SOCIAL IMPACT ASSESSMENT

CATEGORIZATION

Performed by the Task Team Leader, in consultation with Social Specialists, and based on the Social Risk and Opportunities Analysis.

SOCIAL RISK AND OPPORTUNITIES ANALYSIS

By Bank Task Team Leader, in consultation with Social Specialists and Borrower. Evaluates alternatives, examines potential impacts, identifies key issues for SIA.

DUE DILIGENCE Requirements for All Projects and Programs

- Borrower conducts Social Impact Assessment during each stage of the project cycle. Depth and scope is commensurate and proportional to the potential risks and impacts of the project and the project classification assigned by the Bank.
- Appropriate level of review within Bank.
- Appropriate level and expertise of staffing, including experts on key issues identified in scoping.
- Appropriate provisions for monitoring and supervision.

Add'l Due Diligence for High Risk:

- Publish SIA in draft form for consultation before finalizing.
- SIA review by Panel of Social Experts, including human rights experts where appropriate.
- Independent monitoring w/ reporting to Board
- Site visits by Social Specialists and review of categorization every 6 months during construction, 12 months during implementation.
- Encourage community-led assessment, and provide independent funding.

Add'l Due Diligence for Substantial Risk:

- SIA review by Panel of Social Experts, including human rights experts where appropriate.
- Independent monitoring w/ reporting to Board
- Site visits by Social Specialists and review of categorization every 6 months during construction, 12 months during implementation.
- Encourage community-led assessment.

MITIGATION HIERARCHY

1) Prevent human rights violations;
2) Avoid adverse impacts;
3) where adverse impact cannot be avoided, Minimize impact;
4) where residual impact remains, Restore/Restitute;
5) where not possible, Remedy.

LOW RISK

Project/Program poses little or no risk of adverse social impacts or adverse impacts on the realization of human rights.

MODERATE RISK

a) Project/program does not pose risk of adverse social impacts significant in terms of scale or irremediable character,
b) Project/program may have adverse social impacts, but feasible, appropriate and sufficient avoidance and minimization measures can readily be designed and implemented to prevent these, and
c) The impacts which cannot be avoided through design alternatives would be readily remediable if they were to occur.

SUBSTANTIAL RISK

a) Project/program may have adverse social impacts significant in terms of scale or irremediable character, or
b) Certain social groups may be disproportionately affected, or
c) Project/program fits within Presumptive High/Substantial Risk List.

HIGH RISK

a) Project/program likely to have adverse social impacts significant in terms of scale or irremediable character, or
b) Certain social groups are likely to be disproportionately affected, or
c) Project/program fits within Presumptive High/Substantial Risk List.

UNACCEPTABLE RISK

Project/Program fits within the Exclusion List.

PROJECT/PROGRAM does not proceed

ANNEX I: Process 3.22.15 DRAFT
SOCIAL IMPACT ASSESSMENT

Conducted by Borrower according to TOR, guidance and review by TTL and Social Specialist, participation of affected communities.

Scope requirements
- Temporal, thematic, operational and spatial scope of social assessment shall reflect all relevant characteristics of the project/program and its anticipated adverse social impacts. Scoping process, informed by consultations with potentially affected communities, will identify issues to prioritize in assessment.
- Study Area is entire area of influence.

Content requirements
- Project/program, purpose/development goal.
- Relevant legal and regulatory framework and gap analysis vis a vis international law.
- Stakeholder and disaggregated rights-holder identification and analysis.
- Record of initial consultations, input received and how incorporated.
- Relevant socioeconomic history and context, including discrimination and conflict analysis.
- Baseline assessment, including level of rights-enjoyment of affected population, disaggregated.
- Alternatives analysis.
- Anticipated social benefits, including poverty reduction and contribution to shared prosperity, and their distribution vis a vis marginalized groups.
- Social risks, including human rights risks, and their distribution vis a vis marginalized individuals and groups.
- Justification of how the chosen project/program design produces the least adverse social impacts and most positive social impacts among alternatives.
- Borrower capacity for addressing relevant social issues.
- Assessment of proposed mitigation measures and how they will avoid/minimize adverse impacts.
- Identification of Impact Indicators.
- Monitoring and Supervision measures for Borrower and Bank and corresponding timeline.
- Ongoing consultation and engagement plan.
- Participative monitoring plan.
- Accountability measures, including grievance mechanisms.

Process requirements
- Meaningful and continuous participation of affected community.
- Capacity building, independent legal/expert advice for affected community.
- Access to information in understandable language/format on project/program, partners, location, alternatives, risks, benefits and their likelihood, relevant rights under national and international law.
- Timeline allows for full and effective participation.
- Identifies and incorporates views of project-affected communities and marginalized individuals and groups.
- Complemented by specific requirements of Indigenous Peoples and Involuntary Resettlement policies.
- Includes continual monitoring of impacts and Broad Community Support or FPIC.

COMMITMENT PLAN
- Project/program design, implementation measures, and timeline
- Mitigation measures and timeline
- Impact indicators
- Remedies and compliance measures
- Supervision and participatory monitoring plan
- Citizen engagement and benefit-sharing plans
- Remedies and compliance measures

SOCIAL ELIGIBILITY REQUIREMENTS reviewed by Bank quality control bodies:
- Project has FPIC of Indigenous Peoples or Broad Community Support of other affected communities
- SIA meets Bank quality and process requirements, and has been confirmed by affected community
- Project/program does not pose Unacceptable Risk
- Adverse social impacts would be addressed by foreseen avoidance/mitigation measures
- Project/program has shown it will contribute to poverty reduction and shared prosperity

IMPLEMENTATION/MONITORING
- SIA updated by Borrower, reviewed by Bank
- Participatory monitoring w/ communities
- 3rd-party monitoring for High/Subst Risk projects
- Evaluation and disbursement tied to Commitment Plan and impact indicators

TRANSPARENCY
- Social Risk Analysis, Categorization, Impact Assessment, and Commitment Plan disclosed to public and affected communities prior to project approval.
- Monitoring, Midterm and Completion reports disclosed to public and affected communities.

If YES, Project/program goes forward.
If NO, Project/program does not go forward.