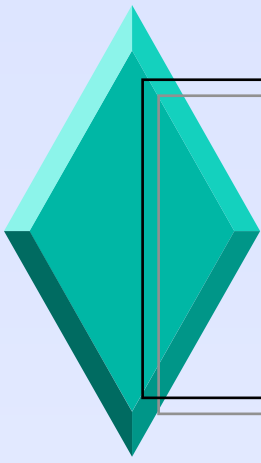


International Ocean Institute

**Class B 1997: The UN
Convention on the Law of the
Sea, its implementation and
Agenda 21**

**Round-table discussion with
representatives of competent
international organizations:
the role of the World Bank
August 13-14, 1997**

Lars T. Soeftestad



CONTENT

- 1. Background and overview**
- 2. The World Bank Group**
- 3. The env. sector: General**
- 4. Broadening the env. agenda:
Assessments**
- 5. Broadening the env. agenda:
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- 10. Conclusions**



1. BACKGROUND AND OVERVIEW

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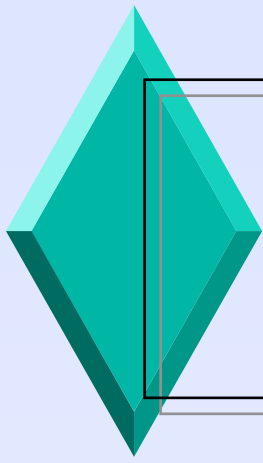
2. THE WORLD BANK GROUP

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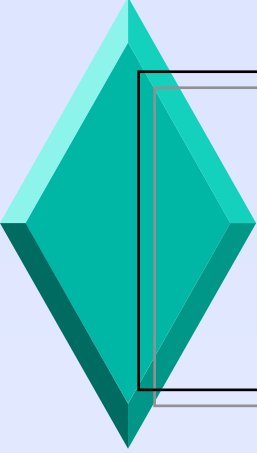
3. *THE ENV. SECTOR: GENERAL*

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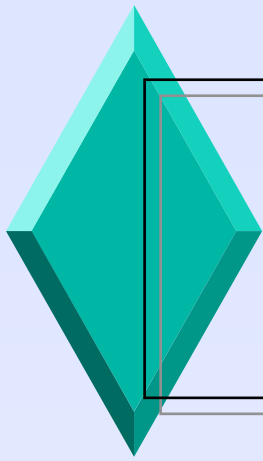
4. BROADENING THE ENV. AGENDA: ASSESSMENTS

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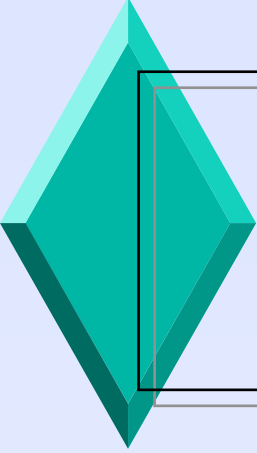
Two types of assessment

- 1. Environmental Assessment (EA)**
- 2. Social Assessment (SA) and Participation**



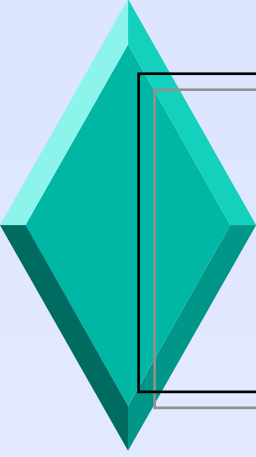
Why a new approach, I?

- ◆ **Neglect of social factors, impacts and processes**
- ◆ **Social domain highly fragmented**
- ◆ **Confusion about methodologies**
- ◆ **Advocacy needs to be balanced with analysis**



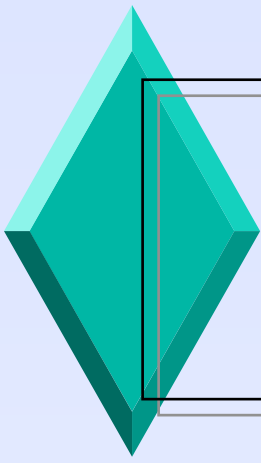
Why a new approach, II?

- ◆ **Data collection and analysis to be balanced with applied focus**
- ◆ **Improve the social soundness of development operations**
- ◆ **Improve the quality and sustainability of development operations**



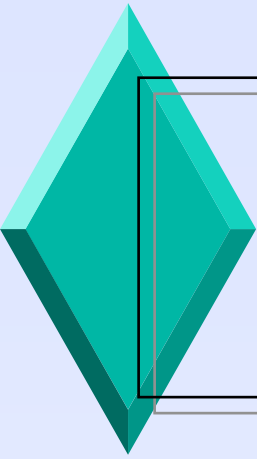
What is social assessment?

- ◆ **Social Assessment (SA) is the systematic investigation of the social processes and factors that affect development impacts and results**
- ◆ **SA provides a framework for incorporating participation and social analysis into the design and delivery of development operations**



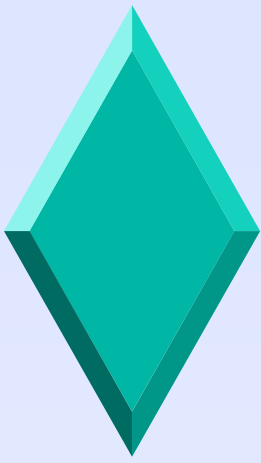
Objectives of SA

- ◆ **Identify key stakeholders and establish an appropriate framework for their participation**
- ◆ **Ensure that project objectives and incentives for change are appropriate and acceptable to beneficiaries**
- ◆ **Assess social impacts and risks**
- ◆ **Minimize or mitigate adverse impacts**



SA includes social analysis

- ◆ Identify key stakeholders and establish an appropriate framework for their participation
- ◆ Take account of social diversity (poverty, gender, ethnicity) and ensure project objectives and incentives for change are appropriate and acceptable to beneficiaries
- ◆ Understand social, political and institutional contexts, determine what is feasible, support policy change and capacity development at appropriate levels
- ◆ Assess social impacts and risks, and minimize or mitigate those that are adverse



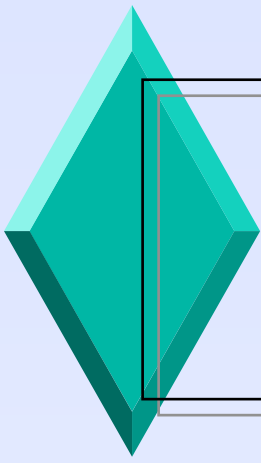
SA

is

a

process





Common questions, I

- ◆ **Who are the stakeholders? Are the objectives of the project consistent with their needs, interests and capacities?**
- ◆ **What social and cultural factors (for example: gender, ethnicity, income level, social organization) affect the ability of stakeholders to participate or benefit from the operations proposed?**



Common questions, II

- ◆ **What is the impact of the project or programs on the various stakeholders, and particularly on women and vulnerable groups?**
- ◆ **What are the social risks (lack of commitment or capacity, incompatibility with existing conditions) which might affect the success of the project or program?**
- ◆ **What institutional arrangements are needed for participation and project delivery? Are there adequate plans to build the capacity required for each?**



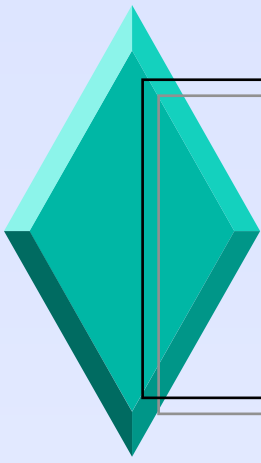
Key features of SA

- ◆ **One size does not fit all**
- ◆ **Since there are many relevant social variables:**
 - ◆ SAs must be selective and strategic
 - ◆ SAs must be iterative and flexible
- ◆ **SAs require:**
 - ◆ Consultation with stakeholders
 - ◆ Data collection and analysis
- ◆ **Methodologies must be linked to significance of problem and degree of participation required**



Levels of participation

- ◆ **Information dissemination**
 - ◆ One-way flow of information
- ◆ **Consultation**
 - ◆ Two-way flow of information
- ◆ **Collaboration**
 - ◆ Shared control over decision-making, partnerships
- ◆ **Empowerment**
 - ◆ Transfer of control over decisions and resources



Methodologies

◆ **Desk Reviews**

- ◆ Quick way of collecting data, do not build commitment or capacity

◆ **Surveys**

- ◆ Qualitative and quantitative, get data, provide voice, do not build consensus

◆ **Workshops**

- ◆ Build consensus, good for educated stakeholders

◆ **Participatory Field Work**

- ◆ Accessible to local people, aids implementation and policy



Relevant social factors

◆ **Demographic factors**

- ◆ Number of people, their location, pop. density, etc.

◆ **Socio-economic determinants**

- ◆ Factors like land tenure, access to prod. inputs and markets and family comp. which affect incomes and productivity

◆ **Social organization**

- ◆ Organization and capacity at the household and community levels affecting participation, access to services, flow of resources

◆ **Socio-political context**

- ◆ Context affecting development goals, control over resources, priorities of impl. agencies

◆ **Needs and values**

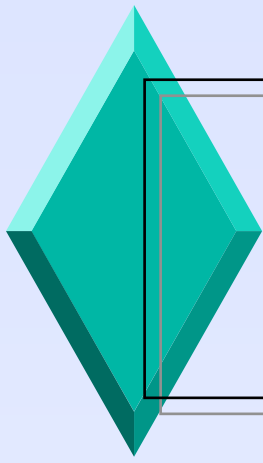
- ◆ Stakeholder attitudes and values



*Where progress
has been made*

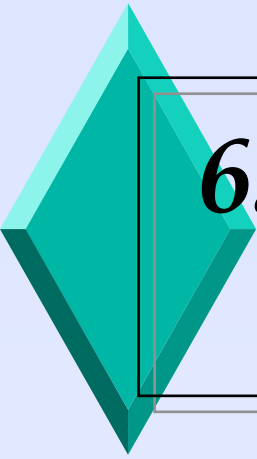
Experiences in Bank operations:

- ◆ **One framework for participation and social analysis**
- ◆ **Data collection linked to decision-making**
- ◆ **Methodology depends on problems to be addressed**
- ◆ **Operational staff are prepared to provide technical support for participation and SA**



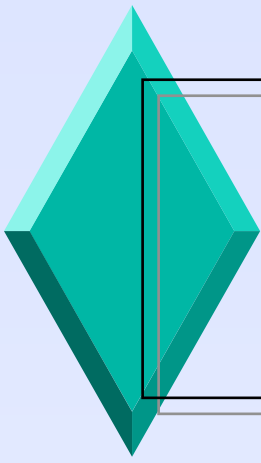
5. BROADENING THE ENV. AGENDA: PARTNERSHIPS

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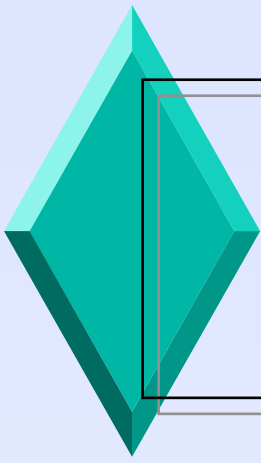
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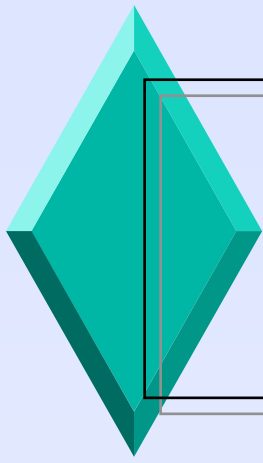
Areas of focus

- 1. Integrated marine and coastal area management**
- 2. Protected areas**
- 3. Sustainable use of marine and coastal living resources**
- 4. Mariculture**
- 5. Alien species**



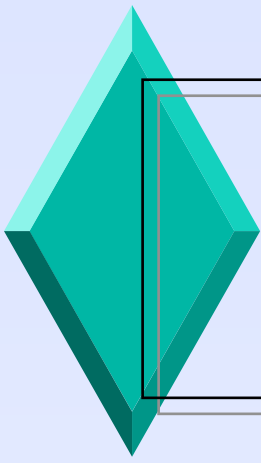
8. *THE WORLD BANK AND AGENDA 21*

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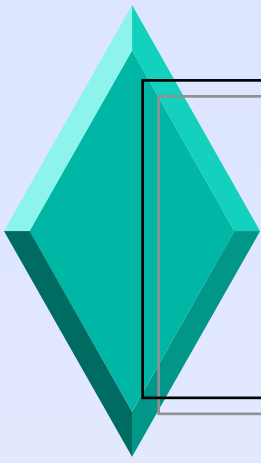
Main foci in Agenda 21

- 1. Integrated coastal zone management**
- 2. Small Island Development States (SIDS)**



Integrated coastal zone management, I

- ◆ **ICZM is intersectoral and inter-disciplinary**
- ◆ **ICZM is widely accepted as a policy tool**
- ◆ **Few cases of successful and efficient ICZM**
- ◆ **Successful ICZM requires procedures to understand the economic-technical linkages between ecosystems, on the one hand, and human activities which affect them, on the other hand**

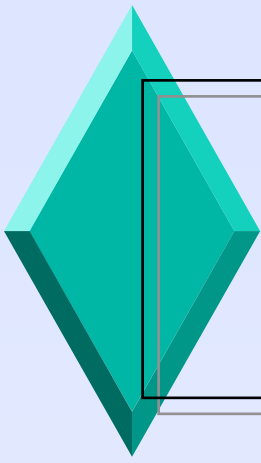


Integrated coastal zone management, II

ICZM lessons, I

Intl. experience with ICZM is growing. Analyses of these experiences in Africa indicate that external donors have a strong role to play in facilitating the ICZM planning process. Preliminary lessons:

- ◆ **Intersectoral and institutional problems**
- ◆ **Participatory approaches**
- ◆ **Sustainability**
- ◆ **An appropriate framework**



Integrated coastal zone management, III

ICZM lessons, II

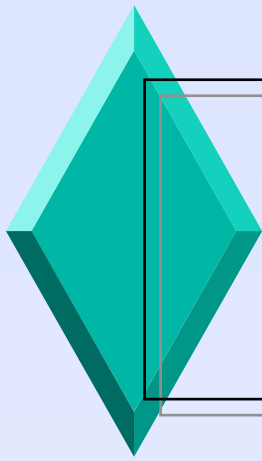
The two primary attributes of a successful ICZM strategy are:

- ◆ **A participatory approach to overcome the numerous inst. capacity problems and inter-sectoral linkages that tend to prevail in the coastal zone**
- ◆ **Identification of readily implemented cost-effective solutions that are sensitive to local environmental and social sustainability issues**



9. *CASE STUDY: GHANA*

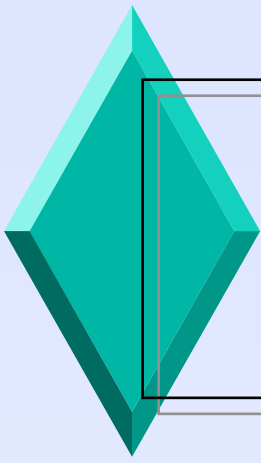
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Case study: Ghana

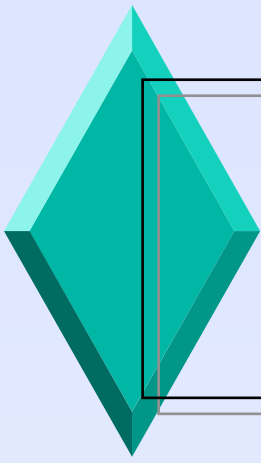


**Towards an integrated coastal zone
management strategy for Ghana**



Focus and phases

- ◆ **Background**
- ◆ **Focus**
- ◆ **Institutional context and partnerships**
- ◆ **A participatory process**
 - ◆ **Stakeholders**
- ◆ **Phases:**
 - ◆ **Preparation (Spring 95)**
 - ◆ **Initial scoping (July 95)**
 - ◆ **Data collection (Oct.-Nov. 95)**
 - ◆ **Data revision (May 96)**
 - ◆ **Follow-up**

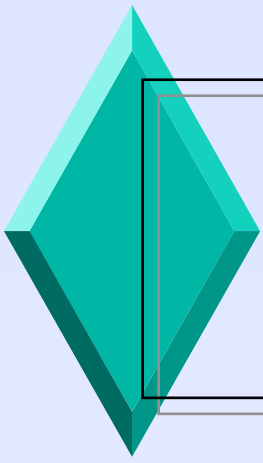


Data collection

Data collection (Oct.-Nov. 95)

Discussion points for stakeholder workshops:

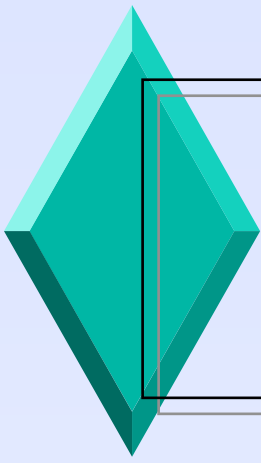
- ◆ **Presenting the issues**
- ◆ **What should the coast look like in 30 years?**
- ◆ **Reasons for present situation?**
- ◆ **Perspective on and prioritization of the problems?**
- ◆ **Constraints and incentives in addressing the prioritized list?**
- ◆ **Interventions?**
- ◆ **Institutional arrangements?**



10. CONCLUSIONS

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IDENTIFICATION

- ◆ **Discuss with all stakeholders:**
 - ◆ Project objectives
 - ◆ Potential social benefits, impacts, risks
- ◆ **Assess whether gaps exist in:**
 - ◆ Information
 - ◆ Commitment
 - ◆ Capacity to act
- ◆ **Encourage borrower to use appropriate processes for data collection, consensus building and capacity development**
- ◆ **Identify individuals and institutions which can help**



PREPARATION

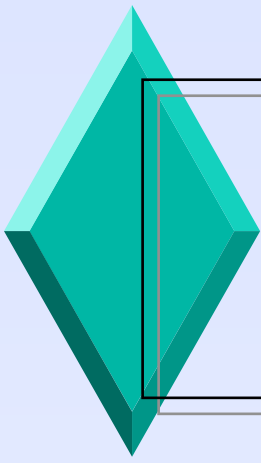
- ◆ **Be selective and strategic -
Focus on key social issues**
- ◆ **Use approaches which build
ownership and support for
conclusions reached**
- ◆ **Spend more time on upfront
agreement and dissemination
of results, less on data
collection**
- ◆ **Encourage the use of local
institutions where possible**
- ◆ **Stress Government ownership
of process and results**



APPRAISAL

Verify that:

- ◆ **Key stakeholders identified and views taken into account**
- ◆ **Key social issues identified and addressed**
- ◆ **Strategies for ongoing participation appropriate**
- ◆ **Adverse social impacts minimized or mitigated**
- ◆ **Appropriate mechanisms in place to build awareness and capacity**
- ◆ **Monitorable benchmarks for success agreed upon**



IMPLEMENTATION

- ◆ **Through consultation and other forms of information gathering**
 - ◆ **Monitor benchmarks for success**
 - ◆ **Modify and adjust implementation program**
- ◆ **Develop process projects which are grown rather than hatched**