

DRAFT

**SOCIAL IMPACT ASSESSMENT**  
(A MODULE)

ANTHROPOLOGICAL SURVEY OF INDIA

KOLKATA

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## PREFACE

In recent decades, the execution of development projects has continued at a faster pace. This process has unsurprisingly been conterminous with increased public and political sensitivities to issues related to socio-cultural and economic impacts of such projects. Under such situation the need for developing a Manual to prospectively evaluate types of social and cultural changes likely to follow the implementation of development projects has been felt more urgently so that the findings of such inquires could be harnessed to policy and plan decision making in a manner that attempts to anticipate, minimize and mitigate adverse impacts.

An exercise for developing a Manual for Social Impact Assessment (SIA) in the Indian context could not be better timed than this when our country is, on one hand, poised as a major player in the global economy as well as on the path of national economic development and on the other hand is witnessing increasing eruptions of public grievances and contradictions especially from the marginalised tribal communities, being the worst affected group of the process. In this context, the Anthropological Survey of India, a premier research organization in India, could not remain indifferent to a serious concern of the people of India at large.

SIA is a field of research and practice, or a paradigm consisting of a body of knowledge, techniques, and values. According to International Association for Impact Assessment (2003) in its Social Impact Assessment: International Principles mentions “social impact assessment includes the processes of analysing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. Its primary purpose is to bring about a more sustainable and equitable biophysical and human environment.”

Keeping in perspective the above definition and in response to the need of the hours, the Anthropological Survey of India engaged herself in the effort to prepare a set of guidelines and principles on social and cultural impact assessment. The present Manual on ‘Social Impact Assessment’ is the outcome of this effort.

The initial impetus for preparing a Manual on SIA came from Shri Jawahar Sircar, Hon’ble Secretary, Ministry of Culture, and Govt. of India and Chairman of the Advisory Committee, who encouraged the staff members of Anthropological Survey of India to not only prepare a suitable Manual which could guide all those who are seriously concerned with SIA studies but also engage itself in such study, in the meeting of the Advisory Committee of Anthropological Survey of India, held on 15-01 10 at Kolkata.

In response to his advice, a Committee under the Chairmanship of Prof. K.K. Basa, Director, Anthropological Survey, was constituted. The members of Committee were

Prof. A. K. Danda, Member Secretary, INCAA, Prof. K. C. Malhotra, Former Professor of Anthropology, Indian Statistical Institute, Kolkata, Dr. Gautam Sen Gupta, Director General, Archaeological Survey of India, Prof. R. N. Sharma, Tata Institute of Social Sciences, Mumbai, Delhi Prof. Rajat Kanti Das, Emeritus Fellow, Vidya Sagar University, West Bengal, Prof. R. K. Mutatkar, Emeritus Professor of Anthropology, University of Pune, Prof. K. K. Mishra, Director, IGRMS, Bhopal, Prof. C.G. Hussian Khan, Chairman, Deptt. of Anthropology, Karnatak University, Prof. P.K. Das, Deptt. of Anthropology, Uttkal University, Bhubneswar, Prof. Vinay K. Srivastava, Deptt. of Anthropology, University of Delhi, Dr. Suresh Patil, (Member Secretary), Anthropological Survey of India and Dr. Umesh Kumar, (Co-member Secretary), Anthropological Survey of India.

The above members of the Committee were entrusted with the task of conceptualizing and formulating a draft Manual on SIA. The first meeting of the committee was held at Anthropological Survey of India, Kolkata on 10<sup>th</sup> June 2010, in which concept of SIA was discussed threadbare.

From the Survey, the meeting was attended by Dr. (Mrs.) K. Chakraborty, Senior Anthropologist (C), ERC, Kolkata, Shri. D. N. Pandey Senior Ecologist & Head of Office, HQ, Kolkata, Dr. (Mrs.) M. Banerjee, Senior Psychologist, HQ, Kolkata, Dr. P.B. S. V. Padamanabham, Senior Anthropologist (P), HQ, Kolkata, Dr. K. Mukhopadhyaya, Senior Anthropologist (C), ERC, Kolkata, Dr. A. Sarkar, Anthropologist (C), Kolkata, Dr. N.C. Sarkar, Anthropologist (P), Kolkata, Dr. B. N. Sarkar, Anthropologist (P), Kolkata, Shri A. R. Snakhyayan, Anthropologist (P), Kolkata, Ms. Ratna Dhar, Anthropologist (C), Kolkata, Dr. Sumit Mukherjee, Cartographer, HQ, Kolkata, Shri Ramesh Sahani, Assit. Anthropologist, HQ, Kolkata, Dr. S. Gangopadhyaya, Cartographer, ERC, Kolkata, Dr. P. K. Guha, Cartographer, HQ, Kolkata, Shri Arup Roy, Reserach Associate, HQ, Kolkata, Shri, Gautam Mallick, Reserach Associate, HQ, Kolkata, Shri Subrata Roy, Reserach Associate, HQ, Kolkata, and Shri Amitabha Dinda, Reserach Associate, ERC, Kolkata

Later, Prof. Barun Mukhopadhyaya (Professor of Anthropology, Indian Statistical Institute, Kolkata) was co-opted as a member of the Committee. The second meeting of the Committee was held on 7<sup>th</sup> and 8<sup>th</sup> October, 2010 where the the principal, methodology and approaches to be adopted in the SIA study was discussed in detail. The Committee members who attended the meeting were Prof. A. K. Danda, Prof. R.K. Mutatakarak , Prof. Rajat Kanti Das, Prof. R. N. Sharma and Prof. Barun Mukhopadhyay.

In this meeting, the decision was taken to constitute a Taskforce that could translate all the discussion held so far in the form of a Manual. The Taskforce entrusted the following members with specific responsibility:

1. Introduction:

Prof. K. K. Basa and Prof. A. K. Danda

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|-------------------------------|---|
| 2. Principles of SIA:         | Prof P. K. Das and Dr. B.N. Sarkar                                    |
| 3. Steps for Conducting SIA:  | Prof. Barun Mukhopadhyay and Dr. K. Mukhopadhyay                      |
| 4. Methodology and Approaches | Prof. R. K. Das, Dr (Mrs) M. Banerjee, A. Sarkar and Dr. S. Mukherjee |
| 5. Essential Chapters of SIA  | Prof. R. K. Mutatkar and Dr. Umesh Kumar                              |

The first meeting of the Taskforce was held at Survey's Head Quarters on 20<sup>th</sup>, 21<sup>st</sup> and 22<sup>nd</sup> October, 2010. In the said meeting the draft Manual on SIA prepared by the members of the Taskforce was deliberated and discussed in details and some suggestion were made. The second meeting of the Taskforce was held on 12<sup>th</sup> November 2010 where in a final shape was given to the draft Manual on SIA.

Having incorporated all the suggestions and modifications suggested in the previous meeting, it was decided to place it before the members of Committee on SIA. For this purpose a meeting of the members of Committee was convened on 14<sup>th</sup> and 15<sup>th</sup> December, 2010. The meeting was attended by Prof. A. K. Danda, Member Secretary INCA, Prof. A. C. Bhagvati, Former Vice Chancellor Arunachal University, (invited expert), Prof. R. K. Mutatkar, Emeritus Professor, Deptt. of Anthropology, University of Pune, Prof. R. N Sharma, Professor, Tata Institute of Social Sciences, Mumbai, Prof. R. K. Das, Emeritus Fellow , Vidya Sagar University, West Bengal, Prof. Barun Mukhopadhyay, Deptt. of Anthropology, Indian Statistical Institute, Kolkata, Dr. Ashis Gosh, Former Director, Zoological Survey of India (invited expert) and Dr. Anjali Srivastava, Deputy Director & Head, NEERI, Kolkata (invited expert).

From the Survey the members who participated in meeting were Dr. Suresh Patil, Dr. (Mrs) Kakali Chakraborty, Shri D. N. Pandey, Dr. K. Mukhopadhyaya, Dr. B. N. Sarkar, Dr. Umesh Kumar, Ms. Ratna Dhar and Dr. S. Mukherjee.

In the said meeting, the draft Manual prepared by the Taskforce was discussed at length and given a final shape. Thus, the present draft Manual on SIA is the outcome of painstaking efforts made by members of the Committee on SIA and Taskforce and colleagues from Anthropological Survey of India.

The draft Manual on SIA contains four chapters in addition to introduction. The Introduction discusses the concept of SIA and why the Anthropological Survey of India considered it necessary to prepare a Manual on SIA. The cardinal principles to be kept in mind while conducting an SIA study has been elucidated in details in the second chapter. The third chapter deals with steps to be followed while conducting a SIA study. The methods and approaches to be adopted during the course of an SIA study have been comprehensively analysed in the final chapter.

For an institution which is primarily engaged in fundamental research, the preparation of a SIA module speaks of the seriousness with which it proposes to involve itself in such impact assessment study. The Anthropological Survey of India with its vast experiences in studying biosocial dimension of the culture and society has the ability to engage itself in social impact study with more of anthropological input.

It is hoped that this draft Manual will also serve as guidelines for practitioners and professionals in the field of SIA.

Kishore K. Basa ( Professor)  
Director  
Anthropological Survey of India

## ACKNOWLEDGEMENT

I express my deep sense of gratitude to Shri Jawahar Sircar, Hon'ble Secretary, Ministry of Culture, Govt. of India who first proposed that Anthropological Survey of India should prepare a draft Manual on SIA. His subsequent insistence and encouragement proved instrumental in preparing the draft Manual within stipulated time frame-work. The present draft Manual is the result of teamwork. I am deeply indebted to the all the members of the Committee on SIA. In particular, Prof. A. K. Danda, Prof. Rajat Kanti Das, Prof. R. N. Sharma, Prof. R. K. Mutatkar, Prof. K. K. Mishra, Prof. C. G. Hussain Khan, and Prof. P.K. Das, have made invaluable contributions in the preparation of the draft Manual. All the more, the external members of the Committee always made themselves available as and when the meeting was convened despite their busy schedule. My sincere thanks are also due to the members of Taskforce namely Prof. A. K. Danda, Prof. Rajat Kanti Das, Prof. R. K. Mutatkar, Prof. R. N. Sharma, Prof. P.K. Das, Prof. Barun Mukhopadhyaya, Dr. (Mrs.) M. Banerjee, Dr. K. Mukhopadhyay, Dr. A. Sarkar, Dr. B. N. Sarkar Dr. Umesh Kumar and Dr. Sumit Mukherjee for the labour and pain undertaken by them towards preparation of the draft Manual as per the suggestions and guidelines proposed by the Committee on SIA. Thanks are also due to Prof. A. C. Bhagavati, Dr. Asish Gohsh and Dr. Anjali Srivastava who attended the last meeting of the Committee on SIA as invited experts and made valuable suggestions. I am also thankful to the staff members of Anthropological Survey of India namely Dr. Suresh Patil, Dr. Kakali Chakraborty, Shri D. Pandey, Dr. P. B. S. V. Padamnabham, Dr. N. C. Sarkar, Dr. A. R. Sankhyayan, Ms. Ratna Dhar, Shri Ramesh Sahani, Dr. S. Gangopadhyay, Dr. P. K. Guha, Shri Arup Roy, Shri, Gautam Mallick, Shri Subrata Roy and Shri Amitabha Dinda who had participated and interacted during the course of discussion on the preparation of the draft Manual on SIA. While drafting the Manual we have consulted the draft Manual prepared by the Council of Social Development, New Delhi which was made available by Prof. Hari Mohan Mathur. We thankfully acknowledge their contributions. In addition, two documents viz 'Social Impact Assessment: International Principles' by International Association for Impact Assessment (2003) and 'Principles and Guidelines for Social Impact Assessment in the USA' by The Interorganizational Committee on Principles and Guidelines for Social Impact Assessment (2003) have been of great help for this Manual. The input from the publication of both of the organisations is also deeply acknowledged.

Last but not the least Prof. A. K. Danda made himself available whenever we requested him for fine-tuning the draft Manual and our colleagues Dr. Umesh Kumar and Dr. Sumit Mukherjee who made untiring effort to incorporate suggestions in the draft within the deadline made for them. I can not forget the evening of 18<sup>th</sup> November, 2010 Dr. Umesh Kunmar, Dr. Sumit Mukherjee and myself met Prof. A. K. Danda at Hotel Lyton to give final touch to the draft and the discussion continued almost upto midnight. Hence, my sincere thanks go to Prof. A. K. Danda, Dr. Umesh Kumar and Dr. Sumit Mukherjee.

Kishore K. Basa ( Professor)

Director

Anthropological Survey of India

## INTRODUCTION

All societies and all cultures everywhere and all over the ages have experienced the processes of some kind of change or the other, often involving migration of human populations. There were perhaps differences in the rate or degree of such change, depending on the capability as well as wisdom of the concerned people. The transformation that resulted because of such exposures, nevertheless, by and large was in harmonic relationship with the forces of nature. On the whole, there was an element of spontaneity in such developments, as more often than not they are in consonance with the contemporary felt-needs of the people themselves. Accordingly, as different societies got set to non-identical cultural clocks, they experienced different rates of pace, and some kind of variations across cultures had to be the ultimate outcome. For most of the world, during the major part of human history, such spontaneous changes were conspicuously in evidence and people had learned to live with such differences without any visible sign of protest.

Whether the developments of this kind, too, resulted in some human misery, perhaps has not been adequately recorded yet. Lacking such definite information, one can safely speculate that spontaneous changes were by and large rated as welcome developments. Contemporary human phenomena, because of the application of manipulative strategies, assumed altogether a different character. In most of the cases, with the sole objective of ensuring a relatively higher GDP or profits, development projects are planned and implemented in such a manner that the damaging aspects of such interventions at the local level are often overlooked. The polarization in societies that follows leads to problems that demand to be appropriately addressed.

The World Bank, Asian Development Bank, International Monetary Fund, United Nations Development Programme, as well as most of the multilateral and private agencies, including local commercial banks now insist on some kind of prior social impact appraisal for all the projects that they finance. As a result of this insistence, for several countries including India, SIA has become a mandatory and legal requirement.

Social Impact Assessment (SIA) as an exercise, by and large, relates to development and change in societies and cultures. In India SIA is generally carried out as a part of the Environmental Impact Assessment clearance process. Since as a part of the Environmental Impact Assessment (EIA) process the exercise is yet to receive the attention it deserves, it will be important for the Anthropological Survey of India (An.S.I.) to examine related issues more specifically tribal related issues rather closely in order to put them in perspectives. As per the Rehabilitation and Resettlement Policy : 2007, SIA of the projects under the Ministry of Rural Development of India have been envisaged as part of independent multi-disciplinary expert group reporting as well as concurrent SIA studies requiring Environmental Impact Assessment (EIA) as a legal requirement. SIA clearance is considered essential as an exercise of the social audit.

The Social Impact Assessment may be done in two stages: Initial Social Impact Assessment and Comprehensive Impact Assessment. Initial Social Impact Assessment primarily and mainly deal with secondary sources for information and should be completed within a period of 90 days from the date of commencement. The comprehensive Social Impact Assessment involves generation of a great deal of data from primary sources. Therefore, the time limit for the second stage may be kept open.

The Environment Protection Act of 1986 ushered in altogether a new initiative in India in this respect. The force generated by this Act got accelerated because of the Environmental Impact Assessment Notification of 1994 (which was further amended in 2006). This was a major turning point as since 1994, EIA, of which (i) Physical Environment, (ii) Biological Environment, as well as (iii) Social Environment constituted important components, became mandatory.

In 2006, the Environmental Impact Assessment Notification amendment declared such assessment within a radius of 10 KMs. of the proposed project site as a compulsory exercise.

According to the 73<sup>rd</sup> and 74<sup>th</sup> Amendments to the Constitution of India (1997), the Local Self Governments, including Panchayats, and Panchayats extended to Scheduled Area have been empowered to ensure such assessment within their respective jurisdictions.

The Forest Rights Act of 2006 also has a bearing on the strategy as the Act made provisions for accommodating Traditional Rights of the Scheduled Tribes and other forest dwelling populations who have been subsisting primarily on the resources of specific forests for at least three generations or 75 years. This Act too acknowledged community rights as well as individual rights.

The Rehabilitation and Resettlement Policy: 2007 stipulates in Chapter II under Social Impact Assessment of Projects that “ Whenever it is decided to undertake a new projects or expansion of an existing projects, which involves involuntary displacement of four hundred or more families en masse in plain areas, or two hundred or more families en masse in the Fifth Schedule or Sixth Schedule to the Constitution, the appropriate Government shall ensure that a social impact assessment study is carried out in the proposed affected areas in the manner as prescribed”.

The intentions behind R & R Policy are no doubt very appropriate and speak of a level of sensitivity which is highly welcome. Nevertheless, the stipulation of four hundred families in plain areas and two hundred families in tribal or hilly areas demands a close re-examination in view of the distribution pattern of families as well as households in different locales of the country.

Independent of such developments as mentioned over here, some academicians and researchers have demonstrated definite interest in the study of impact of development

initiatives on human life and culture. The members of the faculty of the Anthropological Survey of India were directly involved in such exercises in a fairly big way. In fact, several of the Ph.D. dissertations and other documents produced by the scholars of the Anthropological Survey of India, most of which are rich with deep insight, would very well qualify as pioneering attempts of this kind.

Of late, scholars from the Anthropological Survey of India have involved themselves in the Social Impact Assessment study of biosphere projects, as part of the Environmental Impact Assessment requirements. For an institution which has been primarily engaged in fundamental researches, this ushered in a new beginning. The exercise for preparation of Social Impact Assessment module of its own speaks of the seriousness with which the profession proposes to involve itself in the exercise.

There is, however, a conspicuous difference between the mandatory requirements of an SIA and what was actually followed as a common academic practice. The mandatory exercise is required to be done prior to implementation of the project. The academic initiatives, in comparison, by and large reflected on post-project phenomena or focussed on themes beyond the scope of an SIA.

wareness of such limitations of the academic exercises done so far and the hiatus as exists between what has already been achieved and what are the mandatory requirements, could very well lead us to accept a new challenge and work out a new strategy. The Anthropological Survey of India, in view of its vast experiences in the field along with study of SIA could as well engage itself in Anthropological Impact Assessment as one of its regular academic exercises. Periodic repetitions of such exercises are likely to compensate the information gap and thus bridge the hiatus between what are being done and what are the mandatory requirements.

## SECTION I

### **SOCIAL IMPACT ASSESSMENT: MEANING, DEFINITION AND SCOPE**

Planners and decision makers increasingly recognize the need for better appreciation of social consequences of policies, plans, programmes and projects (PPPPs). SIA is likely to contribute substantially toward understanding such impacts. This is all the more important in view of the fact that such impact assessment has become a mandatory requirement.

SIA alerts the planners and programme executors of the likely benefits and costs of a proposed project, which may be social, cultural, and/or economic and such others. The knowledge of these likely impacts in advance can help decision-makers in deciding whether the project should proceed as it is, or proceed with some changes, or dropped altogether. The most important outcome of a SIA is to develop mitigation plans to overcome the potential negative impacts on individuals and communities, and the society at large.

SIA could assist advocacy groups as well. A SIA report, done comprehensively, showing the likely consequences of the project on affected people and suggesting alternative approaches, adds credibility to their campaigns.

#### **Historical Overview**

The beginnings of SIA, under the broad canvas of the EIA could be traced to developments as recent as those during the 1970s. By this time, “development agencies began to use impact assessments – which were about predicting, before the start of a project, its likely environmental, social, and economic consequences – in order to approve, adjust, or reject it” (Roche 1999: 18).

From the early 1980s, several new methods of enquiry emerged, including Rapid Rural Appraisal (RRA), Participatory Action Research (PAR), Participatory Rural Appraisal (PRA) (Chambers 1997). These sought to make people and communities active participants, rather than mere objects of assessment.

By the early 1990s, social science professionals were also able to develop an acceptable set of SIA guidelines and principles (Interorganizational Committee on Guidelines and Principles for Social Impact Assessment: 1994 and 2003, and International Association for Impact Assessment: 2003). Around this time, SIA became an accepted practice among development agencies as a way to assess the impacts of development projects before they commence. Now SIA is a part of the formal planning processes in most development projects.

SIA have been carried out for a variety of projects, including projects in such diverse sectors as dams, sanitation and health, mining, urban transport systems, pastoral development programmes, and livelihood support projects.

In recent years, much has been written on applications and methodology of SIA. The subject is widely taught, often in conjunction with other professional and academic courses, and training programmes. Numerous consulting firms have come up to offer SIA expertise in project preparation, implementation, monitoring, and evaluation.

In the earlier decades, as already indicated, SIA used to be carried out as part of EIA. Increasingly, SIA is now carried out as an exercise independently of EIA, because these are two different kinds of assessments (Reference: R & R policy 2007).

### **Current Scenario**

SIA has now become an important part of the project preparation process, especially for the preparation of Resettlement Action Plans (RAPs). In this process, SIA is carried out as socio-economic survey that identifies social, cultural and economic impacts on people and communities facing project-induced displacement. In addition, data thus generated is used in designing mitigation measures as well as in monitoring mitigation implementation.

Resettlement policies have lately made SIA a major part of the resettlement planning process. In 2006, a provision was included for conducting SIA in the Orissa R&R Policy 2006. The National R&R Policy 2007 has made a provision for conducting SIA whenever a new project or expansion of an existing project is undertaken. But this provision is limited to only those cases which involve displacement of 400 or more families, *en masse* in plain areas, or 200 or more families *en masse* in tribal or hilly areas, DDP blocks or areas mentioned in the Schedule V or Schedule VI of the Constitution. However, this stipulation of 400 families in the plains and 200 families in the hilly tribal areas does not appear to be very satisfactory keeping in view the distribution of population and settlements pattern, particularly in the rural and tribal areas. Therefore, this provision will need careful review.

The issue is no longer whether SIA should be carried out or not, but how it should be carried out so that the local people benefit from the project. Extra care should be taken to ensure that the disadvantaged sections are able to cross the threshold of vulnerability. This applies more to women headed households, SC and ST populations and those below poverty lines.

### **What are Social Impacts?**

Social Impacts are the changes that occur in communities or to individuals as a result of an externally-induced change. Interorganizational Committee on Principles and Guidelines for Social Impact Assessment (IOCGPSIA, 2003: 231) defines social impacts as “the consequences to human populations of any public or private actions that alter the

ways in which people live, work, play, relate to one another, organize to meet their needs, and generally cope as members of society. The term also includes cultural impacts involving changes to the norms, values, and beliefs that guide and rationalize their cognition of themselves and their society.”

Such changes may affect employment, income, production, way of life, cultural practices, community participation, political systems, environment, health and well-being, individual rights as well as property rights, fears and aspirations as well as change in ethnic composition. These impacts can be positive or negative or both.

Examples of projects with significant social impacts include: dams and reservoirs (disruption due to relocation), mining, power and industrial plants (involuntary displacement, influx of work force, pressure on infrastructure), roads and linear projects (dislocation of activity networks), and landfill and hazardous waste disposal sites (seen as health risks).

### **Types of Impacts**

Not all projects cause similar impacts. For example, impacts that are commonly experienced in urban projects are different from those in hydropower, thermal power, mining and iron and steel projects. The common hydropower project impacts include the following:

- Submergence of vast areas, usually in hilly, sparsely populated regions, inhabited by agriculture-dependent rural and tribal communities
- Forced displacement (often resulting in impoverishment)
- Boomtowns (uncontrolled influx of construction workers, with negative social impacts, crime, HIV, etc.)
- Downstream adverse changes in agro-production systems

On the other hand, there is no submergence in urban projects. People are affected by loss of residential/commercial structures and jobs, not by loss of agricultural lands.

The following is an illustrative list of possible impacts:

- Loss of all land, commercial premises and housing structures
- Loss of all commercial premises or land, but not house
- Loss of house, no loss of land or commercial premise
- Loss of house, land or commercial premise left unviable
- Loss of house, land still viable
- Loss of house to the owner or occupant/tenant
- Loss of house, without adequate entitlement to lands or with customary rights to lands
- No loss of house, land or commercial premise left viable
- No loss of house, land or commercial premise unviable
- Loss of access to income generating activities (employment, etc.)

- Land and/or house cut off or inaccessible due to the project (for example, creation of islands in reservoirs)
- Loss of livelihood to indirectly affected (without land or house entitlements)

### **What is Social Impact Assessment?**

SIA seeks to assess, in advance, the social repercussions that are likely to follow from projects undertaken to promote development, such as dams, mines, industries, highways, ports, airports, urban development and power projects. It is a tool that can help decision-makers to foresee the likely negative impacts of their actions so that steps necessary to prevent or at least to contain them could be taken in time. As an aid to the decision making process, SIA provides information on social and cultural factors that need to be taken into account in any decision that directly or indirectly affects the lives of project area people.

According to Interorganizational Committee on Principles and Guidelines for Social Impact Assessment (IOCPGSIA 2003), a conventional way of conceptualizing social impacts is as changes to one or more of the following:

- “people’s way of life – that is, how they live, work, play and interact with one another on day to day basis;
- their culture – that is, their shared beliefs, customs, values and language or dialect;
- their community – its cohesion, stability, character, services and facilities;
- their political system – the extent to which people are able to participate in decisions that affect their lives, the level of democratization that is taking place, and the resources provided for this purpose;
- their environment – the quality of the air and water people use; the availability and quality of food they eat; the level of hazard or risk, dust and noise they are exposed to; the adequacy of sanitation, their physical safety, and their access to and control over resources;
- their health and wellbeing – health is a state of complete physical, mental, social and spiritual wellbeing and not merely the absence of diseases or infirmities;
- their personal and property rights – particularly whether people are economically affected, or experience personal disadvantage which may include a violation of their civil liberties;
- their fears and aspirations – their perceptions about their safety, their fears about the future of their community, and their aspirations for their future and future of their children;”

### **Activities Comprising Social Impact Assessment**

SIA comprises the following activities:

- “participates in the environmental design of the planned intervention;

- identifies interested and affected people;
- facilitates and coordinates the participation of stakeholders;
- documents and analyses the local historical setting of the planned intervention so as to be able to interpret responses, and to assess cumulative impacts;
- collects base line data (social profiling) to allow evaluation and audit of the impact assessment process and the planned intervention itself;
- give a rich picture of the local cultural context, and develop an understanding of local community values, particularly how they relate to the planned intervention;
- identifies and describes the activities which are likely to cause impacts (scoping);
- predicts (or analyses) likely impacts and how different stakeholders are likely to respond;
- assists evaluating and selecting alternatives (including a no development options);
- assist in site selection;
- recommends mitigation measures;
- assists in the valuation process and provides suggestions about compensation (non-financial as well as financial);
- describes potential conflicts between stakeholders and advises on resolution processes;
- develops coping strategies for dealing with residual or non-mitigatable impacts;
- contributes to skill development and capacity building in the community;
- advises on appropriate institutional and coordination arrangements for all parties;
- assists in devising and implementing monitoring and management programmes”.

### **Advantages of conducting Social Impact Assessment**

The main advantages of doing a systematic SIA include the following:

- Identifying Affected Groups: SIA helps in identifying people and groups who are affected by the project;
- Free and Fair information sharing : SIA should ensure exchange of free and fair information.;
- Avoiding Adverse Impacts: SIA provides the basis for preparing mitigation measures to avoid, reduce or manage adverse impacts;
- Enhancing Positive Impacts: SIA preparation also helps identify measures to maximize/share project benefits;
- Reducing Costs: Addressing social impacts at an early stage helps to avoid costly errors in future

- Getting Approval Faster: A well prepared SIA demonstrates that social impacts are taken seriously and helps in getting project clearance faster

Social impact assessment is predicated on the notion that decision makers should understand the consequences of their decisions before they act and that the people affected will not only be apprised of the effects, but have the opportunity to participate in designing their future (IOCPGSIA 2003:248).

## **SECTION II**

### **PRINCIPLES OF SIA**

In any society, changes may come about spontaneously or through external intervention or a combination of both. All spontaneous changes reflect felt-needs, primarily of individuals or close groups. Induced changes also reflect felt-needs, but of a different kind. They primarily reflect needs of the state, the larger society and thus of the people. Problems arise when there is incompatibility between the two sets of felt-needs.

The need for developing the fundamental principles as a preamble to guide all those who are seriously concerned with social and cultural impact assessment relating to development related issues is now urgently sought for. These principles so far designed basically aim at guiding social scientists in matters relating to key concepts of development and its positive and negative fallouts on people and their environments. The key issues are:

- Identifying the beneficiary group
- Ensuring peoples participation in the process of ongoing development
- Assessing the needs and aspirations of the people who get affected by the process
- Ensuring solemn provisions enshrined in the Constitution of India to the people with respect to the Right to Life with dignity and equity

In response to this challenging need, a set of guidelines and principles are required, which would assist the public sector undertakings and private sector agencies and organizations to fulfill their obligations, needs and aspirations within the ambit of the Constitution of India. The concept of SIA broadly envisages as to how the social and cultural fabrics of populations inhabiting different ecological milieu get affected as well as disrupted due to the growth-centric development initiatives, and to develop action plan for the agencies of development projects in such a way that the social and cultural ethos of the people are least violated, and people are allowed to live with dignity and honour within their traditional social and cultural milieu in harmony with immediate environment. If it is necessary that the people are to be dislocated from their present place of residence, they are resettled by restoring and improving their living conditions.

The principles given below are based on long standing experiences and expert judgment of professional anthropologists, social psychologists, geographers, land-use planners, economists, sociologists mainly dealing with the natural resource management and landscape architects. These principles are meant to ensure sound objective inquiry and practices established so far in the field.

## **Principles and Guidelines for SIA**

### **1: Participation of People:**

It is important, at first, to identify all social groups, families and individuals who are either fully or partially affected and to involve them in every possible way in the SIA process and implementation of the resettlement (and rehabilitation) action plan (RAP). This involvement must reach out to those groups which are often excluded from decision making process due to persistent cultural, linguistic and economic barriers (lower caste and tribal groups, minorities and poor people). The involvement should not be passive but truly interactive, with communication flowing both ways between the implementing agency and the affected groups. This will enable stakeholder groups to understand what the project is all about and its positive and negative impacts.

### **2: Impact Equity:**

Development projects do not affect people uniformly. SIA should therefore be specific and need based. Due identification of all groups likely to be affected is to be ensured. There will always be gainers and losers as a result of the decision like building a dam. SIA should identify who will win and who will lose. Adequate care should be taken so that no groups and individuals considered vulnerable due to race, ethnicity, caste, gender, occupation, age or other factors have to bear the major brunt of adverse social/cultural impacts of the project induced development.

### **3: Safeguards to Vulnerable groups:**

Different groups have non-identical degree of ability to absorb benefits out of the programme. Special efforts, therefore, should be given to remove the causes of vulnerability by undertaking capacity building exercises.

### **4: Focus on People-Centric Assessment:**

Having identified the all probable impacts, the focus should be on the most significant social and cultural impacts, giving high priority to impacts identified and perceived by the people themselves. Pentagonal Structural Model developed by the faculty of the Anthropological Survey of India evidently demonstrates that in a structured society like India, it is well known that some groups, lower in power and social status do not usually get scope to participate in project preparation stage, but SIA must stress that their legitimate concerns and demands are fully addressed and attended to. In addition to impacts on households in general, the impact assessment should be carried out at the community, the village and the area levels also. This impact assessment should include, besides the Public Health, Hygiene, Sanitation, and Nutritional status, the following: (a) Individual and Common property resources, (b) Public structures, (c) Cultural Resources/property, (d) Infrastructure and (e) social networks. Thus, the mapping of the village and region based resources would help in preparing an effective RAP.

### **5: Transparency and Replicability of Methods and Assumptions:**

SIA should use easily understandable concepts, methods and assumptions that are transparent and replicable. The methods and assumptions used in the SIA should be made publicly available and easily understandable to people. A brief summary should clearly

describe the concepts and methods used, the assumptions made, and the significance of impacts determined. This will facilitate decision makers as well as the affected people to evaluate the assessment process.

#### **6: Development of Feedback Mechanism on Social Impacts**

The SIA findings are inputs, which are essential for designing a project to mitigate possible negative impacts of the project and enhance positive impacts. The project design process must ensure that all affected and interested persons get an opportunity to comment on the draft before it is given a final shape. The ISIA, along with a comprehensive household survey would lead to a final term of reference (TOR) for the preparation of RAP.

#### **7: Involvement of trained SIA Practitioners**

Trained social scientists especially anthropologists including a lady anthropologist using social science research methods are most warranted in undertaking a SIA study. Additionally, a human geographer, a country and town planner and a psychologist should also be included in the team. The participation of experienced SIA practitioners having familiarity with impact studies done elsewhere under similar settings would be of immense value. It will be easier for such researchers to identify the full range of impacts and select procedures appropriate for their assessment.

#### **8. Preparation of Resettlement (and Rehabilitation) Action Plan (RAP):**

An important aspect of SIA process is the preparation of RAP based on comprehensive rehabilitation and resettlement (R&R) policy. The cost involved in the implementation of RAP forms the part of Project cost. During the entire process of implementation of RAP, the involvement of project affected persons (RAPs) should be ensured and details of the RAP should be shared with PAs. For the effective and proper implementation of RAP, adequate institutional framework is a must along with inter-agency/inter departmental coordination. Further, preparation of RAP should suggest for appropriate grievance handling mechanism to redress to the complaints and grievances of the PAs. Finally, it also contains provision for monitoring and evaluation of the process of implementation of RAP by forming monitoring and evaluation cells.

#### **9. Scope for 'Land for Land' and Minimizing Intensity of Displacement**

In accordance with the provisions existing in the Chapter 7 of the NRRP 2007 under the head 'Rehabilitation and Resettlement Benefits for the Affected Families' and particularly in the paragraph 7.21 on 'Rehabilitation and Resettlement benefits for Project Affected Families belonging to the Scheduled Tribes and the Scheduled Castes,' the land for land option should be given priority to minimize the impact. Such provisions are required to be suggested in recommending the Rehabilitation Action Plan (RAP), particularly when government land is available in the form of cultivable waste, unprotected forest land, other vested lands, etc preferably within the vicinity of the acquired land having eco-cultural compatibility. Even if there is no land available nearby such provisions may be made by allotting land in nearest available location with the

quality enhancements so that the affected people can sustain a better standard of living in the resettlement area.

Secondly, it should also aim at minimizing the intensity of other adverse impacts of the project by suggesting appropriate and acceptable measures by involving PAPs and sharing information with them.

**10. Establishment of Monitoring and Mitigation Cell :**

The success of SIA programme would depend on highlighting the monitoring of processes related to important social and cultural impact variables and mitigation programmes. The constitution of Monitoring and Mitigation Cell should be a joint endeavour of the project and the affected community.

**11: Identification and Generation of Data Sources:**

Generally, SIA depends on the following three sources for information: (1) Primary data from the PAP. The data relating to social life and cultural resources, both tangible and intangible, of the affected groups which are very likely to get disrupted should be collected as part of the SIA process on an urgent basis. (2) Secondary data sources including published scientific literature, official records/reports, and published or unpublished sources of information. (3) Relevant data should also be collected from the host population. All these sources are important, but not all the projects may need them exactly in the same measure and extent.

**12. Mitigation of Psychological Burden: Trauma:**

Different elements related with a development project can generate psychological stress and problems in the community who are directly or indirectly affected by the development process. The policy framework of SIA should have provision to assess the potential behavioural repercussions of negative fallout of development projects. For this purpose, a number of indicators of psychological stress or morbidity could be added to monitoring procedures, such as mental disorder, substance abuse, depression, suicide and so on, and accordingly suggest mitigation measures.

## SECTION III

### STEPS FOR CONDUCTING SOCIAL IMPACT ASSESSMENT

Anthropological experiences and concerns have been reflected in the following description. Unless the practice of SIA is pro-people within the realm of scientific objectivity, the endeavours of the social scientists and anthropologists are likely to be futile.

Nevertheless, conducting such a study is always challenging for the social scientists and anthropologists for several reasons. While conducting a typical social science research, priority is given to the academic issues; application oriented research is considered to be a distinctly separate genre and often considered to be weak on the scholastic aspects. Though the SIA studies fall in the latter category, there is perhaps scope for improvement of their academic importance and scientific objectivity. We would prefer SIA studies to reflect the best of both. Non-critical acceptance or rejection of any of the relevant academic issues may result in serious omission of something crucial, a situation that we propose to avoid.

With these stated concerns, the SIA steps to be followed are delineated below:

#### **Step 1: Defining the Problem: Impact Dimensions**

There would be at least two dimensions of the problem, one is the space and the other is people affected by the proposed project. We have to take into account both the dimensions of it for due appreciation of the problem.

The project area has to be demarcated on a map, but the impact area would not often be coterminous with the project area. Other than the people primarily dependent on the project area, there could also be people who are dependent on the resources of the project area or on the people primarily dependent on the project area. Thus, there could be a variety of directly or indirectly dependent people. It would, therefore, be necessary to identify the area separately under impact of the project but located beyond the project area and the people who are dependent on the project area directly or indirectly. However, both the area and people to be studied should clearly be defined. One cannot go on identifying meandering impacts caused by the project to distant land and people and include them in the scope of the study. Under normal circumstances the area subjected to study may include the space lying a few kilometres beyond the project area; similarly the population residing the project area and the area contiguous to it would have to be studied, selected through application of concentric rings of different diameters.

#### **Step 2: Scoping in the Field**

Scoping should be done next, this would involve visit to the area to be affected by the Research Team and the project staff for conducting SIA, and talking to the people to be affected directly and indirectly. Collecting the first hand information about the area would mean knowing about:

1. Natural and man-made resources in the area to be affected.
2. Existing infrastructures available in the area.
3. People of the area from different stratum viz. social and cultural groups, original inhabitants as well as later migrants, people pursuing different kinds of occupations like artisans, performers, traditional medicine men, other cultural specialists etc.
4. Both men and women from different status and age groups should be consulted in order to gain some insight into the range of views and perceptions, real or imagined, about the possible impacts of the project.
5. It is strongly recommended that all categories of stakeholders, especially the weak, vulnerable and less articulate ones are identified at this stage. Such exercise would help to gain some preliminary idea about the real or perceived impacts of the project and also of the ways the people think the negative impacts can be avoided altogether or can be minimized or the positive ones can be enhanced. For the vulnerable sections, this could be an opportunity to cross the threshold of weakness. It would also generate confidence and basic facts about the Project in the minds of the people.

### **Step 3: Identifying the Information/Data Requirements and their Sources**

Data or information available from secondary sources that are relevant to the study are to be located and analyzed at this stage. Such information would include all available data on the proposed project, on the area where the project would be situated, about the people of the area to be affected as well as of the contiguous area that can be indirectly affected. Data on the people should include the social history of the area and the present demographic, social, cultural, political, and economic condition of the people, status of their health (both physical and mental), nutrition and sanitation. If some relevant secondary information on the above items is not available, first hand information is to be gathered involving suitable methods. District Statistical Office (DSO) is an important source where basic facts and data about the region could be available.

Such studies can offer insight into probable impact of the proposed project. Such data may suggest what kind of differential impact the project may have on people belonging to different social, cultural, economic and gender groups, especially on the weaker sections among them. However, such secondary data should be examined thoroughly for their validity and reliability. The review is supposed to indicate clearly what kind of primary data should further be collected through surveys as well as through participatory methods.

### **Step 4: Identifying and Involving All Affected Stakeholders**

Sufficient care should be taken to identify all stakeholders. Stakeholders are people, groups, or institutions which are likely to be affected by a proposed intervention (either negatively or positively or both), or those who can affect the outcome of the intervention. It has been mentioned earlier that there can be more stakeholders than the inhabitants of the project area or the institutions located around. Some mechanism should

be put into place so that all the stakeholders are consulted. Any information generated by the study should be shared with all those stakeholders; there should also be some mechanism in place to get continuous feedback from the stakeholders. To ensure the activities mentioned above there should be a transparent public consultative process involving all stakeholders.

To identify the stakeholders one should look for people who feel that they would be affected by the project directly or indirectly. Some of those feelings may turn out to be more perceived than real at some future date. But genuine perceptions of the people, especially of members of the weaker sections of the immediate society must be taken into consideration.

While planning the processes of consultation and participation, attempt should be made to involve all sections of stakeholders. However, involvement of certain sections of stakeholders should be ensured in the above processes. Such stakeholders are:

- The most vulnerable groups among the affected people like the socially and economically backward sections of the local population, the sick, the old and the women
- Whose opposition could be detrimental to the success of the project
- Whose cooperation, expertise, or influence would be helpful to the success of the project
- Persons having knowledge of traditional use of the natural resources of the project area like cultivators and medicine men
- Culture specialists like artisans, singers and musicians, who have in their possession traditional knowledge related to the project affected area

#### **Step 5: Conducting Screening**

Screening is a process undertaken to eliminate or screen out the ‘non significant impacts’ of the proposed project. Screening to the extent possible be done in consultation with the stakeholders. Such screening should be done very carefully as it determines the scope of detailed SIA study to be carried out later.

#### **Step 6: Preparing the Social-Cultural Profile of Baseline Condition**

To have a clear idea about the possible extent of the social-cultural impact of the project on different sections of the affected people, it is necessary to assess the present day social, cultural, economic and political condition of different sections of the affected people. The social-cultural profile should also include demographic aspects of the affected population as well as their health, sanitation and nutritional profile. This assessment should be done with the help of a pre-tested structured questionnaire. Open-ended questionnaire could be used to supplement such information.

#### **Step 7: Surveying the Host Population**

In case the entire or part of the affected population is being relocated to another area, it is extremely necessary to ensure that the host area possesses sufficient resources, natural or otherwise, to sustain the relocated population in addition to population already

residing in that area. Following the recent trends, it should be aimed that each relocated family or household is given land for land, house for house, community life for community life, specialized occupation for specialized occupation and such others.

An equally important task would be to ascertain whether the host population would be ready to accept the relocated population as their neighbours and vice versa. It would be preferred if the relocated and host populations are fairly identical to one another in their social position, cultural preferences and economic ranking with respect to the larger society.

In case the host population is going to lose some of their resources, which may not always be privately owned but can be part of the commons, or they feel that the social-cultural space at their disposal would be encroached upon by others, the loss should be mitigated and the host population should be amply compensated.

For the above purpose a detailed survey of the social, cultural, economic, political and health condition of different sections of the host population should also be carried out in a similar way as planned for the population to be relocated.

#### **Step 8: Identifying and Assessing the Impacts**

The processes of identifying and assessing the impacts should be conducted in close collaboration of the people to ensure that their perceptions and viewpoints are accommodated in the exercise. In this case 'people' would include all sections of the stakeholders. It is often easy for the investigators to learn about the viewpoints of the more articulate sections of the people; but they should make all efforts to record the viewpoints of the less articulate ones. Often it would be the latter that would be most adversely affected by the impacts of the project.

The viewpoints of the people on identification and assessment of the impacts might vary on the basis of their respective social, economic or cultural position. All such viewpoints should be clearly reported stating their authorship in unambiguous terms and reasons of difference. Ranking the impacts according to priority accorded by the people may be difficult because there could be variation of interests and viewpoints determining the priorities, in some cases attempt for ranking could lead to confusion. In such cases, observance of adequate caution is desirable. Nevertheless, at least the impacts may simply be listed along with comments/perceptions of different sections of the stakeholders.

Once the range of predictable impacts has been identified, the next step would be to rank their significance; that is, whether they are acceptable to the people, require mitigation, or are unacceptable.

If impacts are found unacceptable, the SIA must state that clearly giving reasons. Generally, the SIA is expected to result in specific mitigation plans to address relevant social cultural/resettlement issues and potential impacts by redesigning the project, if necessary, to eliminate or minimize the unacceptable impacts.

**Step 9: Public Hearing**

Representative(s) of the SIA study team should participate as observer(s) in the public hearing to collect the feedback and later modify the report, if necessary.

**Step 10: Developing a Mitigation Plan**

A mitigation plan has to be outlined at this stage based on the information collected or generated so far. This would lead to the formulation of a comprehensive 'resettlement (and rehabilitation) action plan (RAP) for the directly (and also indirectly) affected people in the project area. The first priority of the plan should be to find ways to avoid displacement, the second one should be to minimize the extent of displacement, the third and the last option would be to adequately compensate for the unavoidable adverse impacts that cannot be avoided by any means. It should be noted that compensation does not mean cash for land or for other kinds of property or for certain form of livelihood practice; it should mean similar kind of resources, properties, infrastructures, institutions and livelihoods to the extent possible. Any SIA study should be judged by its ability to successfully identify all the negative impacts of a project and finding out ways of mitigating the same. On the other hand such a study should identify the positive impacts as well and identify ways of enhancing the same in the interest of the affected people.

**Step 11: Developing a Cost, Budgeting, Monitoring and Evaluation Programme**

An appropriate assessment of cost involved not only towards resettlement (and towards rehabilitation) but also towards surveys, consultants, creation of rehabilitation and resettlement (R & R) cell etc. should be worked out.\* Creation of grievance handling committees (at field level and independently) are other requirements. Monitoring of implementation of the RAP and evaluation of the budget-outcome by both the Project Implementing Agency (PIA) and the Independent Evaluating Agency (with competence in respective areas) should be carried out. Needed corrective measures should be applied as and when required.

Having assessed the costs and budgeting, an appropriate programme to monitor the mitigation plan should be developed in order to identify deviations from the proposed action plan and also to account for any important but hitherto unanticipated impacts. Tracking the project and programme development and comparing real impacts with projected ones will be the main objective of the monitoring programme. Identification of the nature and extent of additional steps to be taken if unanticipated impacts occur and it will have to be done in this programme by the appropriate agencies. Finally, an 'exit' plan also needs to be mentioned when the Rehabilitation and Resettlement Projects would achieve their objectives and the Project would relatively withdraw from the community.

\*. As stressed by the international donor agencies, the R & R costs, thus worked out, would be anywhere between 3% to 10% of the total project costs.

## SECTION IV

### METHODS AND APPROACHES

Social Impact assessment (SIA) is rather a generic term. There are two phases in an SIA study which may be identified as Initial Social Impact assessment (ISIA) and Comprehensive Social Impact Assessment (CSIA). The ISIA aims at understanding the social feasibility of a project. After the feasibility is established, the next phase of the exercise is called CSIA. In fact, the ISIA will serve as the term of reference (TOR) for the CSIA.

**A. Initial Social Impact Assessment (ISIA):** The Initial Social Impact Assessment should be conducted at the time of at the time of project planning.

The ISIA needs to fulfil the following objectives:

- Preparing a profile of the land under the influence of the project
- Preparing a general socio-economic profile of the project area/people on the basis of data /information collected from the Census, District Statistical Office, Block Development Office, Land Record Office, Primary Health Centre, Panchayat, Village Level Workers and other such sources.
- Identifying key economic activities and resources in the region with the focus on activities dependent on local resource base.
- Listing out Common Property Resources (CPR) under influence.
- Understanding the needs and priorities of the people (through Focussed Group Discussion) and relevance of the proposed project.
- Assessing socio-political implications of the project
- Recommending mitigation measures for restoring /enhancing the resources.
- Identifying peoples' voluntary groups and recommending 'participatory approach' for implementing Rehabilitation and Resettlement (R&R) Programme.
- Recommending an institutional mechanism for achieving a viable R & R by providing tentative term of reference for Resettlement (and Rehabilitation) Action Plan (RAP).

In order to achieve the aforementioned objectives of ISIA, the relevant data on the following aspects needed to be collected:

**1. Baseline information about the geographical, demographic, social, cultural, political, psychological and economic features of the project-affected people in the project area:**

- Geographical location of the Project site
- Landscape and land use characteristics of the area in question
- Nearness to urban centres, administrative centres and industrial units

- A brief demographic profile (viz. sex ratio, literacy rate, fertility, mortality, migration)
- Nutrition, health, hygiene, morbidity profile and disease burden including physical and mental disabilities
- Social composition viz. tribe, caste, religious group, language group, clan, lineage, etc.
- Contact situation and level of interaction: inter-community relationships and disparities
- Cultural features defining community/communities (viz. primordial ethnic identity)
- Inter-community proximity profile; cultural and religious networks
- Political and institutional distribution of power and authority at the local level: Village Council, District Council etc.
- Role of clan, corporate group, community in working out collective approaches to survival.
- Economic activities vis-a-vis dependence on natural resources
- Degree of economic inter-dependence
- Modes of exchange of services and goods.
- Common Property Resources
- Fairs and festivals.
- Bank and other sources of credit.

## **2. Identifying the areas of potential impact of the project**

- Existing potentials and constrains of alternative sources of livelihood
- Economic opportunities and inequalities
- Educational facilities and skill level
- Social institutional networks
- Cultural resource benefits and deprivations suffered across
- Sacred centres, shrines, spirits, etc
- Community-based identity
- Community infrastructure viz. village commons, water supply, road, grazing ground, funeral grounds, etc.
- Psycho-social stress and mental disorders.
- Present trends of in -and out-migration
- Environmental degradation and changes in ownership and utilisation of natural resources as perceived by the people.

## **3. Governmental and non-governmental interactions**

- Social welfare schemes of government affecting well being of families and common community assets  
Role of NGOs (if any) in welfare and development schemes undertaken in the area.
- Other developmental schemes (if any) and their impacts.

#### **4. Identifying impoverishment risks**

This exercise needs to be undertaken for identifying (in brief) possible adverse project impacts. The risks are listed below:

- Landlessness\*
- Joblessness\*
- Homelessness\*
- Marginalisation\*
- Food insecurity\*
- Increased morbidity and mortality\*
- Loss of access to common property\*
- Loss of cultural resource
- Loss of overall confidence
- Loss of traditional knowledge system
- Disruption of interpersonal/intercommunity relations
- Loss of formal education.
- Loss of formal education
- 

#### **5. Identifying indirectly affected people**

For examples, artisans, seasonal labourers, daily wage labourers, vendors etc.

#### **6. A brief profile of the region**

A brief profile of the region is to be prepared with special reference to its potential for growth or degradations.

#### **7. Recommending mitigation measures**

Measures need to be suggested to minimize the adverse impacts of project including restoring /enhancing of resources, enlarging the scope for 'land for land' and minimizing the intensity of displacement.

#### **8. Identifying agents of change**

NGOs, voluntary groups, social activists and other such actors active in the affected area are to be identified as they play crucial role in the implementation of Rehabilitation and Resettlement programmes.

#### **9. Recommending 'participatory approach' for implementing of Rehabilitation and**

##### **Resettlement (R & R) Programme.**

The R & R programme should focus on the affected people and other stakeholders to highlight their concerns, disappointments, hopes and aspirations..

## **10. Recommending institutional mechanism for achieving an acceptable R & R.**

\* These points have taken from Cernea (1995).

## **11. Source of Information / Data**

- a. Primary Source: Focussed Group Discussions and meeting with the affected people and stakeholders.
- b. Secondary Source:
  - Census data
  - Data from District Statistical Office (DSO)
  - Land records, including records of land transaction; customary rights and practices
  - District Gazetteers
  - Writings of cultural spokespersons and research publications
  - Other administrative and personal records
  - Media: print and electronic
  - Data on landless people and their economic practices

## **12. Methods**

- Application of Rapid Rural Appraisal (RRA)
- Focussed Group Discussion
- Opinion Survey

The above exercise will be undertaken in the name of ISIA to make an overall assessment of impacts on the project area/ people including those on the host population and prescribe recommendations for further action on the basis of the initial impact assessment study. The recommendation may even go to the extent of abandonment of the project, if it is found that compared to the benefits, the negative impacts are too severe to withstand.

## **B. Comprehensive Social Impact Assessment (CSIA)**

If the project is found to be feasible from the standpoint of conditions identified and measures suggested through ISIA, CSIA is required to be undertaken. In this case the initial Social Impact Assessment serves as the term of reference (TOR) for the CSIA. While conducting the CSIA, a complete and detailed household survey, socio-economic, land and health surveys are to be conducted to gather comprehensive information and data on all the aspects mentioned in the Initial Social Impact Assessment.

**Items No. 1 to 6** are apparently repetitions of what have been listed under ISIA. Through CSIA we propose to cover the same set of items in a relatively more comprehensive manner.

7. **Mitigation Plan:** The details of the action plan for mitigation, including relocation and income and livelihood restoration plans should be provided. The rehabilitation and resettlement action plan should contain monitoring of the mitigation action plan by an independent agency. The Report will also suggest the name of an independent agency for the monitoring of the execution of mitigation plan. There are three major components of RAP which are:
  - Preparation of RAP
  - Costs, Budgeting, and Financing
  - Monitoring and Evaluation
  
8. **Preparing a `Resettlement (& Rehabilitation) Action Plan' (RAP):** The preparation of a Resettlement ((& Rehabilitation) Action Plan should be based on comprehensive R & R Policy. Following parameters should form the part of RAP:
  - (a) **Preparing Scheme Based/Target Based RAP:** While preparing the RAP both resettlement and rehabilitation aspects should be taken in to consideration and information on following aspect should be given in RAP:

The **resettlement** includes:

    - Relocation site
    - Basic services/amenities
    - Housing (Project implementing authority/Self help)
    - Cattle sheds/open Space community facilities
    - Community facilities
    - Integration with host community, etc.

The **economic rehabilitation** includes:

- Training for skill upgradation
- Training for entrepreneurial skills
- Credit programs for self-employment
- Capacity building of PAPs
- Individual benefit programs
- Jobs (Contractual/Regular)
- Integrating project /schemes with Govt. based schemes
- Sustaining economic activity
- Consultancy for small business development including Servicing/marketing
- Restoring Common Property Resources

**(b) Skill Formation and Training:**

- In -house facility for training/data base/consultancy
- Youth awareness camps on Govt. based and in-house training schemes
- Sponsorship (of PAPs) for training in skill upgradation/self employment
- Assessment of traditional skills and their utilisation
- Involving training organisations/institutions (operated by NGOs/ Government/Private sector)
- Special training camps/workshops for women
- Training in maintaining community facilities/infrastructures (sanitation/ health/recreation)

**(c) Employment in Project:**

- Spelling out job policy
- Quota of regular jobs in project
- Preference in contractual jobs
- Transparency in selection of PAPs for jobs
- Jobs in township
- On-going training to apprentice

**(d) Income Generation Programs and Social Entrepreneurship:**

- Provision of Credit for promoting self-employment
- Seed Capital/Subsidy to at least one entrepreneur from each family
- Initiating project for social entrepreneurship (collective small scale enterprises)
- Training in service/marketing of produce
- Creating a post of income generation expert/extension worker
- Labour cooperative/income generating society
- Multi-purpose development centre (dairy development/fishing/food products/horticulture/ weaving/poultry, etc.)
- Information/Data Bank for necessary information in self-employment

- Integrating Project-oriented development programs with Govt. based development programs

**(e) Effective Institutional Framework for R&R:**

For the proper implementation of R & R, effective institutional framework is necessary. It should suggest the setting-up of following committees:

- Steering Committee
- Task Force on R & R
- Grievance Committee
- R & R Cell

The above committees shall have representatives from the project affected people, NGOs, voluntary organizations or any other interest group. Inter-agency/inter-departmental co-operation involving private/public and government agencies may be explored.

**(f) Sharing the Details of Resettlement and Rehabilitation Action Plan:**

The details of Resettlement (& Rehabilitation) Action Plan should be shared with project affected peoples.

**(g) Transparency in Entitlement:** It is to be ensured.

**(h) Involvement of the project affected peoples:** In the execution of Resettlement and Rehabilitation Action Plan the project affected people have to be involved.

**9. Costs, Budgeting, and Financing:**

The second major component of Resettlement (& Rehabilitation) Action Plan is the giving detailed information on the total cost involved in the execution of RAP under different heads. It includes:

**(i) Legal Compensation:** One time compensation and allowance for land, house, cattle sheds, well, shop, etc, are to be ensured.

**(ii) Community Infrastructure and Services Costs**

- Costs replacing existing community facilities
- Adding to infrastructure, as per R&R Policy
- Restoring 'common property resources' (like temple, roads, grazing lands, fishing ponds, etc.)

**(iii) Relocation Costs**

- Developing agricultural lands if feasible
- Developing/reclaiming resettlement lands
- Constructing housing structures (participatory)
- Relocation costs to be compensated to 100% or above
- Provision for transitional accommodation, if necessary

**(iv) Income Restoration and Improvement Costs**

- Restoring/improving pre-displacement income levels
- Costs to be provided for training/job skills, extension services, micro-financing
- Developing micro-enterprises through cooperatives
- Regular/contractual jobs

**(v) Administrative Costs**

- Staff costs
- Running costs of R&R cell (Administrative Costs)
- RAP preparation costs (Project Planning)
- RAP implementation costs (Phased out)
- Seed money, loans, micro-financing
- Monitoring & evaluation costs
- Estimation of Costs
- 3 to 10% of the Project costs considered to be necessary for a successful RAP

Budgeting, planning and execution of RAP form a crucial component of R&R.

**10. Monitoring & Evaluation**

Third major component of RAP is the monitoring and evaluation of RAP. It includes:

- Field level Grievance Redressal Committee (FGRC)
- Independent Grievance Redressal Committee (IGRC)
- Efficient Management & Information System (use of Software for computerizing data base)
- Phase-wise Evaluation
- Internal Evaluation Reports (monthly/quarterly)
- External Evaluation Reports (Annual/2-3 years period)
- Participatory Evaluation
- Corrective mechanisms & measures
- Exit Policy

**11. Source of Information / Data**

**a. Primary Source:**

- Household Socio-demographic Survey [identification of target group and affected areas, project affected persons (PAPs); collection of demographic information viz. age and sex composition, fertility and mortality profile, in and out migration profile, including seasons, distance, direction etc.;

collection of information on level and sources of income and expenditure; identification of hierarchic social order and access to income generating sources].

- Socio-cultural Survey (examining the social support system in operation in the form of community-linked institutional support; assessing the roles of such principles as kinship, neighbourhood, common culture-bearing tradition in maintaining community structure and making an estimation of how much of these functioning principles are going to be affected because of the project; existing cultural property and its gradual loss of importance with the launching of the project).
- Household health and nutrition survey [collection of information on health including hygiene, nutrition and sanitation profile of the households in the project affected areas.]
- Case studies
- Key Informant Interviews (knowledgeable persons and stake holders)
- Focus Group Discussions (for designing the project for assessing PAPs views and comprehensions about the project and programmes to be undertaken; for intervention models and for assessing responses to recommended innovations)

**b. Secondary Source:**

- Census data
- Data from District Statistical Office (DSO)
- Land records, including records of land transactions; customary rights and practices
- District Gazetteers
- Writings of cultural spokespersons and research publications
- Other administrative and personal records
- Media: Print and electronic
- Data on landless people and their economic activities.

Note: Collection of all kinds of data from household, individual should be done following ethical norms.

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## **TENTATIVE CHAPTERISATION SCHEME**

After completion of the Social-Cultural Impact Assessment study, a formal Report is required to be prepared and submitted to the sponsoring authority. The Report, besides having an Introductory Note and a set of Concluding Remarks, may have 14 substantive chapters.

### ***Contents of a SIA Report***

***Introductory Note:*** This section of the report will illustrate the purpose of the project and give description about scope of the study and the organization of the contents of the report. A brief outline of the contents of the report will also be provided.

***1. Description of the Project:*** It will contain brief details of the project, including the need for the same, the project location, the proposed schedule for implementation, implication of the project to the people and proposed benefits as mentioned in the project manual. A map showing the project layout and its location will be attached along with it.

***2. Geographical Profile of the area:*** This section will provide detailed geographic information about the area including:

- Locational attributes
- Altitude
- Physiography
- Temperature
- Rainfall
- Types of Soil
- Cropping Pattern by Types of Soil
- Water bodies
- Wildlife
- Vegetation
- Availability of minerals
- Land Use Pattern

***3. Methods of Identifying Project Impacts:*** Methods used in conducting the assessment, both quantitative and qualitative will be described in this section, like

- Land acquisition survey
- Census
- Household survey
- Socio-cultural and economic survey and studies
- Consultation with project area people

- Genealogy
- Case Study
- Key informant interview
- Compatibility assessment of cultural and social environment
- Rapid resource appraisal
- Remote Sensing (RS) and Geographical Information System (GIS)

**4. Social Mapping:** This will involve identifying the socio-cultural parameters of a community, such as:

- Distribution of people social groups/ethnic composition
- Distribution of resources
- Primary and secondary rights
- Proximity to market, Health Care Centre, Administrative Centre, Police station, Post Office, Rail head, Bus stand, Highway, etc.
- Access to facility like drinking water, source of cooking fuel, source of light during night etc.
- Customary Rights
- Distribution of power between people/clan/community
- Cultural features defining community/communities
- Religion

**5. Affected Population:** It will give detailed information about the total affected population on demographic, health, sanitation, nutrition, economy etc. The important parameters, which will be covered under this section, are:

- Age and sex composition
- Literacy
- Marital status
- Health, sanitation and nutrition
- Occupational structure
- Economic status, pattern of land holding, employment details over the year

**6. Affected Vulnerable Groups:** Details about all vulnerable affected households will be provided in this section including:

- Scheduled castes/scheduled tribes/other backward classes/minority groups
- Women-headed households
- Squatters and other settlers
- Differently able and those unable to work
- Elderly and children without support
- Landless people
- Homeless and jobless people
- People below poverty line

**7. Role of Panchyats/Traditional Village Councils and NGOs:** This section contains details about the public work carried out by the panchyats/traditional village councils and NGOs in the areas of:

- Drainage
- Pucca lanes
- Community centre
- Street light
- Drinking water
- Education facility
- Food security
- Health facility etc.
- Other Govt. programmes running in the village

**8. Anticipated Project Impacts:** This section will illustrate in detail all probable impacts of the project both positive and negative on social, economic and cultural aspects of the affected population. Impacts are anticipated at household, community and village levels for different groups and vulnerable sections of society/community. It will also include impacts of the project on the hard (material) and soft (religion and values) aspects of culture. In addition, the impoverishment risks are also needed to be highlighted.

**9. Psychological impacts :**

- Loss of confidence
- Stress reaction
- Anxiety disorder
- Depression
- Adjustment disorder
- Panic disorder

**10. Inventory of Losses to households:** This section will provide a complete list of assets both movable and immovable which are feared to be lost. It will also cover the tangible and intangible aspects of culture, which are going to be affected. The major points are:

- Land
- Houses
- Other structures
- Income and livelihood
- Loss of cultural identity
- Inter-personal and Inter-community relations

**11. Inventory of Losses to the Community:** A detailed and complete list of community property and local cultural resources including community-based identity markers, which are to be affected by the project, will be given in this section. For example:

- Public buildings – community hall, school, panchyat bhavan, etc.
- Common property resource – pastures, rivers, ponds, burial/cremation grounds etc.
- Cultural property – Archeological sites, petroglyphs, human burial, folk performers, theatrical groups, musical bands, shrines, sacred groves, sacred plants, sacred landscapes
- Infrastructure – roads, bridges and canals
- Community based identity markers
- Traditional Knowledge system
- Social network

**12. Public Consultation:** The participatory processes to be followed to involve the affected people and other stakeholders will be described in detail in this section. It will include view points of the affected people, their comments and concerns and how these things have been addressed. In addition, it will also illustrate the activities undertaken and process followed to share the information with the affected people.

**13. Findings and Recommendations:** This section will provide an overall assessment of impacts including those on host population and make recommendations for further action on the basis of the impact assessment study. The recommendation may also include abandonment of the project, if in relation to the benefits the negative impacts are too severe to withstand.

**14. Mitigation Plan:** If the project is feasible under the condition and adequate suggested measures are undertaken to mitigate the project impacts, the details of the action plan for mitigation, including relocation and income and livelihood restoration plans should be provided. It should explicitly mention about costs, budgeting and financing related to implementation of resettlement (and rehabilitation) action plan (RAP). In addition, it should contain monitoring of the mitigation action plan by an independent agency. The Report will also suggest the name of an independent agency for the monitoring of the execution of mitigation plan.

- Resettlement (and Rehabilitation) Action Plan (RAP)
- Costs, Budgeting and Financing
- Monitoring and Evaluation

### **15. Concluding Remarks**

**Annex II**

**National R&R Policy 2007 (Extracts)**

[www.rural.nic.in/policy.htm](http://www.rural.nic.in/policy.htm)

**Annex III**

**The Scheduled Tribes and Other Traditional Forest Dwellers Act, 2006,**

[www.tribal.nic.in/index1.asp](http://www.tribal.nic.in/index1.asp)

**Annex IV**

**PESA ACT, 2006**





