

Kenya/Uganda Training Workshop: Social Impact Assessment (SIA) of REDD+ Projects

Introduction to Social Impact Assessment for REDD+ Projects

Nairobi, Kenya 10-12 August 2011



Background

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- Little guidance on social impact assessment (SIA) for carbon project developers
- Consortium of 4 NGOs formed in 2009 to develop SIA Manual (2010), now called the **Social and Biodiversity Impact Assessment (SBIA Manual)**
- SBIA Manual is oriented to the CCB Standards, but can be used more widely
- Donors: World Bank PROFOR, USAID, Rockefeller Foundation, GEF-UNDP, Morgan Stanley, NORAD



**FOREST
TRENDS**

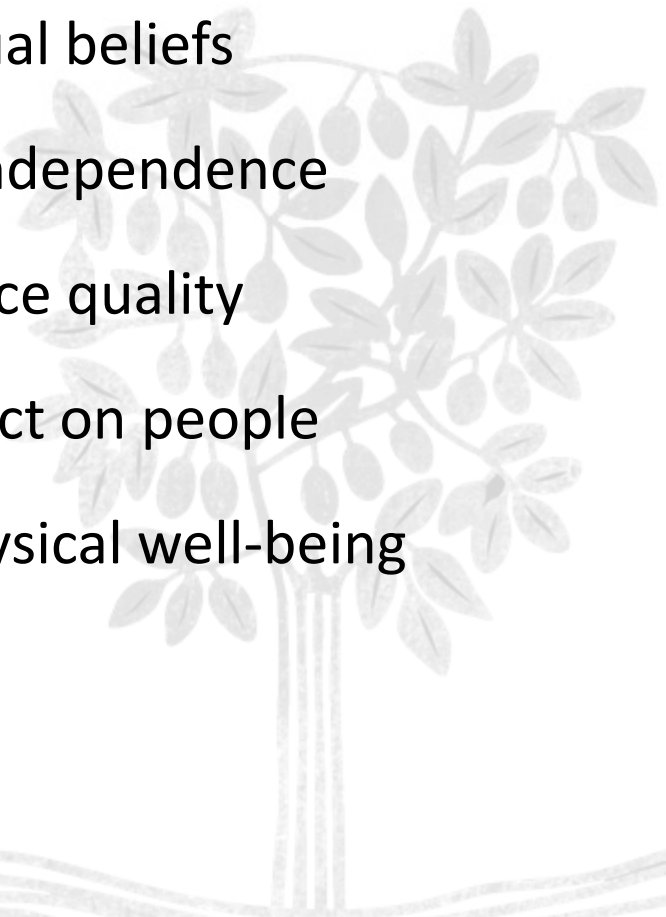


What are “social impacts”?

Changes in one or more of:

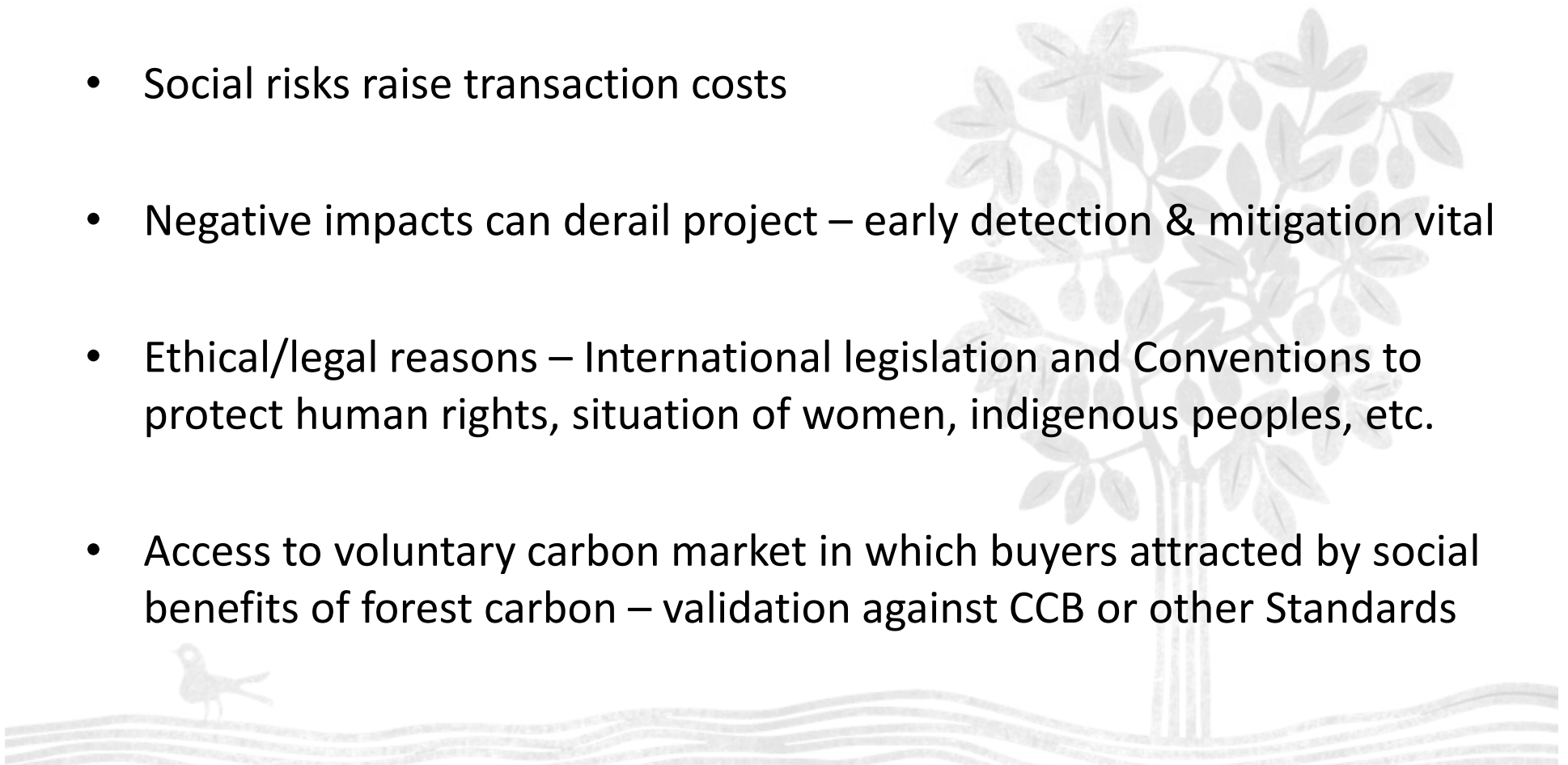
- People's livelihoods
- Culture including values and spiritual beliefs
- Community cohesion, identity or independence
- Local political systems or governance quality
- Environmental changes that impact on people
- Levels of health, education and physical well-being
- Human and property rights
- People's hopes and fears

Source: based on IAIA, 2003



Why worry about social impacts?

- Social sustainability is essential for achieving environmental objectives (e.g., negative social impacts often cause leakage) – good practice SIA strengthens social design and sustainability, and carbon objectives
- Social risks raise transaction costs
- Negative impacts can derail project – early detection & mitigation vital
- Ethical/legal reasons – International legislation and Conventions to protect human rights, situation of women, indigenous peoples, etc.
- Access to voluntary carbon market in which buyers attracted by social benefits of forest carbon – validation against CCB or other Standards



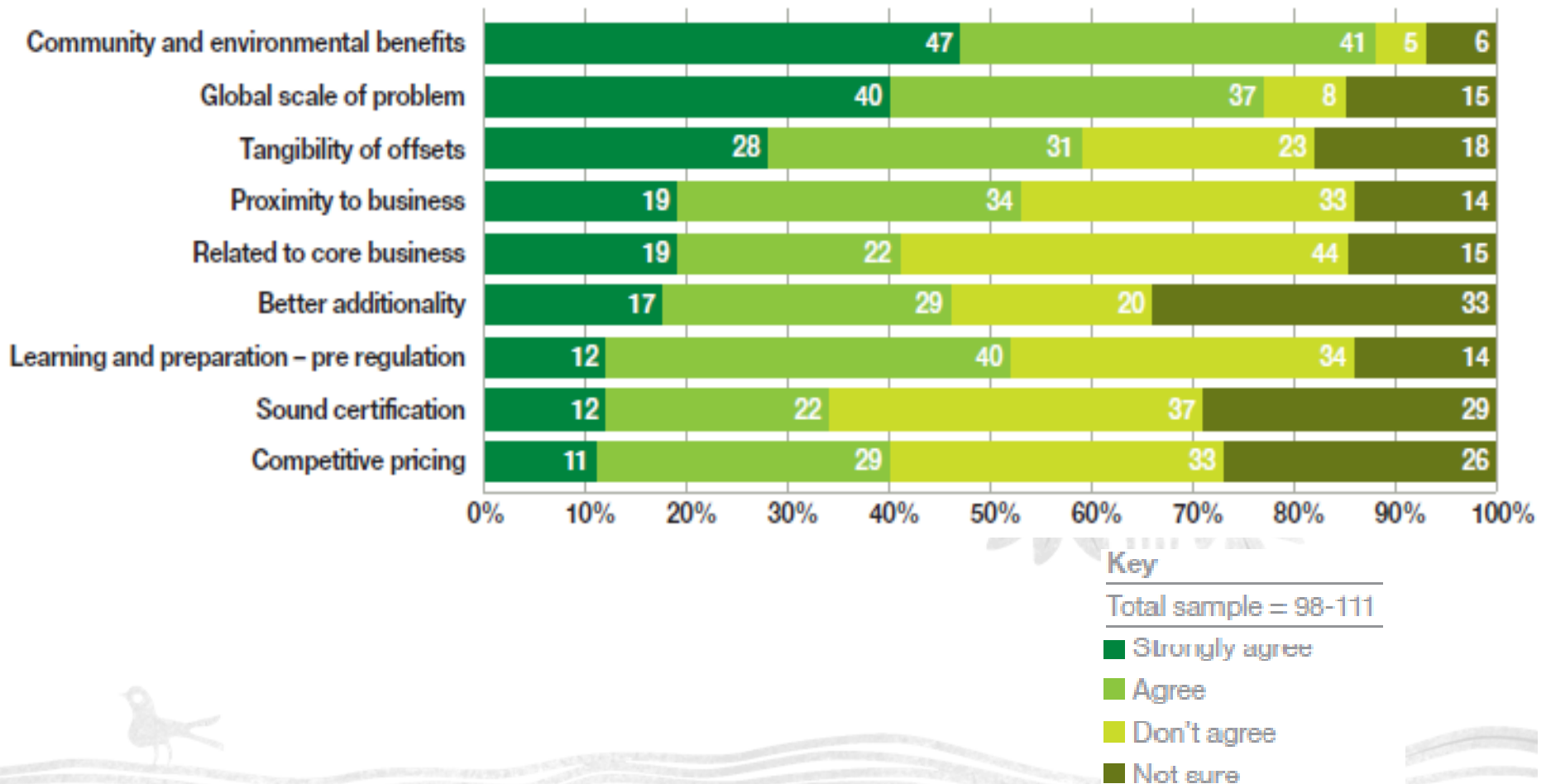
What do REDD+ buyers want?

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The Forest Carbon Offsetting Survey 2009

ECO SECURITIES

Motivation for interest in offsets from forest carbon projects



Increasing international pressures

- Multiple benefit Standards such as Climate, Community and Biodiversity Standards (CCB)
- Process of Free, Prior and Informed Consent (FPIC)
- REDD+ Social Safeguards – 16th Meeting of UNFCCC (Cancun, 2010)



The CCB Standards

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The Climate, Community & Biodiversity Alliance

Members of CCBA:




Advisors of CCBA:



The CCB Standards

- I. General Section
- II. Climate Section
- III. Community Section
- IV. Biodiversity Section
- V. Gold Level Section ...

*Pro-poor benefits & climate
change adaptation*

- 
- Net Positive Impacts
 - Offsite impacts
 - Impact monitoring

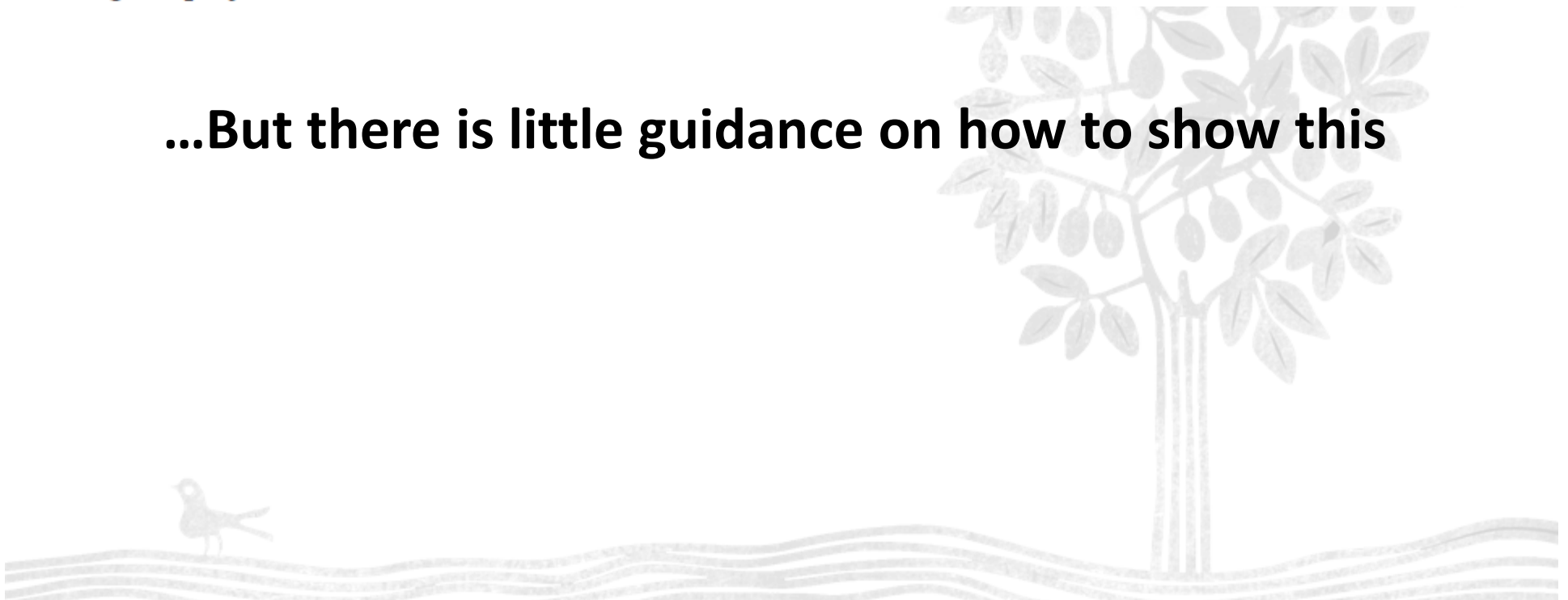


CM1. Net Positive Community Impacts

Concept

The project must generate net positive impacts on the social and economic well-being of communities and ensure that costs and benefits are equitably shared among community members and constituent groups during the project lifetime.

...But there is little guidance on how to show this

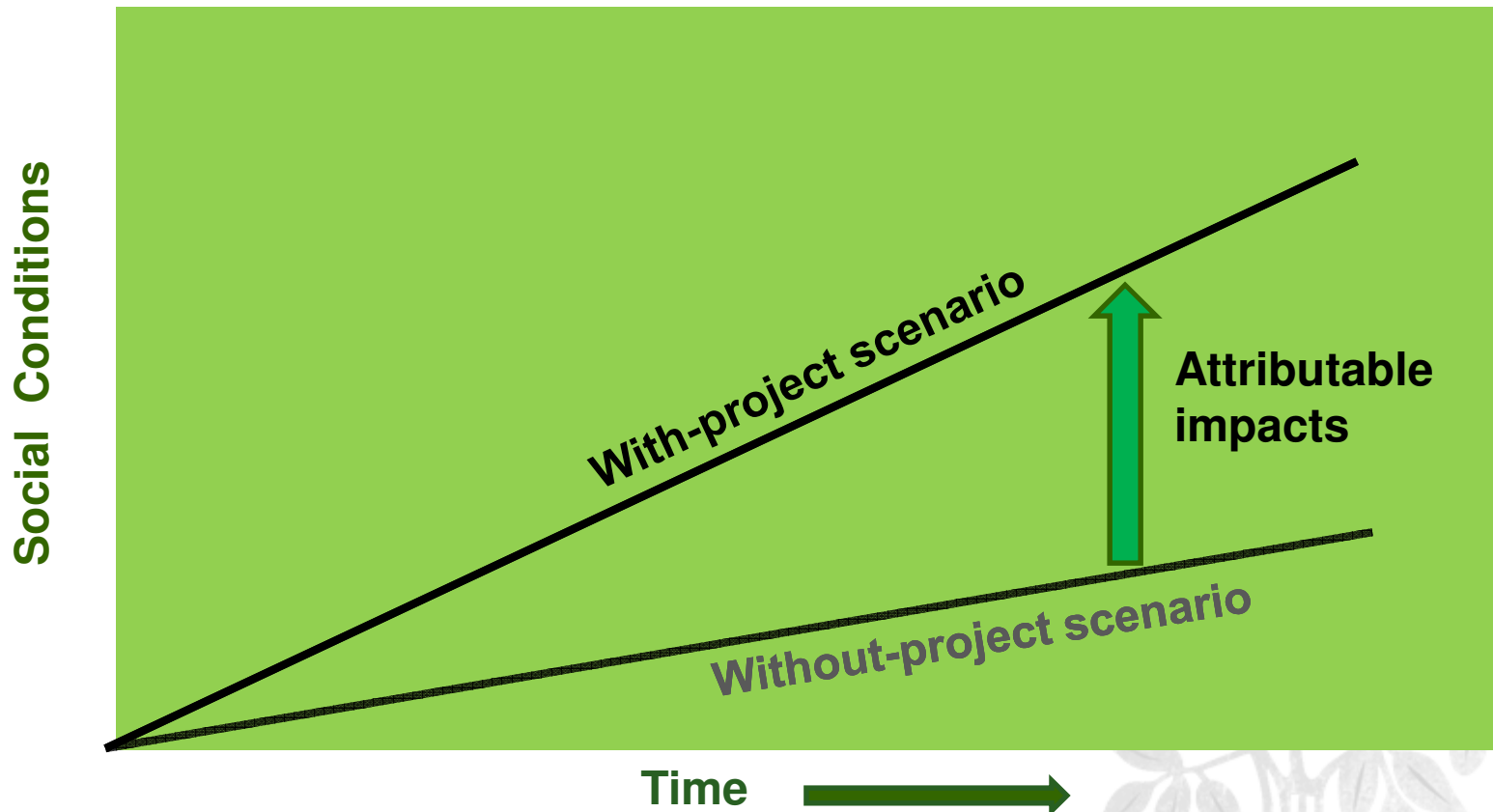


Some key challenges for SIA



- 'Attribution': social benefits must be 'additional' or caused by project
- Nature of social impacts: long-term, unpredictable (-ve or +ve), indirect – so difficult to measure
- Cost-effectiveness: traditional SIA methods cost \$50-150,000 per study
- How to achieve meaningful participation of local stakeholders
- Lack of data on social impacts

Additionality and attribution



CCB Standards: social benefits must be 'additional' to without project situation

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

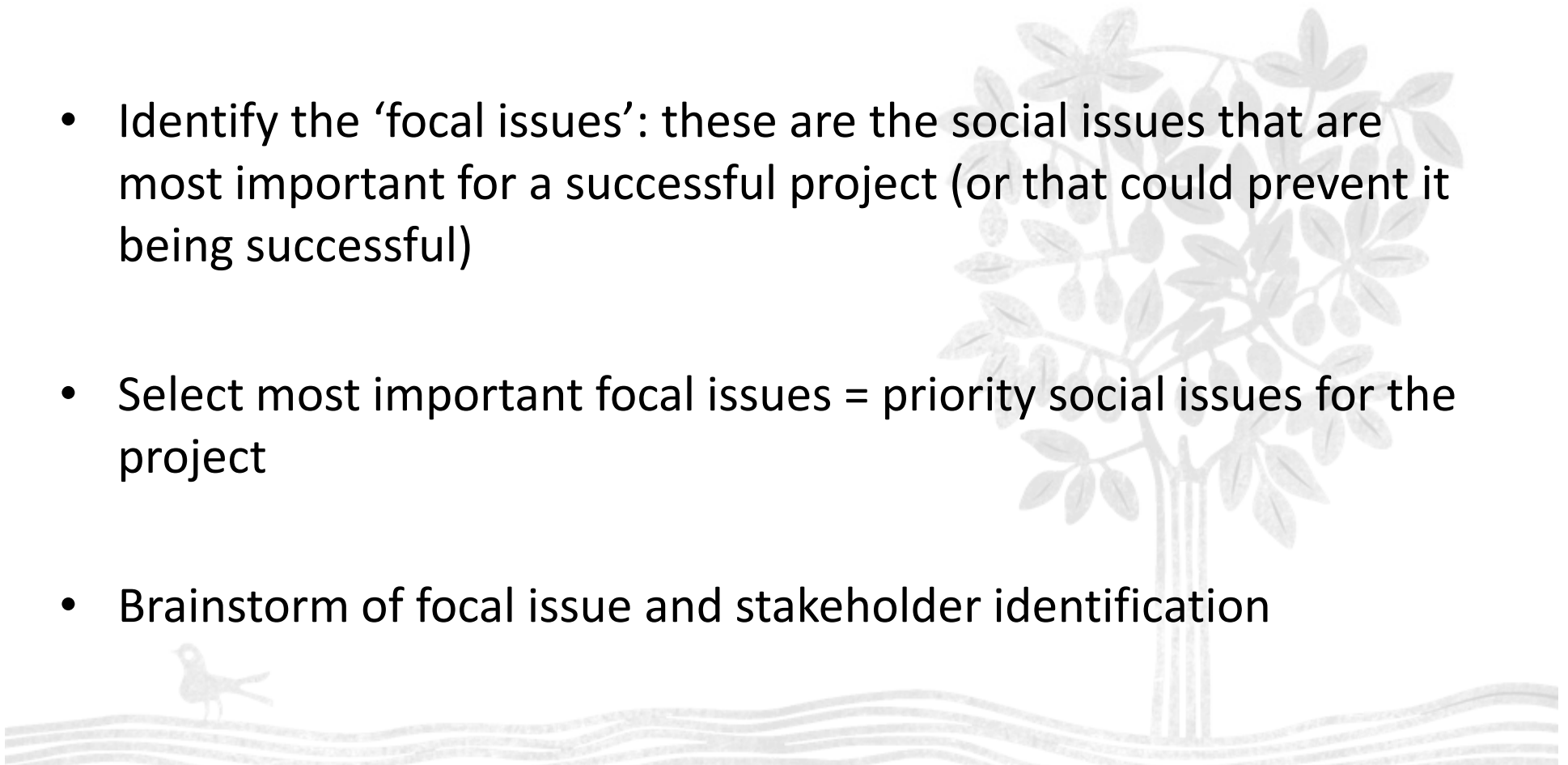
SBIA Stage 1 – Starting or original conditions

- SBIA Workshop assumes that most of SBIA Stage 1 has been carried out prior to workshop
- ‘Baseline’ or starting conditions data is essential for any kind of M&E
- Important to focus on social variables that are most likely to change due to project (tendency to collect a lot of data which is never used)
- Stakeholder identification and analysis (e.g., wealth ranking)



'Conceptualization phase'

- Project scope (including area of impact)
- Vision statement
- Identify the 'focal issues': these are the social issues that are most important for a successful project (or that could prevent it being successful)
- Select most important focal issues = priority social issues for the project
- Brainstorm of focal issue and stakeholder identification

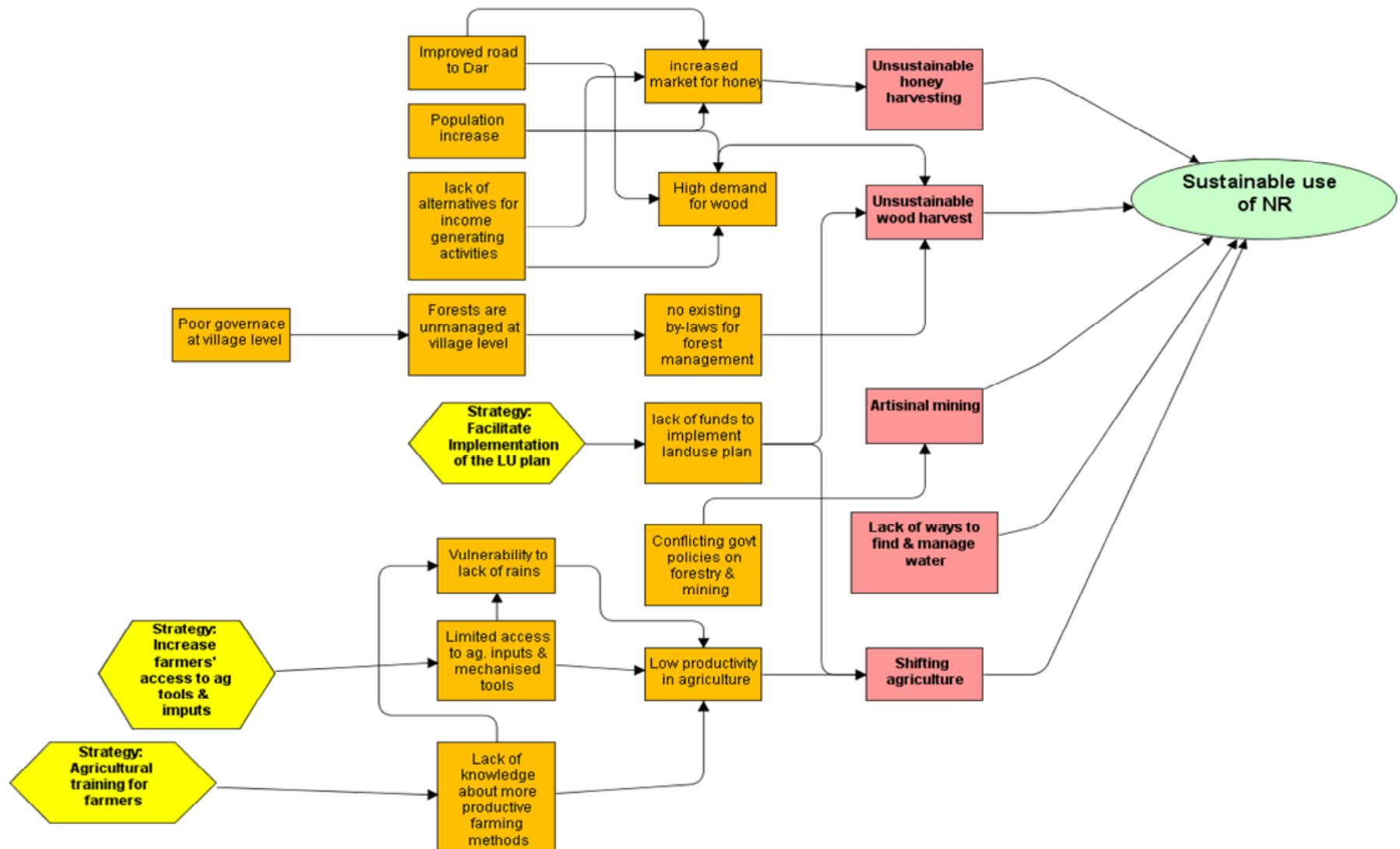


SBIA Stage 2. Without project analysis

- What will happen to the 'focal issues' without the project?
- 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

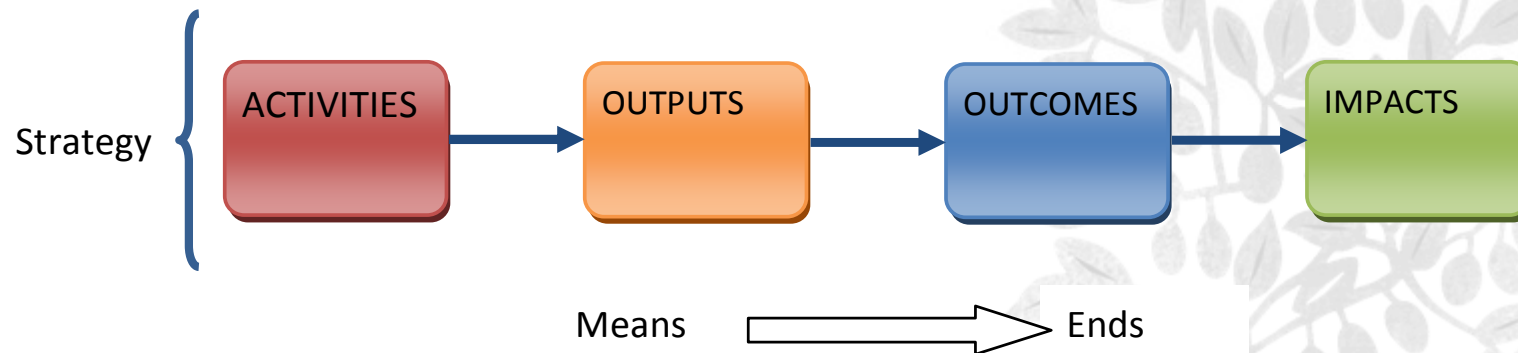


Example of a problem flow diagram



SBIA Stage 3: Project design & theory of change

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

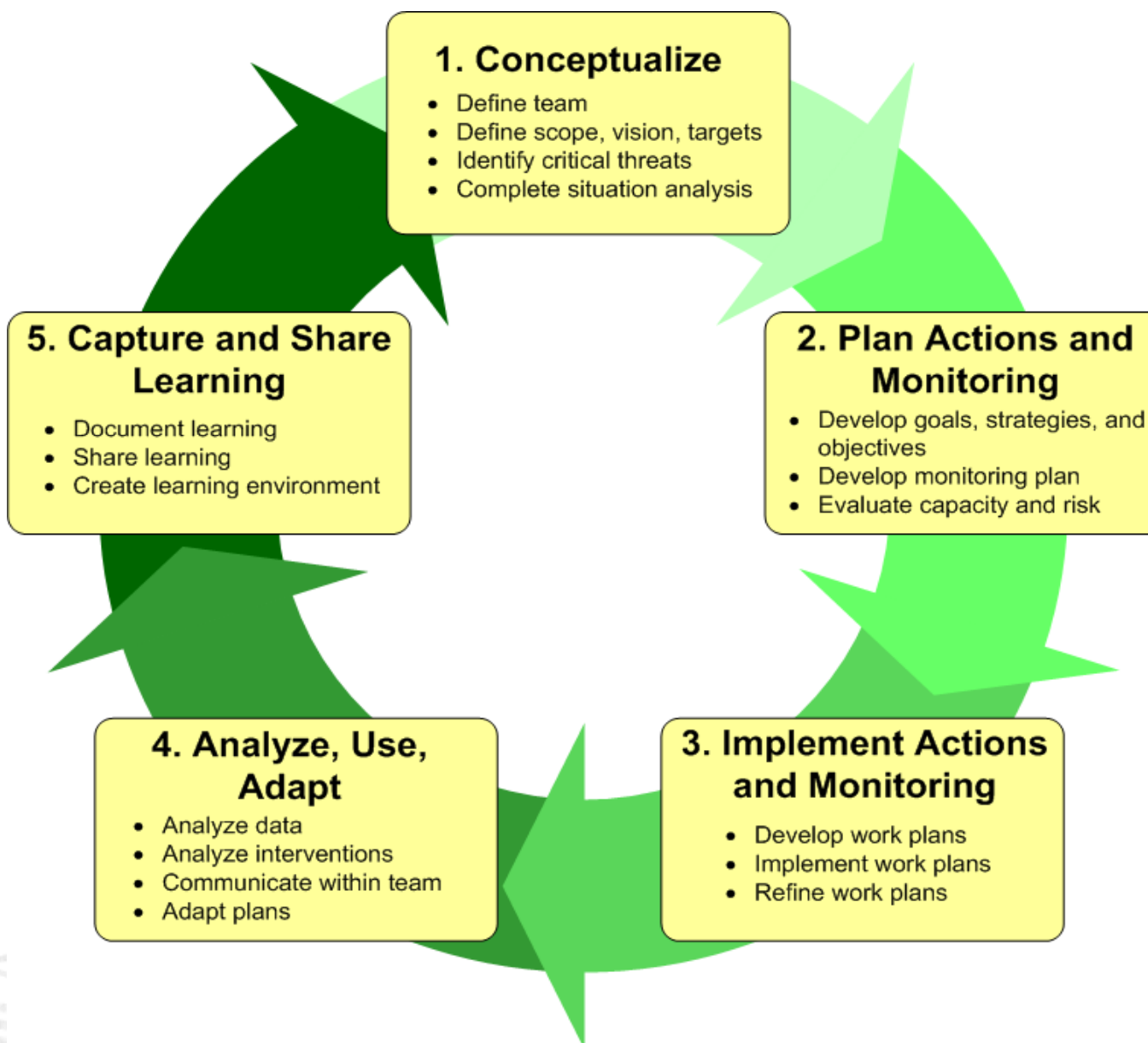


Assess the causative linkages/assumptions between outputs, outcomes and impacts by developing IF ... THEN statements. Then monitor whether linkages or assumptions to hold true in reality

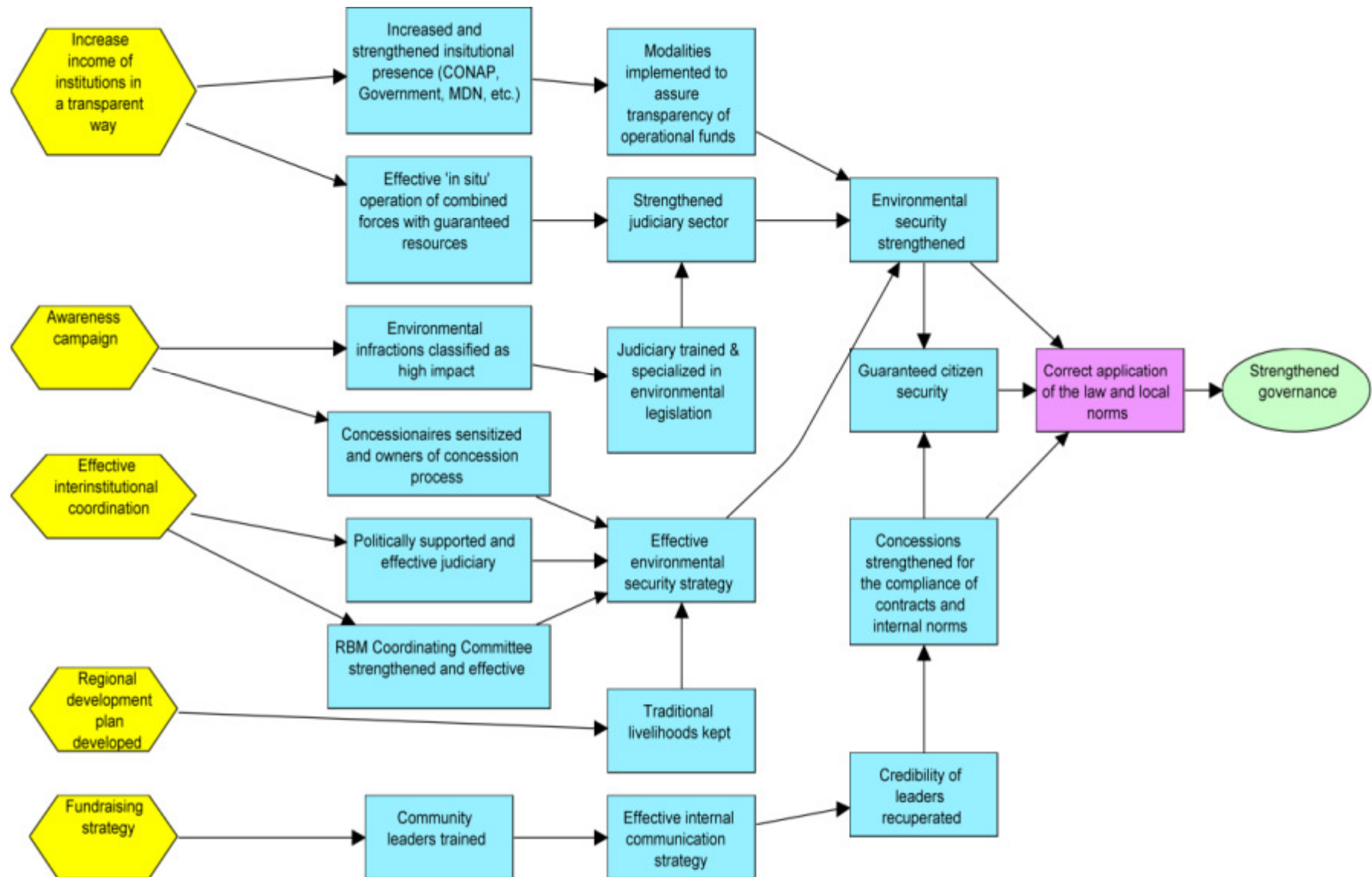
Users of 'theory of change' methodology

- Users: Conservation Measures Partnership (CMP); GEF Evaluation Office; UNEP; WB Independent Evaluation Group; DFID ; GIZ 'Results-Based Impact Chain'; WCMC; etc.
- Also used by micro-finance sector to evaluate projects



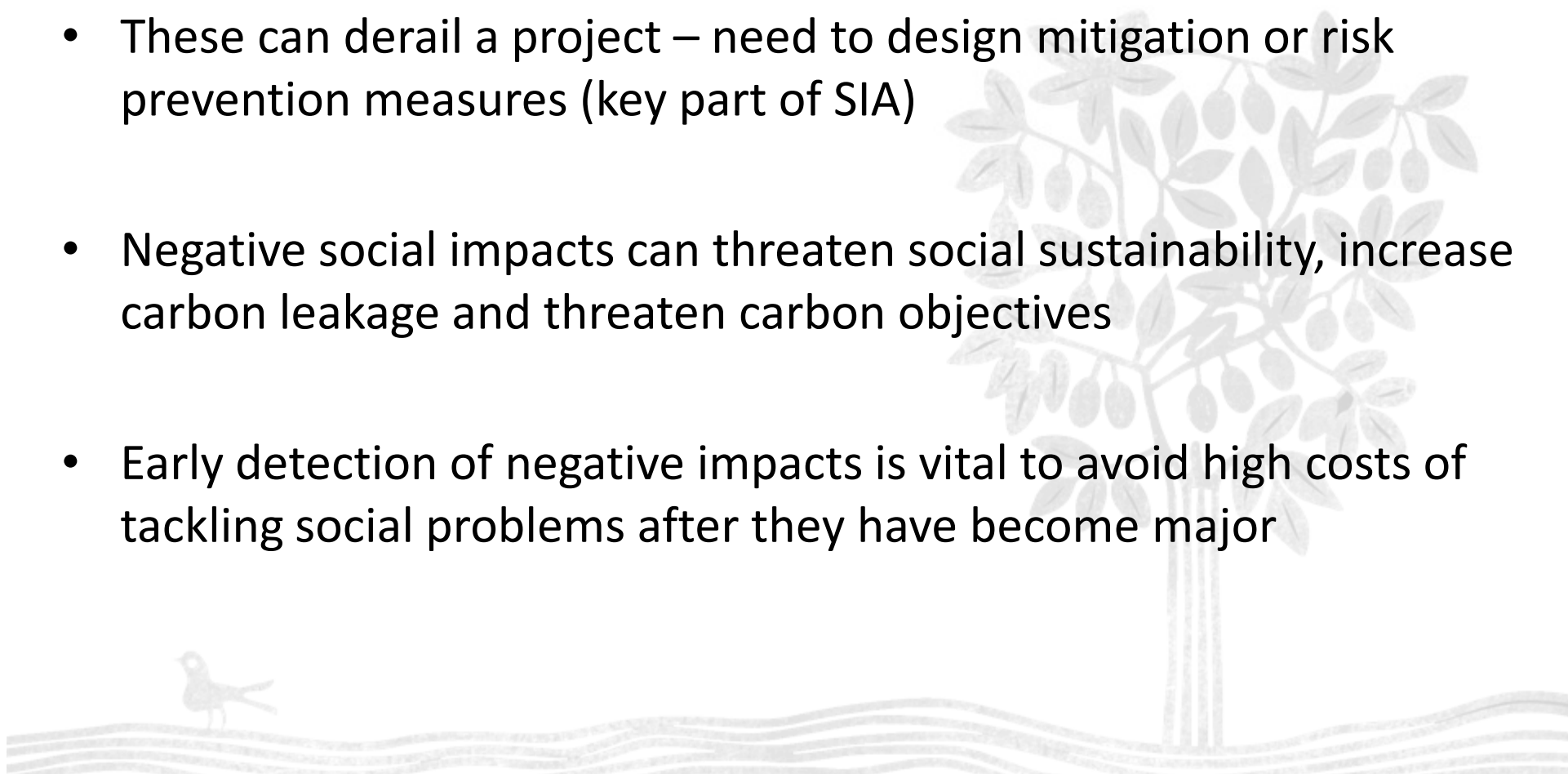


Example of a results chain

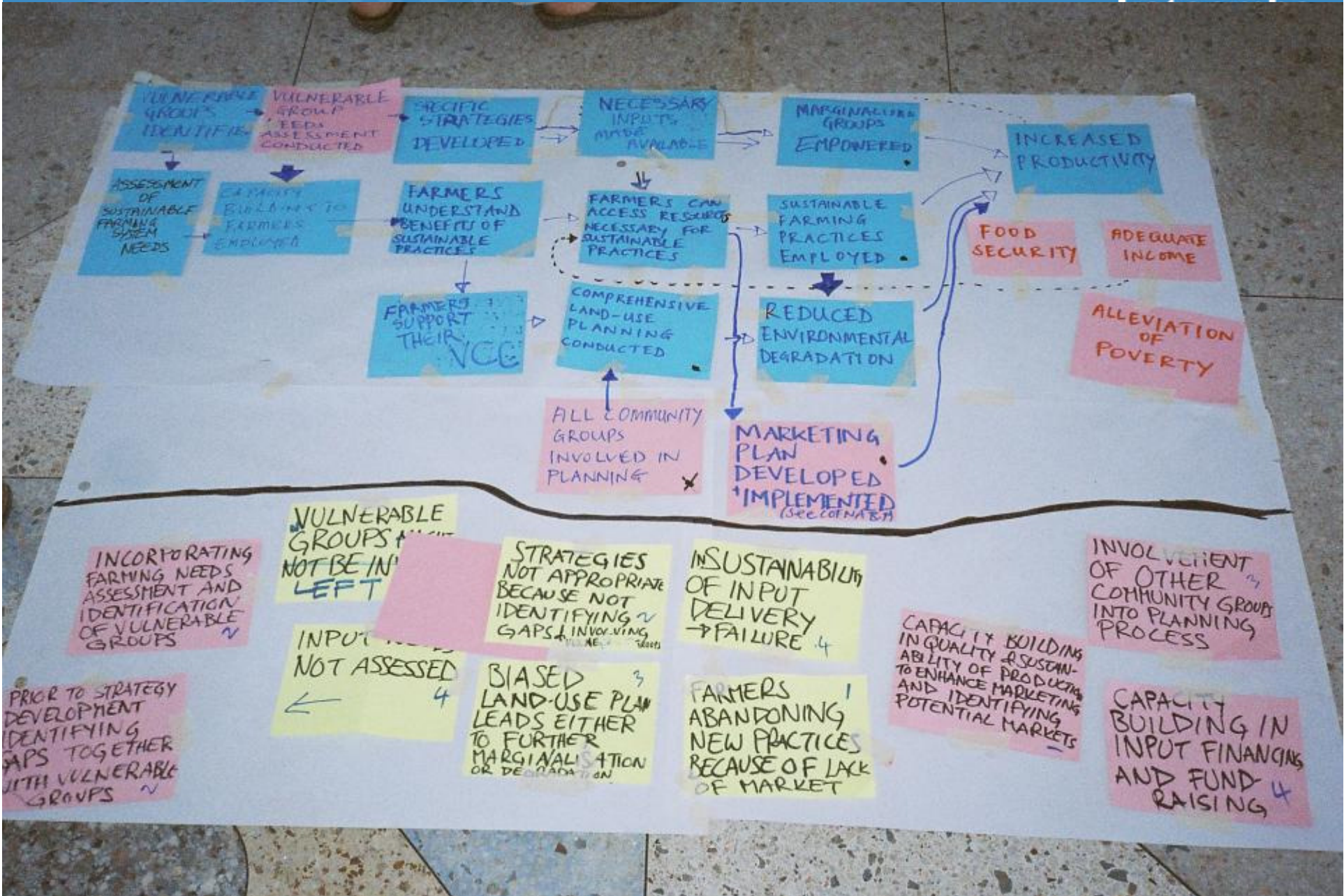


SBIA Stage 4. Negative impacts and risks

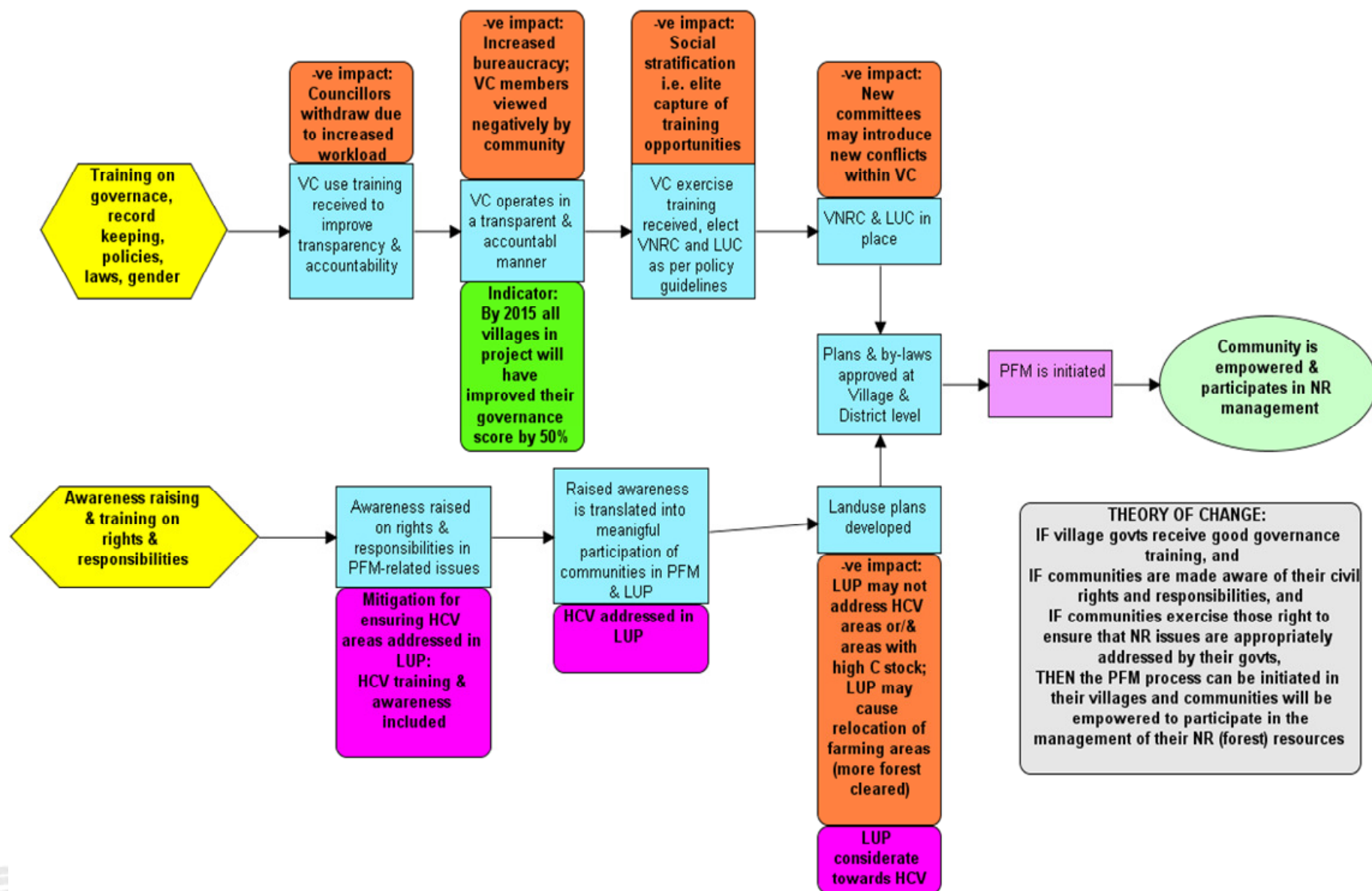
- Analysis of potential negative impacts and risks to project success is required by the CCB Standards
- These can derail a project – need to design mitigation or risk prevention measures (key part of SIA)
- Negative social impacts can threaten social sustainability, increase carbon leakage and threaten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



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Results chain with negative impacts



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?



SBIA Stage 7. Data collection & reporting

- Share process and monitoring plan with wider group of stakeholders (verification of plan) – CCB Standards emphasize transparency
- Write report which is clear for stakeholders to understand
- Incorporate into PDD submitted to CCB Standards
- Monitoring: need for 6 monthly or annual monitoring workplans
- Monitoring results also need to be clearly communicated and understandable
- CCB: prior to verification audit project has to report how project has met CCB Standards – monitoring results – 30 day public comment period
- Importance of contribution to wider learning process about social impacts of REDD+

Asante sana! mrichards@forest-trends.org

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