

The Seven SBIA Stages

SBIA Stage1: Original conditions study and stakeholder identification



SBIA Stage 2: 'Without project' social projection ('social reference scenario')



SBIA Stage 3: Project design and theory of change ('with project' situation)



SBIA Stage 4: Negative social impacts, risks and mitigation measures



SBIA Stage 5: Selection of indicators (WHAT to measure?)



SBIA Stage 6: Monitoring plan and data collection methods (HOW to measure?)



SBIA Stage 7: Data collection, analysis and reporting

SBIA Stage 1 – Starting or original conditions

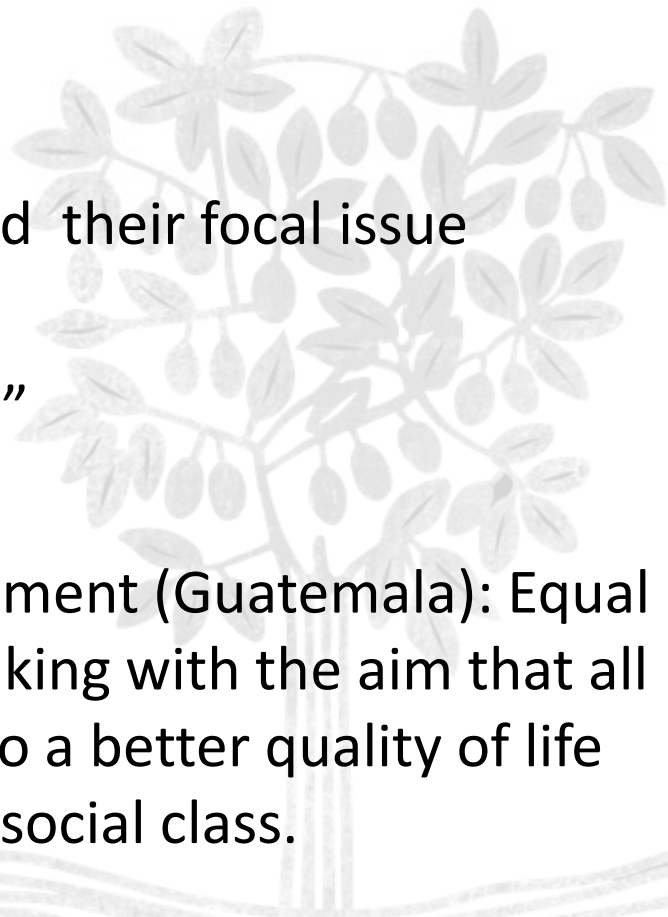
- SBIA Workshop assumes that most of SBIA Stage 1 has been carried out prior to workshop
- Important to focus on social variables that are most likely to change due to project – tendency to collect too much data
- Stakeholder identification and analysis (e.g., wealth ranking)



‘Conceptualization phase’

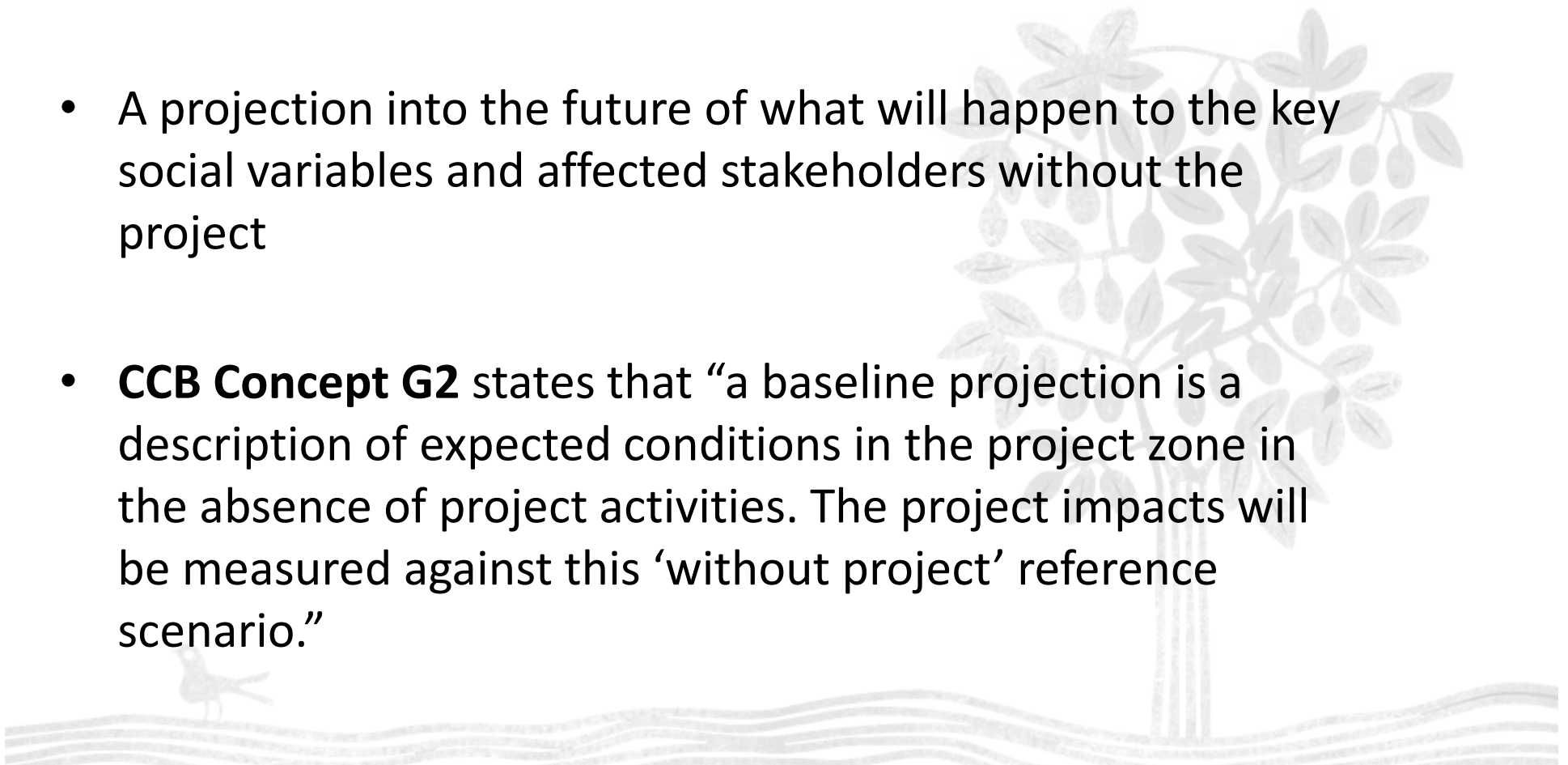
- Identify the ‘focal issues’: the social issues that are most important for a successful project
- Divide into focal issue working groups
- Working groups discuss and understand their focal issue
- Develop a short “focal issue statement”

e.g. Gender-social equity focal issue statement (Guatemala): Equal rights of participation and decision-making with the aim that all can benefit from a process that leads to a better quality of life whatever the gender, ethnicity, age or social class.

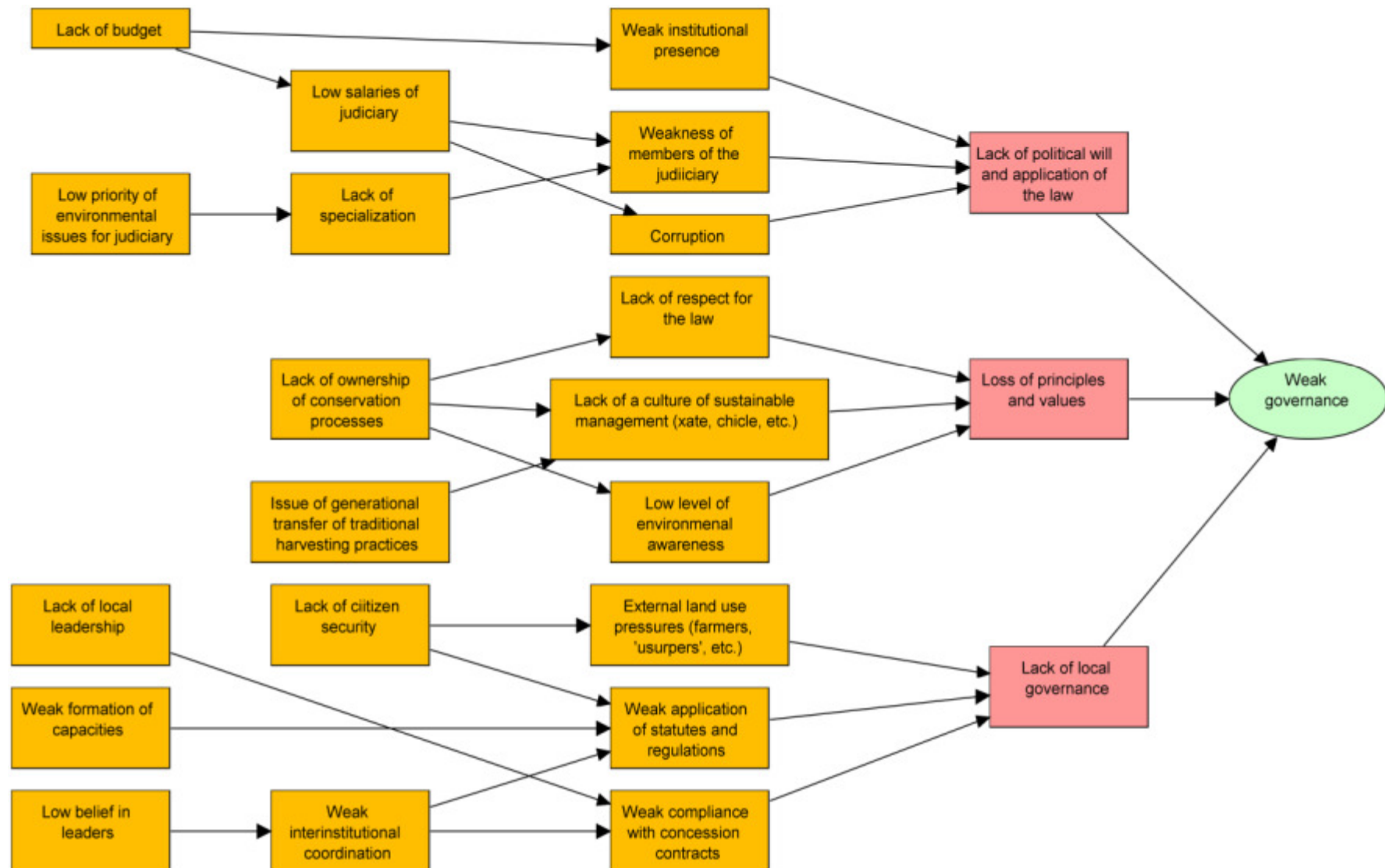


SBIA Stage 2. Without project analysis

- Diagnostic analysis of key social problems – problem flow diagram of each focal issue
- A projection into the future of what will happen to the key social variables and affected stakeholders without the project
- **CCB Concept G2** states that “a baseline projection is a description of expected conditions in the project zone in the absence of project activities. The project impacts will be measured against this ‘without project’ reference scenario.”



Example of a problem flow diagram

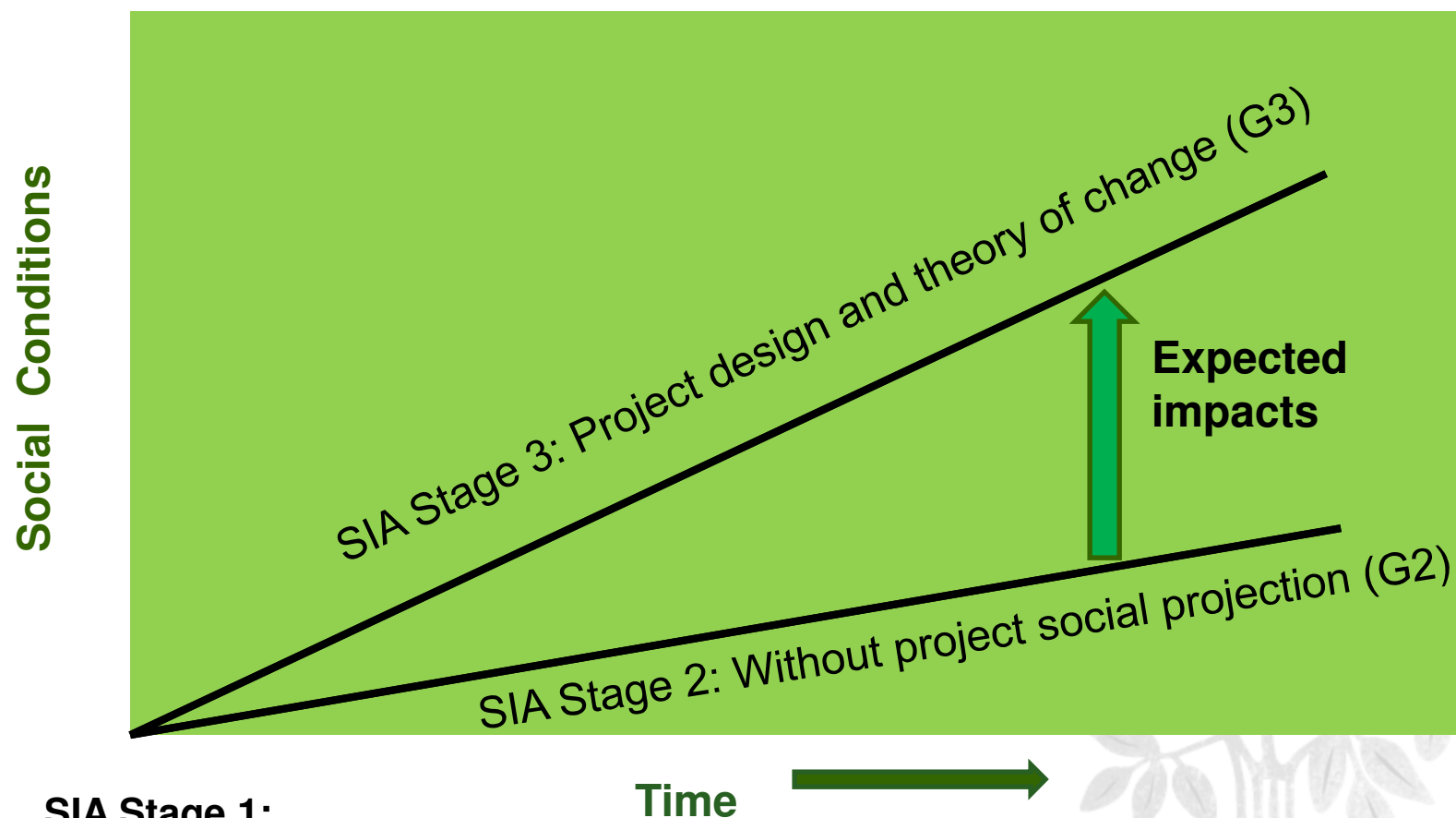


Objectives of SIA Stage 3: CCB Standards

- To develop the 'with project' scenario and compare it to the 'without project' or social reference scenario with the aim of showing net social benefits for all community groups (CM1.1)
- To identify a cost-effective way of showing attribution: *“A credible estimate of impacts must include changes in community well-being **due to project activities** and an evaluation of the impacts by the affected groups. This estimate must be based on clearly defined and defensible assumptions about how project activities will alter social and economic well-being”* (CM1.1).



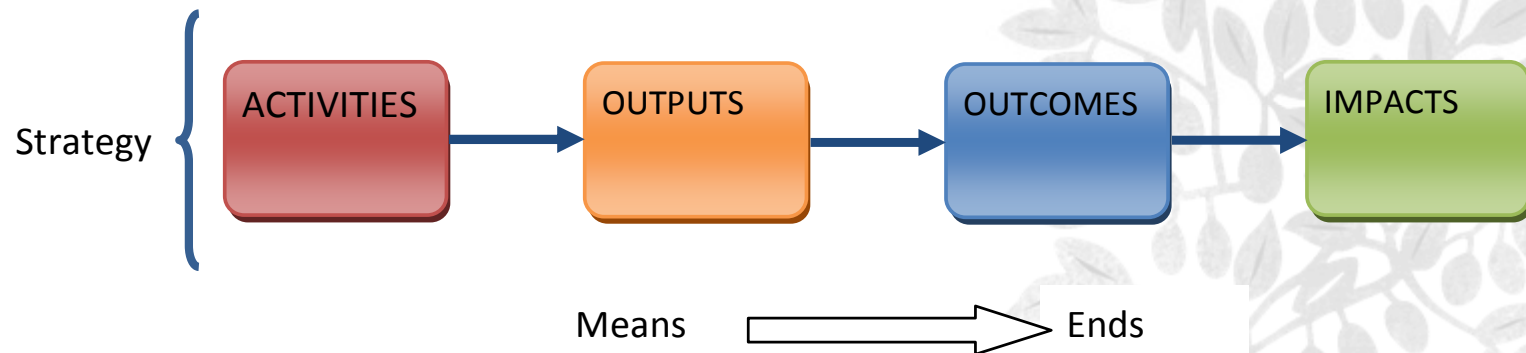
SBIA Stage 3 – net ‘additional’ benefits



**SIA Stage 1:
Original Conditions
Study (G1)**

SBIA Stage 3: Project design & theory of change

- Theory of change: project's hypothesis of how it will achieve its social objectives
- If short to mid-term outcomes can be identified, and then linkages made to impacts → good chance of impacts

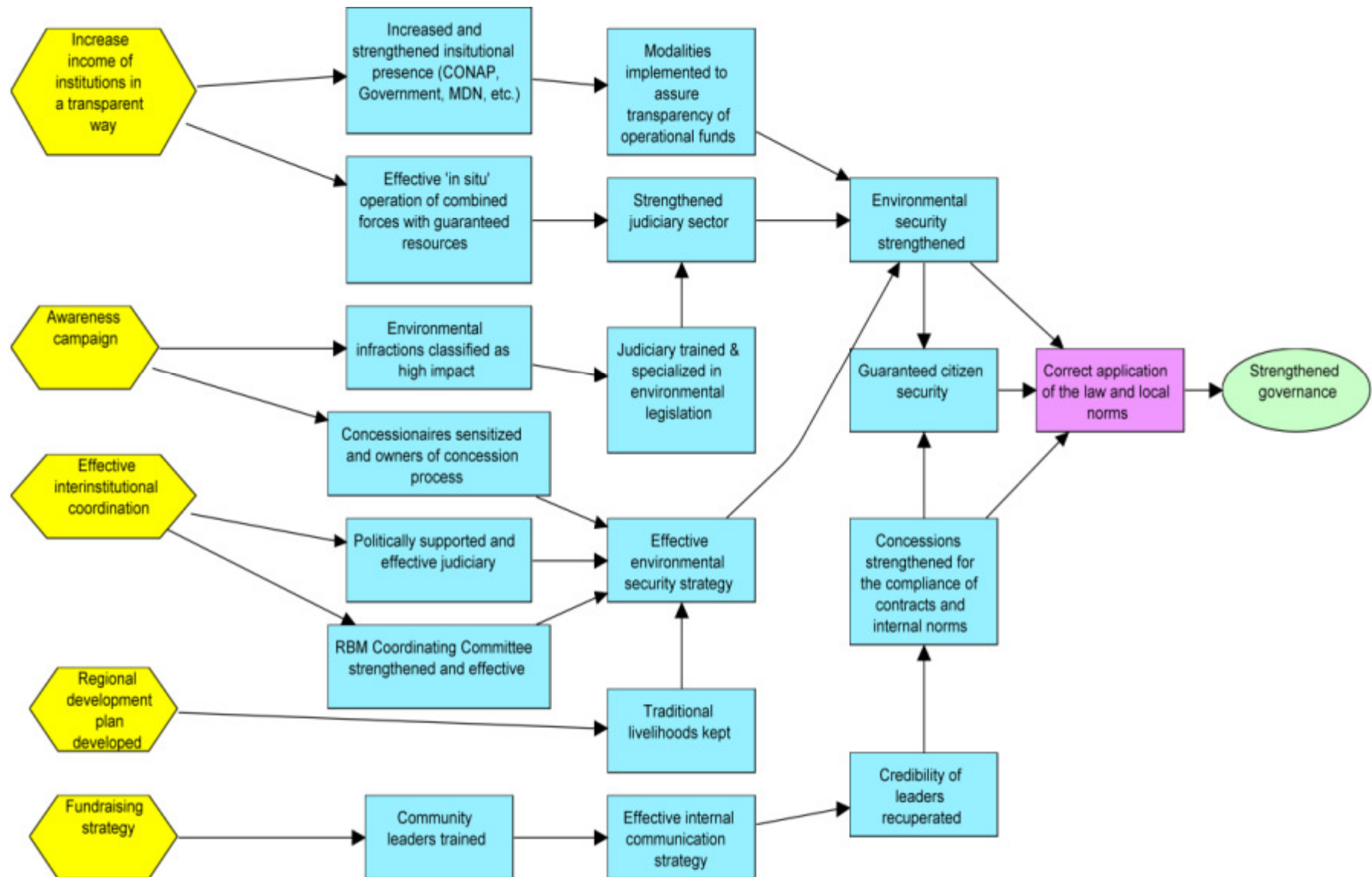


Assess the causative linkages/assumptions between outputs, outcomes and impacts by developing IF ... THEN statements. Then monitor whether linkages or assumptions hold true in reality

Activities, Outputs, Outcomes and Impacts

<i>Activity</i>	<i>Output</i>	<i>Outcome</i>	<i>Impact</i>
Man throws stone in pond	Splash when stone hits water	Ripple or wave is formed	Wave hits bank
Keeping hens/hen sitting on eggs	Eggs	Chicks reach eating size	Family protein level increased
Training of local people as park guards	Local people trained and working as park guards	Reduction in illegal hunting	Recovery of biodiversity; but possible negative impact on family nutrition/cost of food

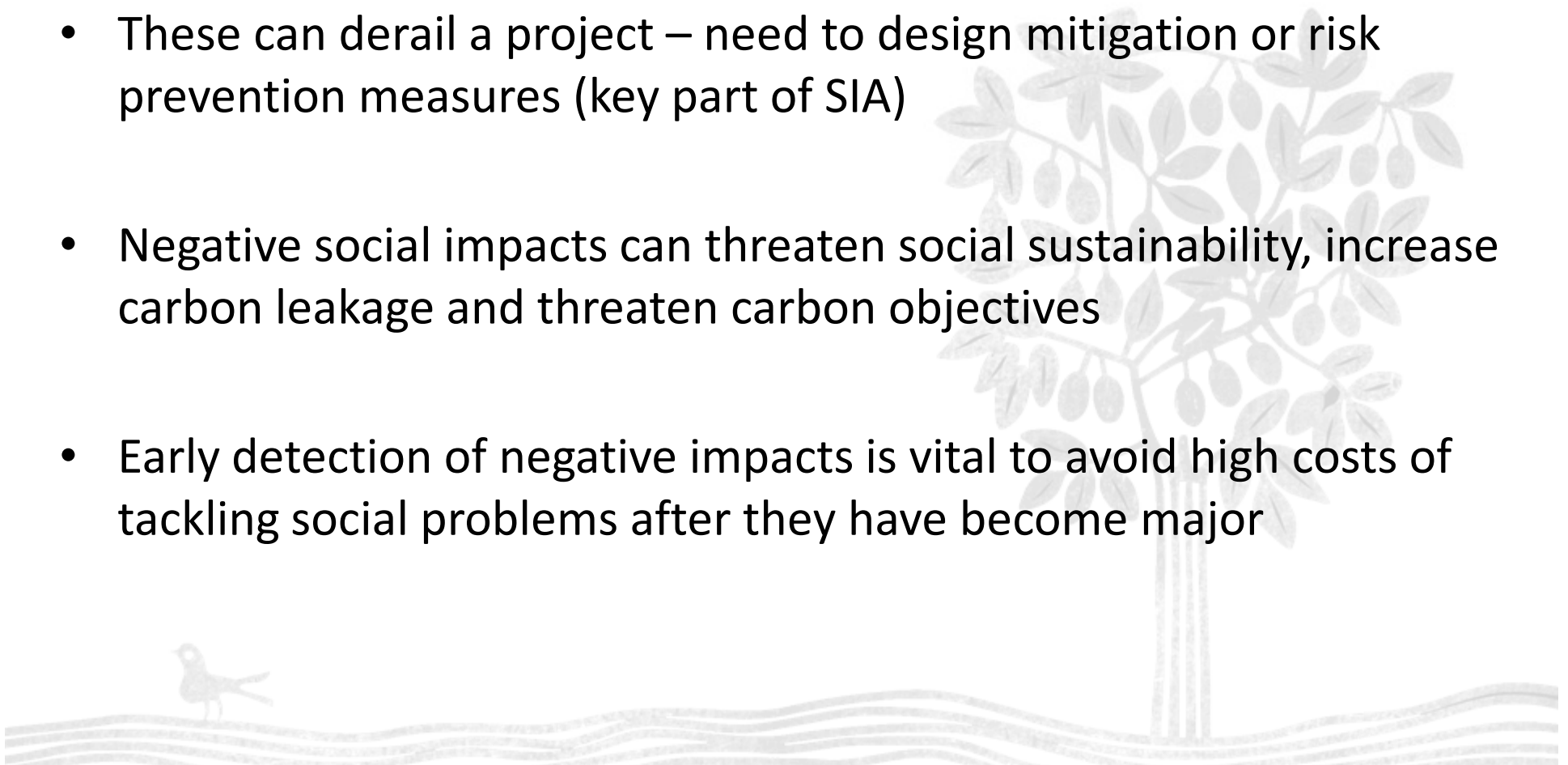
Example of a results chain



- Organization and governance focal issue: IF we achieve effective inter-institutional coordination through political incidence, strengthened judiciary institutions and community organizations, THEN we will achieve appropriate application of the law and consequently strengthened governance.
- Gender-social equity focal issue: IF family responsibility is strengthened, and youth and women are involved in decision-making, THEN social inequity will diminish.

SBIA Stage 4. Negative impacts and risks

- Analysis of potential negative impacts and risks to project success is required by the CCB Standards
- These can derail a project – need to design mitigation or risk prevention measures (key part of SIA)
- Negative social impacts can threaten social sustainability, increase carbon leakage and threaten carbon objectives
- Early detection of negative impacts is vital to avoid high costs of tackling social problems after they have become major



What do the CCB Standards say?

- Criterion G3.5: project proponents must “*identify likely natural and human-induced risks to the expected climate, community and biodiversity benefits during the project lifetime and outline measures adopted to **mitigate** these risks.*”
- Criteria G2.4, G5.5, CM1, CM2 & GL2.5 mention monitoring or mitigating possible negative impacts



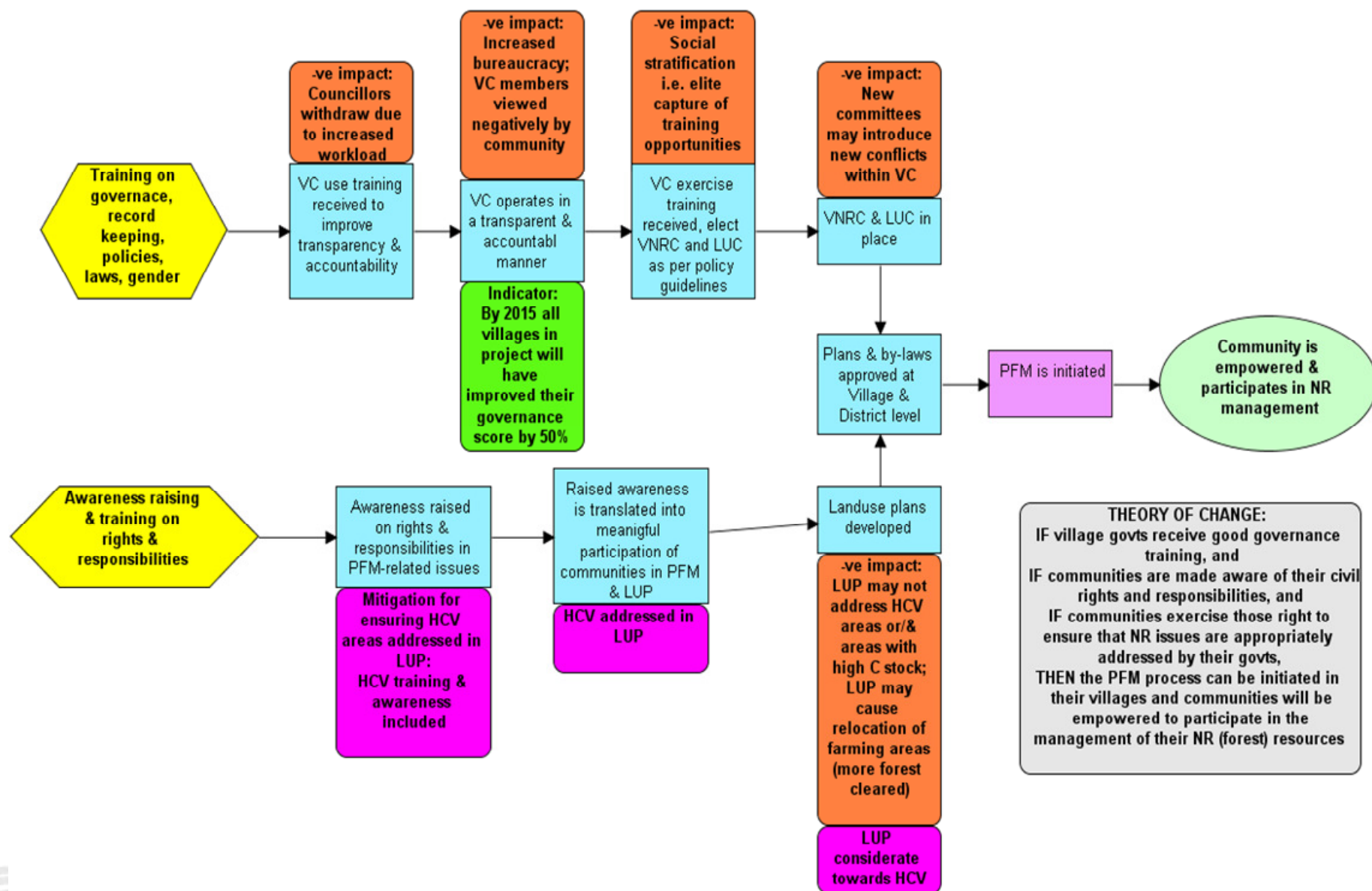
*“Project proponents must evaluate and mitigate any possible social and economic impacts ... of the main stakeholders living **outside** the project zone resulting from project activities. Project activities should **at least ‘do no harm’** to the well-being of **offsite stakeholders.**”*



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Results chain with negative impacts



Participatory methods to track negative impacts

- Most important way of monitor negative impacts is to maintain flow of information and consultation with local stakeholders: e.g. regular Stakeholder Committees to which individuals or groups can express concerns
- Look out for symptoms of more serious problems
- PRA or focus group interviews using a checklist of questions around to probe risks/threats of 'elite capture', sustainable livelihoods, gender issues, 'cultural security' issues, etc.



SBIA Stage 5: Selection of indicators

- WHAT to measure?
- Indicator: measures progress towards achieving an objective
- Therefore clear objectives are vital
- Theory of change: indicators should capture linkages between outputs, outcomes and impacts
- Indicators and monitoring plan: follow-on meeting to main SBIA workshop



SBIA Stage 6. Develop social monitoring plan

Follow-on meeting from main SBIA workshop

HOW to measure:

- Data collection methods for measuring the indicators
- When?
- Who?
- Where?

