

SOCIAL ASSESSMENT AND RESETTLEMENT

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- ❑ *Module 7 - Social data and Surveys*
- ❑ *Module 8 - Involuntary Resettlement-
Policy Principles & Requirements*
- ❑ *Module 9 - Resettlement Action Plan*

MODULE 7 - SOCIAL DATA AND SURVEYS

- ❑ Why and how a social assessment ?
- ❑ Selected socio-economic criteria and topics
- ❑ Methods of surveys and analyses
- ❑ Examples of surveys for ESIA of DCUAP

Why and how a social assessment ?

Involuntary resettlement provokes drastic social changes and socio-economic disruptions risks in term of :

- ❑ Dismantling of production systems
- ❑ Impoverishment of affected people (in particular vulnerable groups) in new natural, socio-economic and political conditions
- ❑ Fragmentation of socio-anthropological structure (kinship groups and traditional institutions)
- ❑ Loss of cultural identity and customary rules
- ❑ Loss of collective solidarity and mutual help.
- ❑ Etc.

Before embarking on social impact assessment and the search of compensation and mitigation measures the very first step is to get an enough accurate knowledge of the affected population and its social characteristics ...

The sociological reading of a society in respect with cultural identities and social change has to be documented according to 3 systemic axes :

- ❑ The Social Organization (structural approach)
- ❑ The Social Action (functional approach)
- ❑ The Social Reproduction (historical and prospective approach)

The socioeconomic assessment is based on a multidisciplinary/transdisciplinary approach in the fields of human and social sciences and agronomic sciences ...

Sound socio-economic baseline data will serve valuable purposes regardless the scope of the project. It will provide :

- ❑ The basis of social impact assessment
- ❑ Opportunities and principles for mitigation, compensation and resettlement
- ❑ Information for early decision-making for project alternatives
- ❑ The basis of monitoring and evaluation

Selected socio-economic criteria and topics

- ❑ **Administrative organization and institutions**
- ❑ **Socio-economic infrastructure and services**
- ❑ **Population and demographic features**
- ❑ **Settlement and housing structure**
- ❑ **Ethnicity and socio-anthropological structure**
- ❑ **Minorities and gender issues**
- ❑ **Land-uses and tenure system**
- ❑ **Agricultural activities and production**
- ❑ **Other socioeconomic pattern (non agricultural activities, employment, income ...)**
- ❑ **Communication channels and group attitudes**



Methods of surveys and analyses

- ❑ Preliminary bibliography research and analyses
- ❑ Preliminary field reconnaissance of the study area and the affected population (scoping)
- ❑ **Quantitative methods :**
 - Available statistics (Census, agricultural statistics, socio-economic statistics, administrative statistics ...)
 - Quantitative surveys on formal questionnaire basis : exhaustive surveys or sample surveys (Village/Household)
- ❑ **Qualitative methods :**
 - Participatory Rapid Rural Appraisals (RRA's)
 - Rapid Gender Appraisals (RGA's)

M7 Methods of surveys and analyses : **Quantitative surveys**

➔ *Sampling methodological options : a question of time and budget ...*

- ❑ **Academic statistical methods** : availability of exhaustive data bases for randomized sample, geographical-basis sampling methods, issues of multivariables questionnaires and socio-economic diversity at village/household levels ...
- ❑ **Semi-empirical methods** :
 - ✓ Sound stratification at different level (villages, ethnic identities, economic activities, income categories)
 - ✓ Actual testing and adjustment of questionnaire
 - ✓ Light questionnaires
 - ✓ Limited number of surveys and limited time and budget for achievement
 - ✓ Quota method for a daily follow-up
 - ✓ Training and supervision of surveyers, supervisors and data processors
 - ✓ Selection of specific software for socio-economic surveys (SPHINX, Statview ...)

Examples of surveys achieved for ESIA of DCUAP

- ❑ Preliminary field reconnaissance
- ❑ Exhaustive Village Surveys (77 villages)
- ❑ 223 Household Surveys (165 exploitable and representative)
- ❑ 34 Rapid Gender Appraisals (RGA's) in
- ❑ 26 Rapid Rural Appraisals (RRA's) in 26 different villages

Content of the exhaustive village survey

- ❑ **IDENTIFICATION OF THE RESPONDENTS** : names, social status in the village, mobile phone, ...)
- ❑ **IDENTIFICATION OF THE VILLAGE** : name, date of settlement, GPS coordinates and elevation - Foreseen situation vis-à-vis future dam reservoir, Locality, Administrative Unit, local Community Committee.
- ❑ **VILLAGE SETTLEMENT AND HOUSING STRUCTURE** : n° and list of hamlets/*hay*/settlement units, n° of domestic units (*hush/ousrah*) - Type of houses – Age of the village/different hamlets
- ❑ **POPULATION ESTIMATE** : Origin of the population - Overall resident population estimate – N° of adults – Non resident having houses and assets in the village
- ❑ **ETHNIC/TRIBE IDENTITIES AND SOCIAL STRUCTURE** : Ethnic groups, tribes and sub-tribes, rough percentage of domestic units per ethnic/tribe group – N° of descent groups ('*aila*) per ethnic group/tribe/sub-tribe.

Content of the exhaustive village survey (cont.)

- ❑ **ADMINISTRATIVE AND SOCIO-ECONOMIC INFRASTRUCTURE AND SERVICES** : Administrative offices, health units, schools par category (n° of classrooms, teachers, pupils), mosques, shops – Type of water supply – Source of energy for domestic needs.
- ❑ **AGRICULTURAL ACTIVITIES** : n° of farmers landowners, n° of landless domestic units, wage laborers – Land tenure and land rights system - Rough estimate of agricultural land acreage – Main cropping systems - Rough estimate of main fruits trees per species – Pastoral/semi-nomadic systems.
- ❑ **LIVESTOCK** : n° (heads) of camels, cattle, sheep, goats, donkeys.
- ❑ **AGRICULTURE MACHINERY AND CARS** : n° of tractors, disc-ploughs, seeders, harvesters, motor-pumps, generating units, trucks, cars.
- ❑ **OTHER ECONOMIC ACTIVITIES** : n° of craftsmen (blacksmiths, mechanics, etc.), merchants, civil servants ...
- ❑ **OFFICIAL PERSONS IN CHARGE AND INFLUENT PERSONS** : types/status (members of Local/Native Administration, big men, wise men, businessmen ...
- ❑ **ASSOCIATIONS** : local/regional associations, NGO's, religious brotherhoods.
- ❑ **AWARENESS AND ATTITUDE** : Levels of awareness of villagers concerning the Project and its possible impacts (environmental, social, resettlement) – Attitudes towards the Project/the future in general

Content of the sample household survey

- ❑ **IDENTIFICATION OF THE INTERVIEWER** : name, mobile phone
- ❑ **IDENTIFICATION OF THE INTERVIEWEE** : name, social status in the housing unit/*ousra* head of the housing unit, other , mobile phone)
- ❑ **IDENTIFICATION OF THE VILLAGE** : name, date of settlement, foreseen situation vis-à-vis future dam reservoir, Locality, Administrative Unit, Local Community Committee.
- ❑ **ETHNIC AND TRIBE IDENTITIES** : ethnic groups, tribes and sub-tribes, rough percentage of households per ethnic/tribe group
- ❑ **DOMESTIC UNIT FAMILY COMPOSITION** : origin of the household/date of installation – Composition per sex and age and per category of kinship link with the head of the housing unit.- N° of married couples, mothers – N° of non resident members.
- ❑ **HOUSING STRUCTURE AND PHYSICAL ASSETS** : N° of building/house units per category – N° of rooms and function/occupation per unit – Ownership per building unit if particular – Agricultural tools and machinery – Other equipments (oven, well, shelter, surrounding wall, permanent fence, ...)

Content of the sample household survey (cont.)

- ❑ **AGRICULTURAL ACTIVITY OF THE HOUSEHOLD** : Enumeration and acreage of cultivated fields per category (rainfed, irrigated) – Land tenure and farming system - Structural mean cropping pattern (acreage per main crop in average year, average yields per crop – N° of fruits trees in production - Rough estimate of agricultural production per main category
- ❑ **LIVESTOCK** : N° of heads of adult animal per category (cattle, camels, sheep, goats, donkeys)
- ❑ **NON AGRICULTURAL ACTIVITY OF THE HOUSING UNIT** : Handicraft, trade, wage labor, etc.
- ❑ **INCOME ROUGH ESTIMATE** : sale of agricultural products, sale of animals, sale of milk, sale of domestic handicraft, income from handicraft service, commerce income, wages, external monetary income (nonresident family members), others.
- ❑ **AWARENESS AND ATTITUDE** : Level of awareness of the interviewee concerning the Project and its possible impacts (environmental, social, resettlement) – Attitude towards the Project/the future in general

Rapid Rural Appraisals (RRA's)

RRA's are conducted by social experts through field socio-anthropological reconnaissance, focus group discussions and semi-directive individual interviews (resource persons, key-informants, institutional stakeholders, participatory appraisals).

SUMMARY OF RRA's CONTENT

- **Social and institution systems of land and natural resources management**
 - **Territory level of social and institution organization**
 - **Grassroots village levels of social and settlement organization**
- **Elementary level of the family domestic unit (hush/ousrah)**
- **Social relations, key-persons and attitudes**

Rapid Rural Appraisals (cont.)

Territory level of social and institution organization

- Brief social history of the villages and origins of social groups
- Historical ethnic groups, tribes and sub-tribe units, major and minor descents groups (lineages) to which social groups are identifying themselves or referring to. Segmentation structure and organization – Functionality of these different levels for land, territories and natural resources management according to land tenure systems.
- Other formal and informal social groups (cooperatives, association, religious brotherhoods and tariqa-s, non-tribal alliance clans, patron-client alliances, political groups, etc.) - Roles and function in economic activities, land and natural resources management.
- Role and function of the local administration (Mahaliya, Wahda Idaria, Local Community Committee) and State Ministries in territory, land and natural resource control and management.
- Relation between actual local administrative territorial set-up and traditional ethnic and tribes territory organizations and control system?
- Related impacts vis-à-vis social and institution control and management of land and natural resources

Rapid Rural Appraisals (cont.)

Grassroots village levels of social and settlement organization

- ❑ Identification and enumeration of elementary descent groups (minor lineages/ *'aila* above the family housing unit level – N^o of housing units per elementary descent group. – Identification and enumeration of housing units and elementary households non being in a local lineage structure.
- ❑ Draft social map of the settlement units
- ❑ Origin of the descent groups and date of installation in the village
- ❑ Indicators of grassroots social and territory communities : settlement units (village, hamlets), mosques and other sacred spaces and places, agricultural lands, collective pastoral lands, places and moments for collective feasts and ceremonies (sacred/profane), markets places, etc.
- ❑ Traditional community institutions, solidarity and mutual aid, social cohesion control, organizations and customary rules for the control and management of the different categories of spaces, territories, lands and natural resources according to their actual use and formal legal status (settlement and village lands, cultivated lands, pastoral lands, protected forests, water bodies, ...)
- ❑ Traditional community economic and cultural institutions and organization

Rapid Rural Appraisals (cont.)

Elementary level of the domestic unit (*hush/ousrah*)

- ❑ Structural categories of domestic units and households
- ❑ Kinship systems – Patrilineal/matrilineal references and kinship relationship
- ❑ Detailed composition of the domestic unit – Primary and secondary decision centre according to subject (economic activities and finance, domestic tasks, healthcare, education ...)
- ❑ Principal and secondary economic activities of the domestic unit – Level of importance of non-agricultural income – Social classes of income
- ❑ Role and function of woman and other gender issues (children, teenagers, adults upon age and marital status in the social reproduction system and its relation with spaces, lands and natural resources, market oriented or not (wood, charcoal, building materials, natural fodder, drinking water, domestic handicraft, etc.)
- ❑ Attitude and behaviour of different category members of the domestic unit towards traditional/modern values and beliefs : economic, social (grassroots level solidarity, collective identities and behaviours, vicinity, ...), cultural, religious, political, etc
- ❑ Attitude of women, teenagers and men towards the social and cultural family/household model, the ideal number of children, education and school, healthcare
- ❑ Attitude of the domestic unit towards its natural, cultural, economic and social cohesion patrimony. Expectations of new generations (new way of life, place of living, economic activities, the future).
- ❑ Level of information of the domestic unit head vis-à-vis the project and its possible consequences – Attitude and wishes towards possible resettlement

Rapid Rural Appraisals (cont.)

Social relations, key-persons and attitudes

- ❑ Who are the transmitters and the receivers, and the compulsory information channels and circuits?
- ❑ Where and where are the decision makers regarding internal/external affairs of social groups?
- ❑ Which are social groups or individual who took or are taking initiatives? In which fields?
- ❑ Is there actually or has it been technological innovation, economic, social and cultural changes? Which ones? For which social categories?
- ❑ Are there or has it been recently social conflicts or disputes? Between which social groups and categories and for what reasons? What are the different social level of arbitration of conflicts and disputes upon the matter? Who are the referees?
- ❑ Who are the spokesmen and group representatives vis-à-vis the external society, institutions and world?
- ❑ Which are the informal institutions for collective equipment and infrastructure management? How are appointed the persons in charge for that?
- ❑ What are the collective celebrations and symbolic rituals that are restructuring social groups or consolidating their social cohesion?
- ❑ What are the key-persons and local leaders of the social groups and what are the criteria of their community legitimacy? What are the roles and functions of these local leaders in regulation, control and management of land and natural resources management? In land rights and use for settlement and housing of outsiders?

M7 Social Data and Surveys – Gender appraisals

Gender appraisals are specialized RRA's focussing on gender and women condition issues at domestic unit and household levels ...

Summary content and outcome of gender approach

FAMILY AND WOMAN FUNCTION

FAMILY DECISION CENTERS
STATUS OF THE WOMAN
KINSHIP/MARRIAGE SYSTEMS
RELIGION AND SUPERSTITION
HEALTH AND FAMILY PLANNING
EDUCATION AND SCHOOL
HOUSEHOLD ACTIVITIES

ECONOMIC ACTIVITIES

WOOD AND WATER
CROPPING SYSTEM AND ANIMAL HUSBANDRY
HANDICRAFT AND OTHERS ECONOMIC ACTIVITIES

ATTITUDES AND BEHAVIORS

CHANGE AND CONTINUITY, EVOLUTION AND FUTURE
ATTITUDE AND BEHAVIOR VIS A VIS TRADITIONAL AND MODERN VALUES AND BELIEF
ATTITUDE AND BEHAVIOR TOWARD THE FAMILY MODEL
SPECIAL POINT OF VIEW OF THE TEENAGERS ON THEIR FUTURE
CONCLUSION : WOMEN ATTITUDE VIS-À-VIS THE DAM PROJECT



M7 Social Data and Surveys – *Scope of skills and know-how for a social assessment*

- ❑ General sociology – Rural Sociology - Sociology of Environment and Sustainable Development. Sociology of People Participation - Institution sociology et analysis.
- ❑ Local and social contemporary history.
- ❑ Cultural and social anthropology.
- ❑ Techniques of data collection and analyses for socio-economic, socio-anthropological and psycho-sociological quantitative and qualitative aspects.
- ❑ Bibliographical and documentation methods.
- ❑ Techniques of individual and groups interviews and discussion – Participatory Rapid Rural Appraisals – Socio-institutional Audits.
- ❑ Methods and techniques of quantitative statistical socio-economic surveys
- ❑ Theoretical and practical aspects of social communication – Information Theory – Intercultural communication
- ❑ Theoretical and practical aspects of psycho-sociology of restricted groups – Facilitation and moderation for restricted groups – Negotiation techniques.
- ❑ Techniques and tools for prospective and strategical planning – Stakeholders games analysis – Participatory planning and programming methods.
- ❑ Methods of participatory monitoring and evaluation.
- ❑ Agronomic sciences and agro-economics concepts and methods.