of economic analysis in the Bank. Like the latter, such development cannot be expected to come overnight. The other problem is that it is difficult to find people to carry it out, since they should combine knowledge of sociology, anthropology, or related behavioral sciences with thorough sector understanding and development experience. 1/ This is an area in which the Bank may wish to play a leading role as it did only recently in applying economic theory to project work. 2/

#### Underdesign and Overdesign

3.09 Finally, Bank staff are rightly concerned about how far the project design ought to go in detailing its social aspects, and are generally wary of becoming involved in a number of micro-issues with little effect on the shape or size of the project, or which have little practical value for the project outcome. Very detailed social questions usually do not belong to the project design stage, though exceptions are possible and the expert will recognize when some such small detail may become the "nail that lost the war."3/ Five essential considerations should influence which social questions

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1/ Annex 1 provides specific terms of reference representative of various sectors of lending. These may assist Projects officers in briefing consultants unfamiliar with the operational requirements of the project cycle, which is unavoidable in the short term.

2/ See Annex 3 for some tools developed by the Bank for use in the preparation of water and wastes, and rural roads projects.

3/ For instance, when water supply wells are located too close to traditional burial sites, they will not be used. Commission des Communautés Européennes, Evaluation (ex-post) sectorielle des projets d'approvisionnement en eau urbains et villageois, Brussels, Direction Générale du Développement, August 1978.

should receive attention during project design: (a) the extent to which they will affect other project decisions (technical, managerial); (b) their effect on project costs; (c) the likelihood that project management will have expertise in dealing with the social area during implementation, in the absence of a detailed brief; 1/ (d) the overall level of uncertainty or lack of information about the beneficiaries; and (e) systematic failure of earlier development projects directed to a particular population. It is clear that for socially sensitive projects, social engineering will be an ongoing design activity long after approval of the loan or credit and should therefore be considered a normal responsibility of the project management. 2/ Experience under a number of Bank-assisted projects suggests that sensitivity to social and human questions may not always be considered an important selection criterion of project managers — a fact that may lead to implementation problems (para. 2.24). As a general rule, therefore, the weaker management is likely to be, the greater the need for detailed design of the social aspects of the project (or an outline of the possible options) prior to its approval.

3.10 On the other hand, overdesigning the social aspects of a project might result in imposing a "straightjacket" on the project manager, or simply in a waste of time and money when the changes introduced by the new technology itself, the time lag between design and implementation, or a change of target population or other modification to the project, will require a new design. 3/ Hence, it will sometimes make more sense to outline a number of possible options in such tasks as selecting local people as field workers or in organizing or motivating the community to contribute labor to the project. Appropriate contingencies should be provided under the project where such alternatives involve differences in cash outlays.

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1/ For instance, when contractors are experienced in labor-intensive techniques and already tend to phase their work to make maximum use of the surplus labor freed during the slack agricultural season (INDIA: Preparation report for the Bihar Rural Roads Project).

2/ The role of women during implementation of the SENEGAL: Terres Neuves Resettlement Project (Cr. 254) provides a vivid illustration of this point (Audit Report of June 29, 1979).

3/ OMS 2.12, Project Generation and Design, para. 4.8.

#### IV. CONCLUSIONS

4.01 This review of social and behavioral factors in project work is part of the Bank's continuous efforts at improving available methods of project generation and design. As such, it cannot be considered a final product: at this stage it is an interim report to be refined, over time, as our experience grows. Neither should it be viewed as a substitute for more detailed study of social and behavioral issues applicable to particular sectors.

4.02 In spite of these reservations, we hope that this report will help

- (a) support and reinforce ongoing efforts by Bank staff in this area;
- (b) remove some of the remaining obstacles to efficient interaction of social and behavioral information and analysis with the other disciplines during project design; and
- (c) facilitate the task of managers who were not acquainted with this field.

4.03 Implications for the project cycle. To increase the degree to which projects plan for the actual use by the intended beneficiaries of the goods and services to be provided (Chart 1), social inputs must be directed to the project pre-appraisal stages: where possible, analysis of the social feasibility of engineering, technical, or institutional choices should be done as part of an iterative process leading to changes in the identity of target populations or the design of ways to improve feasibility. <sup>1/</sup> (Chart 5). Ideally, this task should be the responsibility of the Borrower's consultants, whose terms of reference the Bank may have an opportunity to review. Nevertheless, when this is not possible, the Bank may need to assist its Borrowers through a quick intervention combining both feasibility analysis and design of the social and behavioral aspects of a project. This may require identification and grooming by particular Bank sectors of individual consultants able to perform such an assignment. In addition, in certain countries, social factors may need to be considered more often in Bank economic and sector work and possibly in CPPs.

4.04 Staffing implications. Even if the Bank makes the best possible use of available budgetary and staff resources, in the long run they will remain inadequate for dealing with the increasing number of social questions arising in Bank-assisted projects, both during design and implementation.

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<sup>1/</sup> For instance, adaptation of the technology or delivery system; introduction of education, training, or motivation activities; involvement of the community in planning or management.

One possible immediate measure is for sectors to give preference to hiring people with dual capabilities (social and technical, or social and economic) as established positions become vacant. Another is to try to use consultants with the same dual responsibility in mind: e.g., social and health for water and wastes project work; social and management/organization design for rural roads; social and nonformal education for project work in education; and social and nutrition, health or population communications for project work in nutrition health, or population. Some Bank sectors are already adopting these measures.

4.05 Further operational support. Consultations with the staff suggest the need for more detailed studies in the following areas:

- (a) sector tools: in addition to the already available sector and subsector reviews and tools to which this report refers, further efforts are required in the health/nutrition, education, energy, fishery and small-scale industry sectors. Where a sector's own work has advanced sufficiently, emphasis might be placed only on developing and field testing in project work such tools as preparation/appraisal checklists and model terms of reference, rather than writing a review report; this would represent a considerable saving of time and effort.
- (b) cross-sectoral questions: project staff in a number of sectors appear increasingly concerned about certain questions with a social bent which fall outside specific sector responsibilities, although they recur in a number of projects. Each one of these questions which relate, for instance, to user involvement in maintenance, the design of effective communication mechanisms, land and water rights, the assessment of willingness to pay, and the organization of workers in remote locations, has important implications for project efficiency and effectiveness. The Bank might therefore wish to conduct a further review of their occurrence in project design and implementation and, if indicated, provide guidance on how to better deal with them in practice.

SAMPLE OF TERMS OF REFERENCE FOR HANDLING

SOCIAL AND BEHAVIORAL QUESTIONS ON BANK MISSIONS

Rural Roads	:	Annex 1(A), (B)
Agriculture	:	Annex 1(C), (D), (E)
Water/Wastes	:	Annex 1(F), (G)
Urban	:	Annex 1(H)
Health	:	Annex 1(I)
Involuntary Resettlement	:	Annex 1(J)

The attached terms of reference have been either used under Bank projects or drafted as a model. They illustrate the types of assignments that Bank staff could expect sociologists/anthropologists or other "social" specialists to perform during project preparation, when the Bank has agreed to provide assistance to a Borrower. In some cases, however, the TORs were actually used for project appraisal.

Their level of detail should be sufficient to ensure that the information collected is directly relevant to the design concerns of the particular sector/project: this should help, on the one hand, the consultant to focus on the main operational issues and, on the other hand, the other team members to appreciate which decisions require consideration of social factors.

When used as a guide, they will obviously need to be adapted to the particular context and stage of preparation of the project being considered.

NIGERIA: Proposed Third Cocoa Project: Road Component  
Pre-appraisal Mission \*  
Terms of Reference for Consultant Sociologist

On or about \_\_\_\_\_ you will proceed to Nigeria for about three weeks of field work to review the social aspects of the rural roads component of the proposed Third Cocoa Project.

You will focus on the following social and social-organizational aspects:

- (a) The feasibility of involving local people in routine maintenance of the project roads, and, alternative approaches for doing so most efficiently and equitably.

In order to do this, you will review the following:

- (i) availability of able-bodied labor at the local level in terms of: population distribution vis-a-vis the roads; timing of maintenance activities and their demands for labor in relation with reported seasonal labor shortages during peak periods (e.g., harvest) in agriculture; shortages due to migration of youth to the cities; competition for available labor by construction or other industries, and so on;
- (ii) interest in the roads and a priori willingness to contribute to their maintenance on the part of local people, with attention to such contributing factors as: their involvement in early decision-making on road geography or design; their possible concern that roads may bring in outsiders and threaten communal land tenure rights; likely decline in motivation over time; effect on motivation of different kinds of financial and social incentives to promote or sustain motivation; alternative sources of remuneration and their level;
- (iii) social attitudes, norms, organizational patterns, historical antecedents of colonial labor, and other factors which might either constrain or promote local involvement in road maintenance;
- (iv) alternative strategies for implementing local involvement in maintenance with attention to tradeoffs between different approaches such as the linksman system versus community organization approach, incentives in kind versus cash, full payment for labor versus partial payment; and, to different social arrangements to support local involvement (below); and

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\* These Terms of Reference were originally designed for an appraisal mission.

- (v) the socio-economic differences that exist in the project area - land holdings range from 1 hectare to 78 hectares (12% of total area farmed) - and how this will affect feasibility and design of local involvement.
- (b) Alternative organizational arrangements for supporting the roads program, and particularly any institutional building or organization design activities necessary to support road maintenance activities on a continuing basis. In this context you will review the appropriate roles to be performed by the State Ministry of Housing and the local government councils, with attention to:
- (i) the image, role and credibility of the organization at the lowest (local/village) level, which will be likely to affect local willingness to cooperate with it;
- (ii) the history and success or failure of the organization in terms of ability to mobilize internal and external resources, including local labor, collecting taxes, involving the rural people in decision-making, and so on;
- (iii) the effectiveness, morale, and social acceptability of field staff to the area people, and, general outreach capability criteria or training needs to ensure that field staff are capable of leadership vis-a-vis local people;
- (iv) unambiguous role definition and effective lines of communication and command between upper (national) and lower (local) levels;
- (v) the existence of good feedback channels and reporting procedures in the organization, particularly between the work-site level and the upper levels, in such a way that local level agency staff are not only accountable for their performance to their agency, but also to the local people they are supposed to serve; and
- (vi) ability and motivation of the organization to distribute any benefits (e.g., payment for labor) or costs (e.g., unpaid contributions of labor, local materials, or other) efficiently and equitably rather than along ethnic, social or political power lines (especially in the case of local government councils and in light of their role in the National elections).

It may also be necessary to undertake some organization design or institution building activities to make sure that the selected organization can be built up to the level of effectively maintaining the project roads. Your contribution

to this would be to:

- (vii) identify suitable informal social arrangements (e.g., development, committees, tribal groupings and leadership, etc.) and ways of linking them up to the formal organization in order to build a more effective hierarchical structure and lines of communication and, to complement the supervision and coordination capabilities of the government, particularly during a transitional period while the capabilities of the latter are being developed; and
  - (viii) identify which government supports (e.g., supervision, motivation, technical advice, management training, etc.) might be required to reinforce the effectiveness of the grassroots level organizational structures in carrying out the road program.
- (c) Selected social aspects of the project road construction, specifically:
- (i) if there is a decision to use local labor - the problem of labor shortage and already existing competition at high wage rates for the labor that is available, especially during peak agricultural periods and by the construction industry;
  - (ii) land acquisition and compensation questions, particularly as these might be affected by the size of land holdings (which may be so small that local people cannot afford to lose land and communal rights to land in the area, both of which have been known in other countries to cause problems with acquisition of right-of-way, construction delays, and sometimes negative effects on area people, and may or may not have been one of the factors in the past difficulties experienced in building rural roads in Nigeria; and
  - (iii) whether the fact that certain roads in Nigeria bypass population settlements (for engineering reasons) may result in difficulties in obtaining from the local people their expected contribution to road maintenance (paid labor or otherwise).
- (d) The distributional effects of the road program, looking at:
- (i) the likely distribution of any direct benefits such as payment for local labor in construction or maintenance (e.g., in view of the experience in Kenya), and of any costs (such as unpaid contributions of labor for maintenance);

- (ii) the effects of improved roads on land tenure and use in the area, particularly in view of existing communal land rights; and
- (iii) the general ability of area smallholders (42% farm 2 hectares or less) to take advantage of the improved roads, possibly in comparison to those who have better access to land and other resources.

**LIBERIA: Feeder Roads Project**  
**Social Feasibility and Design of Routine Maintenance**  
**Terms of Reference - Consultant Sociologist**

1. You will arrive in Monrovia on \_\_\_\_\_ for a period of about two weeks where you will meet with Mr. \_\_\_\_\_, Engineer. Specifically, you will be responsible for suggesting methods to ensure an appropriate involvement of local communities in maintenance of the feeder roads project.
2. You will be responsible for:
  - (a) reviewing the degree of feasibility of community involvement in routine maintenance of the feeder roads, and accordingly,
  - (b) defining a strategy to promote and support community involvement in the project areas, in order to ensure that these activities are carried out efficiently and that the distribution of their costs and benefits for the local population is equitable.
3. For this purpose you will examine such questions as:
  - (a) the interest in roads of the populations alongside them, and their likely commitment to their maintenance;
  - (b) the social and cultural feasibility of community cooperation in the project area including: relationship between local government or other institutional channel and the area people; location of the population vis-a-vis the planned roads, extent of unemployment, underemployment, seasonality of employment; level and source of income; social norms, traditions, relevant historical antecedents which affect such involvement by communities; existence of other (in addition to local government) social organizations or viable structures at the local level which could promote and support community involvement; skills and capabilities at the local level, etc.;
  - (c) the question of incentives including promotional measures, that are required to support permanent local involvement and their financial or administrative feasibility; and
  - (d) other questions in the design of the community involvement which would help to ensure that it is efficient, and any direct benefits to the local people, such as payments for labor, or costs, such as voluntary contributions of labor or cash, are equitably distributed.

UPPER VOLTA: Niens Dionkele Agricultural Development Project  
Pre-appraisal Mission  
Terms of Reference for Consultant Anthropologist

The anthropologist will spend two working days in Paris consulting ethnographic and project related materials before travelling to Upper Volta on \_\_\_\_\_ In Ouagadougou he will spend a day consulting with social scientists familiar with the project area before beginning field work in the seven villages of the project area: Were, Karamassasso, Ndorola, Dingasso, Diguera, Niens and Teoule. He will be responsible for identifying those cultural factors which may facilitate or inhibit the achievement of project goals. In the course of this field work he will collect data on the following:

- (a) traditional patterns of technoenvironmental adaptation: farming, livestock raising, hunting and gathering;
- (b) economic organization: land tenure, work and time organization, systems of distribution and inheritance, manpower availability and how this is allocated between crops; price responsiveness;
- (c) social organization: family structure and the role of associations and cooperatives in the organization of economic activities;
- (d) political organization: means of allocating decision-making authority; regulating economic disputes, allocating productive resources, and maintaining socioeconomic peace; regulation of relations with the national government;
- (e) ideology: supernatural sanctions on the traditional organization of production and distribution; magico-religious perception of cause and effect relationships relevant to the effective introduction of technological and economic innovations; and
- (f) cultural change: sociocultural sources of resistance to and/or receptivity to technoeconomic change, with emphasis upon identification of those factors which appear conducive to acceptance of such change.

In the course of this work he will investigate the following specific issues:

local reactions to the settlement of the Mossi people in the project area;

- (b) determine the reasons why settlement has not occurred hitherto;

- (c) assessing reasons for poor farmer participation in past projects and the degree of participation which can be expected from local farmers in future projects;
- (d) factors concerning the segmentation of holdings; and
- (e) assessing the responsiveness of intermediate technologies especially the use of draught oxen.

The anthropologist will liaise closely with the missions' agricultural specialist and economist and complete his field work within 3 weeks. He will return to Washington on or about \_\_\_\_\_ and will produce a written report within 14 days of return to Washington.

**BOLIVIA: San Jacinto Multipurpose Project**  
**Appraisal Mission**  
**Terms of Reference**

The sociologist will evaluate matters relating to the social aspects of the project. The following points, *inter alia*, will be considered:

- (a) study the current land tenure structure in the project area and evaluate the viability of 5 ha farms proposed under the project;
- (b) evaluate the social and political impact of the proposed land redistribution program under the project and examine the adequacy of the proposed compensation program;
- (c) evaluate farmers' attitude in the project area toward new modes of development, improved technology, and Government support in institutions;
- (d) examine the role of women in various economic activities, including their participation in decision-making and resource allocation;
- (e) outline the technical assistance program, if necessary, for developing and improving basic skills for women;
- (f) determine, in collaboration with the agricultural extension specialist a technical assistance program for project farmers taking into account the sociocultural aspects of the local population;
- (g) outline measures to improve communications and relationship between project management and farmers in the project area; and
- (h) evaluate the social and environmental impact of the project.

RWANDA: Agricultural Development Project - Mutara II  
Appraisal Mission  
Terms of Reference for Sociological Aspects of the  
Proposed Project

The consultant-sociologist will be responsible for the sociological aspects of the proposed Project. He will also assist the mission leader in assessing the possible integration of the Project in the regional administrative structure.

The following should be reviewed in-depth:

- (a) Population data and estimates in the Mutara region, including the population distribution between the Paysannat and Group Ranches, and inhabitants not integrated in the Mutara I Project, the ethnic distribution, family structure, size and growth, economic activities between family members and the role of women, immigration and emigration phenomena within the country and out of the country (namely Zaire);
- (b) Land tenure aspects, including the current usufruct arrangements in the Paysannat and Group ranches, possibly hereditary or multiple settlement rights, and the impact of population growth on land scarcity, land redistribution, intensification of land utilization, and changes in land tenure arrangements;
- (c) Current practices and attitudes towards:
  - (i) technological change, including the proposed introduction of fermettes, erosion control, and new cultivation techniques in the paysannat, and limitation of herd numbers, fattening of steers, earlier weaning, and pasture rotation in group ranches;
  - (ii) non-institutional and institutional credit;
  - (iii) marketing, including production of a marketable surplus of subsistence crops, and production of cash crops such as peanuts and tobacco;
  - (iv) extension services;
  - (v) payment of taxes and fees; and
  - (vi) family planning;
- (d) Labor availability, including the current labor availability and use, the impact of the water supply component on savings

of family labor, and the competition of other economic activities and employment opportunities, in the region with land evaluation and animal husbandry practices; and

- (e) Incentive to Farmers, including financial incentives and the provision of social services, such as water supply, schools and dispensaries.

As part of his responsibilities, the consultant will prepare an assessment of the overall social impact of the first project and of the proposed project, and of the need for monitoring some social variables, such as population growth, migration to Zaire, and others which he will identify.



to observe hygiene practices and to conduct informal spot interviews, insofar as this is possible;

- (d) review past and current activities in health education/communications and assess institutional capability of the Ministry of Health (and, if indicated, other agencies) with attention to such activities in conjunction with health care delivery, school education, mass media non-formal education, community development activities, and especially water/wastes programs;
- (e) review existing plans, programs and allocation of resources of the major agencies involved in health education in the project towns/villages/urban settlements, to assess the extent to which these will adequately fill the project health education needs;
- (f) review existing infrastructure of modern and traditional, technical and human communication channels in the project area, for strategy purposes.

3. You will submit a report to the Water Agency and the Bank, upon termination of your field work, in which you will outline:

(a) Personal and Community Practices as Health Threats

- (i) extent to which initial information suggests that certain health and hygiene practices (including water use practices) that are prevalent among the project population might prove a constraint to the full health impact of the water supplies;
- (ii) specific nature of the commonly found poor hygiene practices;
- (iii) what specific causes can be attributed to the health-threatening practices or habits (social-cultural norms, beliefs, customs, ignorance, lack of necessary facilities or resources, economic constraints, etc.);
- (iv) what additional information should be collected in order to define the specific areas for focus and content of a hygiene education component, if necessary. Outline procedures for, and responsibilities for, data collection, analysis and interpretation, and its timing relative to the processing of the primary project;

(b) Administrative Responsibility and Staff for Health Education Component

- (i) the extent and quality of experience in \_\_\_\_\_ in practical health education, and specifically as relevant to personal and domestic hygiene practices in the project areas; and
- (ii) recommend institutional responsibility for any required water supply-related health education activities in the project areas; and for associated monitoring/evaluation activities. Any institution-building activities required (training, technical assistance, setting up of new units, activities, etc.);

(c) Recommended Strategy for Project-Related Health Education

- (i) within the framework of briefly stated longer-term objectives, develop alternative approaches for implementation of the hygiene education activities; cost each; elucidate trade-offs in benefit levels among them;
- (ii) select and recommend one alternative for the Bank project; outline reasons;
- (iii) define detailed nature and costs of hygiene education component, such as additional background data gathering on specific health practices, beliefs; pilot testing of the strategy; equipment or materials, purchase of media time or design, production, distribution costs of support materials; costs of monitoring/evaluation of activities; technical assistance; other;
- (iv) propose financing plan (including possibility of financing by other local or aid agency, or other Bank project).

(d) Replicability of the Recommended Approach

Outline how the recommended strategy might or might not apply to other similar populations, or different ones in the country, particularly those where the Bank might become involved at a future date; what additional information might be needed to determine the extent of its replicability if this cannot presently be assessed.

**NIGERIA: Anambra State Water Supply Project**  
**Urban Poverty Analysis**  
**Terms of Reference - Consultant Anthropologist/Urban Planner**

1. About April 26 you will join the water supply mission led by Mr. \_\_\_\_\_ in Enugu, Anambra State for a stay of about two weeks.
2. You should examine the urban poverty situation in the cities of Enugu and Onitsha and prepare an analysis with specific attention to the following tasks, to the extent possible:
  - (a) gather and evaluate existing population data, including projections. Estimate the current and projected proportion and numbers in the urban poverty group according to the Bank's estimate<sup>1/</sup>;
  - (b) confirm the poverty threshold for the project area;
  - (c) collect income and expenditure data with particular reference to water and sanitation charges;
  - (d) determine, rank, and map the poverty areas. Visit the areas for on-site inspection of housing conditions, specific deficiencies in water supply, sanitation, and drainage. Verify income and expenditure information from official sources through informal inquiries;
  - (e) examine government plans for the area to determine if the poverty group's needs are being addressed in terms of adequacy of water service and affordability;
  - (f) review the project brief vis-a-vis impact on the poverty group, including the percentage of the project cost and loan attributable to the poor based on water consumption of the poverty group;
  - (g) tabulate the expected numbers and percentage of urban poverty beneficiaries of the project during the term of the project;
  - (h) examine urban development plans and policies as to their effect on the growth and expansion of low income settlements in terms of infrastructure investments;

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<sup>1/</sup> The Bank has defined the absolute urban poverty threshold at \$302 per capita per year for Nigeria in 1978.

- (i) identify other opportunities to ameliorate the urban poverty condition; and
- (j) prepare a draft report of the findings, including recommendations for how to include a poverty component in the project and how this analysis might be used for other Bank activities.

You should work closely with the mission members and discuss your preliminary findings with them in the field. The draft Back-to-Office report, which is to be prepared upon your return, should also be reviewed by the mission and Urban Projects staff.

1/: Urban Upgrading Project  
Pre-appraisal Mission  
Terms of Reference - Consultant Sociologist

1. On or about \_\_\_\_\_ you will proceed to \_\_\_\_\_ to review over a 3-4 week period the social feasibility of the proposed urban upgrading project.

2. You will consult not only with the preparation team but also with (other) local architects, contractors, social scientists and field workers in close contact with the intended project populations, carry out limited spot consultations with local leaders and people, observe local lifestyles, living arrangements, and existing alternatives. If necessary to supplement the available background data, you will also collect and review demographic, socio-economic and social-cultural information. 2/ These consultations should help you carry out the following three activities:

- (a) verify the available diagnosis of the socio-economic characteristics of the beneficiary population, lifestyle, and environment;
- (b) assess the social feasibility of the available plans, design proposals, and eligibility and compensation criteria and make related recommendations; and
- (c) identify possible social risks in achieving project objectives and predict distribution of benefits.

3. Social Diagnosis of the Project Population, Lifestyle, and Environment.

You would be expected to verify:

- (1) The socio-economic characteristics of the project population including: population numbers (existing and projected), age-sex structure, household numbers and composition (noting proportion of female heads), tenure arrangements (formal and informal), occupancy rates, education and income levels, occupational and employment characteristics, and times of employment (i.e., weekdays, nights, days, seasonal, casual, etc.).

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1/ These Terms of Reference are not country specific. They have been prepared for illustrative purposes only on the basis of current practice in Urban Projects.

2/ To be obtained from local research institutes, universities, government ministries and agencies, voluntary organizations involved in assisting the project population, or any other sources.

- (2) The lifestyle of local households, both within the home and community, noting the size and use of space: the preparation and kinds of food consumed, storage needs, and the extent of home-based employment/business.
- (3) The existence of any family, household structure, tribal, ethnic, religious, political or other social dimensions within the project population, which form patterns or divisions within the area, which may indicate particular design solutions, adjustments or flexibility required in the design of dwellings, layouts, and access ways and the feasibility of occupancy tenure arrangements and the distribution and sharing patterns of grouped facilities.
- (4) The land tenure issues and their likely impact on beneficiary population interest and willingness to actively participate in improvements.
- (5) The level and areas of interest among the population in specific improvements (e.g., in communal facilities, better outdoor space, bathing, laundry and sanitation facilities (private and shared), better cooking and storage areas in dwellings, etc.).
- (6) The possible cost parameters for shelter improvement, through an estimation of household income and expenditure, and investment patterns and experience (note attitudes, toward and interest in formal credit arrangements and informal systems which may compete with these).
- (7) Community buildings: the patterns of social and community activity of the project population, including the distribution and use of community facilities (shops, markets, and religious, welfare, education, health, administrative facilities, etc.); the location, size and functions of these facilities and the activities and local movement patterns, relating them (if relevant) to social groupings; the degree of importance attached to these facilities by the various subgroups within the locality and the degree of convenience and ease of access or constraints perceived by the residents at their present locations; whether these facilities and programs require and can be strengthened, improved or expanded; any shortfall/inadequacies in the provision of community services in health, education, nutrition, welfare, as indicated by: unmet standards, high mortality, chronic infectious diseases, nutritional deficiencies, etc.

- (8) Services: whether there are religious or cultural factors which determine or influence user behavior in relation to water supply/wastes disposal; the project population's expressed priorities for the types of services they want and their willingness to pay; any difficulties in their ability to control, maintain and use the facilities as designed; whether particular designs are contraindicated.
- (9) Community organization: the strength of existing channels of community organization, transmission of information, authority systems, and the sectors of the population they serve; and any patterns of conflict or cooperation

4. Social Feasibility of the Design Proposals and Related Recommendations.

On the basis of your review of the social diagnosis, you will verify:

- (1) that the proposed activities (project concept), design standards, layouts (for both private and community facilities), technological assumptions or choices, proposed construction techniques, and so on, are attractive and acceptable to the intended users;
- (2) that the design proposals (for both private and public facilities) are realistic about likely use and abuse patterns, skills and habits of maintenance and, where indicated, you will propose modifications or build in special activities (e.g., training, motivation) to improve routine maintenance and prolong the life span of the facilities to be provided by the project;
- (3) the extent to which the proposed beneficiaries (or, subgroups among them) would be able to take an active role in:
  - (i) decision making on physical design of private and community facilities;
  - (ii) project construction activities;
  - (iii) demolition, compensation, and relocation issues; and
  - (iv) management or co-management of construction activities, related materials distribution and control systems, communal funds, collection of charges, maintenance of public facilities, dealing with defaults and defaulters, etc.;

- (4) that, wherever possible, the project specifies the conditions under which beneficiaries would be able and willing to participate in such activities and that any resulting items or support activities to be financed under the project are appropriately designed and costed.

5. Social Risks and Expected Distribution of Benefits.

You should also:

- (1) assess the remaining social and behavioral risks in the project;
- (2) predict the likely distribution of benefits under the project, making explicit any remaining constraints that exist regarding
  - (i) security of tenure (for both owners and tenants); and
  - (ii) access to project facilities (especially in the case of shared or communal facilities and with disadvantaged subgroups), their use, or, their maintenance.

6. During your stay in the field you will discuss your findings with the members of the preparation team, especially the (local) sociologist and with the architect, urban planner or engineer so that they can better take social factors into account in their own work. On your return to Washington you will spend about ten days on summarizing your findings on the social feasibility of the project, special measures that might be taken to improve feasibility, and recommendations for design of the project and the physical structures it provides.

**MALI: Basic Needs Mission - Rural Health**  
**Terms of Reference for the Consultant Sociologist**

1. On or about \_\_\_\_\_, you will proceed to Bamako, Mali to conduct a survey of Mali's basic needs in health.
2. Your work program will include the following:
  - (a) the identification and description of major socio-economic groups in Mali's population. Your description of each group will focus on attitudes and behavioral patterns which have relevance for health and health related activities such as nutrition, family planning, sanitation and the use of water;
  - (b) in cooperation with the mission economist, health and water supply specialists you will evaluate the socio-economic constraints and opportunities within each group for the improvement of their health status;
  - (c) you will assist the mission's health specialist, to evaluate the health status of each group and appropriate subgroups such as women and children in terms of major causes of morbidity and mortality;
  - (d) you will give particular attention to an evaluation of community organization and opportunities and constraints which may exist for local participation and self-help in activities which would improve health, nutrition, water supplies, sanitation and family planning; and
  - (e) in cooperation with other mission members you will evaluate existing and prospective public policies and programs with a view to determining their appropriateness for particular groups given their attitudes, behavior patterns, organization and general socio-economic status.
3. Immediately after your return to Washington, you will devote about two weeks to report writing.

NEPAL: Irrigation V  
Appraisal Mission  
Terms of Reference for Settlement Component  
of the Mahakali Stage I Project

1. You will arrive in Nepal on or about \_\_\_\_\_ and stay for approximately three weeks to appraise the settlement component of the Mahakali Stage I Project. You will coordinate your mission with the supervision mission for the Nepal Settlement Project and visit this project area to examine past experience with settlement projects in Nepal. You will discuss the settlement plans for the Mahakali Stage I Project with the Nepal Resettlement Department (Ministry of Forests) and the Nepal Resettlement Company. You will undertake a detailed review of the Mahakali Stage I Project in the field. Your appraisal of the settlement component will take into consideration the issues raised in OMS 2.33. Your detailed terms of reference include but are not necessarily limited to the following:

- (i) Evaluate the settlement component of the development plan for the Kanchanpur District;
- (ii) Assess the possibility of success in light of experience with the Nepal Settlement Project; submission of recommendations that can enhance the success of the project;
- (iii) Review the settlement history in the existing irrigated area;
- (iv) Review capabilities of executing agency; make recommendations regarding coordination with the Project Development Board;
- (v) Review proposed participation of the settlers in the planning and implementation process; the role of local authorities;
- (vi) Review proposed compensation and incentives to legal settlers, provision of social services (water supply, health services, and education);
- (vii) Assess adequacy of provisions in departure and arrival area, and the transportation of the legal settlers to the project area;
- (viii) Review adequacy of program to inform and educate settlers;
- (ix) Review whether there is equitable treatment of legal and illegal settlers;
- (x) Delineate on map areas subject to legal settlement and areas already occupied by encroachers;

- (xi) Recommend desirable support for housing (full housing or plans or materials only);
- (xii) Review whether maximum use of settler labor is being made, especially in the early phases of development;
- (xiii) Review optimum size of village settlement, possibilities for off-farm development;
- (xiv) Review land tenure system; are equity and security ensured; is it conducive to equal income distribution of settlers under project;
- (xv) Obtain plan for a typical village settlement;
- (xvi) Advise whether there is need for consolidation of holdings of illegal settlers;
- (xvii) Prepare detailed cost-estimate for settlement component;
- (xviii) Review whether the settlement program can cope with the physical targets of forest clearing and irrigation development; show on a bar chart the various activities to be carried out over time;
- (xix) Assess need for consultants to assist in the settlement program and their role, if any;
- (xx) Examine the legal framework;
- (xxi) Prepare detailed schedule of staff requirements to carry out the program;
- (xxii) Review whether the terms of services of Executing Agency staff are attractive enough to retain competent staff in the project area; and
- (xxiii) Recommend data to be collected for project monitoring.

2. Upon return in Washington, you will prepare a report with your recommendations and an annex for the Staff Appraisal Report.

SOCIAL TECHNIQUES FOR USE IN PROJECT WORK :

1. Social assessment or diagnosis:

- consists of the collection, organization, and interpretation of social information 1/ about the project population as needed for refining the project concept and designing and implementing the project;
- could be viewed by Bank staff as existing along a range from 2 to 3 week activities in the field (relying primarily on existing information) 2/ to more systematic primary (field) data collection activities; the choice depends on what is needed by the project and fits into the time frame and budgetary constraints;
- has to occur either during sector work or early in the project cycle to be of any use for design purposes (i.e., as opposed to impact measurement purposes), but if it occurs before definition of the project concept, it runs the risk of being too diffuse and unfocused, and of missing essential information;
- should also be recognized as an activity which can sometimes be performed reasonably well through 2-7 day library research in a major university/library center in Europe or the U.S.

2. Social pre-feasibility study:

- builds directly on any existing social assessment and is intended to help in elaborating the project concept and verifying its social acceptability in a preliminary manner;

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1/ Social information refers to background socio-economic, socio-political, socio-ecological, socio-cultural, or organizational-behavioral information.

2/ Sources of information would include not only institutes of statistics, and departments of statistics and research of Ministries of Planning and other Ministries, who are usually involved in, or consulted during, project identification, but also social research institutes, universities, other development agencies that are active in systematic data collection and evaluation of their projects, and "informants" with close-to-the field experience, including private volunteer organizations.

- provides inputs for establishing the boundaries within which the technoeconomic pre-feasibility analysis of the project will take place;
- would be carried out as an integral part of the project pre-feasibility process, or combined with social feasibility analysis; it is an essential step in the preparation of projects with a high social risk. 1/

3. Social feasibility analysis:

- is probably the least used and yet the most immediately useful technique for the majority of Bank projects directly dealing with the rural or urban poor;
- consists of an assessment of the compatibility between the social and behavioral assumptions or requirements built into the proposed project (i.e., its physical, technological, and institutional design) and the project populations' likely behavior and response; leads to recommendations for improving compatibility if necessary;
- is action-oriented and feeds directly and explicitly into project design decisions (changes in original design, beneficiary populations, or addition of a project component to improve beneficiary response);
- should ideally be performed in an iterative manner as part of the preliminary design/engineering process;
- alternatively might require a 2-3 week intervention by an experienced specialist during the pre-appraisal stages of the project cycle (after the initial decisions on the project concept and strategy have been made, but before they have become inflexible);
- requires expertise with a practical bent, usually acquired through experience in planning (not just research) in developing countries, plus sector understanding as well as country sensitivity.

4. Social feasibility appraisal:

- is the social side of the Bank's appraisal work, and is essential in projects directed to the rural or urban poor — especially those with potentially high social risk; 1/

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1/ See Chapter I.

- focuses on appraising the compatibility of the project, i.e., its concept, physical design and technology, implementation strategy (including its time frame), organization, management, and staffing (especially field staff selection criteria, procedures and training programs), with the project populations, their resources, and their social environment;
- relies on and uses any existing social diagnoses or social feasibility analyses;
- would normally (i.e., where background work has been done) be carried out by regular appraisal mission members and not social specialists.

5. Impact prediction:

- involves social forecasting 1/of the numbers, and sometimes kinds, of people who will end up benefiting from a project or component of it;
- is a judgemental exercise based on: a general understanding of human behavior and how it changes; an assessment of the constraints to access, use, change, etc., operating in that particular situation; a familiarity with the design of the project; an understanding of previous experience with similar kinds of activities and their outcome;
- is most usefully carried out as part of project appraisal since the estimates of the likely number of beneficiaries are needed to appraise the economic/financial soundness of the project.

6. Social design or social packaging of the project:

- includes two types of activities: adapting the project's physical characteristics and implementation strategies to the social and cultural context in order to make them more acceptable to the beneficiaries; and, proposing new elements or activities (e.g., education, information or motivation, or, monetary or non-monetary incentives or disincentives) to be brought into the project to directly modify or improve the project populations' response or behavior so that it is closer to what is needed for successful implementation;

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1/ Such forecasting does not simply refer to physical access by the intended beneficiaries to the goods or services the project provides, but also to the actual use of the services, adoption of new technologies, and so on.

- large-scale and rapid behavioral change of the beneficiary population is usually more difficult to achieve than a modification to the project design or strategy, and should only be attempted when the project features cannot be fully adapted to the local context; both will often be necessary to ensure project success;
- in practice, social design should often be carried out at the same time and by the same specialists 1/ as social feasibility analysis, though further design and adaptation should be expected as part of project implementation.

Impact measurement:

- systematically measures project progress and impact and is generally considered as part of the design of the project monitoring and evaluation systems;
- should be viewed flexibly and be designed to be no larger or costlier than necessary, affordable (in time and money), and acceptable to the Borrower; 2/
- usually has to be designed by people with an understanding of the behavioral side of project objectives and activities (as well as of statistics and social science research methodology), paid for under the loan, and checked by Bank staff to make sure that it is producing useful information and not getting in the way of project implementation;
- needs to take into account the unexpected and unintended effects of the project as well as those explicit in the project objectives.

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1/ And in consultation with the intended beneficiaries wherever appropriate.

2/ Data interpretation and utilization capabilities, as well as collection capabilities, are limited in developing countries (with a few notable exceptions). All unessential information should therefore be avoided.

EXAMPLES OF SECTOR TOOLS DEVELOPED FOR BANK USE

A. SOCIAL AND BEHAVIORAL ASPECTS OF  
WATER SUPPLY AND WASTES DISPOSAL PROJECT WORK  
SEVEN DESIGN AREAS

The questions listed here may assist Bank staff in ensuring that water and wastes projects serving the rural or urban poor are able to achieve their intended benefits. These questions can be asked by Appraisal Missions, but their primary purpose is to facilitate project preparation by the Borrower and their Consultants.

Not all questions will be relevant in all projects, and there may be some not included which come up in special cases. The list should therefore only be used as a guide which can be adapted according to circumstances.

1. SOCIAL AND BEHAVIORAL FACTORS IN THE PROJECT:

- 1.1 Who are the project populations? FOR EXAMPLE: their numbers, distribution, mobility and growth patterns, water usage or waste disposal customs, religious or cultural traditions associated with water/wastes use which might affect: the quantity of water used; choice of technology; need for separate facilities for certain groups; location of services;
- 1.2 Do project populations have practices, beliefs or previous experiences which may have negative implications for successful implementation of the project? FOR EXAMPLE: (a) personal washing habits, food preparation practices, treatment of those who are ill, habits of disposal of wastewater or solid waste; (b) their beliefs about the origin of disease or that all water is clean; (c) their views that water should be free of charge;
- 1.3 What major differences exist among the project populations? FOR EXAMPLE: in the above (1.1 and 1.2) or in patterns of cooperation or conflict which might also affect technology, service location or implementation strategy decisions.

2. MOTIVATION TO USE THE PROJECT WATER/WASTES SERVICES:

No population is completely without alternatives for water supply or wastes disposal. Assumptions about interest in project services at the local level need to be confirmed.

- 2.1 How does the project population demonstrate a general interest in the services to be provided?
- FOR EXAMPLE: evidence may be provided by: past experience with similar populations; direct requests for services made to local representatives; beneficiary willingness to contribute to project costs; and spot checks with area people, or surveys, which show serious concerns about convenience of access, health threats of present services or sources, reliability, or other.
- 2.2 (a) What informal methods or alternative distribution systems does the project population have to meet its water supply or wastes disposal needs?
- FOR EXAMPLE: purchase of water from neighbors, hand-dug wells, springs, ponds, tankers, public fountains, rivers, streams.
- (b) Will any of these alternatives presently used by the project population continue to be used?
- FOR EXAMPLE: there may be secondary functions they perform, such as socializing, religious symbols, animal needs, or, they may continue to be more convenient than project services or have lower maintenance requirements than the latter, or, people may simply be accustomed to them and not like to change.
- (c) What are the advantages/disadvantages of closing them?
- FOR EXAMPLE: Taking into account health benefits versus costs if the system fails and there is no other back-up plan.

### 3. SOCIAL APPROPRIATENESS OF THE WATER OR WASTES TECHNOLOGY:

Among the questions that need to be considered in deciding on the appropriateness of the technology<sup>1/</sup> is whether it elicits the right user response and can be absorbed by both the users and the society without major negative side-effects. Design will help in ensuring this if it considers the following:

- 3.1 Are there likely to be "behavioral loopholes" in the services which might prevent health benefits from the water/wastes investments?
- FOR EXAMPLE: contamination of water during transportation, because of contaminated or uncovered storage, through water drawing procedures from storage containers, or, contamination of sanitation facilities because of user unwillingness or lack of skills to maintain them.
- 3.2 Will users like what they are getting?
- FOR EXAMPLE: are they going to be consulted; has there been prior experience with similar people, or, pilot testing of response, indirect assessment of what people might prefer through studying present alternatives (or asking questions); is there any possibility that they may be expecting something better than the project offers because of what they have seen among higher-income groups, the image they have have of the agency?

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<sup>1/</sup> For a broader discussion of the appropriateness of water supply and wastes technology, see EWT, Appropriate Sanitation Alternatives: A Technical and Economic Appraisal, the World Bank, October 1978.

- 3.3 In case sharing of facilities (e.g., sanitation facilities) is expected, are the sharing arrangements acceptable? FOR EXAMPLE: does the culture allow sharing of the same facilities by men and women; different families or castes?
- 3.4 Is it possible that other activities associated with the traditional water/wastes facilities will suffer? FOR EXAMPLE: clothes washing, laundry drying needs if tubs are provided, animal drinking needs if relevant.
- 3.5 Has every effort been made to cut costs to consumers so that they can afford services? FOR EXAMPLE: through using suitable local materials for superstructure of privies, eliminating unessential features associated with water supplies if costly and not adding to usefulness or user appeal, through adjusting the planning horizon or the reliability or quality of the system.
- 3.6 (If operation and maintenance will involve users) how has the technology provided for minimal and simple maintenance requirements? FOR EXAMPLE: in the design of pump handles for wells, water purification procedures, or other aspects which should fit user maintenance capabilities (with or without additional training).

4. SOFTWARE COMPONENTS, SUCH AS HEALTH EDUCATION OR MOTIVATION:

It is often impossible to select or design the perfectly appropriate technology or delivery system for cost or other reasons. Problems may remain, such as poor hygiene practices of users, or, constraints may exist to use or payment for the project services, or, to moving from one level of service to the next (e.g., standpipes to household connections) when users can afford to do so. Therefore, a combined software/hardware approach - also called a socio-technical package - may be called for.

- 4.1 If there is a need to complement hardware with software to achieve the intended project impact? should it be done as part of the project or as part of a separate project? FOR EXAMPLE: is there need to promote less desirable but lower-cost technologies; for health education to change user habits which constitute entrance points for disease; or, for some specially adapted social campaign to stop parallel use of existing alternatives (e.g., one for day, other for night, or one for the rainy season, other for the dry season)?
- 4.2 What special measures need to be taken to build up the institutional commitment to implement the software component of the technology package? FOR EXAMPLE: is there need to ensure top and middle management support for introducing low-cost technologies and implementing software components; are there the necessary structures, processes, people, for working out any remaining social details during implementation; would arrangements with the agency designated to handle the software allow synchronization with the engineering activities?

- 4.3 Has the design and costing of the component progressed far enough to allow its appraisal and inclusion in the loan (if advisable)?

FOR EXAMPLE: is there definition of specific objectives, administrative responsibility, main population sub-groups aimed at, key implementation steps, cost, timing vis-a-vis engineering activities of the project; and do costs make sense vis-a-vis other project items?

5. USER PARTICIPATION AND CONTRIBUTIONS OF LABOR, CASH, IDEAS, MANAGEMENT:

Involvement of the beneficiaries of water/wastes services may appear attractive from a cost-recovery or self-reliance viewpoint, or simply because of limited resources at the central agency level. But, it is not always feasible, or, may place a cost on area people which is beyond their capability or willingness to bear.

- 5.1 Should users be consulted about selection of investments or project design (location, technology, administration)?

FOR EXAMPLE: is there such a tradition - if not, is it important for cost-recovery reasons or for making better design decisions; do the mechanisms (structures for channelling local efforts) exist; will it be possible to get a community consensus; will there be enough local background experience or information to make sound decisions; might the process of consultation eventually lead to frustration among those who will not end up getting services, or among those who cannot get the level of service they wanted?

- 5.2 Where use of local labor for construction or maintenance is planned, is there a need to ensure that it will be equitable and efficient?

FOR EXAMPLE: is local labor available (noting also seasonal or weekly employment patterns and other obligations); do social traditions of work exist (e.g., along family, clan lines) including historical traditions of labor contribution (differentiating voluntary from indentured labor); what is the experience regarding incentives, attitudes towards manual work, general health, nutrition, and other conditions which might affect productivity?

- 5.3 Are there other areas (local contributions of land, materials, cash; any compensation procedures, if applicable) where similar questions of efficiency and equity need to be raised?

FOR EXAMPLE: will users place sufficient value on, or have enough control over, the services to be willing to pay for them; is payment consistent with previous practices or existing cultural beliefs?

5.4 How have the technical and managerial skills for any expected local participation in supervision of project construction, or, in operation or management of services, been assessed?

FOR EXAMPLE: do construction activities allow opportunity for any useful learning for later operation, maintenance (e.g., at the point pumps are assembled); is there proven ability locally to mobilize labor, resources, keep books, or does the project provide upgrading of skills?

5.5 What are the social arrangements for mobilizing any user contributions (labor, land, materials, ideas, cash, etc.)?

FOR EXAMPLE: are there organizational structures which are viable and widely distributed, or, will they need to be modified, strengthened, or, new ones set up, and, will they be efficient, equitable in their distribution of costs and benefits, acceptable and accountable to both the government and the people, not already overburdened with tasks, able to be sustained as long as needed?

5.6 What is the strategy in case the local contribution fails to materialize?

FOR EXAMPLE: is there a contingency plan for hiring laborers from outside, or, for using a different system of establishing priorities among technological alternatives, or, sub-projects, or for system maintenance, if intended users do not participate?

## 6. SOCIAL ASPECTS OF ADMINISTRATION AND STAFFING:

Even if technology selection and design of implementation strategies have paid due attention to user characteristics and the socio-environment, project implementation may run into problems if administrative and staffing arrangements do not support such objectives.

6.1 Should special administrative arrangements be made for the social components of the project?

FOR EXAMPLE: for health education, monitoring and evaluation, community organization and motivation activities, background social data gathering.

6.2 How should field staff implementing the project be sensitive to and acceptable to users?

FOR EXAMPLE: should agency foremen, engineers, etc. have the same linguistic skills as any local laborers; should any animateurs or similar have cultural links and credibility among project populations?

6.3 What plans are there for good two-way communications between the lower (user) level and the central government levels?

FOR EXAMPLE: are local people to be informed beforehand of activities decided upon, their timing, expected local contributions; will there be routine feedback on use of facilities (including correct, systematic, continuing use); on their maintenance; and, does any such routine information extend sufficiently beyond completion of engineering work to be meaningful; will management know how to use it and want to do so?

6.4 How will the Bank have access to information about user response to facilities for supervision purposes?

FOR EXAMPLE: will information about use of facilities, success of health education activities, etc. enter into the periodic reports to the Bank; how should the cost of collection of the information be financed?

## 7. FINAL CHECK ON DEVELOPMENT AND DISTRIBUTION OF PROJECT BENEFITS, COSTS

Certain distributional issues have already been raised. However, it may be useful to make a final check.

7.1 Are there any conflicts between different project activities demanding local involvement?

FOR EXAMPLE: between the water and wastes component and, say, an agriculture component of the project, for local labor.

7.2 Are there incompatibilities between different project assumptions of benefits?

FOR EXAMPLE: that more water will be used and that women or others will receive time savings under the project.

7.3 Are the project costs within the capability of all the intended users?

FOR EXAMPLE: what mechanisms exist for helping poorer users to pay for services (e.g., revolving funds, coordinated income-producing activities, substitution of labor for cash)? will these be accessible to households headed by females?

7.4 What might be any unintended negative social or health effects of the project and on whom?

FOR EXAMPLE: are there certain sub-groups, such as water vendors or neighbors recovering cost of their facilities through sales of water, who might lose; are there dangers of negative health effects as a result of poor maintenance, abuse of the system, inappropriate disposal of wastewater; what will the effect be on local land values in the project and surrounding areas?

SOCIAL IMPACT IN THE PROJECT CYCLE FOR RURAL ROADS PROJECTS

Stage of Project	Function of Social Impact	General Role of the Team	Use of Sociologists/Antropologists
<b>IDENTIFICATION</b>	<b>Need for the Project: Project Concept and Feasibility</b>	<p>To encourage, and where necessary, assist the potential borrower to collect, organize or analyze the necessary information and consider it in decision making on the project concept and strategy.</p> <p>To promote use by borrowers of (preferably) local sociologists for the above purposes where major investment in rural roads is being considered, with labor-intensive road construction and use of local labor as a possible project input, or where complementary investments may need to be looked into.</p>	<p>Central Staff (Transportation Department, PAS, or Agriculture and Rural Development Projects Department), social scientists to advise Regional Projects staff on project concept, possible issues, and how wide experiences, and where indicated to participate in identification systems to assist the borrower with:</p> <ol style="list-style-type: none"> <li>1. Analysis of existing social research (small- and large-scale surveys, case-studies, background data collection efforts related to other development projects, project evaluations etc.) with use of both quantitative and qualitative data to be checked for validity and reliability; or.</li> <li>2. primary data collection efforts (where needed to complement or check on existing information) with use of scientific approaches (including interviews with informants, group interviews, community reconnaissance efforts, observation in the field, etc.)</li> </ol>

<b>PRE-OPTIMAL</b>	<p>To anticipate and limit the risks involved in project assumptions about cooperation in, and contribution to, the project at the local level, and the ultimate impact of the road on the area of influence, through:</p>	<p>To provide assistance and advice to the potential borrower by:</p>	<p>Where socially sensitive projects are being prepared, sociologists (or engineers with experience of rural development, or "social"-engineers) should be included on design review teams (Some Pre-optimal Missions)</p>
	<ol style="list-style-type: none"> <li>1. Insuring that the road and complementary technologies are socially appropriate and that essential technology-related skills exist.</li> <li>2. Detailing the social arrangements of the project implementation strategy so that they maintain the desired cooperation and response.</li> <li>3. Making sure that the project organizational and managerial arrangements (a) are adequate to, and appropriate in terms of, the social context; and (b) benefit from local-level capabilities and experience.</li> <li>4. Insuring that project objectives and timing take into account the time required and the difficulties involved in changing human behavior and practices; and</li> <li>5. Building social monitoring into the project design and the needed feedback system and verifying availability of capabilities to use the information for project management.</li> </ol>	<ol style="list-style-type: none"> <li>1. Pointing out social issues in the project and encouraging additional social studies or analyses where enough information or experience exists to make decisions.</li> <li>2. Providing advice on planning of needed pre-feasibility or feasibility studies, and where necessary, monitoring their progress and helping to interpret results.</li> <li>3. Encouraging inclusion of sociologists or similar specialists on design teams.</li> <li>4. Assisting in financing gaps relating to social issues in the feasibility work in special cases (e.g., through UNDP or the Project Preparation Facility (PPF)).</li> </ol>	

September 1978

2/ From: Bill Parrott, SOCIAL AND ECONOMIC ASPECTS OF RURAL ROADS PROJECTS, TRP/PAS, February 1979.

SOCIAL IMPACTS IN THE PROJECT CYCLE FOR RURAL ROADS PROJECTS

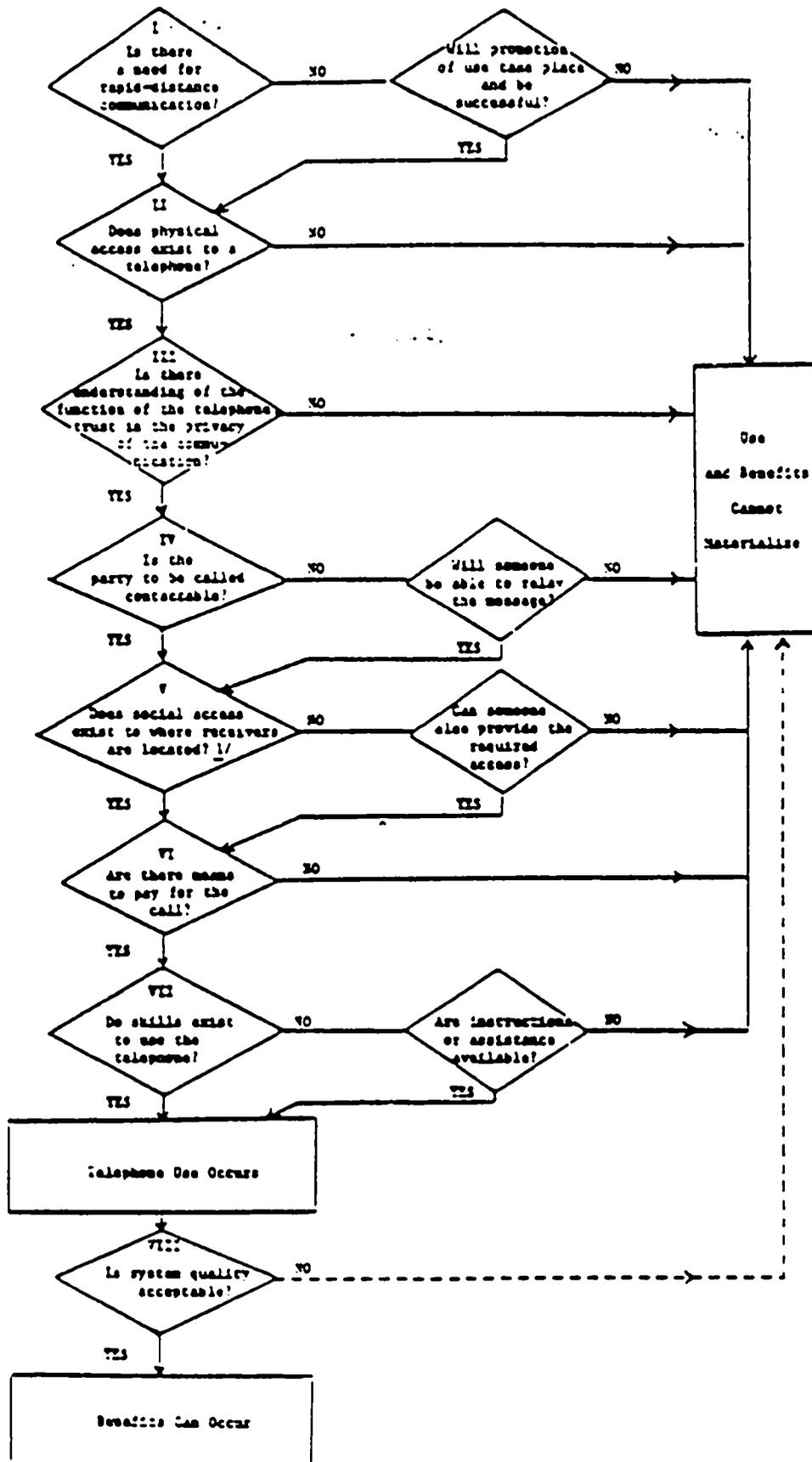
Stage of Project Cycle	Function of Social Impact	General Role of the Road	Role of Sociologists/Antropologists in the Road
<u>APPRAISAL</u>	<ol style="list-style-type: none"> <li>1. To support bank's judgment on whether the design of the project has taken into account the local social, cultural, socio-political and socio-ecological conditions (as in pre-appraisal, and identification, above).</li> <li>2. To predict the probable distributional impact of the project, usually involving forecasting of:               <ol style="list-style-type: none"> <li>(a) who will benefit directly (through salaried employment on roads, use of roads),</li> <li>(b) who will benefit indirectly (farmers, traders or others like them);</li> <li>(c) what proportion of benefits will accrue to the lower income groups (small farmers, low-income independent traders, landless rural poor, etc.) with particular attention to constraints to passing on of benefits;</li> <li>(d) what social, economic or cultural costs may occur under the project either during implementation or as a result of the constructed road (e.g. to those who provide land for right-of-way).</li> </ol> </li> <li>3. To make available the information on social characteristics or constraints for inclusion in sensitivity analysis.</li> </ol>	To perform social appraisal of the project.	Where bank line staff is sensitive to social issues, and has access to background social diagnosis and pre-feasibility studies as needed, specialists such as sociologists/anthropologists need not be used on appraisal missions.
<u>IMPLEMENTATION</u>	<ol style="list-style-type: none"> <li>1. To provide further detailing of selected elements of the implementation strategy which have been left to the implementation stage.</li> <li>2. To assist in the day-to-day management and supervision of the project and in field work such as community promotion activities, non-formal education, etc.</li> <li>3. To supply project management with information on what is happening under the project so that any necessary modification can be made to the implementation strategy.</li> </ol>	<p>Inclusion of social questions in regular activities, through, <u>inter alia</u>:</p> <ol style="list-style-type: none"> <li>1. Review of scope of work, terms of reference and staffing of consulting firms and responsible government agencies, to ensure that sociologists are included on staff, and linguistic and cultural sensitivities and skills exist as needed.</li> <li>2. Review of procedures and criteria for road sub-project selection to ensure that health, nutrition and other social needs are taken into account and the community is involved in decision-making where possible or desirable.</li> <li>3. Review of training and other institution-building activities to ensure that community-related needs are being met as needed.</li> <li>4. Review of measures being adopted and implemented in relation to land tenure and ownership in project areas to ensure that small farmers are not in danger of being displaced or dispossessed.</li> <li>5. Review of project reporting procedures to ensure that they include information on such questions as: who is benefiting from any labor-intensive (paid) road work, availability and cost of transport services on the new roads, progress and effectiveness of any complementary investments, measures, etc., to help lower-income groups.</li> <li>6. Review of compensation provided for land acquisition to ensure that this is adequate and enforced.</li> </ol>	<ol style="list-style-type: none"> <li>1. Sociologists should have a regular role in:           <ol style="list-style-type: none"> <li>(a) bank assistance in further designing monitoring and evaluation systems for socially sensitive projects; and</li> <li>(b) interpretation of the information obtained; and</li> </ol> </li> <li>2. Be included in a "trouble-shooting" capacity on supervision missions when implementation problems of a social nature have been diagnosed.</li> </ol>

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NECESSARY CONDITIONS FOR DIRECT USE AND BENEFIT FROM TELEPHONES BY THE RURAL POOR

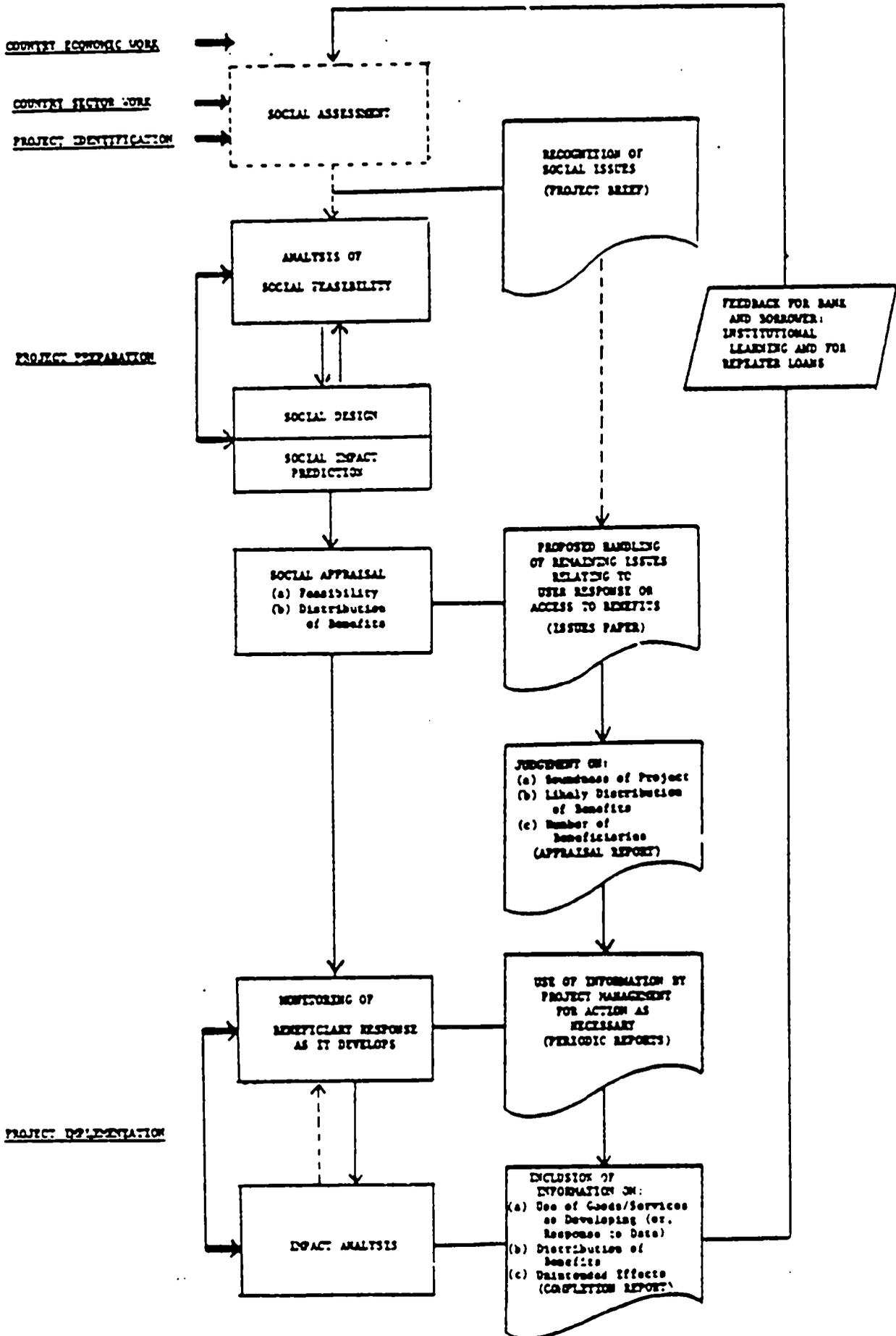


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1/ Lower income and social status groups sometimes feel unable to enter certain types of public buildings or private homes where receivers might be located.

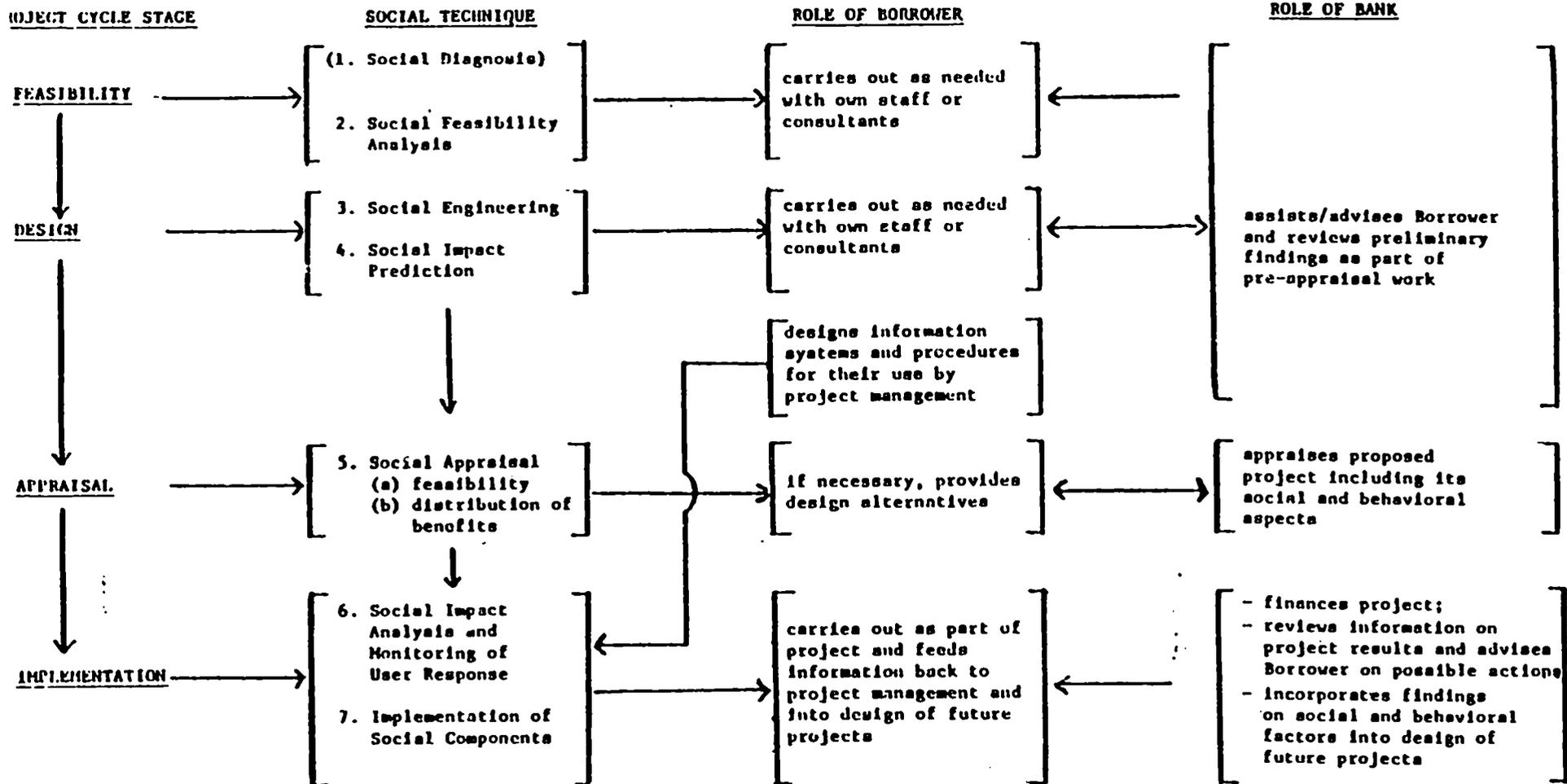
SOCIAL INPUTS INTO THE PROJECT CYCLE

FLOW CHART



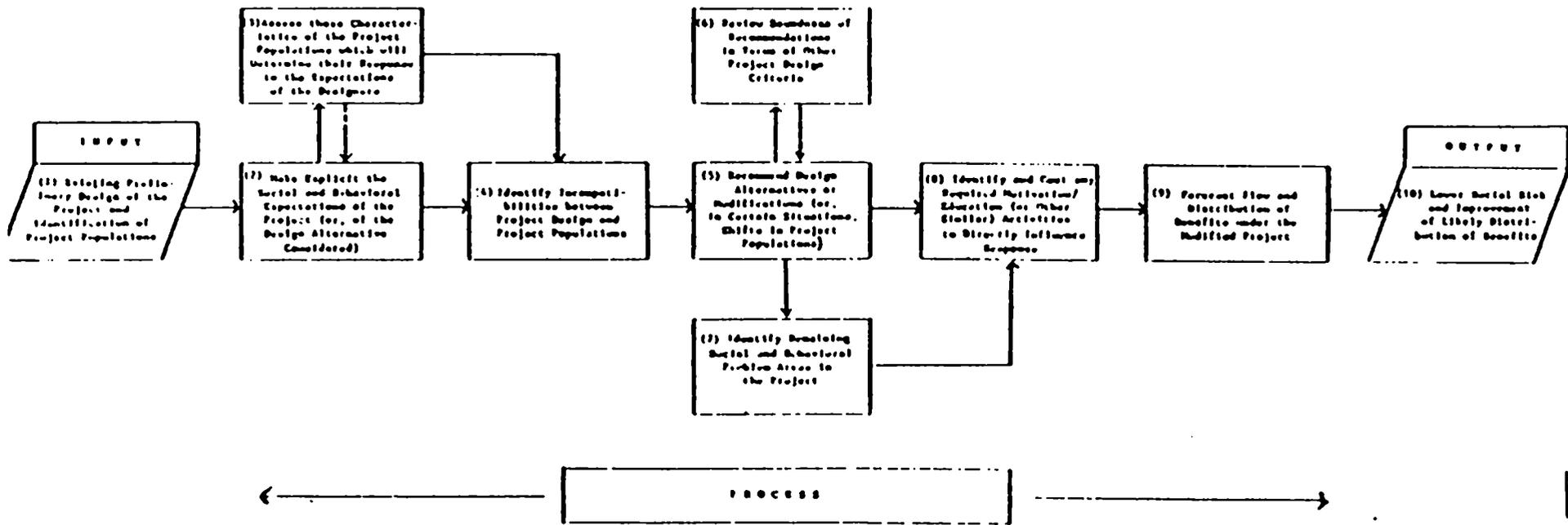
SOCIAL INPUTS INTO THE PROJECT CYCLE IN POVERTY ORIENTED PROJECTS

BORROWER/BANK RESPONSIBILITIES



\* Not all Bank projects will require all inputs, and some will require none. Also, some social techniques may be combined in practice (e.g., social diagnosis, feasibility studies and social engineering) into a single 2-3 week assignment.

SOCIAL FEASIBILITY ANALYSIS AND SOCIAL DESIGN IN PROJECT WORK



LIST OF REQUIREMENTS CLASSIFIED BY COUNTRY AND SECTOR

REGIONS	SECTOR COUNTRY	AGRICULTURE AND RURAL DEVELOPMENT	EDUCATION	ENERGY	POPULATION, HEALTH & NUTRITION	TELECOMMUNI- CATIONS	TOURISM	TRADE POLI- TIC	URBAN DEVELOPMENT	WATER SUPPLY & SANITATION	GENERAL
EASTERN AFRICA	BOTSWANA								Para. 2.05 Footnote 1		
	ETHIOPIA							Para. 2.10 Footnote 2	Para. 2.10(b) Footnote 2	Para. 2.40 Footnote 2	
	LESOTHO	Para. 2.08 Footnote 1							Para. 2.05 Footnote 1		
	MADAGASCAR	Para. 1.08 Footnote 2									
	SWAZILAND	Para. 2.22 Footnote 1; Annex 1(2)									
	TANZANIA			Para. 2.18 Footnote 1							
	ZAMBIA								Para. 2.03(d) Footnote 1		
	REGIONAL	Para. 2.18 Footnote 2									
WESTERN AFRICA	GHANA			Para. 2.39 Footnote 2							
	GUINEA- BISSAU		Para. 2.03								
	LIBERIA							Para. 2.08 Footnote 1			
	MAURITANIA							Para. 2.18 Footnote 2; Para. 2.19 Footnote 4; Para. 3.03(d) Footnote 1; Annex 1(8)			
	MAURITANIA		Para. 2.23 Footnote 2		Para. 3.03(d) Footnote 1; Annex 1(1)				Para. 2.30 Footnote 1		
	SENEGAL	Para. 2.23 Footnote 1									
	SIERRA LEONE	Annex 1(A)								Para. 2.08 Footnote 2 Annex 1(C)	Para. 2.16 Footnote 1
	SENEGAL	Para. 3.09 Footnote 2									
	SIERRA LEONE							Para. 2.23 Footnote 2			
	TOGO		Para. 2.36 Footnote 2		Para. 2.99 Footnote 2						
	UPPER VOLTA	Annex 1(C)									
		REGIONAL	Para. 2.19 Footnote 2; Para. 2.23 Footnote 1; Para. 2.40 Footnote 2								

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REGION	SECTOR COUNTRY	AGRICULTURE AND RURAL DEVELOPMENT	EDUCATION	ENERGY	POPULATION, HEALTH & NUTRITION	TELECOMMUNI- CATIONS	TOURISM	TRANSPORT- ATION	URBAN DEVELOPMENT	WATER SUPPLY & SANITATION	GENERAL
EAST ASIA & PACIFIC	INDONESIA	Para. 2.11 Footnote 2			Para. 3.03(d) Footnote 3						
	KOREA									Para. 2.38 Footnote 2	
	MALAYSIA	Para. 2.0;(A) Footnote 2; Para. 2.25 Footnote 1; Para. 2.33 Footnote 1									
	PAPUA NEW GUINEA	Para. 2.37 Footnote 2						Para. 3.01 Footnote 1			Para. 1.04
	PHILIPPINES	Para. 2.05 Footnote 3; Para. 2.38 Footnote 2							Para. 2.08 Footnote 2		
	WESTERN SAMOA										Para. 1.04
SOUTH ASIA	BANGLADESH	Para. 2.27 Footnote 1; Para. 2.33 Footnote 3			Para. 2.32 Footnote 2						
	INDIA	Para. 2.19 Footnote 4; Para. 2.38 Footnote 2; Para. 3.6(d) Footnote 1			Para. 2.23 Footnotes 2 and 4			Para. 2.36 Footnote 1; Para. 3.09 Footnote 1			Para. 2.14 Footnote 1
	NEPAL	Para. 2.19 Footnote 1; Para. 2.23 Footnotes 1 and 4; Annex 1(2)					Para. 3.06 Footnote 3				
	PAKISTAN	Para. 2.37 Footnote 3									
	SRI LANKA	Para. 1.04 Footnote 3									

REGION	SECTOR	AGRICULTURE AND RURAL DEVELOPMENT	EDUCATION	ENERGY	POPULATION, HEALTH & NUTRITION	TELECOMMUNICATIONS	TOURISM	TRANSPORTATION	URBAN DEVELOPMENT	WATER SUPPLY & SANITATION	GENERAL
E.M.E.N.A.	AFGHANISTAN	Para. 2.23 Footnote 1; Para. 2.34(b) Footnote 2									
	EGYPT	Para. 2.33 Footnote 3							Para. 3.03(d) Footnote 1		
	SAUDI ARABIA		Para. 1.04 Footnote 2								
	TUNISIA							Para. 3.40 Footnote 1			
LATIN AMERICA & CARIBBEAN	BOLIVIA	Annex 1(D)									
	BRAZIL	Para. 2.22 Footnote 3; Para. 2.34(b) Footnote 2									Para. 1.04
	COLOMBIA	Para. 2.30 Footnote 7									
	COSTA RICA										Para. 1.04 Footnote 1
	EL SALVADOR								Para. 2.05(a) Footnote 4; Para. 2.33 Footnote 1; Para. 3.03(d) Footnote 1	Para. 2.03	
	HONDURAS									Para. 2.37 Footnote 2	
	JAMAICA				Para. 2.03						
	MEXICO	Para. 2.33 Footnote 3; Para. 2.37 Footnote 1									
	NICARAGUA									Para. 2.03	
	PERU										Para. 1.04 Footnote 1; Para. 2.14 Footnote 1
	TRINIDAD & TOBAGO	Para. 1.00 Footnote 2									
GENERAL					Chart 3			Annex 1(B)	Para. 2.05(A) Footnote 3; Annex 1(F); Annex 3 A; Chart 2		

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