Social Analysis in the Urban Sector:
A Guidance Note

Photo: Mark Maleika

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PREFACE TO THE SOCIAL ANALYSIS GUIDANCE NOTE SERIES

The World Bank is committed to improving the quality of social analysis and participatory processes in its projects. This commitment is reflected in the strategy document, *Empowering People by Transforming Institutions,* which presents three strategic priorities for social development at the World Bank: improved macro-level processes, better grounding of projects through research and capacity building, and better projects. That is, the document encourages improved development effectiveness of investment lending through a more comprehensive, efficient mainstreaming of social development issues into project-level processes and analyses, as well as the strengthening of the Bank's social development thematic portfolio.

In order to systematize this process, the Social Development Department has worked on developing guidance for Bank staff and clients on how to apply social analysis and integrate social dimensions into Bank operations. One outcome of this effort has been the *Social Analysis Sourcebook* (2003), a guide that explains how Bank teams can assess the social context of given projects and how governments and other stakeholders can undertake social assessments for these projects. By explicitly addressing such issues as social risk, social diversity, gender, institutional norms and behavior, and stakeholder analysis and participation, the *Sourcebook* encourages Bank projects that are more likely to contribute to equitable and sustainable development.

Over the last decade, social analysis at the World Bank has expanded from focusing primarily on social safeguard policies (e.g., involuntary resettlement and indigenous peoples) to a more comprehensive social development framework for Bank-supported projects and programs. Although avoiding and mitigating adverse impacts of development interventions remains central to this work, these concerns have become part of a broader focus on opportunities, constraints, and development risks that arise out of a given social context. More recently, the transition from a "do no harm" to a "do good" approach has found expression in the vision of the Bank's new Sustainable Development Network.

While the *Social Analysis Sourcebook* concentrates on incorporating social development issues into the project cycle, it also offers guidance on conducting and using macro-level social analysis, such as Poverty and Social Impact Analysis (PSIA). This type of analysis examines the distributional impacts of projects and/or reforms and the role that informal institutions, social relations, and power structures play in the reform process. At the country level, another macro analytical tool, Country Social Analysis (CSA), informs the Bank's portfolio and provides inputs to Bank Country Assistance Strategies (CAS), as well as to client countries' Poverty Reduction Strategies (PRS).

As a follow up to the *Sourcebook,* the Social Development Department is publishing a series of sector- and theme-specific guidance notes on social analysis. The purpose of these notes is to ensure that advice related to social development issues is relevant and timely, addresses key social concerns and opportunities of particular sectors, and is well integrated into the project cycle at all stages. The notes also discuss policy and institutional aspects of particular sectors, some of which may be addressed by other Bank instruments, such as country-level policy dialogues or Development Policy Loans.

ACKNOWLEDGMENTS

LIST OF ACRONYMS

AFR	Africa Region
CAS	Country Assistance Strategy
CDD	community-driven development
CSA	Country Social Analysis
DFID	U.K. Department for International Development
DPL	development policy lending
DPO	disabled people's organization
EA	Environmental Assessment
EAP	East Asia and Pacific Region
ECA	Europe and Central Asia Region
ESW	Economic Sector Work
EU	European Union
GDP	gross domestic product
GTZ	Deutsche Gesellschaft für technische Zusammenarbeit (German Technical Development Co-operation)
IBRD	International Bank for Reconstruction and Development (The World Bank)
ICR	Implementation Completion Report
ICT	information and communications technology
IDA	International Development Association, World Bank Group
IFC	International Finance Corporation, World Bank Group
ILO	International Labour Organization
ISDS	Integrated Safeguards Data Sheet
LCR	Latin America and the Caribbean Region
MDGs	Millennium Development Goals
MENA	Middle East and North Africa Region
MPA	methodology for participatory assessments
MTR	Mid-Term Review
NGO	non-governmental organization
OED	Operations Evaluation Department
OECD	Organisation for Economic Cooperation and Development
OM	Operational Manual
OP	Operational Procedure
PAD	Project Appraisal Document
PCF	Post-Conflict Fund
PCN	Project Concept Note
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
PSIA	Poverty and Social Impact Analysis
QAE	Quality at Entry
QER	Quality Enhancement Review
RAP	Resettlement Action Plan
RSA	Rapid Social Assessment
SA	Social Assessment
SAR	South Asia Region

SWAP   Sector-Wide Approach
TFESSD   Trust Fund for Environment and Social Sustainable Development
UIAF   Urban Integrated Assessment Framework
UNESCO   United Nations Education, Scientific, and Cultural Organization

EXECUTIVE SUMMARY

This *Guidance Note* offers practical advice on how to integrate social analysis relevant to urban development into World Bank sectoral and thematic projects and programs. Drawing on the conceptual framework set out in the *Social Analysis Sourcebook* (2003), the Note highlights the particular social dimensions of urban development. It suggests operational entry points for urban development social analysis in investment projects and offers recommendations on relevant procedures and methods for incorporating social assessments into the design, implementation, and/or monitoring and evaluation of Bank projects.

In addition to providing guidance on social analysis in urban development investments, this Note also informs micro- and macro-social analysis that is conducted upstream for the development of country assistance strategies (CAS), country poverty reduction strategies (PRS) and sectoral strategies, and which also provides inputs for Development Policy Lending.

Urban poverty occurs hand-in-hand with rapid urbanization, especially in developing countries. The poor make up a large proportion of migrating rural-to-urban populations. While urbanization has helped to reduce absolute poverty in the aggregate, in the short-run it has done little to reduce urban poverty.

Similar to the rural poor, the urban poor face substantial deprivations in terms of assets, entitlements, and capabilities. They are also highly vulnerable due to the vagaries of a cash-based urban economy, social fragmentation, lack of access to public services and formal jobs, and the risk of eviction and resettlement. In addition, marginal living conditions and the high density of informal settlements make the urban poor particularly vulnerable to environmental hazards and natural disasters. These situations are especially critical during the early phase of urbanization, as urban poverty conditions tend to improve when cities consolidate.

This *Guidance Note* focuses on three main areas: (i) the value-added contribution of social analysis in urban operations; (ii) major recommended entry points for social analysis in urban projects; and (iii) instruments and stages appropriate for integrating social analysis into urban operations.

(i)   Social analysis adds value to urban projects by promoting:
- **Equality of opportunity and access.** Urban areas are typically occupied by diverse groups of people with different needs and interests. Urban projects thus tend to involve a greater number of stakeholders with overlapping or competing interests. To design effective and sustainable urban projects, it is critical to understand the social dynamics of an urban area, as well as existing conflicts among different governments, communities, and private actors.

- **Genuine participation**. The experience of urban upgrading projects suggests that public participation improves the performance of these projects and increases their impact and sustainability. A participatory approach in urban projects recognizes that citizens are significant stakeholders and thus key to project success.

- **Strong institutions**. An increasing emphasis on urban areas as "economic engines" of national growth can be seen in urban-level decentralization and financial reform projects that focus on the management and delivery of infrastructure and services. For example, one common argument is that municipalities should have better financial resources and increased capacity to service their growing populations of poor citizens (World Bank, 1991, 1995).

- **Social risk management**. Urban development projects need to take into account the interconnected and multidimensional social issues that affect these projects, going beyond mere consideration of social safeguards. Such projects accordingly need to be designed from inception using a multisectoral perspective.

- **Social impact monitoring and evaluation**. Transparent accountability mechanisms shared among the local government, local communities, service providers, and policy makers result in better delivery of social services to the urban poor. It is important to understand and encourage mechanisms that enable the poor to effectively monitor service providers and to strengthen the incentives of these providers to engage in poor areas.

(ii)   In the context of preparing and implementing an urban intervention, social analysis can lead to a more inclusive project design, sounder institutional arrangements, fewer social risks, and ultimately, more sustainable project outcomes. The scope of social issues relevant to such projects includes:
- social diversity and gender
- institutions, rules, and behavior
- stakeholders
- participation
- social risk

(iii) Social analysis can be integrated into various stages of the project cycle by means of:
- *Rapid Social Assessments* conducted by the borrower before or during Project Concept Note preparation. These assessments inform the project of strategic social issues at its inception (see Annex 2 for sample Terms of Reference in an urban infrastructure project);
- examining social issues during the conduct of assessments of *Quality at Entry (QAE)*;
- using *Integrated Safeguard Data Sheets (ISDS)* during project preparation;
- conducting *Social and Environmental Assessments (SA/EA)* during project preparation (see Annex 2 for sample Terms of Reference);
- highlighting "Critical Risks" and "Possible Controversial Aspects" in the *Project Assessment Document* (Section C.5) during the project appraisal stage;
- adding *Technical Annexes* to the Project Appraisal Summary; and
- documenting social issues in the project Operational Manual.

In summary, social analysis provides a set of methods and tools that capture vital information about socio-cultural dynamics and risks at different phases of the project cycle, supplying continuous feedback on the project's social impacts and ensuring that it meets its poverty alleviation objectives.

I. INTRODUCTION TO SOCIAL ANALYSIS OF THE URBAN SECTOR

> **Urbanization** is one of three trends at the global level that will change life for all citizens of this planet, in particular those living in the developing world. In addition, decentralization is shifting political and economic power to the local level and globalization links cities together, both in threatening and helpful ways. In this context the urban demographic transition has ignited a major economic and social transformation in the developing world.
>
> —"Revisiting the Urban Strategy," World Bank Concept Note,
> June 2007 Draft

Over the last three decades, urbanization has accelerated at an unprecedented scale. In 2007, for the first time in history, more people lived in urban than in rural areas worldwide. This shift to urban areas has been driven, on the one hand, by "push factors" characteristic of the rural areas, such as unemployment, low standards of housing and infrastructure, lack of educational facilities, or conflict in rural areas. In addition, there is stronger pressure in rural areas to comply with rigid social norms especially in terms of marriage, the obligation to support extended families i.e. less economic independence, and stronger social stigma associated with certain family or medical conditions, among others. On the other hand, this process has been driven by a multitude of "pull factors", such as more economic opportunities and attractive jobs in the cities, easier access to public services and better quality of services, opportunities for social mobility and overall higher chances of breaking away from poverty (Koetter 2004). The combination of thee factors indicates that urban growth occurs as a result of predominantly positive expectations and motives by incoming migrants.

Despite the opportunities offered by urbanization, poverty in urban areas has grown hand in hand with their population growth. A recent study of 90 countries revealed that while the poor have been urbanizing more rapidly than the population as a whole, urbanization has done little to reduce urban poverty, even though it has reduced absolute poverty in the aggregate (Ravallion et al. 2007). This study finds that one-fourth of the world's poor currently live in urban areas and that this proportion is increasing.

The gap between perceived and actual opportunities for the poor in urban areas is often caused by various dimensions of exclusion, low social capital and less opportunity for the poor to participate in decisions that affect their living environment. Thus, to be effective in empowering the poor, development interventions in urban areas need to be guided by an understanding of the social characteristics of urbanization and infrastructure investment. First, the fact that poverty itself is urbanizing necessitates closer investigation of the specific social dynamics of poor urban settlements. Second, participatory inputs in urban infrastructure investments have become increasingly valued. And third, urban governance arrangements have been decentralized to a growing degree, with greater emphasis placed on citizen voice in and local accountability for service provision.

Given that the world is becoming more urban and national governments are decentralizing power and responsibility to urban areas, urban development is an important priority for the World Bank. The Bank's strategy for urban development (World Bank 2000a) seeks to support cities and towns to become responsive to the needs of poor residents by focusing on four broad pillars: livability, competitiveness, good governance and management, and bankability (i.e., financial soundness and

creditworthiness). Social analysis allows for the consideration of social inclusion, voice and participation, and accountability of institutions in urban operations to ensure equitable distribution of the project benefits across the affected population.

Following a substantial decline in Bank infrastructure lending during the late 1980s and early 1990s, this type of lending is now rapidly increasing. One of the significant lessons of a recent portfolio review was that participatory inputs from civil society and communities are crucial for selecting the right projects (World Bank 2000a). The same study noted that participatory approaches can also deliver low-cost solutions and be replicated on a larger scale when central and sub-national government commitment is sustained.

Enhancing citizen voice means placing the poor at the center of service provision, enabling them to monitor and evaluate service providers while simultaneously strengthening the latter's incentives to operate in poor communities. Voice is integrated into urban projects through various forms of representative decision making and political oversight; direct involvement of service users in infrastructure investments; wider NGO and citizen participation in the design, implementation, and monitoring of public policies; and transparent dissemination of project information (World Bank 2000b).

This Note begins by examining these three major aspects of the urban social challenge: the urbanization of poverty, the role of civic participation, and the critical importance of governance (Section II). It then examines specific social challenges related to seven aspects of the urban portfolio: settlement interventions, the formalization of secure tenure, conflict in urban environments, disaster mitigation and recovery, solid waste management, HIV/AIDS, and cultural heritage (Section III). Section IV reviews the analytical framework for urban social analysis including a list of five social entry points that can be explored in any urban context. Section V outlines the actual process of integrating social analysis in the project cycle.

Specific social challenges in the urban sector per region are discussed in Annex 1. Annexes 2 and 3 contain practical guidance to urban project leaders in the form of a sample Social Assessment Terms of Reference for an urban infrastructure project, and a social safeguards checklist. Annex 4 offers a list of global resources on urban issues.

II. MAJOR CHALLENGES TO SOCIAL DEVELOPMENT IN URBAN AREAS

Social Exclusion

Urban poverty is a multidimensional phenomenon reflecting deprivation of commodities, entitlements, and capabilities. The Bank defines urban poverty in terms of income poverty, health and education poverty, tenure insecurity, and disempowerment.[1] It is characterized by low income and low human, social, and financial capital. As described above, urbanization is largely driven by a hope for better access to services and opportunities - either in health, education, employment, or other areas. Yet this hope often clashes with a reality of discrimination and various obstacles that prevent some urban dwellers from benefiting from an equitable share of the services and opportunities that cities have to offer. Some concrete areas in which urban poverty manifests are:[2]

1. **Reliance on a cash economy**. The poor living in cities face a high cost of living, including the cost of housing, transport, and food. The compounded impact of deprivation and a cash economy makes this poor population more vulnerable to fluctuations in income.

2. **Overcrowded living conditions.** In informal settlements, insufficient space, low-quality housing and unsanitary living conditions increase health problems for the poor.

3. **Environmental hazards.** These hazards include toxic gaseous emissions and smoke from open burning. The poor often live in hazardous areas and are thus frequently exposed to multiple pollutants.

4. **Social fragmentation.** The social security of the urban poor may be affected by a lack of community and inter-household protection mechanisms, increasing their vulnerability to sudden external shocks.

5. **Higher risk of crime and violence**. This is partially due to the low social cohesion of some poor urban communities, as well as to perceived inequality and associated grievances coupled with resources available for quick gains.

6. **Higher unit charges for utility access.** Charges for utilities, including water, provided by itinerant suppliers and slumlords are generally higher per unit for the urban poor than other city residents (Gulyani 2005).

7. **Vulnerability to evictions and demolitions.** Contested valuable urban land and property make the urban poor vulnerable to eviction or the destruction of their dwellings, events that disrupt their existing informal social security mechanisms.

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[1] See the urban poverty website of the World Bank:
http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTURBANDEVELOPMENT/EXTURBANPO
VERTY/0,,menuPK:341331~pagePK:149018~piPK:149093~theSitePK:341325,00.html (accessed
November 2007).
[2] See Baharaoglu and Kessides (2002).

8. **Vulnerability to natural disasters.** Poorly constructed housing and/or vulnerable areas (where landslides, earthquakes, floods, etc., are more likely to occur and produce damaging impacts) leave the poor vulnerable to natural disasters.

9. **Higher risk of HIV/AIDS and other epidemics.** Due to the higher population density of poor urban communities, the poor become more vulnerable to such epidemics.

10. **Social stigma.** Living in poor urban neighborhoods translates into lower educational and employment opportunities.

11. **Lower mobility.** Being less mobile, the poor experience a spatial disconnect from the opportunities available in a city, which also translates into lower educational and employment opportunities.

Living in urban poverty affects all aspects of life. As a result, urban projects need to consider the interconnected, multidimensional nature of the challenges faced by poor urban populations. This is a difficult task because individual projects have their own respective budgets, rules, time frames, and specific objectives. The key strategy for such projects is to adopt a multisectoral approach, that is, to address the social, economic, governance, and political issues affecting poor populations at the inception of project design. An understanding of social networks and livelihoods in the areas affected by a project is vital if project results are to be sustainable. The list above highlights some of the major issues that should inform such projects.

Informal and segmented markets are often associated with low-paying jobs, as well as with a non-dependable stream of income and precarious working conditions. In 2003, the International Labour Organization (ILO) estimated that within a decade, at least one billion new jobs would be needed for the world to meet the MDG goal of cutting extreme poverty in half by 2015 (ILO 2003). The difficulty of attracting private capital to poor urban areas and therefore boosting local economic activity means new jobs are not created in sufficient numbers, which in turn feeds informal markets, poverty, and insecurity. Any solution to alleviate urban poverty must therefore deal with three core elements: opportunities (e.g., for income, work, and employment); assets (e.g., land, housing, education); and safety nets (both those provided by individual families and those provided by the government).

The urban poor face a number of challenges in accessing the formal job market. Discrimination may be associated with the location in which they live (Perlman 2003), since employers often use location as an initial screening device to determine the risk of hiring certain groups. Potential employees from certain areas are considered less dependable (e.g. because they are perceived to be more likely to be persistently late or have a poor work attitude) and therefore less productive. In the case of informal settlements, lack of a formal address or identity is particularly problematic. Lack of education and poor health can also restrict the ability of poor urban residents to access well-paid jobs. Transportation costs may be unaffordable, or certain residential areas may simply be disconnected from the transportation network. Therefore, poor people often have to manage a trade-off between commuting distance to jobs and affordable housing.

Urban projects offer an opportunity to address this problem of exclusion. Projects can, for example, incorporate livelihood skills training, generate work opportunities (e.g., construction), or promote entrepreneurial initiatives in areas such as solid waste management. Small projects that encourage self-employment can also be developed to provide incentives to first-time workers to improve their skills.

Box 1. Energy, income and environment: Selling charcoal dust in Kenya

Out of 1.6 million tons of charcoal supplied to Kenya every year, nearly 240 thousand tons is discarded as dust. This dust creates more than 70 tons of waste that clogs waterways and increases air pollution. Since few major charcoal trading centers exist in Nairobi, most charcoal dust is traded by small-scale charcoal shops.

Chardust, a company that won a Development Marketplace Award* in 2005, compresses this charcoal dust into fuel briquettes. Slumdwellers are encouraged to collect and sell charcoal dust to Chardust, which collaborates with an NGO that maintains a garbage collection program in the Kibera slum. Because the briquettes do not contain wood residue, they substantially reduce burning smoke, resulting in improved indoor air quality.

In recent years, customer demand for Chardust briquettes has grown by 25 percent a year. The company already sells more than 2,500 tons of briquettes each year, meaning that carbon collectors in the Kibera slums have a steady income. The less environmentally harmful alternative fuel is also 40 percent cheaper than charcoal, and therefore partly addresses slum residents' need for an affordable energy source.

The next, expanded phase of Chardust operations has the potential to enable 300 slumdwellers to earn US$900 a month by selling charcoal dust. At least 1,000 charcoal-using households would benefit from lower fuel costs.

* The Development Marketplace is a competitive grant program of the World Bank that funds innovative, small-scale development projects.

Source: Community Carbon Collectors, Development Marketplace, World Bank, http://web.worldbank.org/WBSITE/EXTERNAL/OPPORTUNITIES/GRANTS/DEVMARKETPLACE/0,,contentMDK :21044620~pagePK:180686~piPK:180184~theSitePK:205098,00.html (accessed November 2007).

The other primary area from which the urban poor are often excluded is the provision of urban services. Because they are stretched by rapidly growing populations, limited capacity, and inadequate financial resources, municipalities often target only legal settlements for urban services. In addition, outdated administrative definitions of city boundaries sometimes provide a legal cover for the neglect of rapidly growing peri-urban informal settlements that are poverty stricken. Contracts for the provision of utilities are only concluded when a formal relationship is established with communities. Any settlement that does not fulfill the minimum criteria for legal status is normally neglected and thus excluded from the network of urban services. Private utility providers, moreover, are often wary of the risk of default payments and enforcement in informal areas. Consequently, the urban poor often pay more for basic utilities, which are provided on an itinerant basis, such as truck-borne water.

Box 2. Bringing light to dark corners: A flash from Brazil

For residents of Rocinha, Brazil, one of Latin America's largest and oldest slums, the struggle to find work and access basic social services is often compounded by the considerable risk of fire, electrocution, and power outages. These risks result from the desperate steps taken by residents to bring electricity to their homes.

Ameliorating the extreme risk of the illegal power network in Rocinha and other slums of Rio de Janeiro calls for a low–cost solution to infrastructure inadequacies and resident education on proper power usage.

Such an effort was undertaken by Light Serviços de Electricidade SA, Rio's main power provider, as part of an ongoing program to upgrade the city's electricity transmission and distribution system. Its latest initiative was made possible by a US$200 million loan, with a partial guarantee of non-commercial risks extended by the World Bank's Multilateral Investment Guarantee Agency (MIGA).

Under the city's Program for Normalization of Informal Areas, low-income communities are gaining access to electricity as power networks are established and upgraded and transformers and meters are installed. At the same time, local residents are being educated about safe, cost-effective power usage. Light Serviços de Electricidade is working hand-in-hand with local NGOs to make sure that residents understand the program and their concerns are addressed. For *favela* (slum) residents, the program not only concerns access to a steady, safe source of power; it is also helping them establish proof of residence—a requirement for phone service and establishing credit, in addition to other benefits. By the end of 2005, the "Light" program was expected to reach 728 slums and 594 low-income communities and "irregular" areas (including those with unregistered connections or "doctored" meters) and add some 176,000 new clients to Light Serviços rosters.

Source: "Bringing Light to Slums of Brazil," *The World Bank News,* online publication, http://go.worldbank.org/AYCQY2AM20 (accessed December 2007).

In an urban context, informality can be an appealing option, especially when trying to find shelter or a job in a micro enterprise. In many countries, formal activity is associated with tax obligations, registration, or financial duties, which for many of the poor are additional burdens, given that they have little access to capital. Consequently, when challenged by state enforcement or positive interventions, participants in the informal sphere often maintain the status quo. This occurs particularly when participants are successful in creating a political constituency or where enforcement measures are weak (Barhate 2007). In Brazil, for example, these reasons explain the high prevalence of informal labor (around 40 percent) and informal SMEs (45 percent) in urban communities.

These factors may complicate the process of poor urban residents moving from the informal to the formal sector. Bank-financed projects that support this transition as an objective need to be realistic about such complications. The implementing team must accordingly become aware of the key nuances of political economy in the project and realistically estimate the public institutional capacity required to engage slum dwellers and informal entrepreneurs in the rights and obligations of formal society.

Exclusion in urban areas is especially pronounced in the case of people with disability and the elderly. In this sense, urban infrastructure projects can contribute to a more inclusive environment by embracing a 'universal design' (see Box 3 below) and thus optimizing the number of potential users of the infrastructure built.

Box 3. Infrastructure and the urban environment: What is universal design?

The inaccessibility of infrastructure is still the major barrier to active participation in social and economic activities for people with disabilities, the elderly, and others with limited mobility. Certain governments have recognized the basic right of disabled persons to equal access to built environments and, with the adoption of the U.N. Convention on Disabilities in 2006, donors must now consider universal design, especially in reconstruction efforts. The current application of universal, or inclusive, design has resulted from the struggle of persons with disabilities for accessible physical environments.

Universal design, which can be defined as the creation of barrier-free environments, is a very simple idea: all buildings, products, and services should be designed in a way that optimizes the number of potential users. The need for specialized design or adaptations is minimized by one simple design that can meet the needs of people of all ages, sizes, and abilities. Universal design provides safer environments for all by reducing the rate of accidents. Because physical barriers reduce the economic and social contributions of persons with disabilities, investments in the removal and prevention of architectural and design barriers are increasingly justified on economic grounds. Recent experience has demonstrated the cost effectiveness of incorporating accessible design features into built environments, particularly when they are first being constructed. For example, research shows that providing full accessible facilities at the outset incurs additional costs of approximately only one percent.[a]

To the extent that the World Bank makes loans for the construction of schools, public buildings, streets, paths, and other public infrastructure, it has the opportunity to facilitate their accessibility to people with limited mobility at a very low cost simply by promoting barrier-free design and informing client countries about the most cost-effective methods of applying such design. The Bank's post-conflict and post-disaster reconstruction teams which focus on rebuilding war-torn or disaster-damaged infrastructure, have many such opportunities. Systematic application of cost-effective, barrier-free design to all new Bank-financed construction is a critical element of the World Bank's disability strategy. The strategy simply requires a commitment to accessibility and in-house expertise in universal design, together with the development of guidelines on this type of design.

Source: World Bank disability website, www.worldbank.org/disability (accessed November 2007).
[a] Edmonds (2005).
[b] Metts (2000).

Increasing the Empowerment of the Urban Poor through Participation

A participatory approach in urban projects recognizes the importance of social capital. People who participate as authentic citizens, meaning they exert the rights and responsibilities of urban residents, are reliable agents of project development and success. Research has shown, for example, that public participation improves the project performance of urban projects and increases their impact and sustainability (Imparato and Ruster 2003).

Participation can be used at various levels. For example, communities can exert influence through consultations or be given direct or indirect control over certain project elements. In urban upgrading projects, for instance, local residents can help identify infrastructure priorities, participate in the design of development plans for their site, and share responsibility for the post-implementation management of community facilities. The community-driven development (CDD) approach of the World Bank to urban upgrading projects thus operates in a flexible and incremental manner (World Bank 2004).

Table 1. Levels of community participation

Level of participation	Community role	Relationship	Outsider role	Levels of the matrix
None	n/a		Surrogate	• Levels indicate relationship of community to outsiders
Indirect	Individuals	<	Surrogate	
Shared control	Stakeholder	=	Stakeholder	• Levels range from no community to control to full community control
Full control	Principal	>	Resource	

Source: Goethert (1998).

Box 4. Can we all do it? Community and sanitation in Sangli, India

Slumdwellers have great difficulty in accessing basic services due to economic constraints and the informality of the economy in which they participate. Lack of sanitation leads to health problems, which impose an additional cost on the poor. Consequently, the implementation of basic service programs in slums, such as water and sanitation, is a common donor priority. In the state of Maharashtra, India, a USAID India–sponsored Community Water and Sanitation Facility (CWSF) initiated such a program in the district of Sangli. In association with a local community-based organization representing slumdwellers, Shelter Associates, USAID India constructed community toilet facilities for the use of 25,000 persons.

The project team developed construction and management plans in consultation with local government authorities, placing the project in the context of a citywide slum upgrading strategy. At the same time, the USAID team engaged the private sector and community partners to obtain additional resources. Using CWSF, USAID intends to replicate the user-charge model of the Maharashtra project in cities such as Bangalore and Agra in order to address long-term citywide infrastructure deficiencies. Fundamental operational assumptions of the project are community endorsement, encouragement of risk sharing, and active participation in financing.

Source: "Community Water and Sanitation Facility: A Cities Alliance Initiative," USAID website, http://www.usaid.gov/our_work/environment/water/cities_alliance.html (accessed November 2007).

Participatory processes in a project environment can, however, incur substantial costs. Consequently, there should be clear communication at the inception of a project concerning the level of participation that it seeks to establish. Unrealistic perceptions of local control over the development process can, moreover, later prove detrimental to project success.

Initiating, managing, and maintaining community participation in a project requires multiple capabilities. It is thus important to assess whether dependable social intermediaries exist in the form of organizations that are willing to act as a coordinator between the community and the project implementation agency (Imparato and Ruster 2003). Project design, technical assistance, and operational procedures should all feature mechanisms that enable project management to interact with the relevant local community and understand the complexity of its demands. These project elements should also take into account community expectations; the level of community understanding of the project; its willingness to participate (related to community trust in the process); vested interests of sub-groups within the community; and internal power disputes (Imparato and Ruster 2003).

Box 5. Yu Tok: Youth community radio in Papua New Guinea

Young people in Papua New Guinea are concerned about crime, poverty, unemployment, basic education, health problems, and issues of general governance. At the same time, they feel helpless to confront such challenges in the absence of meaningful access to reliable information. With this in view, the World Bank initiated a youth community radio program called Yu *Tok* (Speak your Mind), as a part of its Youth Outreach initiatives. The program was designed to motivate young people to express their concerns and start thinking positively about how to change or improve their community.

Young people who are motivated to make a difference in the lives of fellow youths manage the community radio program. The resulting management is a synergy of juvenile delinquents, academics, and unemployed youths. Yu Tok Radio now has a crew of 12 volunteers and nine working members who are actively engaged in community life. They use MP3 recorders to interview youths from all backgrounds in Port Moresby. Interviews are conducted on the street, at home, or in the local World Bank office. Apart from interviews, youth are asked to research short reports on themes such as citizenship, education, employment, law and order, health, music, sports, and politics. These reports are then discussed on the radio, with the author moderating the discussion. Because the program creates an opportunity for young people to voice opinions, perspectives, and solutions, it is an example of an initiative that encourages meaningful civic participation and a constructive spirit among urban youth.

Source: "Yu Tok, youth community radio in Papua New Guinea" World Bank web site, http://go.worldbank.org/Z4WMVRCMI0 2006 (accessed December 2007).

Development projects can consider three different modes of supporting local social capital: building participation mechanisms, creating community capacity (i.e., learning by doing), and investing directly in social capital formation (Van Domelen 2003). Because social networks in urban areas may differ from those in rural areas, the voice of low-income urban communities often needs to be strengthened through active facilitation of relationships with civil society partners, which can provide urban residents with information, material resources, transnational support, and solidarity (Van Domelen 2003).

Box 6. Universal city access: A Brazilian experience

A safer city includes, among other things, access to the environment and transportation for the elderly, children, pregnant women, and people with disabilities. Concerns associated with universal access in Brazil began to surface after the Constitution of 1988 mandated unrestricted access to the physical environment for all citizens.

After strong advocacy efforts by disabled people's organizations and the Brazilian Institute of Architects, the city government of Rio de Janeiro decided in 1994 to pursue universal access as a part of its urban revitalization program. Subsequent changes were made to accommodate the principle in the city's Master Plan and the municipal government's institutional capacity was strengthened through a partnership with a relevant NGO, Living Center of Rio de Janeiro (CVI-Rio).

Solutions to the challenge of providing universal access to city services have included the construction of ramps at crosswalks, texture-coded footways to assist the visually impaired, and dedicated pedestrian zones. Phase Two of the revitalization program continues to be guided by the principles embedded in Phase One, including better infrastructure options, such as locally fabricated tactile pavements, and continued partnership with the Living Center (which will provide project guidance and monitoring).

Source: Meriläinen and Helaakoski (2001).

Increasing Emphasis on Urban Governance

The World Bank has used concepts such as decentralization, participation, and governance to define and channel project activities and resources since the early 1990s. While governance is a prominent feature in urban sector work, its use in Bank projects originated in a much more generalized framework. In the late 1980s, for example, the Bank began to focus on expanding the role of local governments so as to allow them greater autonomy and more regular, independent sources of revenue. Empowering women and the poor by fostering grassroots and non-governmental organizations also became important in Bank projects at about this time (World Bank 1989).

The Bank defines urban governance as the mechanisms, processes, and institutions through which state and non-state actors articulate their interests, exercise their legal rights, meet their obligations, and mediate their differences. Urban governance is thus the sum total of these relations, processes, and mechanisms in the urban space. Since the mid-1990s, World Bank urban projects have taken into consideration the relationship between the state and its various partners in different contexts. These partners include international agencies, civil society groups, other non-governmental or quasi-governmental agencies, policy networks, and business and commercial associations (McCarney and Stren 2003).

The Bank also emphasizes the idea of the city as the "economic engine" of national growth, which has led it to support decentralization and financial reform at the urban level, as well as to encourage a more professional approach to the management and delivery of urban infrastructure and services. Bank projects now commonly advocate, for example, that municipalities develop better sources of financing and pay more attention to servicing their growing populations of poor citizens (World Bank 1991, 1995). The Bank has placed particular emphasis on promoting citizen voice, via various forms of representative decision making and political oversight; direct user involvement; NGO and citizen participation in the design, implementation, and monitoring of public policies; and the transparent production and dissemination of project information (World Bank 2000b).

Cities provide better services to the poor when accountability mechanisms are built into infrastructure projects, especially mechanisms that strengthen linkages among communities, service providers, and policy makers. Examples of social accountability mechanisms include the Bangalore Citizen Report Card; the Kruti Samiti rationing system in Mumbai; the Administrative Procedures Act in the United States; the Federal Election Institute in Mexico; local social movements and the judicial system in Argentina; and local community organizations that support social policy initiatives in Peru (World Bank 2003c). Another emerging form of civic engagement in certain urban programs, particularly in Latin America, is participatory municipal budgeting, which the Bank defines as "an innovative mechanism that aims to involve citizens in the decision-making process of public budgeting" (World Bank website "Participatory Budget Formulation" http://go.worldbank.org/S9ZD1PNII0 accessed December 2007)

Box 7. Mobilizing communities in a preventive approach to urban expansion in Ecuador

Since the 1980s municipalities in Ecuador have sold urban lots directly to families. City neighborhoods have thus not been established in accordance with long-term plans for urban expansion and accordingly did not encourage a sense of community. Despite the fact that the 1980s model was heavily subsidized, it was often unaffordable, especially for low-income families. In this context, the World Bank recently launched a pilot project in order to assess and plan for urban growth, as well as provide municipal loans to family cooperatives, with which they could acquire and develop land in accordance with a long-term city expansion plan. The project's main objectives are to improve living conditions in very poor neighborhoods and develop the capacity of municipalities to manage urban land. In addition, the project has a preventive function: to ensure orderly urbanization in order to meet the challenge of expected rapid urban growth over the next 25 years.

The bottom-up approach of the project draws on the strength of existing social networks, which foster higher social cohesion. This approach has improved urban governance in Ecuador by increasing the capacity and responsibility of both municipalities and local urban communities. Municipalities have adopted a longer-term vision when planning, while communities have increased their involvement and ownership of service and infrastructure projects, contracting developers on their own and, where needed, in cooperation with the relevant local government.

Villa Quitumbe, a community located on the outskirts of Quito offers a good example of a success story. Its land was acquired and developed by Solidaridad Quitumbe, an association of over 1,000 neighbors organized into 11 housing cooperatives. These residents had been exploring options to build a housing community prior to learning about the World Bank-funded project. The land they sought to acquire had previously been used as a dumping ground by nearby factories and was considered environmentally unsafe for living. After receiving a loan from the municipality, the families of the Solidaridad Quitumbe coop spent approximately four years cleaning up the area, mostly on weekends. Subsequently, they began construction and worked with the municipality to acquire all basic services. Now Quitumbe is one of the cleanest areas near Quito and a preferred destination for cycling and weekend walks.

Sources: "Low-income Neighborhood Upgrading and Urban Land Management in Ecuador," World Bank presentation by the Urban Poverty and Urban Upgrading Thematic Group, September 27, 2007; *Biciaccion*, Ecuador newspaper, http://www.biciaccion.org/index.php?option=com_content&task=view&id= 275&Itemid=47 (accessed November 2007).

III. SOCIAL ISSUES IN URBAN DEVELOPMENT INTERVENTIONS

New Settlement, Resettlement, and Temporary Relocation of Urban Settlers

The World Bank has clear Operational Safeguard Policies that provide guidance on the involuntary resettlement of people by urban sector programs. However, even when resettlement is consensual, the social issues involved must be adequately addressed. These concerns may arise during the expansion of urban infrastructure; during demolition of dilapidated public housing when replacement accommodations are being built; during upgrading, when certain households may be required to move on account of land adjustments; or when new settlements are established (as in the case of sites and services projects).

Relocation may directly affect the transportation cost of getting to and from workplaces and schools. Therefore, urban projects that involve some degree of resettlement or new household placement should establish linkages with transport projects whenever possible. It is noteworthy here that Bank guidelines for social analysis in transport projects identify transport subsidies as an important policy option for ensuring equitable transport access for poor and vulnerable groups (World Bank 2006d). In other instances, alliances with pro-poor social sector programs may be appropriate to address the issue of job loss or school drop-out. Women and youth will be especially affected by resettlement as they may be unable to commute longer distances for safety reasons.

Resettlement also disrupts social networks. When resettled randomly and in dispersed locations, people lose valuable relationships built into the fabric of their former neighborhoods. These relationships and the associated benefits of social bonding are difficult to replicate. Resettled people should therefore be consulted for their location preference, based on both economic opportunities and social relationships and affiliations.

Another social issue sometimes involved in resettlement, temporary relocation, or new settlement establishment is the rejection and/or resentment of new or relocated households by host communities. This resistance may emerge from the uncertainty of the perceived social impact of the relocation, as well as from the additional burden that resettlement may place on existing and often already strained public services and utilities. A key strategy here is to ensure some degree of equity in the quality and reliability of infrastructure services for both host and resettled communities. Facilitating consultations and trust-building measures with host communities prior to actual resettlement is also very important.

When public agencies are at the forefront of the development process, the power of eminent domain, or expropriation, on the part of the state is a commonly employed instrument. In many parts of the world, however, land has economic as well as cultural and spiritual value. This is especially the case when ownership of private property is not necessarily related to economic necessity. In such situations, the process of land acquisition should be rooted in local sensibilities and offer fair compensation. Urban projects can, moreover, consider alternative approaches to land development, such as land readjustment, land swaps, and transferable development rights, all of which create opportunities for win-win outcomes. Failure to resolve land issues in an open, transparent, and equitable way can lead to number of obstacles, including litigation.

Finally, settlement interventions need to be cognizant of the increasing rate of spatial expansion in cities worldwide. A recent global review based on a representative sample of 120 cities worldwide

found that cities are consuming land at an even faster rate than that of their population growth (Angel et al. 2005). The urban poor are also incurring social and welfare costs, especially those associated with longer commutes. While this phenomenon has largely been attributed to increasing incomes, urban interventions sometimes have the opportunity to influence pertinent land market regulations (including minimum plot size, floor area ratio, as well as density and subdivision specifications) with potentially significant implications for the urban poor..

Tenure Insecurity and the Cost of Formalizing Property Rights

Insecurity of land tenure is a common characteristic of many informal urban settlements. This insecurity often arises out of informal occupation of land, often due to a lack of affordable, formal developed land in locations that offer easy access to income-earning opportunities for the urban poor. In China, the difficulties associated with obtaining residency permits also contribute to tenure insecurity among migrants.

Research has established linkages between land tenure insecurity and underinvestment in dwelling improvements, limited access to credit from formal sources, and even limited participation in labor markets (see Field 2006). Alleviating tenure insecurity may enhance opportunities for the urban poor to use their land or houses as productive assets and, therefore, reduce anxiety about forced eviction, as well as improve their participation in income-earning opportunities outside of the home.

Urban development operations need to be mindful, however, of the risk of developing top-down, comprehensive operations to enhance land tenure that are too costly to access and sustain. While significant subsidization of land titling is unsustainable, social concerns about the affordability of titling need to be accommodated in operational design. In fact, a number of less conventional instruments for strengthening tenure security have emerged and should, when appropriate, be considered as alternatives to formal titling (see Payne 2002). The Bank has been very active in promoting one such approach, Street Addressage, particularly in West Africa.[3]

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[3] Farvacque-Vitkovic et al, 2005

Box 8. Expanding property rights in urban Swaziland

Approximately one-quarter of the population of Swaziland lives in mostly unplanned urban or semi-urban areas, often in sub-standard structures on un-surveyed land without legal title and without access to basic services. The Swaziland Urban Development Project of the World Bank addressed these problems through infrastructure investment, based on direct consultations with project beneficiaries. Most of the project concerns standard infrastructure work, such as the expansion of city roads, the rehabilitation and expansion of water and sewage services, and the development of solid waste facilities. However, it was the project's focus on land ownership policies that changed the rules of the game to benefit the poor. Since most property in Swaziland is owned by the trusteeship of the King and defined as Swazi Nation Land (SNL), the legal framework had to be changed to make property ownership possible by permitting 99-year leases by land occupants.

Consensus on the new policy was sought from all stakeholders, including community leaders, chiefs, and regional administrators. To institutionalize their participation, a Community Liaison Task Force was established, chaired by a Community Liaison Officer based in the Project Coordination Unit of the Ministry of Housing and Urban Development (MHUD). During the project design phase, community leaders were asked to convene a number of preparatory meetings to discuss service options, costs, and maintenance, and community facilities. The participating communities then appointed Project Steering Committees that worked with the government's implementing agencies and design engineers.

Project Outreach Facilitators—usually recognized community leaders—effectively managed the interface between the housing board and local communities. The approach was successful in both introducing the concept of plot prices to the community and identifying more affordable options for those who could not pay the proposed plot fee. This participatory approach is now considered a standard mechanism of all land tenure projects in Swaziland, especially because ownership of the process was firmly established by the housing ministry and project beneficiaries themselves.

Source: http://go.worldbank.org/TBQC719600 (accessed December 2007).

Crime, Violence and Conflict in Urban Areas

Informal settlements with large concentrations of poor and unemployed people often present an additional problem: crime. The reasons for the association between crime and squatters or slums are numerous, ranging from lower enrollment in primary education systems to unemployment (especially its impact on youth). In his controversial theory of the culture of poverty, social anthropologist Oscar Lewis proposed that a self-perpetuating phenomenon of deviation and alienation from the mainstream exists among the urban poor (Lewis 1968).

In contrast, Janice Perlman (Perlman 2003), argues that the "marginal" poor are marginal simply because they do not have the same opportunities that middle-income people have. The spatial and social segregation of the urban poor discussed earlier is often a key factor in creating a vicious circle of low incomes and marginality. Although poverty is often used as a possible explanation for crime and violence, in Latin America, inequality and exclusion are important factors that explain higher crime rates (Fay 2005). Indeed, the literature shows that widespread and severe inequality is an inescapable part of the daily life of the urban poor and can heighten the potential for conflict, crime, and violence (Vanderschueren 1996).

These findings and other, similar research reinforce the necessity of a multidimensional approach to urban development. Experience demonstrates that the presence of community participation, itself a partial answer to the perception of exclusion and inequality, increases the rate of success of urban development projects. Youth mentoring is another feature increasingly found in urban projects that attempt to address urban crime. The literature on urban development also reinforces the need for cross-sectoral approaches

united in an integrated response to crime and violence, including, crime prevention through environmental design (CPTED) and urban renewal (Fay 2005). The American National Institute of Crime Prevention defines CPTED as the "proper design and effective use of the built environment that can lead to a reduction in the fear and incidence of crime and an improvement in the quality of life." (http://www.cpted-watch.com/) However, given the strategic importance of residents' localized knowledge of any particular community, approaches such as CPTED can only be effective if they enjoy community trust and make use of existing social capital.

Conflict in urban areas may also be more systematic and widespread than in rural areas, as is often the case with civil strife. Since the early 1990s, 80 percent of the world's 20 poorest countries have been severely affected by major civil conflict (Collier, Hoeffler, and Soderbom 2006). It is noteworthy that countries overcoming a period of war have a 40 percent chance of relapsing into civil conflict within a decade (World Bank 2003a). Violent civil conflicts often intensify poverty and contribute to the mass internal displacement of people, the global drug problem, and the spread of diseases such as HIV/AIDS and malaria. The focus of the World Bank on post-conflict environments has thus been the reconstruction of infrastructure, institutional capacity, and governance, together with community-driven development.

Internally displaced persons (IDPs), who tend to move toward urban centers (Esser 2005; UNHCR 2005), represent one of the most difficult aspects of civil conflicts. In Colombia, for example, displaced people have increasingly sought refuge in urban centers to escape armed urban groups and violent crime in rural areas. Social stigma, absence of official identification, inadequate security, exclusion from social safety nets, inadequate shelter, and absence of mechanisms for permanently resolving their displaced status are part of the social profile of many IDPs.

Urban development operations must often respond to the problems of IDPs, who usually require multidimensional interventions. During the planning phase of urban development programs, it is thus essential to recognize the possible pressure exerted by IDPs on existing urban systems, including physical infrastructure, in order to adequately evaluate and address social and economic concerns.

In the case of large-scale urban conflict, infrastructure is destroyed and existing social patterns and safety nets are disrupted, directly affecting the decision-making capacities of individual communities. This disruption can lead to social disarray and the exclusion of conflict-affected residents, leading to greater social, economic, and political barriers. Elites can, moreover, hijack the development process by taking advantage of vulnerable residents. Participatory approaches in these circumstances, consequently face huge challenges and require innovative institutional solutions. Interactive partnership, as opposed to procedural partnership or mere information disclosure, remains the preferred option in such scenarios.

Unemployment is generally widespread among people affected by conflict. Those with higher education are, moreover, often disproportionately affected. Policy prescriptions to resettle people in "home towns" can also accentuate unemployment. This unintended result can be quite serious, as war leads to extreme poverty for those who are already poor, while dependence on a cash economy in urban areas endangers food security. It is therefore vital to ensure that income-generating activities are incorporated into projects whenever viable.

Finally, land-related disputes can be a major feature of post-conflict society. Complex disputes can be triggered in urban areas by the rapid return of refugees and the internal displacement of other residents. Such disputes are often aggravated by damage to or the destruction of land and property records, as well as a lapse in routine land administration during times of conflict. Social tension over such disputes can be quite high, given the relative value of urban land and the tendency for

land prices to increase rapidly during reconstruction efforts—especially when supported by external funds. Urban development interventions need to be cognizant of these tensions and should seek to facilitate pragmatic resolutions to land disputes. This goal sometimes requires the establishment of dedicated land tribunals and mobile land administration task teams. Such initiatives are more likely to succeed, however, if fundamental and far-reaching land disputes are explicitly addressed in peace treaties.

Box 9. Urban reconstruction in a conflict environment: The challenge called Iraq

Prolonged war and international sanctions have severely impacted Iraq's infrastructure. The national power grid has been extensively damaged. Sewage and water treatment plants have been looted and torched; ports and other infrastructure have been either damaged or planted with mines; and reconstruction work continues to be severely hampered by violence. As a result, the poor living conditions of many urban Iraqis continue to deteriorate. These conditions include inadequate housing, an inability to access safe and sufficient drinking water, poor management of urban space, and dysfunctional urban services. These conditions are, moreover, compounded by an unsustainable level of employment and the overlap between physical insecurity and the commute to workplaces.

The United Nations mission in Iraq has adopted a "cluster" approach to its operations. Clusters are formed to formulate and implement programs on institutional and/or policy reform, capacity building, and the services necessary to rehabilitate and develop the infrastructure of human settlements (i.e., water, sanitation, housing, electricity, and waste disposal). The mission of the latter type of cluster includes urban management and industry revitalization to improve the quality of life of Iraqi citizens. Cluster programs related to shelter make funding available to community-based organizations. Beneficiary participation in housing projects is considered a vital component of this cluster, along with housing finance, housing development planning and management, housing areas improvement and maintenance, and infrastructure planning.

Because internally displaced persons (IDPs) represent a huge challenge in Iraq, U.N. programs support the Iraqi authorities to provide these people adequate assistance and protection, thus helping to prevent new displacement. For example, in northern and southern parts of Iraq, the UNHCR implemented community-based projects that have resulted in improved access to essential services and enhanced income-generation opportunities for over 100,000 direct beneficiaries. Increased displacement of people along sectarian lines and the loss of social networks, including civil society institutions, signals substantial erosion of social trust and social capital in Iraq. Urban programs in the country must accordingly address the deeper psychological impact of civil conflict upon the population and its effects on community participation. Additionally, future urban programs must also anticipate the impacts of large-scale refugee return once civil conflict subsides and life begins to normalize.

Source: United Nations Assistance Mission for Iraq, "Integrated Approach," http://www.uniraq.org/ operations/ingapproach.asp?pagename=approach (accessed November 1997).

Disaster Mitigation and Recovery in Urban Areas

Urban areas are particularly vulnerable to natural disasters[4] due to high population concentrations and intensive infrastructure build-up. Precariously located settlements of makeshift dwellings often increase this risk. Vulnerability assessments that examine the ability of livelihood systems and social structures to withstand multiple stresses caused by natural hazards are recommended for

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[4] Disasters are generally classified as sudden-impact or slow-impact phenomena. Sudden-impact disasters carry little or no warning. Slow-impact disasters have warning signs for a period of time before they impact human activity. Earthquakes, cyclones, floods, and volcano eruptions are often included in the sudden-impact category, while droughts are classified in the slow-impact category (OECD 2007).

such areas. Highlighting the vulnerability of specific groups e.g. people with disability, youth, women, according to the context is also recommended.

Although adaptability is central to successful disaster preparedness and impact mitigation, poverty can severely constrain such efforts, making cost-effective, culturally acceptable technologies essential.

Disasters can have a devastating economic and psychological impact on family structures. An immediate focus on reconstructing livelihoods is thus a pre-requisite for both economic reconstruction and people's ability to overcome the psychological and social impacts of a disaster. Reconstruction activities—including the construction and maintenance of houses, buildings, roads, heritage sites, and infrastructure—should incorporate local knowledge and skills and involve families that are affected by death, injuries, and loss of livelihood.

A natural disaster can also disrupt social networks and their associated benefits on a massive scale. Relocation strategies should therefore take the sensibilities of communities into account when designing resettlement action plans.

Post-disaster assistance can also inculcate a tendency toward dependency. To counter this unintended outcome, it is important to use multi-sectoral approaches that include interventions to build empowerment and self-sufficiency.

Social Issues in Urban Solid Waste Management

In developing countries, 30 to 60 percent of all the urban solid waste is uncollected, less than 50 percent of the total population can access waste removal services, and 80 percent of collection and transport equipment is out of service. And yet municipalities around the world spend 20–50 percent of their recurrent budgets on solid waste management.[5] Lack of this essential service in urban areas leads to multiple adverse effects on the overall health of city life and communities at large and touches on diverse social issues.

Both solid and human waste may, for example, contain pathogens or provide food or breeding areas for vectors (e.g., rodents, insects, etc.) that can spread disease. Waste dumpsites are also frequently located near the most vulnerable communities, especially in densely populated urban environs, which causes health problems for the poor (Bernstein 2004) and adds increased healthcare expenses to their plight. Improving the surrounding environmental conditions of the urban poor is therefore a priority if urban interventions are to increase their capability to fight poverty (Bartone 2000).

Considerable risk is involved in the handling and processing of solid waste (see Cointreau 2006), among them, health problems, injuries, accidents, and death. The poor who often work as waste pickers can develop significant health problems leading to related expenses and/or the loss of income. Incorporating some form of insurance or other safety net in the design of solid waste programs is therefore a crucial component of interventions in this sector.

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[5] See the Urban Development website of the World Bank, http://go.worldbank.org/PQE9TNVDI0 (accessed November 2007).

Box 10. Solid waste management in Argentina

During the serious economic crisis of 2000, waste picking in Argentina became a major source of subsistence for 100,000 families. Scavenging typically took place in highly unhygienic conditions, reflecting the country's poor solid waste management (SWM) practices. In Buenos Aires alone, almost 80,000 "cardboard pickers" collected up to 66 tons per day in medium and small urban areas, earning a meager sum of US $4 per day. Waste pickers lacked proper sorting equipment and facilities, faced financial exploitation from intermediaries, and had little or no marketing skills for recycled materials. These circumstances perpetuated poverty, negative public perception of and institutional indifference to the waste picker. The actual dangers faced by waste pickers included parasitic and other infectious diseases, road accidents, exploitation by organized crime organizations, and police repression.

The World Bank's SWM project in Argentina aimed to implement environmentally safe, socially acceptable landfill practices and develop social assistance programs for waste pickers. The provision of training and education, institutional support, and adequate resources generated a number of successful interventions. Bank-sponsored recycling projects in the form of cooperatives won waste pickers greater social acceptance and increased their legitimacy and credibility, while generating larger revenues. Projects such as Nuevo Rumbo also put a stop to commercial abuse by intermediaries. Other projects, such as CEOS SOL, which assists handicapped children, were created to assist targeted disadvantaged groups. CEOS SOL has since grown to the point where it recovers two percent of the city's solid waste.

Source: Grajales and Aiello (2005).

Since solid waste management can be labor intensive, it can significantly contribute towards relieving poverty. In projects based on private-public partnerships, specific pro-poor provisions in program design can have a notable impact. Efforts to organize, legitimize, and support waste pickers, for example, are a common feature of many projects that seek to improve solid waste disposal (World Bank 2007a).

When the creation of landfills or other solid waste facilities makes the displacement of local residents unavoidable, the Bank integrates a range of social objectives associated with involuntary resettlement into program designs. Among these objectives are local community participation in resettlement planning and implementation, integration of displaced people into their new host communities, and provision of adequate compensation for livelihood disruption.

Of note, solid waste management programs can inadvertently support existing patterns of exclusion. In many developing countries, people of low caste and low ethnic status, together with new immigrants living on urban peripheries, are often excluded from formal solid waste management services. Women, for example, generally sort and recycle waste (Scheinberg et al. 1998), but are also frequently excluded from paid jobs or face wage discrimination in the sector. Programmatic initiatives should accordingly make institutional provisions to apply a more inclusive and participatory approach to the design, implementation, and management of solid waste projects.

HIV/AIDS in Urban Areas

HIV/AIDS is a particular concern in many densely populated urban areas. Children and women are especially vulnerable to the disease. Poverty, lack of access to education and health services, labor

migration, and a general lack of social entitlement contribute to making HIV/AIDS a serious risk in urban areas, particularly in informal settlements.

Poverty plays a big part in being denied treatment and/or counseling for the disease, since the cost of treatment is often unaffordable. Urban residents' access to other beneficial schemes is, moreover, restricted in the absence of recognized status, formal identification, or other official papers. In addition, homelessness can trigger a severe social barrier to health institutions and thus result in exclusion.

In many developing countries, the poorer sections of the urban society also have very little access to scientific information pertaining to reproductive health and sexually transmitted diseases. Women in particular are challenged by the time and money costs of access to such services, given that they must often negotiate with their husbands or other males in the family to obtain money for the associated fees.

At the same time, HIV infected persons in urban areas often have the advantage of a more supportive community and can partially rely on traditional financial or social support networks, whereas in rural areas the stigma and exclusion associated with the disease is stronger and HIV patients may be rejected even by their own families. In some cases, however, traditional support systems may also translate in transplanted rural healing and health belief systems (USAID 2004) that have their limitations in terms of medical results. Urban development projects provide an opportunity to embed meaningful strategies, such as awareness-raising campaigns in poor areas and targeted services to slum-dwellers to correct these limitations. The effectiveness of urban projects in combating HIV/AIDS partly depends on the extent to which vulnerable sections of the urban population are targeted and their inputs incorporated into the design of relevant programs.

It is significant that urban projects have a comparative advantage in reaching certain groups with HIV/AIDS information and services. Where the responsibility of addressing HIV/AIDS lies with local government organizations, urban projects are well placed to support such activities. For example, HIV/AIDS programs often create infrastructure demands in developing countries, such as the need to create local Voluntary Counseling and Testing (VCT) centers. In an urban setting, such centers can form part of a local government capital investment program aimed at neighborhood and community needs (Schuler et al. 2005).

Table 2. Urban interventions and HIV

Type of Intervention	Description & Rationale	Examples
Workplace	Provides information, education, and communication (IEC) on HIV/AIDS—and condoms—to employees within the counterpart organization (public utilities, municipal offices, holding companies, Project Management Unit). **Rationale:** HIV/AIDS is a human resource management risk.	Mozambique Water, Zambia Mines, Lesotho Water, Rwanda, Senegal
Awareness Raising for Beneficiary Communities	Provides HIV/AIDS IEC and condoms to the communities with which the project is interacting—including, most commonly, construction sites, as well as vulnerable groups (truckers, commercial sex workers, etc.) and schools. **Rationale:** The urban project has a comparative advantage in reaching certain groups with HIV/AIDS information and services that are critically needed.	Burundi, Congo, Lagos (CBUD), Lesotho, Rwanda, Zambia, Senegal
Municipal HIV/AIDS	Supports local government authorities (and the AIDS Committees within them, where applicable) in planning and (more often) implementing HIV/AIDS activities. In many cases, the starting point will be municipal workplace activities for communities. **Rationale:** Addressing HIV/AIDs is a mandate of the municipality, and the urban project is therefore well placed to support HIV/AIDS activities as one such (often unfounded) mandate.	Benin, Côte D'Ivoire, South Africa (Johannesburg), Ethiopia (Addis Ababa), Rwanda, South African Cities Network (SACN), Uganda, Mozambique
Mainstreaming within upgrading and/or infrastructure projects	Supports HIV/AIDS-related infrastructure within the context of upgrading or reconstruction. May also provide support in identifying HIV/AIDS risks and implications for upgrading activities. **Rationale?** HIV/AIDS has created infrastructure demands that can be met by urban capital investments that respond to neighborhood and community needs, i.e., local Voluntary Counseling and Testing (VCT) centers.	Swaziland (Mbabane), Congo
Analytical and sector work	Integrates HIV/AIDS into ongoing analysis of a sector (e.g., transport) or into a larger piece of urban analysis (e.g., service delivery, business climate) in order to identify the HIV/AIDS issues that may then be addressed more strategically through follow-on projects or by other partners. **Rationale:** HIB/AIDS is a development issue that impacts all sectors and has significant implications (in the short and long term) and is therefore a logical issue to integrate into any analytical work.	Lesotho EA, Nigeria, Senegal, South African Cities Network (SACN)

Source: Schuler et al. (2005).

Cultural Heritage in the Urban Sector

Preservation of cultural assets can create the possibility of generating income from heritage tourism, creating synergies for urban regeneration. From the social perspective, heritage conservation inculcates community awareness of identity and thus is an important agent for social mobilization and empowerment. As of 2007, the World Bank had a portfolio of about 40 projects either dealing with cultural components or specifically designed for the conservation, management, and economic use of cultural heritage (World Bank 2007b).

Conservation projects that originate among the elite have less chance of becoming sustainable over the long term than projects that originate in broader community concerns. The economic sustainability of such projects can be enhanced by devoting, where possible, urban heritage to social and economic uses by the population, an approach that can generate sustained routine and preventive maintenance (Rojas and De Moura Castro 1999).

While successful rehabilitation of historic sites and areas attracts new residents and encourages economic activity by boosting land and building prices, it can put the poorest members of a community at risk of losing their dwelling location. This location often plays a crucial role in their ability to access economic and social opportunities. From the perspective of social equity, therefore, cultural heritage projects need to consider how to mitigate the adverse social effects of gentrification by establishing, for example, links with complementary national low-income housing, microenterprises development programs, and the transportation network. Another reason why mitigation planning is essential is that gentrification can erode political support for conservation (Rojas and De Moura Castro 1999).

Urban upgrading projects that require resettlement or land acquisition can have a severe impact on the economic profile of project stakeholders, resulting in their alienation and social resentment. Projects designed to attract private participation should thus be aware of the potential for the commercial exploitation of stakeholders. One common method to offset this risk is to combine community commercial participation with a smart subsidy during the initial project period.

Because unplanned redevelopment may result in the loss of cultural identity, urban development projects require strong local underpinnings that keep communities attached to the projects. Technical assistance and training programs designed to maintain community participation, for example, should form an integral part of such projects.

Finally, large-scale projects for tourism development should consider the risk that increased tourism could cause adverse health consequences, such as higher rates of HIV/ AIDS infection. Initial community responses derived from information drives and other public awareness initiatives should be integrated into the project concept for such projects.

IV. ANALYTICAL FRAMEWORK FOR URBAN SOCIAL ANALYSIS

The *Social Analysis Sourcebook* (2004) mentioned in the Preface of this Note lays out the importance of social analysis in all sectors and cross-thematic areas in which the World Bank works. The social impacts of urban sector projects are particularly complex and multi-dimensional. The integrated nature of many Bank urban projects and programs requires social scientist staff to have wide-ranging operational knowledge of various sectors (e.g., transport, energy, human resources, education, health, water and sanitation, etc.), project objectives, and even geographic settings (e.g., a coastal resource management project that involves urban areas).

Similarly, the multi-scale, multi-level nature of urban interventions require social scientists to bring cross-disciplinary skills to bear on government capacity building, policy frameworks, and regulatory reform, as well as on local-level institutions (e.g., community and municipal organizations), participatory processes, and conflict resolution mechanisms. Moreover, the social problems generated by urban projects can occasionally be overwhelming, given that stakeholders are often competing for limited resources or space. To add to these difficulties, funding is rarely available to address every concern of a stakeholder, much less every stakeholder.

In addition, particular sectoral nuances may increase the value and relevance of social analysis to urban projects, challenging all specialists engaged in this analysis to provide practical, targeted, and timely inputs and recommendations. Whether serving on a project task team or supporting a World Bank urban operation, the social scientist engaged in upstream project concept note (PCN) reviews or downstream project supervision needs to know how to navigate urban social issues with sound analytical skills, together with sensitivity to the partner country and the Bank's country team.

The social analysis agenda of the Bank has become increasingly more systematic and upstream. One goal of the Bank's Social Development Strategy, for example, is to improve social analysis at the macro level by incorporating social development into country poverty reduction or development strategies, policy dialogue, Bank Country Assistance Strategies, and Bank-financed policy lending. Such an upstream approach is efficient and potentially offers cost savings to the client.

Among the many approaches that "macro social analysis" can adopt, several are applicable to Bank-supported urban operations that involve policy or regulatory reform. These include:

- **Poverty and Social Impact Analysis (PSIA)**. This type of analysis examines the distributional impact of policy reforms on the well-being of different stakeholder groups, with an emphasis on the poor and vulnerable. PSIA utilizes multiple social and economic analytical tools and is conducted ex-ante to inform the design of reforms and address both the risks to their implementation and the risks their implementation may create. Although many PSIAs have focused on rural settings in Africa, a few have been applied to urban areas. These analyses include the Albania Municipal Water and Wastewater Project, in which a PSIA was conducted to assess the impacts of water sector reform, especially in terms of consumer satisfaction with water supply and sanitation services in urban areas; and the Morocco National Slum Upgrading project, which used private sector participation to assess whether the program design and upgrading modalities were aligned with the needs and demands of beneficiary households.

- **Country Social Analysis (CSA)**. This type of analysis involves the identification and examination of development opportunities, constraints, and risks that arise out of the social context of a given country. A CSA can be undertaken as stand-alone analytical work or as an integral part of other diagnostic Economic Sector Work (ESW). Because it can lay the groundwork for specific policy and program recommendations or provide inputs for a Poverty Reduction Strategy Paper (PRSP) or Country Assistance Strategy (CAS), this type of analysis should be done upstream.

Box 11. Key messages: Country Social Analysis

CSAs: Lessons Learned and Recommendations
1. Maintain a simple but flexible analytical framework.
2. Engage local government and civil society in identifying key analytical issues, conducting analysis, and any analytical follow-up work.
3. Make sure that the timing of the analysis is appropriate.
4. Include an analysis of the informal sector and everyday, "unspoken" problems.
5. As a long-term goal, aim to create local knowledge networks that enable countries to analyze and monitor the improvement of selected social issues over time.

Challenges:
- Making the analysis operational, i.e., linking it to key policy documents or local policy processes.
- Determining the appropriate timing, format, and monitoring of a CSA.
- Addressing time and resource constraints that prevent donors from both long-term engagement in reform and gaining deeper knowledge of the social and political factors at play.
- Building better partnerships with government counterparts regardless of the sensitivity of the social issues that are analyzed.
- Strengthening donor collaboration at all stages of analysis.

Source: World Bank (2006c).

Detailed guidance on the use of these two analytical tools is beyond the scope of this note. Nevertheless, it is important to note that social scientists working on Sector-Wide Approaches (SWAPs) or Development Policy Lending (DPLs) projects will need a considerably expanded "tool kit" for social analysis. To begin with, they need to be familiar with the issues of public policy formulation and to be able to identify political economy risks (see below).

The basic goal of the social scientist working on an urban project, or on any Bank-supported intervention for that matter, is to design and sustain operational products and processes that alleviate poverty. To be effective, such products and processes must promote equality of opportunity and access, socio-cultural compatibility, genuine participation, strong institutions, social risk management, and social impact monitoring and evaluation. In the context of an urban intervention, social analysis offers:
- modes of inquiry that call attention to salient social issues and raise questions that lead to more inclusive project design, sound institutional arrangements, fewer social risks, and ultimately, more sustainable project outcomes; and

- methods and tools that capture vital information about socio-cultural dynamics at different phases of the project cycle, thereby providing continuous feedback and ensuring that the project meets its poverty alleviation objectives.

A social scientist's location, designated role, experience, and abilities will determine how he or she applies the concepts, methods, and tools of social analysis. Analysts who are positioned sufficiently upstream (whether at the Bank or in public or civil implementing entities) will be able to participate in the critical task of prioritizing investments and selecting and designing interventions. This group includes social scientists working as project team leaders for projects that have urban components. Analysts who work on downstream technical advisory or review functions (e.g., safeguards reviews) are more likely to deal with interventions that are at varying degrees of development, but set in terms of their design and objectives. Nevertheless, the judicious use of social analysis at this stage can provide information that can be used to track project performance (especially its social aspects) and provide inputs and advice to project authorities, task teams, and Bank managers, as needed.

Five Social Analysis Entry Points

To ensure that social analysis provides an accurate and comprehensive view of urban projects, the World Bank uses five conceptual entry points to structure consideration of the social opportunities, constraints, and risks of different types in urban operations:
- social diversity and gender
- institutions, rules, and behavior
- stakeholders
- participation
- social risk

The following discussion reviews the distinguishing features of each of these entry points as they relate to the urban sector.

Social Diversity and Gender

Socio-cultural diversity[6] is a vitally important entry point for urban issues. Dealing with diversity at the local level is an integral part of doing analysis, whether it takes the form of community-driven development, the upgrading of slums, reform of water and sanitation services, or urban bikeways and walkways. Urban areas are typically occupied by diverse groups of people. Each of these populations can be analyzed and understood in terms of the social capital they have built, based on their shared historical experience, belief systems, family ties, reciprocity relationships, and division of labor among groups (e.g., caste systems). Far from being unitary, each distinct group can demonstrate significant internal divisions, based on shifting relations of power and interest.

In urban areas where energy or water-related conflicts emerge between local communities and the government or other outside entities, it can be very helpful to understand the racial, ethnic, or religious dynamics involved to anticipate how the conflicts might play out. The same is true for disagreements among different levels of government, or between government and private sector actors.

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[6] For an overview of gender disparities and gender equality, see World Bank (2001).

Gender is a particular expression of socio-cultural diversity that "cuts across" the categories of discussed above. Analyzing gender differences means recognizing the relative roles, rights, and responsibilities of both men and women on one hand, and appreciating the constraints, risks, and exclusion experienced by women, on the other. In many developing societies, men have a dominant economic and social position in community decision making, whereas women have a dominant role in household-related decisions.

Box 12. Gender, caste, and ethnic identity in Nepal

The political environment in Nepal has been characterized by great uncertainty as the country struggles to sustain its fledgling democracy while insurgents representing both the Maoist and the King's constituency demand greater shares of power. The first task of the Gender Social Empowerment Analysis (GSEA) in Nepal was to frame the formal and informal rules of the game, as well as the institutional context, of the country. The analysis identified three interlocking social institutions—caste, ethnic identity, and gender— that had a major influence on the distribution of assets and opportunities. Another goal of the GSEA was to determine the mechanisms through which the rules of the game trigger social exclusion. (No previous analysis had researched the relationship between exclusion and the caste system.)

Using existing local data sources, including a national census and household surveys, as well as a certain amount of primary data collection, the social analysis established a link between social exclusion and poverty. Poverty levels appeared to be almost twice as high among disadvantaged groups, with upper-echelon castes exhibiting a 15 percent higher per capita consumption that could not be explained by factors other than caste.

A major lesson learned from the social analysis was that effective policy research must be conducted simultaneously while engaging in operational work and policy dialogue with the host government over an extended period of time. This approach enables donors to become more aware of the sources of resistance to their policy recommendations and be better able to discuss and overcome these obstacles. Building alliances and overcoming elite resistance are the main challenges of this work. Another important lesson learned is that NGOs can be very helpful in the partnership building process. A flexible attitude toward policy actions—being a "ninja" rather than a "planner"— is also imperative to push forward new donor priorities. Since the agenda of inclusion implies a cultural shift in most countries, donors must be tactful and understand the social dynamics of a specific country in depth before trying to influence it.

Source: World Bank (2006e)

Institutions, Rules, and Behavior in the Urban Environment

Institutional analysis examines the rules of the game that govern group behavior and structure the incentives in political, economic, and social spheres of life (consistent with the definition of institutions by North (1990). These rules – whether formally constructed into laws or regulations or informally embedded in cultural practice – mediate and may distort, sometimes fundamentally, the intended impacts of projects and policy reforms (World Bank 2007c, pp. 4-5). Failure to account for them can lead to an operational design that is unworkable or make a project susceptible to conflict or corruption.

The quality of the institutions, on which the project implementation depends (e.g. their efficiency, non-discriminatory functioning, transparency and accountability), has direct implications for the project results as confirmed by a number of World Bank studies on public sector governance (see Gasmi et. al. 2006; World Bank 2005; Shah 2007).

Institutional analysis conducted for an urban project might entail examining the relationships among formal organizations e.g. government agencies, NGOs, donors and coordinating bodies engaged in the project, or the accountability channels within them that are relevant to the success of

the project. It may also involve a consideration of national legal or regulatory frameworks that influence the way in which utilities are regulated at the urban and/or neighborhood level.

In summary, an institutional analysis means: (i) identifying the norms, rules, and codes as they are set and perceived by all groups and organizations involved in the project; and (ii) gauging the influence of these rules on actual behavior. While not all measures related to improving the quality of institutions are within the power of task team leaders, some measures such as capacity training of key staff or transparency requirements linked to certain transactions can be identified by means of institutional analysis and implemented during the project.

Box 13. Social analysis in Haiti—Accountable institutions first, development next

Haiti is among the world's most densely populated countries and is experiencing rapid urbanization. The Haiti Country Social Analysis accordingly examined three components of the country's conflict-poverty trap: (i) demographic and socioeconomic factors at the individual and household level; (ii) the institutional capacity of the state to provide public goods and manage social risks; and (iii) the agendas and strategies of political actors. Most demographic and socioeconomic indicators in Haiti reveal an elevated potential for violent conflict, especially considering the country's large young population and high rate of youth unemployment. In terms of employment, about 83 percent of the working population of Haiti is self-employed or works in the informal sector. Given the absence of a comprehensive public education system, economic prospects for the future are grim. Access to non-labor income is very high—Haiti is the world's top receiver of remittances, which are sent to about 30 percent of the population.

Overall, government involvement in public services is minimal. Economic indicators reflect pervasive development neglect not only by the government, but also by external donors and investors, which have been quick to withdraw assistance in the face of conflict and heightened risk. Nevertheless, Haiti exhibits significant social resilience. The majority of the population lives in peace and human security has improved over time despite political instability on the state level.

The state's institutional capacity to provide public goods has been limited by financial constraints, including a weak domestic revenue base and unstable external financial flows. Public expenditures have not been well prioritized, leaving public education, health, and infrastructure greatly under-financed—well below the average for low-income countries. Most basic services are, in fact, now provided by non-state actors. The weakness and corruption of the police and judiciary also contribute to the malfunctioning of the state.

The politicization of state structures in Haiti is one of the main reasons for their poor performance. In 1986, the ouster of long-time President Jean-Claude Duvalier provided a window of opportunity for establishing more democratic governance in the country. The Constitution of 1987 consequently established a clear separation of executive, judicial, and legislative power and introduced a decentralized governance system. Yet the highly polarized political environment and class structure of Haitian society, which has historically supported an elitist system, prevented the country from achieving the political stability conducive to development. Haitian politics continues to swing between the twin dangers of elite capture and populism.

The multifaceted crisis in Haiti—socioeconomic, demographic, and political—made it difficult to focus the World Bank Country Social Analysis on only a few major issues and concrete policy recommendations. The overarching conclusion of the CSA team was that Haiti needs good leadership before it can benefit from external development assistance. The main policy focus should thus be restoring key state functions, e.g., the provision of public services. Other policy recommendations, for both donors and the government of Haiti, include institutional capacity building and, in the long term, fundamental institutional reform. Donors need to remain engaged in the country over time to ensure the success of their projects. Finally, national planning and international assistance should build on the existing International Cooperation Framework for Haiti to better prioritize the distribution of resources, as well as effectively monitor the progress of development projects and share accountability for results.

Increasingly, institutional analysis in the urban sector does not just consider micro- and meso-level interrelationships. Climate change and the urban environment are making questions of institutions and governance at the macro level just as critical. Growing public and scientific awareness of the links between global environmental quality and human needs is only part of the reason for the broader analytical focus. The impulse to leverage scarce financing and enhance its effectiveness by scaling up successful interventions and working through public-private partnership also explains the shift.

These trends have combined to put urban sector specialists in touch with a relatively new set of concerns, such as lack of public accountability, perverse incentives, weak governance, sectoral disarticulation, etc., along with a need to devise appropriate strategies, methods, and tools to deal with these concerns. Investing effectively in urban projects accordingly requires donors to consider a host of policy and regulatory issues that affect the management of resources, including property and access rights, subsidy arrangements, taxation laws, regional investment policies, and safeguard policies. Basic "enabling conditions," moreover, are needed to create the political climate for proactive policy change.

Box 14. Climate change and cities

Understanding the synergy between the two major drivers of global change—climate change and urbanization—is of vital importance to the future well-being of the human population. There are three compelling reasons why it is particularly useful to think about climate change in terms of its relationship to urban centers:

- Over 75 percent of energy consumption is directly related to cities, which are major emitters of greenhouse gases, both directly (e.g., via heating and electricity use) and indirectly (e.g., via the carbon embedded in manufactured and agricultural goods).

- Given the high density of both populations and economic activity in urban centers, cities can be highly vulnerable to the impacts of climate change, such as flooding, drought, and heat waves.

- Cities have great potential to promote innovative solutions to the problems of climate change, both in terms of technological/infrastructure adaptations and emissions reductions.

Today, urban development needs to be elaborated within the global context of climate change, and thus incorporate (i) adaptation strategies to better cope with climate impact, and (ii) mitigation strategies to reduce greenhouse gas emissions. The Urban Integrated Assessment Framework (UIAF) developed for the Tyndall Cities program is a useful assessment tool that enables urban planners to assess a number of adaptation and mitigation options within a common framework. While the UIAF has limitations, it allows urban policy makers, planners, engineers, and other stakeholders in urban development to consider how cities may grow while reducing both their emissions and vulnerability to climate change.

Reference: Dawson et al. (2007); British Council (n.d.).Document3

Stakeholders in Urban Projects

One of the first steps in conducting social analysis for an urban project is to consider the individuals and groups that have an interest, or "stake," in decisions affecting the project.[7] Stakeholder analysis is an effective way to identify the full range of actors in public, private, and civil sectors that either have something to gain or lose from a proposed urban intervention, or are in a position to influence it.

The individuals who comprise stakeholder groups can be associated through formal or informal ties, and thus constitute both formal and informal institutions. They can be directly involved in an intervention or external to it (as in the case of the media), and they can either support the intervention or wish to subvert it. The range of stakeholders in a given project depends on a number of factors, chief among them, the approach, scale, source of financing, and sector focus of the project. For example, in an urban education project, the poor, people with disabilities, teachers, families, private businesses, and government ministries would likely be important stakeholders, whereas an urban slum upgrading project might involve citizen groups, private industries (including micro-factories operating in the slum), and several bilateral donors.

Because urban projects are often intertwined with local politics, stakeholder analysis must consider governance structures and the power dynamics of local stakeholder relationships. Since urban issues that are addressed by purposive interventions tend to have multiple stakeholders with overlapping or competing interests (e.g., economic, social, or political), it makes sense to build a list of stakeholders based on their perspectives of winners and losers. Once it is determined who the relevant stakeholders are, the social scientist can compare their interests and relative influence on urban policies through the use of a matrix.

In order to assist key stakeholders—be they in the public, civil, or private sectors—to work together in pursuit of urban project goals, social development specialists need to provide strategies and frameworks for viable consultation, participation, negotiation, and conflict management. The particular participation strategies will depend on the range of stakeholders, which in turn will depend on project objectives and the scale at which participatory processes are likely to operate. After determining these parameters, the social scientist is able to examine how different stakeholders could participate in the urban project, as well as how their assets and capabilities could be leveraged to increase participation activities that already exist in the project area.

Participation

Participation is the process through which stakeholders influence and share control over priority setting, policy making, resource allocation, and access to public goods and services.[8] When using participation as a dimension of social analysis, the analyst must first examine the degree to which

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[7] For concepts and examples of stakeholder analysis, see the "Tools and Methods" section of the World Bank webpage on social analysis: http://www.worldbank.org/socialanalysis (accessed November 2007).

[8] For more on participation as part of the social analysis process, see "Chapter 2: The Scope of Social Analysis," of the online edition of the *Social Analysis Sourcebook* (World Bank 2003), http://www.worldbank.org/socialanalysissourcebook/SocialAnalysisSourcebookFINAL2003Dec.pdf (accessed November 2007). For more on the underlying concepts, tools, and methods related to participation, visit the World Bank participation and civic engagement website at http://www.worldbank.org/participation (accessed November 2007).

social groups affected by a program or project can participate in the opportunities created by it. He then studies existing modes of participation to improve the effectiveness of stakeholder participation.

Social analysis is concerned not simply with ensuring that participation happens, but also with quality participation. Projects in the Bank's urban portfolio have, for example, been using participatory approaches to solve water, energy, education, and health issues. For every project that adopts a collaborative approach or aims at community empowerment, several never get off the ground. When participation is not rushed or superficial, it tends to be confined to the preparation stages of a project. Few projects, however, have made use of participatory monitoring and evaluation mechanisms. For anyone familiar with the vast literature on participation, the reason for this under-performance is recognizable: a continuing tendency to treat participation as an "add on" to a project, rather than as an instrumental element of project design.

Box 15. Community participation in urban water management in Brazil

Efforts of the government of Brazil to provide water supply and sanitation (WSS) services to more people in the 1970s and 1980s had little impact on the urban poor. In many cases, they continued to have no access to these services. In 1988, the national government developed a new approach to delivering WSS services to this target group, one that involved direct community participation. The First Water Supply and Sanitation Project for Low-income Populations, or PROSANEAR I, was launched with a World Bank loan of US $80 million. From 1988 to 1996, the project scaled up a participatory approach to delivering water and sanitation services (WSS) to the urban poor in Brazil. In addition to providing one million poor people with piped water and sanitation service, the project also contributed to building stronger communities, demonstrating that WSS can be an integral part of local development plans.

Grounded in cost-effective technology and community participation, PROSANEAR I was in reality was not a single project, but dozens of separate projects in many different communities around the country. Each project was the product of the collaborative work of neighborhood residents, engineers, consultants, and officials of the local water agency. Implementation of the projects was carried out by local executing agencies, with assistance and oversight from both regional and national coordinating units. Instead of expensive, conventional, high-tech systems, neighborhoods were give a choice of a range of simple, innovative systems that made water supply and sanitation more affordable and more technically appropriate for poor and crowded settlements. In many places, for example, groups of households were batched together in a creative "condominium" approach that made water and sanitation networks more efficient and affordable by providing a more rational layout of collector sewers in people's backyards, which permitted the networks to be laid at shallower depths. In addition, implementation forged new bonds among neighbors. The project also sought to create a more permanent impact by mobilizing local women's, sports, and religious clubs to educate people about the importance of sanitation and to train residents how to operate and maintain their new systems.

Source: World Bank website: http://go.worldbank.org/QJVMV90C10

Social Risk

Of the five possible types of social risks[9] inherent to urban operations, three—vulnerability risks, political economy risks, and institutional risks—are project specific. Vulnerability risks tend to be

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[9] For information on social risk analysis, please see Chapter 2 of the online edition of the *Social Analysis Sourcebook* (World Bank 2003),
http://www.worldbank.org/socialanalysissourcebook/SocialAnalysisSourcebookFINAL2003Dec.pdf
(accessed November 2007).

the most common and are discussed in more detail below. Political economy risks mean that powerful stakeholders may act to undermine project implementation or capture project benefits, as in cases of insincere attempts at decentralization in which decision-making power over local urban neighborhoods remains in the hands of a central government ministry. Institutional risks include inappropriate institutional arrangements, weak capacity, and project complexity, as is the case with integrated urban development projects that encompass an unwieldy number of components and must meet multiple conditionalities.

Two other types of social risk—country risks and exogenous risks—are often beyond the control of project authorities. However, since such risks derive from the context in which a project is prepared, they must be considered in social analysis and addressed during the project appraisal stage. Country risks could, for example, include a potential domestic political crisis or an increase in social tensions. Examples of exogenous risks are the threat of war at the regional level, shocks to the external environment (such as a natural disaster), or a regional economic crisis. The World Bank has created a Conflict Analysis Framework[10] based on a number of indicators that are especially useful for determining a society's sensitivity to conflict. If most or all of the conflict indicators are present, it is recommended that a more detailed conflict analysis be conducted prior to undertaking a project.

In addition to country and exogenous risks, numerous vulnerability risks may arise in the context of an urban project, no matter what its type, size, scale, or objectives. Stakeholder and institutional analyses are valuable for identifying these types of risks. A community-driven development project that aims to change resource ownership or resource arrangements could, for example, have a profound adverse impact on indigenous peoples in a particular area, particularly if the cultures of these peoples have been weakened by historical patterns of discrimination or marginalization. In such an instance, the analyst would attempt to predict the degree of adverse impact that project actions could cause and propose, insofar as possible, measures to prevent or mitigate these adverse consequences.

A plethora of additional tools and techniques can also be used to assess and manage project-specific social risks that crop up in urban operations. Emergency Recovery Loans and similar operations (used in cases of earthquakes or floods), for example, have built-in risk mitigation components. A gender assessment can identify the potential for a project to negatively impact one or both genders. Project managers generally use this type of assessment to ensure that urban interventions do not place poor women and children at a further disadvantage in situations where gender-based disparities in access to education, health, and transport services may already exist. Another social risk that should be considered is the impoverishment risks associated with the forced removal of populations from their home or economic base. The Bank has pioneered a framework to gauge and counteract these risks, which draws on elements of the Bank's safeguard policy on involuntary resettlement.

The World Bank's safeguard policies have, in fact, provided the most concrete tools for identifying and addressing social risks in urban projects. These policies are "concrete" in the sense that, where they apply to a particular project, they require both the task team and the client government to carry out a series of specific measures aimed at preventing and mitigating undue harm to people and the

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[10] See World Bank, *Conflict Analysis Framework* (draft), World Bank, Washington, DC, 2005, http://siteresources.worldbank.org/INTCPR/214574-1112883508044/20657757/CAFApril2005.pdf (accessed November 2007).

environment as a result of Bank-supported operations. Not only do such policies mandate specific assessments, instruments, and//or plans and mechanisms, their great advantage is their broad coverage. With few exceptions, all operations financed in whole or in part by Bank loans or guarantees must be screened for safeguard-related impacts. When a safeguard is triggered, therefore, it creates what could be considered an operational entry point for social assessments, allowing a project that would not otherwise conduct such assessments to incorporate at least a limited amount of social inquiry into its design.

A number of safeguard and related operational policies can be triggered by an urban project, including those on indigenous peoples (OP/BP 4.10), physical cultural resources (OP/BP 4.11), and involuntary resettlement (OP/BP 4.12). These policies tend to be of greatest concern to social development specialists. While mandatory, the application of Bank safeguard policies does not usually give social scientists the chance to go beyond a "do no harm" approach as a minimal acceptable standard. To really deal with the social risks and opportunities of urban projects, however, a broader social analytical approach must be brought to bear on the issues involved. Part VI describes how this can be fruitfully achieved at each stage of the project cycle.

V. INTEGRATING URBAN SOCIAL ANALYSIS INTO THE PROJECT CYCLE

Upstream and/or macro-level analysis at the country, regional, or sector level is conducted by the Bank to support the development of Country Assistance Strategies (CAS), city development strategies, policy formulations, and sector strategies. In the case of a CAS, a detailed overview of disability issues at a national level may, for example, be highly effective in integrating awareness of disability concerns into both the public and private spheres. Another important upstream analysis is the Country Gender Assessment (CGA), in which the Bank and borrowing countries participate in a collaborative process to analyze the gender dimensions of development and identify gender-responsive policies and actions critical to poverty reduction, economic growth, human well-being, and development effectiveness in a given country.

A wide range of other data sources and inputs may also inform this level of analysis, including Poverty Reduction Strategy Papers (PRSPs); Country Social, Poverty or Environmental Assessments; Economic and Sector Work (ESW); international databases; existing client country documents and studies; and consultations with line ministries, NGOs and others. An analysis of disability may be informed, for example, by previous analytical work on disability at the country or sectoral level, organizations representing people with disabilities, and NGOs that work with this target group.[11]

Project-level social analysis is undertaken by the Bank to identify and appraise specific projects. This type of sociological analysis evaluates a project's likely opportunities, constraints, and impacts, and assesses whether its probable social development outcomes justify Bank support. Like macro-level analysis, project-level analysis draws on a variety of sources, including upstream work, together with materials from partner agencies and in-country analysts, to evaluate project risks and benefits, including whether a project furthers the Bank's social development goals of social inclusion, empowerment, and security.

Social assessments, which gather the views of all stakeholders, are undertaken by a borrower in order to improve project design and establish a participatory process for project implementation and monitoring. They are generally conducted prior to the project appraisal stage. These assessments enable borrowers to weigh the likely social benefits and costs of proposed projects.[12] In many projects, this type of assessment also creates a framework for beneficiaries to participate in project preparation, implementation, and monitoring, and thus give voice to the poor. At the same time, social assessments ensure that project objectives are acceptable to the range of people that the project intends to benefit.

Project Identification and Design

The Project Concept Note (PCN) is a logical starting point for identifying the social issues associated with a proposed urban project, so that the project design can effectively propose steps to achieve its stated social development outcomes. The PCN must include indicators that can be used to monitor development outcomes (including intended social benefits) and risks.

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[11] See the World Bank website on disability, www.worldbank.org/disability (accessed November 2007).

[12] A social assessment may be conducted directly by a borrower itself, or by external consultants contracted by the borrower.

A project team could, for example, conduct a Rapid Social Assessment (RSA) to identify the range of social issues involved in a proposed project, including its potential impact on urban issues. (The team would also develop indicators to monitor this project impact.) A shorter, upstream version of an extensive social assessment, an RSA primarily involves a review of existing data sources, but may also incorporate fieldwork, depending on time and budget constraints.

Table 3. RSAs and urban issues

Social diversity and gender	Do different sub-groups (indigenous groups, religious or ethnic groups, socioeconomic strata) have different needs?
	What groups are the most socially excluded?
Institutions, rules, and behavior	What formal and non-formal institutions prevent or promote participation?
	To what extent do sub-groups participate in formal and non-formal institutions?
	Are there any opportunities to promote participation through the formal and non-formal institutions that exist in the project area?
	What other venues can the project promote for participation at the local and national levels?
Stakeholders	Who are the stakeholders in the project? Do they support or oppose the project?
	Does the project threaten the interests (actual or perceived) of certain stakeholders?
	What potential conflicts among stakeholders might the project create?
Participation	Will stakeholders and beneficiaries formally participate in the project?
	Is there a likelihood of elite capture?
Social risk	Are there any significant local, regional, or national risks related to particular urban issues? What measures can be taken to minimize or avoid these risks?

The findings of a rapid social assessment feed directly into the selection and structure of a PCN. They also provide inputs for a more detailed social assessment at the project preparation stage. The Project Information Document (PID) is usually the first opportunity for those outside the Bank to learn about a project that has been conceptualized, as well as to contact the project team if they wish to bid for work or be involved in the project in other ways. Highlighting social issues in the PID thus becomes an important means of alerting relevant Bank and in-country experts with poverty or vulnerability expertise to the existence of a relevant project. In the case of disability concerns, for example, the more disability experts are brought into a project, the more efficiently and effectively disability-related project components will be implemented.

Quality at Entry (QAE)

Assessments of Quality at Entry (QAE) represent another important opportunity to include poverty and vulnerability issues into project analysis. These assessments are carried out for a sample of new lending operations, chosen at random in selected years, soon after Board approval of the projects. The purpose of a QAE is to: (i) maintain accountability for quality by providing real-time information to management and staff on overall quality of operations at –entry, as well as compliance with Bank safeguards and fiduciary policies; (ii) identify systemic issues than affect

development impacts and the quality of future operations; and (iii) improve and disseminate targeted learning in key selected key areas of operational quality within the Bank.

The Quality Assurance Group (QAG) of the World Bank assesses quality at entry of projects based on a few broad questions:

- Are we doing the *right* things? Are the project objectives worthwhile? Are the risks commensurate with potential rewards?

- Are we doing *things* right? Is the project likely to achieve its development objectives?

- Is the *story line* clear and coherent? Are the underlying logic and results framework clearly articulated?

The assessment focuses on these questions to evaluate initial eight major dimensions of project quality:
- strategic relevance and approach
- technical, financial, and economic aspects
- poverty and social aspects
- environmental aspects
- fiduciary aspects
- policy and institutional aspects
- implementation arrangements
- risk assessment and management

Project Preparation

Good baseline data on social issues and social relations are essential both for identifying disability issues and assessing the local "enabling environment" of a given project. Based on the social issues highlighted in the PCN, a detailed social assessment may be conducted at the project preparation stage. The borrower is normally responsible for this social assessment, although the analysis may be conducted either directly by or in consultation with the World Bank.

Table 4. Social assessment, vulnerability, and poverty issues

Social diversity and gender	Will the project community benefit? What specific benefits will they receive?
	Does the project seek to identify and respond to the needs and priorities of the various sub-groups of the project community (e.g., poorer members of the community, ethnic and religious minorities, etc.)? Can common community needs be used to reconcile differences of interest?
	Will the project enhance the capacity of institutional and organizational structures to respond to the needs of the vulnerable and the poor?
	How do local cultural traditions and social expectations define gender roles? In what ways do these roles differ?
	Are there socially disadvantaged groups in such areas as power relations, decision making, and the ability to influence others?
	What is the proportion of female-headed households? Are these households significantly poorer than households headed by men?
	Are there differences in gender relations between community sub-groups (e.g., indigenous groups, people with disabilities, religious or ethnic groups, socioeconomic strata) that should influence project design?
Institutions, rules, and behavior	What implications do the identified social issues have for project success? for its social development outcomes, such as social equity and cohesion?
	What institutional arrangements, organizational structures, and social norms support or constrain the productive activities of poor or vulnerable people?
	Do the urban poor participate equitably in leadership and decision-making processes in institutional and organizational structures, such as legislative and governmental agencies at the national, regional, and local level?
	How can the project strengthen or modify existing social structures and processes? How can it utilize existing organizational resources to increase inclusion of the poor and vulnerable, as well as enhance project sustainability?
Stakeholders	Does the project provide opportunities to create new organizations that promote engagement of the urban poor?
	Does the project include the urban poor and the vulnerable as stakeholders? Do they support or oppose the project?
	What degree of influence are they likely to have on the project?
	Are there urban issues of specific relevance or importance to social sub-groups (e.g., ethnic minorities, the extremely poor, gangs) that should be addressed?
	Does the project threaten the interests (actual or perceived) of certain stakeholders?
	How can the project avoid or minimize potential conflicts of interest and promote social cohesion?

Participation	Are there stakeholders (e.g., NGOs, village committees, etc.) that might be expected to actively promote the poverty-related goals of the project? How can their contribution be secured? Are there stakeholders that might hinder project goals for the urban poor?
	Will the urban poor or vulnerable groups formally participate in the project not only as beneficiaries, but also as active participants in project design, planning, and implementation?
	What specific project components will ensure their involvement?
	How can "project capture" by elite subgroups be avoided?
	How can the project be designed to strengthen the individual capabilities of the urban poor and vulnerable groups (e.g., by providing experience in leadership roles and project management, as well as opportunities to work with governmental and administrative bodies and community-based groups)?
	In what ways is the project likely to empower the urban poor or the vulnerable within the community? Does it offer them more opportunities in decision making in community development?
Social risk	Does the local, regional, or national environment pose threats to the project's ability to address issues of urban poverty? (Such threats may include socioeconomic crises, physical disasters, civil conflict, or unrest.) If such threats exist, how can poverty issues specific to the crisis situation be addressed?
	Does the project pose potential threats to any stakeholder by altering power relations (i.e., the balance of power or decision-making patterns, access to resources, etc.)? Could these changes lead to increased conflict? What measures can be taken to minimize or avoid these risks?

Integrated Safeguards Data Sheet (ISDS)

The Integrated Safeguards Data Sheet (ISDS) is a very important document for highlighting the project needs of the urban poor because it offers an the initial opportunity to discuss and determine whether the concerns of poor and/or vulnerable groups (e.g., people with disabilities, temporary migrants, youth) will be analyzed as part of the project design and review. Project actions and safeguard policies are particularly relevant to disadvantaged groups, given that environmental factors can either facilitate or impede project access and participation by such groups.

Box 16. ISDS is important for urban people with disabilities

The identification of disabilities issues through the ISDS is vital for three reasons. First, the ISDS represents the initial analysis of project environmental factors, including social issues associated with Bank safeguard policies. Second, this analysis leads to a potential assessment of project impacts on people with disabilities and the elaboration of possible mitigations to help avoid or reduce these impacts. Third, the ISDS brings several safeguard policies to bear on the project that have direct relevance to potential disabilities issues (OP 4.01: Environmental Assessment; OP 4.10: Indigenous Peoples; and OP 4.12: Involuntary Resettlement).

Early identification of disability issues is extremely important for project planning and design. In addition to the ISDS, the Bank's Public Disclosure Policy offers the project team another process for interacting with the public, NGOs, disabled people's organizations (DPOs), and other interested parties to gather important input on disability-related aspects of a project.

Inspection Panel

Established in 1993 by the Executive Directors of the World Bank, the Inspection Panel is an accountability mechanism for the Bank.[13] According to the Panel's website, its primary purpose is to "address the concerns of the people who may be affected by Bank projects and to ensure that the Bank adheres to its operational policies and procedures during design, preparation, and implementation phases of projects."

To comply with relevant social safeguard policies and procedures (discussed further below), the Bank may require the design and implementation of certain measures, such as a Resettlement Framework or Action Plan, or an Indigenous Framework or Plan. Whenever applicable, these policy instruments should also identify and address people with disabilities in the context of the project in question. Failure to comply with these measures can lead to a Request for Inspection by affected parties,[14] and, possibly, an investigation by the Panel to ascertain if the Bank followed applicable policies and procedures.

Social and Environmental Assessments

As noted earlier, Social and Environmental Assessments (SA/EA, see Bank OP 4.01), have great relevance to social issues in the urban environment because they provide an opportunity to review, evaluate, and document the impacts of a proposed project on vulnerable people and the poor, as well as identify possible mitigation measures, where necessary.[15] Additionally, assessments provide an opportunity to involve these target groups in assessment activities. An EA can, moreover, lead to legally binding project requirements documented in an Environmental Management Plan (EMP).[16]

For example, if urban populations with disabilities are affected by the project, the SA/EA process is critical to addressing vulnerability issues for four reasons:

1. At this phase, planned project actions are reviewed for their potential impact on people with disabilities and solutions to avoid (or mitigate) these impacts are then developed. Both the impacts and mitigations are documented.

2. The Public Disclosure Policy of the Bank offers the project team an addition process for interacting with the public, NGOs, disabled people's organizations (DPOs), and other interested parties to gather important input on disability issues.

3. Mitigations are made part of the official EMP through legal documents that will govern project implementation and supervision.

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[13] The Inspection Panel is actually the accountability mechanism for the IBRD and the IDA; the IFC has a separate mechanism.

[14] According to Inspection Panel rules, two or more people, or a representative organization, may file a Request for Inspection.

[15] Even if the impact of proposed project actions can be mitigated or reduced, an SA and/or EA must note the significant expected effects of a project.

[16] An EMP is a formal requirement for Category A projects in accordance with paragraphs 7 and 20 of OP 4.01 and paragraph 12 of BP 4.01. For Category B projects, the need for an EMP is decided on a case-by-case basis.

4. Project costs associated with disability issues are incorporated into the final project design and cost estimate. (It should be noted that these costs need not be particularly substantial; the earlier disability issues are incorporated into the planning stage, the lower these costs should be).

The breadth, depth, and type of EA will depend on the nature, scale, and potential environmental impact of a proposed project.[17] For example, if an urban transport project will have a significant impact on people with disabilities, the EA would address the following concerns:

- Any potential physical or social barrier created by the project that would impede people with different levels of functioning from interacting with a given environment (e.g., a natural environment of air, water, land; human health, safety, or other social good, etc.). This analytic framework, defines people with physical, sensory, or mental impairments as disabled not because they have a diagnosable condition, but because they are denied access to education, labor markets, public services, or the physical infrastructure of a society.

- The effects of potential exclusion and/or barriers that could lead to poverty and more disability by increasing individuals' vulnerability to malnutrition, disease, unsafe living and working conditions, or loss of livelihood.

- Preventive measures or actions to avoid the possible occurrence of physical, sensory, neurological, psychiatric, or intellectual impairments.

- Potential actions that themselves may not be disabling, but when taken together with other existing, planned, or foreseeable project actions (whether financed by the Bank or other funding sources) would have a substantial cumulative impact on vulnerable individuals or groups.

Project Appraisal Document

Social Assessment Project Inputs. The results of an SA are discussed in the Project Appraisal Document (specifically, section D.6 of the PAD) and summarized in one of its technical annexes. The possibility of conflict over resources, weak governance, and other risks are also discussed in the PAD (section C.5). If the appraisal stage did not involve a social assessment, then the PAD must identify the key social issues related to the project and how they will be addressed (section E.6).

The findings of a social assessment provide critical inputs to the Operational Manual (OM) of the project, with the social scientist who implemented the social assessment helping to prepare the operational manual, thus ensuring that social analysis findings are incorporated into it.

Social Assessment inputs to policy dialogue. The social issues documented in an SA can be reflected in the policy dialogue between the borrower and the Bank. Combined with data on a project's macro social context, the results of a rigorous social assessment can help inform a stand-

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[17] See OP 4.01, paragraph 2.

alone ESW or become an input for a Country Assistance Strategy (CAS) or Poverty Reduction Strategy Paper (PRSP).

Failure to address social issues within a Project Appraisal Document (PAD) and its associated technical annexes may result in their inadequate coverage in legal agreements. This omission could, for example, significantly inhibit the ability of the eventual Task Team and client country to achieve envisioned indigenous people-related objectives. Coverage of social issues within a PAD should thus provide guidance and clarity regarding:

- the project activities that will be undertaken;
- how these activities will be monitored; and
- specifically, how vulnerable or affected people will be involved and benefit as stakeholders in the project.

Ideally, special social issues should be mainstreamed throughout the PAD. The sections and sub-sections of a typical PAD in which urban poverty or other social issues might most appropriately be discussed are outlined in the following sub-sections.

Strategic Context and Rationale

- **Country and sector issues.** These sections of the PAD address the full inclusion of poor people as part of a partner country's poverty reduction strategy. This strategy might, for example, involve the removal of societal barriers that currently restrict the participation of vulnerable or marginalized people, indigenous peoples, or residents of urban slums.

- **Rationale for Bank involvement.** This section of the PAD addresses how Bank actions are consistent with current trends, as well as with the actions and policies of other international agencies and major stakeholders in urban poverty or social equity work.

- **Higher-level objectives to which the project contributes.** Incorporation of social issues into the project may relate to achievement of CAS objectives, as well as partner-country compliance with international obligations rooted in human rights and other treaties.

Project Description

- **Project development objective and key indicators.** If the urban poor are part of the primary target group, a PAD should indicate the principal outcome envisioned for this group and how progress toward achieving this outcome will be measured. (When considering issues of monitoring, due consideration should be given to ensuring that the poor themselves participate in project monitoring and evaluation.)

- **Project components.** Urban-related project components may be elaborated in more detail in this section, including target groups, objectives, and key inputs and outputs.

- **Lessons learned and reflected in the project design.** This section of the PAD may be used to indicate how a project incorporates current best practices (related to both social issues and development), as drawn from prior Bank work and that of other international actors.

Implementation

- **Partnership arrangements.** An increasing number of development agencies have developed policies to address urban poverty in their work. Such policies should accordingly be cited in the discussion of partnership arrangements.

- **Institutional and implementation arrangements.** In selecting institutions responsible for implementation, due consideration should be given to whether a given institution has the capacity to address urban poverty or other issues specific to the project, and whether additional institutions should be brought into the project to provide capacity in this regard. With respect to procurement, consideration should be given to ensuring that implementing institutions have access to appropriate accessibility standards (i.e., universal design) so that procurement purchases do not inadvertently lead to inaccessibility, for example, in project construction. Procurement arrangements should also ensure that the urban poor are not excluded from participation in bidding and acquisition processes.

- **Monitoring and evaluation of outcomes and/or results.** Project indicators should capture progress made in reducing urban poverty, community-driven development, and/or achieving social inclusion objectives—both during implementation and after a project is completed. Indicators should not inadvertently solicit project implementation actions that perpetuate outmoded and paternalistic approaches toward the poor or socially excluded groups. Additionally, the urban poor (or in the case of the reconstruction of slum dwellings, people with disabilities and their representative organizations) should be involved in the project monitoring process. Where necessary, these groups—together with representatives of other monitoring institutions—should be supported in improving their capacity to engage in monitoring.

- **Sustainability.** An important aspect of the sustainability of any project is the capacity of relevant actors to continue to promote project objectives. For example, in the case of slum upgrading, it is critical that a project facilitate the sustainable and effective engagement of important stakeholders, including government institutions that have traditionally ignored the poor or utilized outmoded and paternalistic approaches to address social issues.

- **Loan and/or credit conditions and covenants.** To the extent that any legal covenants are required to ensure implementation of project objectives, these should be referenced in this section of the PAD.

Appraisal Summary

- **Economic and financial analyses.** When assessing the financial soundness of a project, it may be necessary to show how costs associated with urban poverty relate to costs associated with the exclusion of urban groups. It may be helpful to provide

calculations for both the short and long term in order to highlight the fact that inclusion often entails an initial cost, but exclusion continues to generate costs for many years into the future.

- **Technical.** It may be relevant to reference best practices and/or international standards relating to the inclusion of socially excluded groups in this part of the PAD, as well as to discuss how the technical design or approach of the project complies with, or deviates from, those standards.

- **Fiduciary.** This section should show how cost-benefit analyses of social issues have been incorporated the project design (e.g., a cost-benefit analysis of the utility of addressing accessibility in the early stages of construction projects).

- **Social.** See section above entitled "Social and Environmental Assessments (SA/EA)."

- **Environment.** See section above entitled "Social and Environmental Assessments (SA/EA)."

- **Safeguard Policies.** See section above entitled "Integrated Safeguards Data Sheet."

- **Technical annexes.** The following technical annexes are appropriate places to include more detailed information on the social issues pertaining to a specific country and the steps undertaken by the Bank and others to improve these issues, as well as detailed economic analyses, supporting data, and monitoring and supervision frameworks that encompass the social components of a project:
  - ➢ country/ sector/ program background
  - ➢ major related projects financed by the Bank and/or other agencies
  - ➢ results framework and monitoring
  - ➢ detailed project description
  - ➢ project costs
  - ➢ implementation arrangements
  - ➢ financial management and disbursement arrangements
  - ➢ procurement
  - ➢ economic and financial analysis
  - ➢ safeguard policy issues (i.e., Indigenous Peoples Action Plans and Involuntary Resettlement Plans)
  - ➢ project processing
  - ➢ documents in the project file
  - ➢ statement of loans and credits
  - ➢ country at a glance
  - ➢ map(s)

Finally, the Quality Enhancement Review (QER) is considered the "definitive closure point" in the PAD drafting process. The elaboration of social issues in a PAD should thus be completed in sufficient time for these issues to be assessed by the QER.

Negotiation and Approval

If possible, the project social scientist or appropriate expert should participate in project negotiations to ensure that critical social issues (e.g., urban poverty, disability, youth, gender, etc.) in the proposed project are reflected in its legal covenants. The social scientist also needs to ensure that agreements on the rules and procedures for addressing social issues are included in its Operational Manual.

The Legal Agreement, as the embodiment of the final terms and conditions of project implementation, sets forth the responsibilities of the parties, including those components of the project that concern the most vulnerable groups. This agreement, therefore, provides an opportunity to clarify and specify roles, definitions, and standards that should be utilized in project implementation as it relates to social issues.

Effectiveness and Implementation

Once a project becomes effective, the operational value and relevance of social analysis increases. There are multiple examples of project interventions that appeared to have sound design, but were unsuccessful in achieving their social development objectives. A social assessment conducted during project supervision will capture vital information about sociocultural impacts at different stages of the project. These assessments provide continuous feedback on outcome indicators established for measuring project performance that can be used to make midstream adjustments to implementation arrangements.

Procurement processes and outcomes have relevance during the project cycle, especially for projects that address the urban poor or people with mobility issues (e.g., physically disabled people, elderly people, or people with psychiatric problems, certain medical conditions, those taking specific medications, or other people with limited access issues). Several factors of procurement should be addressed:

- **Impact on project outcomes.** Procurement practices can have a significant impact on the urban poor or people with limited access, especially when project implementation entails the purchase of goods and services and/or the construction of buildings or infrastructure. Those engaged in the procurement of equipment and supplies will have the opportunity to choose between selecting items that promote accessibility for all people. If projects are to avoid creating barriers that result in limiting the inclusion and participation of the urban poor or disabled people in society, procurement specialists must be aware of both relevant accessibility standards and client-country agreements on accessibility so that the procurement process supports access.

- **Equal opportunity in contract bidding.** The urban poor or those with limited access should not be seen merely as stakeholders in the outcome of projects, but as active and equal participants in project implementation. The procurement process should therefore be made accessible to ensure that marginalized groups have an equal opportunity to participate in the bidding process for procurement contracts. For example, meetings to discuss procurement bidding opportunities should be held in accessible locations and information related to the process should be accessible to people with mobility problems. It may also be necessary to conduct trainings for procurement specialists and task team members so that World Bank consultant hiring practices do not discriminate against

applicants with disabilities. Finally, in co-financed operations, it is recommended that donors review and agree on any disability standards promoted by them.

Supervision and Monitoring

Inclusive development and social analysis is not, nor should it be, a one-time event in the life of a project. Analysis needs to be repeated at given intervals during the implementation phase in order to monitor the progress of project components and to verify whether the project continues to be responsive to the issues previously identified or whether new issues have been uncovered.

The objective of supervision activities is to determine whether loan proceeds have been used in accordance with the purposes of a loan. In the context of inclusive development, this means determining whether the project has complied with the loan agreement provisions most relevant to the urban poor and/or other groups with special needs. In order to accomplish this task, the tools, policies, and guidelines utilized in supervision activities should ideally be inclusive of access issues, allowing supervision activities to automatically take disability-related issues into account. Furthermore, Bank staff must have access to accurate information regarding the nature and scope of implementation activities related to social inclusion issues.

Box 17. Project considerations for monitoring and supervision of social issues

- **Emphasize social issues** in the Terms of Reference for supervision missions and encourage borrower agencies to do the same for their project staff (see Annex 3).

- **Assign budgetary and time resources to facilitate the inclusion of the urban poor and vulnerable in project activities**.

- **Establish clear, explicit, and manageable objectives** for actions to address social issues within the project context. Specify the steps that must be taken to accomplish each objective.

- **Hold regular consultations with project staff** to keep social development issues visible and coordinate poverty-related project activities. If necessary, provide training for project staff on poverty and social vulnerability issues.

- **Involve project participants, especially the poor and the disenfranchised (e.g., people with disabilities, the elderly, the homeless)** in the process of developing and monitoring indicators to assess the implementation of socially-related objectives.

- **Assess progress in accomplishing social issue objectives** on a regular basis.

- **Build in flexibility during the implementation phase,** so that project components can be modified to respond to social vulnerability issues. Flexibility also enables projects to test promising approaches and expand successful strategies.

Social analysis thus serves to: monitor project progress in addressing social development issues; monitor participation; track poverty-related and social vulnerability project components and activities; identify successful strategies and/or processes; flag problems as they occur; and make needed changes as a project develops.

Table 5. Possible implementation monitoring indicators

Project goals specified in the project design	Do project components and activities correspond to social inclusion goals included in project plans? Are they based on the expressed needs and priorities of beneficiaries and stakeholders?
	Have responsibilities for carrying out socially inclusive activities been assigned to specific members of the project staff?
	Are opportunities for participation offered to targeted socially excluded groups in response to their expressed need and priorities, as stipulated in project plans?
Participation of socially excluded target groups	What proportion of the urban poor is involved in project management, including in key decision-making roles?
	What proportion of beneficiaries is poor or socially excluded?
	Do participants (e.g., as managers, implementers, and beneficiaries) include people from ethnic and religious minorities, and/or from poorer sectors of the community?
	What proportion of focus group participants are poor or part of a targeted group? Have they actively participated in group discussions?
	Have the urban poor, women, or other socially marginalized groups participated in project activities and management?
	Have arrangements been made to enable these groups to attend project meetings and activities? (That is, have work schedules been accommodated? Are transport, child care, and food provided, as necessary?)
Strategies for inclusive development	Have project components been made easily accessible and affordable to people with disabilities? For example, is credit available to the disabled to enable their participation in productive opportunities (e.g., purchasing seed, livestock, or alternative means of transport, such as bicycles)? Is compensation being provided for earning opportunities that are lost as a result of participants providing labor for self-help construction projects?
	What potential social risks identified during project planning have actually been encountered during implementation? What unforeseen situations involving risk have occurred? What measures have been taken to mitigate these risks?
Problems encountered during implementation	Have project activities negatively affected the urban poor, women, disabled people, etc., in unexpected ways? What measures have been taken to adjust project activities accordingly or to resolve conflicts that have occurred?
	Have necessary adjustments and changes been made to correct project approaches and alter project techniques, or to adapt project components that were deemed unsuccessful or problematic by stakeholders?

Mid-Term Review (MTR)

The mid-term review provides an opportunity for project management teams to take stock of project implementation and assess progress toward development objectives, including social development objectives. A mid-term review involves two outputs: an independent evaluation and an MTR report.

Implementation Completion Report (ICR)

A comprehensive social analysis should be conducted at the time of project completion in order to: provide a full account of the implementation phase, evaluate project outcomes for the urban poor and/or other social groups, and summarize lessons learned for future social analyses.

Participatory processes should in particular be evaluated for planned outcomes for the urban poor and the vulnerable. Outcome indicators, for example, should measure changes in activities, capacities, access to resources, and levels of social risk that resulted from project activities. Due to the simultaneous effects of an enormous number of social, political, and economic factors that may influence changed conditions in project communities during the period of project implementation, definitive attribution of changes to project interventions can be difficult. However, using the direct experience of the urban poor and the vulnerable within the project community can help define and measure project impacts and reveal meaningful causalities and linkages.

By the time the ICR is drafted, the loan disbursement period has concluded. At that point, little can be done to further the implementation of urban poverty project components. However, the ICR itself serves as an invaluable source of information, as it is an historical record of the Bank's achievements in ensuring the inclusive development of the poor. Furthermore, the document can provide lessons learned to assist future projects in more effectively including poor and vulnerable groups.

ANNEX 1: PRIORITY URBAN SOCIAL ISSUES BY REGION

This annex aims to summarize the priority issues in urban development associated with different regions, taking as a guide the coverage of the different operational structures within the World Bank. Given the scale and diversity of the areas covered the coverage is necessarily limited, and should be taken only as a broad and indicative guide.

Africa Region

In stark contrast with other regions, urbanization in Africa has not been associated with falling rates of urban poverty (Ravallion et al. 2007). Urbanization without economic growth, which characterizes many urban areas in the region, means growing unemployment, social exclusion, the perpetuation of informal economies, and urban poverty. In addition, lack of land tenure security leads to frequent evictions and displacement, creating more social and economic dislocation in urban areas.

Growing urbanization is also impacting the health of urban areas in Africa. Severe public health conditions in slums are, for example, reportedly leading to unacceptable infant mortality rates that in some instances are worse than in rural areas. HIV/AIDS is another formidable social challenge in urban areas, one that threatens to cut life expectancy by 20 years and undermine savings, growth, and the overall social fabric of local communities.

Despite strong community structures, institutionalized participatory systems are scarce among local urban governments in Africa, a shortcoming that seriously limits the effectiveness of urban interventions. In terms of access to productive resources, moreover, participatory mechanisms are often characterized by widespread, persistent gender inequality. Empowerment of the poor through consultation and participation in urban projects in Africa is thus an urgent priority. The Lagos Metropolitan Development and Governance project of the World Bank, for example, has made this goal one of the project's primary social development outcomes.

South Asia Region

Social concerns in Asian urban communities are extremely diverse. Poverty is a major issue in the four mega-cities of the region (Mumbai, Calcutta, Karachi, and Delhi), which currently house 133 million (one in 13) South Asians. Given rapid urbanization, the number of such mega-cities is currently predicted to increase to eight by 2015 (Gunewardena 1999). It is important to note, however, that not all slumdwellers in South Asian cities are poor, nor are they all impacted by the same social issues.[18]

South Asia currently has three conflict-ridden countries: Nepal, Sri Lanka, and Afghanistan, all of which are recovering from violent civil strife. These conflicts account for much of the current extreme poverty in the region, where the urban poor are marginalized at both the ethnic and social

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[18] In cities such as Mumbai, for example, slums house residents with mixed occupational strata, including lawyers, police, teachers, and small- and medium-sized entrepreneurs. In many cases, land market failures result in people seeking shelter in informal settlements. The very diversity of occupation and associated income levels of residents implies a diverse set of social concerns, making it imperative to address social issues in such urban contexts from a broader angle.

level. The paucity of pro-poor services in South Asia is linked to lack of voice, itself the net result of deprivation. This deprivation is, moreover, compounded by a lack of safety nets.

Despite concerted efforts, women continue to be underrepresented in participatory mechanisms of local governments; on many occasions, men dominate the consultative processes by proxy. Deficiencies in citizen participation also help maintain centralized local governance structures that are removed from on-the-ground realities.

Ethnic and religious tensions perpetuate youth crime and violence in the region, especially in slums, where groups are often tied to political networks. Employment opportunities offered through development may also be susceptible to elitist capture. To counter this risk, project such as the Tamil Nadu Urban Development Project (TNUDP III) make employment opportunities available to all on the basis of professional competence, irrespective of gender, ethnic, or religious identity.

HIV/AIDS is a major social concern across South Asia, especially in informal urban settlements. As in other regions of the world, the disease is interlinked with hunger, malnutrition, illiteracy, and urban poverty—especially lack of access to health services and health awareness. Lower educational attainments and fragile means of livelihood among urban residents, coupled with limited traditional family and community structures capable of providing psychosocial support, add to the spread of AIDS.

Middle East and North Africa (MENA) Region

The inclusion of youth, women, and vulnerable groups into the development process remains a social challenge in the MENA region. The large proportion of young population, in particular generates concerns of high youth unemployment and a related worry of urban unrest and violence.

Fluctuations in the price of oil and regional conflicts in the MENA region are currently adversely impacting the education of children and youth, sometimes forcing them into early employment without adequate vocational skills or social experience. This trend is particularly significant, given that 50 percent of the region's population consists of children and youth below 24 years of age. The prevalence of violent conflicts has, together with its enormous associated social and economic costs, created poverty, distorted development priorities, and weakened social cohesion in the area.[19] At the same time, rapid urbanization and modernization are also weakening the ability of communities to mitigate the effects of violent conflict.

Rapid urbanization in MENA is accompanied by depletion of the natural resource base, high unemployment, and the disintegration of social networks. The region's traditional advantage— social solidarity—is becoming increasingly fragile. In Moroccan slum settlements, for example, while inter-personal networks and resultant robust social ties are important, their strength and breadth varies from street to street and in many instances, such social ties are simply absent.

Manipulation of community organizations by local authorities and public officials in charge of dealing with the slums is also characteristic of the region. Such manipulation makes it imperative

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[19] Of note, the social cohesion of urban and rural spaces in the region appears stronger in mega-urban areas, such as the greater Cairo metropolis.

for urban development projects to pay increased attention to participatory approaches or pursue other means of directly involving community stakeholders.

The low overall HIV/AIDS prevalence rate (0.3 percent) in the MENA region is offset by the risk that general complacency and neglect may erode this advantage, as inaction will increase the region's vulnerability to the epidemic. Along with social stigma and lack of information, the issue of HIV/AIDS in MENA countries is particularly associated with social fear and denial.

Europe and Central Asia (ECA) Region

Urbanization in the Europe and Central Asia region has not been as wide-scale as in other regions of the world. In fact since the early 1990s with the closure of many industry centers in the cities, it has not been uncommon for urban dwellers to move back to rural areas and engage in subsistence or commercial agriculture. Urban growth has been registered in few largest cities in each country, mostly the capital cities.

The loss of social capital, which generally assists people to cope with adverse conditions, and the deterioration of social cohesion have been among the major social challenges in the ECA urban sphere. The radical social, economic, and political changes of the past two decades have affected negatively established social groups and their associated networks, including within the family.

Marginalization is another serious problem of urban populations in the region. The urban poor in ECA are economically and politically excluded by unresponsive institutions. Restrictions on citizen participation and organizational arrangements hinder their ability to form interest groups and their lack of representation in civic affairs is accompanied by the increased corruption of municipal government institutions. The Roma communities are additionally marginalized as they often live in informal settlements with no access to sanitary housing, water, electricity, and other essential public services.

Discrimination and exclusion of urban populations occur in the region on the basis of a range of criteria, including age, educational level, gender, family size, and ethnic group. Discrimination based on gender or maternal status can also occur, as when women are forced to withdraw from the labor market after subsidized childcare facilities are closed.

Due to the perception of diminished domestic authority, male unemployment and underemployment in urban areas of the ECA region is often associated with rising rates of depression, suicide, and alcoholism, together with reduced male life expectancy.

The collapse of social services and loss of social capital among poor populations in ECA have also led to an increased problem of abandoned children, who often live on the streets and are vulnerable to exploitation. Unemployed young people in particular are susceptible to human trafficking, smuggling, and the trafficking of arms and drugs. Finally, civic and/or ethnic conflict adversely impacts the delivery of urban development programs, particularly in the Balkans and the Northern Caucasus.

Latin America and the Caribbean Region (LCR)

Latin America has an extensive problem with urban poverty (Ravallion et al. 2007) and urban violence, part of which can be attributed to high unemployment. Many unemployed urban residents live in informal settlements and are subject to extreme income poverty. At the same time, the

marginally employed are also not immune from the macroeconomic shocks that are periodically felt in the labor market. Given the cash nature of the urban economy, food consumption is accordingly more sensitive to income and price fluctuations.

Social exclusion is another prominent social issue in LCR, where civic participation is directly related to wealth, services, and access to opportunities (Fay 2005). The negative neighborhood effects of social exclusion in turn lead to reduced access to jobs, depressed educational achievements, and inadequate earnings.

Social networks are also less stable in urban areas of LAC, often based on the relative strength of individual relationships rather than familial obligations. Informal mutual arrangements and community-based approaches to resolving problems, such as savings and credits associations, are also less reliable. Weaker family ties and the greater challenge of employment in urban areas also have a negative impact on child rearing and elderly care. Chilean research, for example, suggests that relative to rural areas, only half as many respondents in urban areas expect their children to provide them some sort of care in old age (Gill et al. 2004).

Urban settlements in the LCR region are also appreciably affected by organized crime, drugs, and gang violence. Narco-trafficking in particular has a pervasive impact on the lives of slum dwellers, with youth specifically vulnerable to organized crime.

East Asia and the Pacific Region

Social exclusion and social divides are two principal problems of urban areas in the fastest urbanizing East Asia and Pacific region. In certain countries, ethnic tensions contribute to this phenomenon. Many EAP countries also have a history of armed conflict, which has the potential to spill over into informal urban settlements. Urban areas affected by natural calamities may also experience social tensions as such calamities tend to disrupt existing social networks.

As traditional networks are lost in the process of urban migration, the isolation of poor urban dwellers has increased in the EAP region. Existing regulatory regimes can further complicate their social exclusion. For example, the Hukou system of residence permits in China affects social group formation in urban areas, but how it does so is not yet adequately understood. Lack of institutional care for the aged in urban areas is another prominent social issue in China.

Gender bias in and elitist capture of urban development programs is another common concern throughout East Asia and the Pacific, as is the spread of HIV/AIDS. Poverty and lower levels of education in urban settlements add to the risk AIDS infection rates. Household data from Cambodia and Vietnam, for example, indicate strong correlations between levels of wealth and education and the vulnerability of individuals to HIV/AIDS (UNESCAP 2004).

In China, urban land acquisition for development purposes also continues to be a source of social tension and grievances. Initiatives such as the Liaoning Medium Cities (LMC-2) Urban Infrastructure Project accordingly incorporate specific employment opportunities for people displaced by urban land development projects, as well as compensate them for all physical assets at negotiated replacement costs (World Bank 2006b).

ANNEX 2: SAMPLE TERMS OF REFERENCE FOR A FULL SOCIAL ASSESSMENT— URBAN INFRASTRUCTURE IN AFGHANISTAN

1. INTRODUCTION

The building of a new Afghanistan began with the convening of a Loya Jirga in 2002. One major development goal of the Government of Afghanistan (GoA) is to upgrade and expand urban infrastructure so as to enhance the quality of urban life and promote the economic development of urban centers. Accordingly, the government has decided to undertake several large urban infrastructure projects. To ensure that the proposed infrastructure takes environmental and social concerns into account, the Ministry of Urban Development and Housing (MUDH) will engage a consultant to carry out an Environmental Impact Assessment at the project preparation stage. While the MUDH is the central ministry involved in the project, inputs are also expected from municipal governments and various urban institutions.

2. PROJECT BACKGROUND

The Government of Afghanistan will use IDA credit for the rehabilitation and expansion of urban infrastructure. The proposed, multi-component Emergency Urban Reconstruction Project (EURP) aims to improve urban water supply, sanitation, solid waste disposal, drainage, roads, and housing systems, among other sub-projects. In addition, one component of the project will finance feasibility studies for large urban infrastructure projects that may be undertaken in the future. As part of the EURP, detailed Environmental Impact Assessments will thus be carried out for large candidate projects. The assessment will require, first and foremost, a plan of the area that will be affected either indirectly or directly by the project, together with basic data on existing and proposed urban infrastructure in the area and a summary of area characteristics.

3. OVERALL OBJECTIVES

A Social Assessment (SA) through participatory planning will assess the specific social issues and impacts of the XYZ project on affected populations. The assessment is then used to help design mitigation plans to improve the quality of life of these populations, as well as a strategy for their participation in project implementation. An SA ensures that social implications of the proposed XYZ project are identified, analyzed, and clearly communicated to decision makers. More broadly, it makes sure that social measures are integrated into project planning, preparation, implementation, and monitoring processes and that direct and indirect social outcomes are developed for all phases of project execution. The assessment process needs to be carried out at each stage of project preparation, namely, at both the feasibility and detailed project report (DPR) stages. A detailed work plan for repeated social assessments must be elaborated and provided as part of the inception report. The following sections describe the specific objectives, activities, and outputs of the SA process.

4. SPECIFIC OBJECTIVES

An SA is mechanism for incorporating social analysis and participatory processes into project design and implementation. Its specific objectives are to:

- carry out socioeconomic, cultural, and political/institutional analysis to identify potential social impacts of a proposed project;
- identify principal stakeholders and develop a consultation framework for participatory implementation;
- screen social development issues and scope out SA activities to be undertaken during the feasibility and design stages;
- ensure that results of the SA provide inputs into the project monitoring process during implementation and the evaluation of project outcomes at project completion;
- provide inputs for project design at the feasibility and detailed design stages, including specific recommendations regarding design alternatives (i.e., identification of areas that may require adjustment at the project design stage) and the preparation of a social policy framework;
- develop a Resettlement Action Plan (RAP) that includes comprehensive mitigation measures to ensure that potential affected and displaced persons are appropriately resettled and rehabilitated (i.e., a plan to assist these people to improve their livelihoods and standard of living, or at least to restore both in real terms); and
- assess project capacity to manage the social impacts of the project, develop institutional management arrangements for this and subsequent projects, and formulate a training and capacity building plan.

Scope of Work

Stage I: Feasibility Stage

To determine the magnitude of potential project impacts and mainstream social considerations in the selection and design of proposed projects, the following tasks are required:

- social screening and preliminary assessment to determine nature and magnitude of adverse social impacts, as well as identification of specific social issues for detailed assessment;

- informing, consulting, and engaging in dialogue with stakeholders regarding project design alternatives; implementation of social mitigation measures; and specific recommendations regarding people at high social risk, including significant common property that may require adjustments in project design;

- assessing the capacity of institutions and mechanisms to implement social risk management instruments and, if necessary, recommending needed capacity building;

- developing monitoring and evaluation mechanisms to assess social development outcomes; and

- developing broad mitigation measures and preparing preliminary budget estimates.

SA Methods and Tools

The methods and tools used in an SA can include:

- for socioeconomic, cultural, and political and/or institutional analysis, combining multiple tools and employ a variety of methods to collect and analyze data, including both quantitative and qualitative methods (expert and key informant interviews, focus group discussions, beneficiary assessments, rapid and participatory rural appraisals, gender analysis);
- developing scoping techniques, interview schedules, field survey instruments, and checklists for data collection and discussions;
- screening, scoping, and prioritizing social issues using different techniques, such as ranking and composite indexes; and
- selecting an SA methodology based on consultation with and participation of project-affected persons (PAPs), project implementing and executing agencies, and other stakeholders. Discussions with relevant government officials and other civil society organizations should be participatory and broad based, leading to the identification and selection of and agreement on project options.

Outputs

The expected output of Phase I is a Social Screening report that integrates the findings of the feasibility report, which should include:

- findings of the project analysis and consultation framework;
- an outline of social risk management instruments, as required;
- recommendations for design adjustments during feasibility and detailed design stages;
- the scope of social impact assessment that defines social issues for detailed analysis in the DPR; and
- guidelines for resettlement and rehabilitation measures.

(ii) Stage II: Detailed Project Report

The social impact assessment addresses populations directly affected by the project in order to formulate development strategies and determine project impacts on the social, economic, cultural, and livelihood activities of these communities. This process establishes a social baseline against which changes caused by the intervention can be measured in the future. The following social surveys are carried out after demarcation of the zone of impact:

- census and socioeconomic survey, including a detailed inventory of affected assets, for all PAPs. This survey should establish a cut-off date; identify the loss of fixed assets such as structures and trees, livelihood or access to community resources; and categorize each type of losses as a result of project implementation;
- assessment of local tenure and property rights arrangements, such as usufruct or customary rights to the land or other resources allocated for the project, including common property resources;
- development of measures to compensate and assist people to restore and improve their livelihoods;

- market survey and focus group consultation with different social groups (including women), to prepare socially, technically, and economically feasible income-generating schemes, including skill-upgrading plans;
- preparation of a plan for relocation in consultation with PAPs, including different social groups (e.g., women) and the local administration;
- finalization of estimated land required by project and land affected by zone of impact, resettlement, and economic rehabilitation, plus a review of the land transfer procedure to be adopted in the project area for all types of activities (e.g., backwater effect, distribution network, approach roads, and other civil works);
- meaningful public consultation with PAPs and other stakeholders on social risk management measures to ensure: (i) proposed mitigation measures are feasible, and (ii) opportunities and a plan to participate in the planning and implementation of resettlement is provided. Also needed are the development of mechanisms that enable affected communities to set priorities, consult government officials from various departments, and make recommendations on mitigation measures and enhancement of social outcomes;
- in consultation with government officials, determination of current replacement costs for all types of affected assets, together with cost estimates of other assistance and allowances;
- identification of social and economic benefits for all project-affected people, including ethnic minorities, in keeping with their cultural preferences and selecting same in consultation with these communities;
- mechanisms to: compensate project-affected people for assets acquired, provide assistance for displaced persons, and mitigate loss of livelihood or reduction in incomes. The Resettlement Action Plan (RAP) is intended to be an action-oriented and time-bound document and should accordingly be as precise and affirmative as possible so as to facilitate approval by project authorities and the World Bank. Clarifying the parameters of RAPs during the early stages of project preparation ensures that the final document is focused on practical implementation of Resettlement and Rehabilitation measures;
- draft Resettlement and Rehabilitation framework in close coordination with the borrower and project-affected people, based on type of losses expected; include descriptions of entitlements and mitigation measures needed to assist affected people, especially the vulnerable, in accordance with World Bank guidelines;
- institutional capacity assessment and proposed institutional arrangements for RAP implementation that address grievances, gender equity, and roles and responsibilities of each agency;
- development of a training program for Resettlement and Rehabilitation, based on a capacity assessment of the implementing agency;
- elaboration of a time schedule for implementing action plan in synch with civil works construction schedule;
- risk assessment and risk assessment framework for proposed mitigation measures; and
- user-friendly software package for database on project-affected households and families to enable project monitoring.

<u>Methods and Tools</u>

Methods and tools used for the DPR encompass:

- a census and baseline survey (with the help of interview schedules), together with linear maps at an appropriate scale showing each affected property (to identify all project-affected households and assets);
- land surveys in project area (with the assistance of government officials responsible for preparing land plan schedules);
- focus group discussions to discuss design adjustments; and
- consultations with affected people, together with district-level workshops with communities and executing organizations to finalize implementation mechanisms and ensure informed decision making.

<u>Output</u>

The outputs of the DPR include:
- a final Resettlement and Rehabilitation policy;
- a final Resettlement Action Plan (RAP), including a capacity building and training plan for project partners; and
- a final database of socioeconomic survey findings

5. REPORTING REQUIREMENTS

Inception Report. The consultant submits an Inception Report confirming the methodology to be adopted for the study, a personnel deployment schedule, a schedule of site visits, and a reporting schedule, to be completed within a fixed time from the beginning of the assignment. The consultant may need to carry out a reconnaissance survey before submitting the inception report.

Social Screening Report. The Social Screening Report and associated findings are integrated into the feasibility report, including an analysis and consultation framework for the project; an outline of safeguard instruments, as required; recommendations on design adjustments during feasibility and detailed design stages; the scope of social impact assessment and associated social issues for the DPR; and guidelines for resettlement and rehabilitation measures.

Resettlement Action Plan. The RAP includes a project description; method of study; analysis of alternatives; minimization of adverse impacts; analyses of land tenure systems, land acquisition, or transfer mechanism and R&R polices; project area profile; analyses of project impacts on affected and displaced people (with disaggregated data for men and women); impacts on land and other assets of PAPs, as a percentage of their total assets, including impacts on occupation (formal and informal) and income (formal and informal sources), with disaggregated data for men and women; relocation plan with alternate sites; method of selection of preferred sites in consultation with affected people; planning for development of alternative sites; livelihood restoration plan with training plan for upgrading skills and facilitating employment and credit; community participation and integration with host population; restoration and relocation plan for cultural and/or common properties; institutional arrangements, including specific roles and responsibilities for each stakeholder; a training plan for capacity building; implementation schedule; monitoring and evaluation plan, including indicators and reporting formats; a risk assessment; cost estimates, including rate analysis and quantities of civil works; and a detailed budget.

<u>Other Information</u>

The consultant is advised to refer to the following World Bank policies in addition to any other resources that he or she may deem suitable:

- OP 4.12: Involuntary Resettlement
- OPN 11.03: Cultural Property
- *Involuntary Resettlement Sourcebook*

ANNEX 3: SAFEGUARD POLICIES CHECKLISTS

SAFEGUARD POLICIES CHECKLISTS

i) Checklist for OP 4.01: Environmental Assessment (EA)

☑ **Have social issues been adequately incorporated into the environmental screening?** Recognizing the potential environmental impact of the proposed project (and subprojects) and any significant effects on people should be part of the determination of what category of EA (e.g., A or B) needs to be prepared, since projects could have significant adverse and/or irreversible effects. As they are all a part of human environment, the three elements of human health, safety, and social aspects should be fully considered when conducting screening.

☑ **Have stakeholders been brought into the EA screening process?** Having identified who and where the stakeholders are, steps should be taken to ensure their participation (and the participation of any of their representative organizations) in project consultation and planning phases. Only through their meaningful participation can it be determined whether the project will affect them and, if so, what steps should be taken as a result.

Does the project avoid potentially adverse effects for the poor or other vulnerable groups? A number of tools may be utilized to identify the impact of the project on the poor or other vulnerable people. Recognizing missed opportunities is critical, as a missed opportunity to reduce or eliminate needless social or physical barriers during the Bank-funded project cycle can have long term negative impacts on the poor. For example in the case of urban access for those individuals with physical limitations, missing opportunities in client projects to provide physical access such as bathrooms in schools, public transportation, or curb cuts in sidewalks can have a lasting effect that spans twenty years or longer. These social effects will also have lasting effects that promote long-term poverty for people with disabilities and possibly their family members. Such effects essentially become irreversible because the client country lacks the funds and desire to retrofit facilities at an even higher cost later.

☑ **Have project alternatives been considered?** Analysis should identify ways of improving project selection, planning, design, and implementation, by considering risks and impacts in its area of influence. It should also consider ways to prevent, minimize, mitigate, or compensate for adverse environmental impacts and enhance positive impacts. It should also consider the physical and social aspects of a proposed project in an integrated way with the economic, financial, institutional, and technical analyses. In all these considerations, stakeholders and their representative organizations should be consulted, as they are best placed to assess the practical ramifications of a project, as well as ways to mitigate or enhance the project impacts.

☑ **Have findings and recommendations from the EA been highlighted for inclusion in later project documents?** Should mitigation measures be needed they are based on the EA findings and recommendations, which should in turn be set out in the legal agreements, any EMP, and other relevant project documents. Therefore, care should be taken to ensure that the EA document and findings adequately

account for poverty and vulnerability issues, so that they may form the basis for references in these later project documents.

ii) Checklist for OP 4.12: Involuntary Resettlement

☑ Has consideration been given to those affected by involuntary resettlement?

In identifying those affected by this Safeguards Policy, consideration should be given to those people subject to involuntary resettlement, e.g., those living in areas into which people may be moved, or those for whom essential services may be disrupted as a result of the resettlement. It should be that vulnerable groups are more likely to face impoverishment when community institutions and social networks are weakened, kin groups dispersed, and the potential for mutual help diminished or lost as a result of resettlement.

☑ Have people affected by involuntary resettlement been brought into the project consultation and development process?

Having identified who and where the people are, steps should be taken to ensure their participation (and the participation of any of their representative organizations) in project consultation and planning phases. Only through their meaningful participation can it be determined whether the project will affect them and, if so, what steps should be taken as a result.

☑ Does the project avoid potentially adverse effects for people with disabilities?

A number of tools, such as screening, the Resettlement Action Plan, and the Resettlement Policy Framework, may be utilized to identify the impact of the project on people with disabilities.

☑ Have all viable alternative project designs been considered?

Because of the potential for severe economic, social, and environmental risks to the urban people, their needs should be factored into decision-making regarding involuntary resettlement and how to avoid or minimize unnecessary project impairments that create or exacerbate problems as the result of the project. Vulnerable groups and their representative organizations should, of course, participate in discussions exploring these alternatives.

Have sufficient investment resources been provided?

Without the institutional resources for projects to remove or reduce social and physical barriers that have limiting impacts on people, there will be inequity for all persons displaced by the project to share in project benefits.

☑ Has impact to livelihood been sufficiently explored?

A key area for the urban poor, and other vulnerable groups is their ability to achieve independence and a livelihood. This Safeguards Policy addresses loss of income through the following, all of which should be considered in light of the urban poor who may be impacted by the resettlement: whether or not the affected persons must move to another location, application to all components of the project that result in involuntary resettlement regardless of the source of financing, offer of support after displacement to restore their livelihood and standards of living, and, provision of development assistance in addition to compensation measures such as training, or job opportunities.

iii) Checklist for OP 4.10: Indigenous Peoples

☑ **Has consideration been given each population of Indigenous Peoples?**

Early in project preparation, the Bank undertakes a screening (typically utilizing a qualified social scientist with expertise on the social and cultural groups in the project area) to determine whether Indigenous Peoples are present in, or have collective attachment to, the project area.

☑ **Have indigenous people with particular vulnerabilities or limitations been brought into the project consultation and development process?**

Having identified who and where such populations are, steps should be taken to ensure their participation (and the participation of any of their representative organizations) in project consultation and planning phases. Only through their meaningful participation can it be determined whether the project will affect them and, if so, what steps should be taken as a result.

☑ **Does the project avoid potentially adverse effects for indigenous people?**

A number of tools may be utilized to identify the impact of the project on indigenous people.

☑ **When avoidance is not feasible, how can such effects be minimized, mitigated or compensated for indigenous people with disabilities?**

The Bank Safeguard Policy requires that where a project will have negative effects, those effects must be minimized, mitigated or compensated for to the extent possible. If discrimination against indigenous people is to be avoided, care should be taken to ensure that:

- Any potentially negative effects for indigenous people are identified; and
- Where negative effects are found, the steps taken to minimize / mitigate / or compensate such effects effectively extend to indigenous people with disabilities, and are developed with their participation and support.

☑ **Will the social and economic benefits of the project extend to indigenous people?**

Bank-financed projects are intended to ensure that Indigenous Peoples receive social and economic benefits that are culturally appropriate and gender and inter-generational inclusive. These social and economic benefits should similarly be enjoyed by indigenous people with disabilities, especially women with disabilities and other groups of indigenous people with disabilities who may historically have faced discrimination in their enjoyment of social and economic benefits.

ANNEX 4: RESOURCES ON URBAN ISSUES

MULTILATERAL AND BILATERAL DEVELOPMENT ORGANIZATIONS

- **World Bank Urban Development**: http://www.worldbank.org/urban.
  Features sub-pages on Urban Transport, Urban Environment, Urban Health, Urban Solid
  Waste Management, Urban Poverty
  - "Rural-Urban Linkages and Interactions: Policy Implications for Development
    Planning and Poverty Reduction"
    http://wbln0018.worldbank.org/External/Urban/UrbanDev.nsf/Urban+Rual+Linka
    ges/D02D4131298EF6A68525688D0052B27B?OpenDocument
    (Site is a joint Urban Economics–Rural Strategy and Policy Initiative)

- **USAID Urbanization and Poverty**:
  http://www.usaid.gov/our_work/economic_growth_and_trade/urban_programs/
- **Inter-American Development Bank Urban Development**:
  http://www.iadb.org/sds/SOC/site_15_e.htm
- **Asian Development Bank Urban Development**: http://www.adb.org/urbandev.
- **UNESCO Urban Development:** http://www.unesco.org/shs/urban. The aim of the Urban
  Development Programme of UNESCO is to increase the UN's contribution to urban public
  policies that respect, protect, and promote inclusiveness, social cohesion, and local
  democracy.
- **GTZ URBANET**: http://www.urbanet.info. This site is a virtual network for GTZ staff,
  associated professionals, and researchers working in the fields of municipal and urban
  development, decentralization, and regionalization.
- **U.N. HABITAT:** http://www.unhabitat.org.

OTHERS

- **Cities Alliance:** http://www.citiesalliance.org/index.html. A global coalition of cities and
  their development partners that supports city development strategies, slum upgrading, and
  sustainable financing strategies to alleviate urban poverty.
- **Urban Institute:** http://www.urban.org. A non-partisan economic and social policy
  research organization.
- **Global Urban Development Network:** http://www.globalurban.org.
- **Arab Urban Development Institute, Saudi Arabia (AUDI):**
  http://www.araburban.org/AUDI/English. A regional, non-governmental, non-profit urban
  research, technical, and consulting organization. The Institute is affiliated with the Arab
  Towns Organization (ATO) headquartered in Kuwait, serving as its technical and scientific
  arm. More than 400 Arab cities and towns, representing 22 Arab states, are active members
  of the Institute.
- **International Urban Development Association (INTA):** http://www.inta-aivn.org. INTA
  is An international network of public and private organizations, government agencies,
  businesses, and individuals dedicated to the promotion and improvement of an integrated
  urban and regional development approach.
- **CityNet:** http://www.citynet-ap.org/En/user/home/home.php. CityNet is a network of local
  authorities that promotes sustainable urban improvement initiatives in the Asia-Pacific
  region.

- **Global City Forum:** http://www.globalcityforum.com. An annual international forum for urban decision makers to exchange good practices and approaches to integrated urban management.
- **United Cities and Local Governments**: http://www.cities-localgovernments.org/uclg. An organization of individual cities and national associations of local governments dedicated to promoting the values, objectives, and interests of cities and local governments across the globe.
- **Habitat International Coalition:** http://www.hic-net.org/default.asp. An independent, international, non-profit alliance of some 400 organizations (CBOs, academic, and research institutions, civil society organizations) and individuals working in the area of human settlements.
- **International Centre for Sustainable Cities:** http://www.icsc.ca. A partnership among three levels of government, the private sector, and civil society organizations that does practical demonstration projects (e.g., solid waste, water, land use, housing, transportation, energy) showing how urban sustainability can be implemented.
- **Tyndall Center for Climate Change Research:** http://www.tyndall.ac.uk. A multidisciplinary research centre that brings together scientists, economists, engineers, and social scientists from a range of institutions to address the substantial challenges posed by global and environmental change.

URBAN DEVELOPMENT KNOWLEDGE RESOURCES

- **id21 Urban Development:** http://www.id21.org/urban/index.html. One of the knowledge services of IDS that provides U.K.-sourced research on urban development in developing countries.
- **Making Cities Work:** http://www.makingcitieswork.org. A USAID online resource center that provides urban issues in developing countries and USAID urban development activities.
- **Urbanicity**: http://www.urbanicity.org. The world's leading electronic publisher for all aspects of urban and sustainable development, Urbanicity is a partnership initiative with U.N. Habitat Best Practices and Local Leadership and works in cooperation with the Development Gateway, a World Bank initiative.
- **Upgrading Urban Communities—A Resource for Practitioners**: http://web.mit.edu/urbanupgrading/upgrading/index.html. An interactive format with choices, tradeoffs, tools, and "hints" targeted to administrators and practitioners.
- **InfoCity**: http://www.infocity.org. The InfoCity initiative, funded by Cities Alliance, seeks to facilitate the exchange of experience, ideas, and knowledge on urban issues, as well as to provide a repository for this type of information among CDS cities in East Asia.
- **Development Gateways—Urban Development**: http://topics.developmentgateway.org/urban. Online community for professionals working in urban development. The site contains resources and invites discussion about effective urban development practices.
- **State of World Population 2007—Unleashing the Potential of Urban Growth:** http://www.unfpa.org/swp/2007/presskit/pdf/sowp2007_eng.pdf.

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