

Social Analysis in Transport Projects:

Guidelines for Incorporating Social Dimensions into Bank-Supported Projects



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Social Dimensions into Bank-Supported Projects

SOCIAL DEVELOPMENT DEPARTMENT
The World Bank
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List of Acronyms

APL	Adaptable Program Loan
BOQ	Bills of Quantities
CDD	Community Driven Development
CSA	Country Social Analysis
DHS	Demographic and Health Survey
DPL	Development Policy Lending
ECA	Europe and Central Asia Region
EMUs	Environment and Social Management Units
ESW	Economic and Sector Work
GIS	Geographic Information System
HIV/AIDS	Human Immunodeficiency Virus / Acquired Immunodeficiency Syndrome
ICR	Implementation Completion Report
IEC	Information, Education and Communication
IEC	Information, Education and Communication Materials
IFRTD	International Forum for Rural Transport and Development
ILO	International Labor Organization
ILS	International Labor Standards
IMT	Intermediate means of transportation
LSMS	Living Standard Measurement Survey
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MTR	Mid-Term Review
NGO	Non-governmental organizations
OED	Operations Evaluations Department
OM	Operational Manual
OP/BP	Operational Policy/Bank Policy
PAD	Project Appraisal Document
PCN	Project Concept Note
PRSC	Poverty Assessment Support Credit
PRSPs	Poverty Reduction Strategy Papers
PSIA	Poverty and Social Impact Analysis
QAG	Quality Assurance Group
RAP	Resettlement Action Plans
SA	Social Analysis
SBDs	Standard Bidding Documents
SDV	Social Development Department
SMEs	Small and Medium Enterprises
SSATP	Sub-Saharan Africa Transport Policy Program

STD	Sexually Transmitted Disease
STI	Sexually Transmitted Infections
TOR	Terms of Reference
TSR	Transport for Social Responsibility Thematic Group
TTLs	Task Team Leaders
UNAIDS	Joint United Nations Program on HIV/AIDS
WB	World Bank
WHO	World Health Organization

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The Guidelines Note has benefited from feedback and support received from many social development and transport sector colleagues from the Bank's regions, including the many members of the Social Analysis Thematic Group, as well as the Transport and Social Responsibility Thematic Group of the Transport and Urban Department, without which these guidelines would not have seen the light of day. The Transport and Social Responsibility Thematic Group has worked in consultation with the Social Development Department (SDV) of the World Bank Environmentally and Socially Sustainable Development (ESSD) Network to help finalize the *Guidelines for Social Analysis in the Transport Sector*.

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Preface

The World Bank is committed to improving the quality of social analysis and participatory processes in the projects it supports. This is reflected in the new business model for Social Development in the World Bank, *Empowering People by Transforming Institutions* (2005), which presents three strategic priorities: Improved macro level processes; Better projects; and Better grounding through research and capacity building.

The social development strategy entails *improved development effectiveness of investment lending through more comprehensive and efficient mainstreaming of social development into project-level processes and analyses as well as strengthening the social development thematic portfolio*. In an attempt to help structure and systematize this process, the Social Development Department has in recent years worked on developing guidance to Bank staff and clients on the application of social analysis and the integration of social dimensions within Bank operations. One outcome of this has been the recent *Social Analysis Sourcebook* (2003). The Sourcebook explains how Bank teams can assess the social context and shows how governments and other stakeholders can undertake social assessments for specific projects. By explicitly addressing issues such as social diversity and gender, institutional norms and behavior, stakeholder analysis and participation, and social risk, projects are more likely to contribute to equitable and sustainable development.

Social Analysis in the World Bank has grown over the years from focusing largely on adverse impacts and compliance with social safeguard policies (involuntary resettlement and impacts on indigenous peoples), to a more comprehensive framework for Bank-supported projects and programs. The attention to avoiding and mitigating adverse impacts of development interventions remains as important as ever, but this is now incorporated into a broader focus on opportunities, constraints and risk to development that arise from the social context.

While the focus of the Social Analysis Sourcebook is on incorporating social development issues in a project cycle, frameworks and guidance have also been developed for more macro-level social analysis. This is done at the program and policy level through Poverty and Social Impact Analysis (PSIA), which analyzes distributional impacts and the role that informal institutions, social relations, and power structures play in the reform process. At the country level, Country Social Analysis (CSA) informs the Bank's portfolio and provides inputs to the Bank's 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 producing a series of sector and theme-specific guidance notes for social analysis. The purpose is to ensure that advice related to social development issues is relevant and timely, addresses the key social concerns and opportunities in particular sectors, and is well integrated with the project cycle at all stages. The notes also discuss policy and institutional aspects of particular sectors. These aspects may in some cases be addressed through other instruments than projects, such as country-level policy dialogue or Development Policy Loans (DPLs).

Effective transport systems are an integral part of a good quality of life, enabling people to access resources, jobs, healthcare, pursue an education, and to market food, goods and services. At their best, transport projects can provide access and employment opportunities to communities and the private sector, provide a platform for widespread stakeholder consultation and participation in decision making, promote integrated development planning and ultimately, improved social

development and economic growth. Social analysis in transport appraisal helps to maximize the opportunities for positive outcomes and also helps to reduce or mitigate the risks and negative impacts of construction activity, institutional changes and policy reforms.

The guidance note on *Social Analysis in Transport Projects* was developed in collaboration with the Transport Sector Board of the World Bank with several audiences in mind. It is addressed primarily to social scientists within and outside the Bank who are expected to assist our clients—Bank task managers and project authorities in borrowing countries—in integrating social analysis into Bank-financed transport operations. A second audience is the Bank’s task managers, as well as other members of project teams that work in and across sectors in which informed social analysis is a necessary tool for ensuring quality in Bank transport projects. The guidance note will also support country managers and sector managers in assisting their task teams in incorporating social development dimensions in the design and implementation of Bank-supported transport operations. Finally, the note is expected to be of use to governments, civil society and other stakeholders in considering how best to integrate social issues in their development efforts.

As with all guidelines, the actual application of the framework and suggestions provided here will depend on the local context and available resources. This is not intended as a rigid blueprint, as judgment and flexibility are required in every situation. Nevertheless, we hope that this guidance note will provide a good starting point and contribute to better project outcomes.

I. Introduction

Transport is integral to a country's economy and its social fabric, and plays a pivotal role in assisting the poor in gaining access to services and employment opportunities. Transport interventions can have wide ranging impacts on the poor as their lives may be transformed by access to better transport services that they can afford. However, transport improvements are often beyond the physical or financial reach of the poorest people, while they are disproportionately affected by the adverse effects of transport. For instance, a disproportionate number of poor households may be subject to involuntary resettlement during highway expansion; or poor people may suffer a higher incidence of traffic accidents, either as passengers or pedestrians; or they might have little or no access to public transport. As a result, the range of social issues that the transport sector must address is broad and deep.

The transport sector also tackles issues as distinct as the design of transport systems, including the choice of technology to support employment strategies when building and operating these,--to the application of contract clauses for HIV/AIDS mitigation actions; the participation of private sector and local communities in construction and maintenance of roads; the design of retrenchment packages; road safety policies and activities; and the potential for introduction and adoption of non-motorized and other intermediate means of transport (IMT). In addition, the transport sector must take into account the social dynamics of connecting rural and urban areas, bridging regional differences, and the myriad of issues arising from the interface between small and medium provisioning enterprises and local governance institutions. Therefore, comprehensive social analysis guidelines for practitioners seeking to enhance the impacts of transport projects require a multi-dimensional approach that is inclusive of other sectors or cross-cutting themes.

Social analysis within the World Bank draws upon the operational principles of Social Development--inclusion, cohesion and accountability, which are integral to the Social Development Strategy:¹

- ***Inclusive institutions*** promote equal access to opportunities, enabling everyone to contribute to social and economic progress and share in its rewards.
- ***Cohesive societies*** enable women and men to work together to address common needs, overcome constraints and consider diverse interests. They resolve differences in a civil, non-confrontational way, promoting peace and security.
- ***Accountable institutions*** are transparent and respond to the public interest in an effective, efficient and fair way.

Social analysis is a tool that helps ensure that Bank projects and programs support the operational principles and adds value to the Bank's efforts by enhancing the quality of the following dimensions of projects:

- **Assessment of project feasibility:** Social analysis reveals the constraints and opportunities that are related to attainment of the social development objectives of a

¹ See World Bank (2005).

- project, and identifies strategies to address both. For example, social analysis can be used to assess the opportunities for stakeholder involvement, gender equity legal provisions, or strengthening institutional capacity.
- **Understanding the project environment:** Social analysis sheds light on relevant relationships between individuals, organizational arrangements and institutional structures, and accounts for the dynamic processes among these stakeholders. By focusing on power relationships, conflict and agency in both public and private relations, and drawing attention to questions of equity and conciliation, social development outcomes of social inclusion and cohesion are better ensured.
 - **Project responsiveness to community needs:** Social analysis identifies the concerns, needs and priorities of key beneficiaries and stakeholders, poor as well as non-poor members of the community, women as well as men. As a result, projects are better equipped to address issues of poverty reduction. For example, by identifying target groups of the project community such as households with the lowest incomes and ensuring that women from poorer households and minority groups are included in community planning of transport projects, the interests of a wider range of community members are taken into account, and therefore are less likely to be captured by local elites.
 - **Maximization of project benefits:** Social analysis allows for more effective targeting of project benefits, and by making better use of project resources. Gender and transport studies in Turkmenistan and Africa, for example, show that women must often wait longer than men for transport, and often they depend on more unreliable, publicly operated bus services, whereas men have access to better and more dependable transport.
 - **Sensitivity to potential project-related risks:** Social analysis identifies the impacts on indigenous or rural populations, and how these risks can be avoided or mitigated. Social analysis also can flag potential unintended consequences of projects before they occur. For example, data shows that employees in long-distance transportation and construction of infrastructure are more at risk than others to the transmission of HIV/AIDS; this in turn translates to an increased risk to those populations that are in contact with those employees.
 - **Efficiency of project implementation:** Social analysis of transport projects can contribute to an understanding of the macro level policy environment, as well as the regulatory environment for implementing transport projects. This can be particularly relevant for road transport operations that can offer a great variety of opportunities for micro, small and medium enterprises (e.g., cycle-rickshaw, owner/driver minivan and small truck fleet respectively).
 - **Evaluation of project outcomes and impacts:** Evaluation of social components in transport project outcomes and impacts can provide a more comprehensive and balanced assessment of how projects contribute to or constrain gender equity and poverty reduction. The evaluation of a project to improve rural roads, for instance, can assess differences in gender patterns of participation at public markets and other forms of commerce.

Social Analysis and Transport Sub-sector Issues

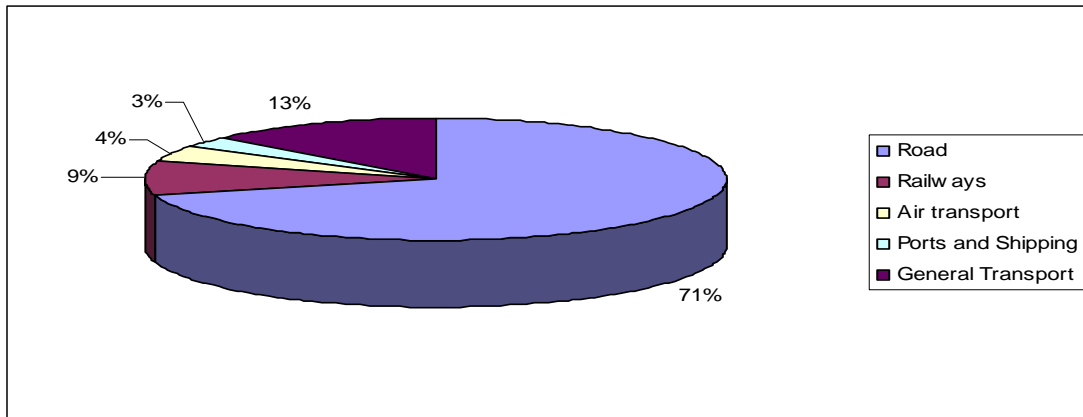
Transport investments consistently account for between 15 percent and 20 percent of the World Bank’s lending. The majority of investment continues to be in road transport that usually amounts to about three quarters of the transport portfolio (Figure 1). Generally, interventions to improve road transport services are those that have the greatest potential for directly influencing the lives of poor people.

Social analysis in the road sector has identified various kinds of road users and assessed cost-recovery mechanisms, beneficiary assessments, willingness to pay, HIV/AIDS and road safety strategies. Importantly, social analysis has also paved the way for other developments that accompany transport projects. The Rural Roads project in Peru, for example, used social analysis to guide their gender targeted interventions and to create community-based road maintenance groups and micro enterprises. The transport and poverty observatories being implemented in Ethiopia are another example of how social analysis can improve quality of highway projects.

For urban transport, social analysis can assist in determining affordability and access of transport for different populations, as well as in providing information on the appropriate technological solutions to deal with the social and physical realities of those living in cities. The poverty and urban transport study in Mumbai, for instance, has identified the spatial and poverty dimensions of inadequate access to employment opportunities in the city. These findings provide useful inputs for analyzing the relative costs and social impacts of investments in rail versus bus services.

In railways, where the emphasis has been on restructuring bankrupt, under-performing, formerly publicly owned companies, social analysis provides essential inputs for the reforms, since these often entail layoffs and significant changes in services. In Mozambique, a social assessment of the differential impacts of retrenchment on railway workers was carried out before designing the retrenchment package. The results of the social assessment were used by the NGO brought in to retrain redundant workers.

Figure 1: Composition of the World Bank transport sector portfolio in FY05, (transport sector projects accounted for 18 percent of total Bank lending).



Inland water transport makes a small contribution globally but it is a significant carrier of freight in a few countries (such as China) and in particular regions of some countries it provides the only

means of transport where a road network is impractical. In Bangladesh and Madagascar, social analysis has also identified and assessed the role of IMTs and of informal sector waterway transport services.

The emphasis for ports has also been on restructuring and reform. Social analysis has helped to determine whether powerful labor groups and operators will champion or oppose the intended productivity improvements.

In aviation, the lack of social analysis has meant that investments are often “over-dimensioned,” meaning the markets for air travel develop more slowly than planners expect. Again, there are a few very remote regions where air transport may be the most practical mode for improving the access of a small isolated community to some essential services.

II. Social Issues in the Transport Sector

Transport sector projects cover a wide array of social issues. They include product (e.g., an expanded road network), process (e.g., participation, addressing multiple stakeholder interest, etc.) and outcome (such as improved access to resources and services). While many of the social issues discussed below overlap with other areas of development work, they nevertheless take on a particular significance within the transport sector. Therefore, it is important for social scientists and other specialists concerned with social dimensions of transport to be aware of these issues.

TRANSPORT AND POVERTY LINKAGE

Transport is integral to the Bank's central mission of poverty reduction. Transport improvements have the greatest impact on poor people when other interventions are also adequately in place and, equally, without good transport, many sectoral interventions may prove to be ineffective. Well-functioning health clinics are of little benefit to poor people who cannot reach them. As both a service that facilitates access to resources and opportunities, as well as a physical infrastructure, poor people require affordable access to services, employment, and social networks in order to maximize their assets and their livelihood capabilities. But affordability is only one part of the equation, there is also the issue of efficiency: how long does it take to reach public transport services; is there a safe street environment between home and transport; how long are commutes between home and job; and is transport available every day, all day, or only for a part of the day?

Box 1: Transport and reducing poverty in Africa ²

- Transport alone cannot reduce poverty, but it can serve as a pervasive and crucial leverage.
- Without affordable access and without adequate mobility, Africa's poor will be unable to take full advantage of any improvements in education, health, or other services.
- The poor can benefit from road transport projects, but meeting their needs on a sustainable basis depends on the details of project design, "listening" to the poor and understanding their livelihoods.
- Knowledge about the social benefits of road investments at household and at local community levels is still limited, as adequate methods to measure the impacts are yet to be fully developed.
- Most attempts to assess and monitor poverty impacts of road investments have been ad hoc. Future road investments would benefit from mainstreaming assessments of poverty impacts as integral part of national road network infrastructure development.
- The added operational value of transport and poverty observatories lies in collecting consistent 'before' and 'after' data that may be based on GIS technology and contributes to overall monitoring of the transport system. This can enable adjustments to strengthen poverty impacts and will facilitate enhanced design of future improvements in the transport network.

Transport concerns differ for the rural and urban poor. Rural poor confront everyday problems related to subsistence and domestic needs, as well as access to social services, educational opportunities, market and, sometimes, employment. The great majority of a rural household's transport and load carrying are usually undertaken by the women and children. Many communities do not have all year-round access to motorized transport services. Furthermore,

² The World Bank, 2003c; A. Lema and W. Walker, 2004.

local transport services can be either expensive or unavailable in remote areas because of the low density of demand, high input costs, the presence of cartels and inefficient transport service operator performance.

Rapid urbanization has increased the challenges of providing adequate transport infrastructure capacity and services that also serve the poor. Among the urban poor who live on the outskirts of the city center, they are often unable to afford the cost of daily commuting to city centers. Urban transport issues include informal transport services and intermediate means of transportation (IMTs--cycle rickshaws versus taxis), as well as transport service choices (bus versus rail) and security issues (lighting for streets and transport stops, female-designated train cars and buses, road safety). In rural areas, the challenges of promoting adequate and equitable access to basic services and markets, linking footpaths and IMT access to the larger networks and promoting rural transport services are all necessary for promoting economic development and social inclusion.

INCLUSION OF ELDERLY AND PEOPLE WITH DISABILITIES

A pro-poor national transport policy must also address the barriers to employment imposed by the public transport that is designed and operated in a manner that makes it inaccessible to persons with mobility, sensory, or cognitive disabilities. Lack of access to transport inhibits participation in education, training, health or social services which would otherwise be available.³ Improved access and mobility are critical for reducing isolation, vulnerability, and dependency of elderly and/or people with disability, particularly in developing countries where individuals with disabilities and the old are likely to be among the poor and most vulnerable sections of the population.⁴ Other problems that confront the disabled or elderly include the high costs entailed in providing universal access, especially the infrastructure-related costs associated with retrofitting universal access features in existing buildings or access routes.⁵

Box 2: Addressing Universal Access in Rio City Project ⁶

In 1994 when Rio City Project 1 was initiated, the organization for people with disabilities lobbied the project to address accessibility issues of disabled people. As a result, the project adopted a Universal Design principle that advocates designing infrastructure for people with diverse abilities. Rio City Project contracted Independent Living Center of Rio de Janeiro (CVI-Rio), a non-governmental organization with significant experience in addressing accessibility, to assist with the project. Rio City Project 1 constructed ramps at sidewalks to facilitate movement for people with disabilities, and for those pushing baby carriages and grocery carts. Texture coded pathways were constructed for visual impaired road users. Street fixtures, such as lamp posts, sign posts, litter baskets, benches, etc., were repositioned and resized to meet accessibility standards.

Upon completion of the Rio City Project 1 in 1997, Rio City Project 2 was initiated. Rio City Project 2 was able to use its previous experience of addressing universal accessibility to better incorporate accessibility issues.

³ For more information, see

<http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTSOCIALPROTECTION/EXTDISABILIT Y/0,contentMDK:20192134~menuPK:414202~pagePK:148956~piPK:216618~theSitePK:282699,00.html#Transportation> and <http://siteresources.worldbank.org/INTTSR/Resources/accessibility-strategy.pdf>

⁴ The United Nations recognized the importance of enacting legislation to promote universal mobility in the Asian and Pacific Decade of Disabled Person (1993-2002). See also Venter, C., Sentinella, J., Rickert, T., Maunder, D. and A. Venkatesh. 2002.

⁵ Venter, C., Ricker, T. and D. Maunder. 2003..

⁶ A. Meriläinen and R. Helaakoski. N.d.

Legislation to ensure universal access to transport services has been limited in developing and transitional countries. Accessibility issues of the elderly and of people with disabilities are largely perceived as the welfare function of the state, rather than as a basic right. A social analysis of the transportation needs of elderly and people with disabilities, and of national and local legislation for inclusive access can contribute to further the provision of universal access.

ACCESS TO TRANSPORT SERVICES

Transport Subsidy for Poor

As is the case for targeting other services, subsidy is an important policy option for ensuring equitable transport access for poor and vulnerable groups. Upgrading transport services may increase tariff regimes, making the services less affordable to the poor. However, poorly targeted subsidies may result in the relatively well off users deriving a disproportionate benefit compared to the poor (who, in any case, may be able to afford the service little, or not at all). Subsidies, thus, require careful design and targeted application to integrate the economic, environmental and social objectives of the transport sector and to avoid regressive distributive impacts.

Social analysis can help to determine the groups that need subsidies in order to afford a basic service, the level of subsidy required, and the impacts of the subsidy on user groups, as well as on transport service operators. In cases where subsidies are financially not sustainable or where they are not achieving their objectives, social analysis can provide important information on the means to reduce or re-target them.⁷

Inter-modal and Prioritization Issues

There are important social and environmental issues (risks and opportunities) related to decisions about financing a particular mode of transport, such as waterways versus roadways. What are the tradeoffs? Who profits? Who pays? How do these decisions affect mobility and access for the poor, people with disabilities, or pedestrians?

Inter-modal issues are at the core of providing a full network of access for all. Determining how the modes are connected, where, and who benefits can have enormous impacts on addressing vulnerability and sustainability of the investments. Furthermore, limited budgets often force prioritization of transport infrastructure construction or rehabilitation. For instance, a project may not be able to finance the upgrading of roads in an entire country or district, therefore decisions have to be made on what to finance and where. In such circumstances, it is necessary to consider social implications and outcomes of the financial decision. What if a project ends up only financing upgrading transport services that only wealthy or non-poor residents can afford?

Significant choices exist between transport modes (such as road and rail), over the location of investment in the transport system, and whether this is to be driven by public or private investment in transport infrastructure, and can each have very substantial environmental and social consequences in the medium and long term. These consequences may be manifested in land use patterns, urban sprawl, the balance between pedestrian activity, public transport and private car use, atmospheric pollution and impact on climate. Social analysis can complement

⁷ See presentation by Vivien Foster: Transport Sector Social Policy: A View from Outside under session titled Evaluating the Social Impact of Transport Projects. <http://www.worldbank.org/transport/learning/plenary.html#present>.

project level environmental analysis to identify some of the winners and losers in these decisions and also suggest mitigating actions, as well as provide social indicators that are included in the prioritization process.⁸

TRANSPORT AND ROAD SAFETY ISSUES

Projects that include major networks often consider only road users as those who have access to motorized transport (e.g., vehicle owners and passengers). A focus within the transport sector on only those who can pay for transport infrastructure excludes other transport infrastructure users, such as pedestrians or street vendors. Traffic laws established without consideration to pedestrians, non-motorized transport (NMT) users, and street vendors put the transport infrastructure users at a greater risk from impacts such as injury, pollution, separation of communities, etc. In addition, failure to account for all of the users of a road greatly inhibits the project designer's ability to understand and enhance the impacts of its construction, maintenance and operation — particularly in respect of poor and vulnerable users. Stakeholder consultation can help provide better definitions of road users and in addition, help to integrate complementary modes of transport (walking, NMTs, public mass transit, etc.).

Box 3: A Profile of People Affected by Road Traffic Injury⁹

Road user groups: A notable variation exists in mortality rates between different road user groups. Pedestrians and two-wheel vehicle riders are at a higher risk of road accidents than vehicle occupants. This is particularly the case in low and middle income countries, where there is a greater traffic mix of non-motorized road users, slow-moving vehicle, motorcycles and fast-moving, motorized vehicles. Motor vehicle crashes are the main cause of road traffic deaths in industrialized nations.

Age: Over 50 percent of road user mortality occurs among adults aged between 15 and 44 years. The road traffic mortality rates are higher for this age group in low income and middle income countries. Children under 15 years have lower road traffic injury mortality rate. Older people, particularly pedestrians, are associated with a high rate of road injury and deaths.

Sex: Road traffic injury mortality rates are higher in men than in women in all regions and also across all age groups. In the year 2002, males accounted for 73 percent of all road traffic deaths, with an overall three times more than that of female.

Socioeconomic status: Individuals from disadvantaged socioeconomic groups are at a greater risk of being injured or killed in road traffic accidents, even in high income countries.

Transport projects need to take into account the differences between developed countries, which often have high levels of motorization, and developing countries, where the traffic mix is different. The recent publication on the impact of road safety on populations around the world signals a call for solutions based on incorporating social analysis to accompany engineering and regulatory responses.¹⁰ Community-based road safety plans with appropriate attention to identifying most at-risk populations and designing appropriate outreach and other actions is an

⁸ The social analysis training held in Kenya in 2002 identified unanticipated and unaccounted differential impacts relating to selection criteria in a rapid analysis of the Road Fund targeting both rural and urban areas.

⁹ Peden, M., et al. eds. 2004.

¹⁰ WHO, 2004.

area where social analysis could be of great assistance to the transport sector.¹¹ In countries like Lesotho, at least 50 percent of road fatalities involve pedestrians. Attempts to address road safety need to be grounded in a better understanding of road network user behavior, appropriate ways of providing road safety regulation and education, and in designing transport systems to be safe.

TRANSPORT AND HIV/AIDS

About 42 million people live with HIV/AIDS globally and more than 95 percent of the people with HIV/AIDS live in developing countries. Over 16,000 people in the world become infected with HIV/AIDS every day. The majority live in Africa where transport service operators (such as long distance truck drivers) have AIDS infection rates as high as 30 percent because of their high-risk sexual behaviors.¹² Strong evidence links transport routes to the spread of HIV. International studies of the HIV/AIDS pandemic suggest that the transport sector is a major vector of the disease for two main reasons:

- The movement of people through the opening of new traffic routes and improved access and mobility between areas of high and low HIV prevalence (from urban areas to rural areas; between countries and regions);
- The behaviors associated with transport sector workers and commercial sex workers. For example, truck drivers constitute an especially vulnerable group because of their high-risk behavior at truck stops and border towns. They in turn raise the risk of transmitting HIV to their partners (married or unmarried).

The epidemic has the potential to impact the effectiveness and reliability of transport — a sector that is essential for economic and social development — and lead to a decline in productivity, further affecting the rest of the economy.

Transport sector employees, such as drivers, train crews, airline crews, and sailors often spend time away from home and their families. They may partake in the sex trade, which exposes them to HIV/AIDS.¹³ The risk of transmission of HIV/AIDS is not only to transport workers and their families but also to the population in areas where transport workers travel. On the other hand, transport can also have an enormous impact on combating HIV/AIDS and other diseases by providing health service access to at-risk populations and designing outreach to workers and local communities in contact with transport projects.¹⁴ Participation of transport sector employees in the social analysis of the relationship between HIV/AIDS and transport is a starting point for minimizing adverse impacts of transport services on health of its users and operators and in improving positive impact of the transport sector in controlling the spread of HIV/AIDS epidemics.

¹¹ See Kvam, R. n.d.

¹² World Bank. 2003a.

¹³ For more information, see: Fransen, L. and A. Whiteside. 1997.

¹⁴ For a discussion of these issues and resources see Transport and Social Responsibility website, (<http://intranet.worldbank.org/WBSITE/INTRANET/SECTORS/INTTRANSPORT/INTTSR/0,,menuPK:462623~pagePK:151716~piPK:176772~theSitePK:462614,00.html>).

Box 4: Addressing HIV/AIDS issues in the World Bank Transport Project

Ethiopia Road Sector Development Program Support Project¹⁵

The primary aim of the Ethiopia Road Sector Development Program Support Project (ERSDP) was the first World Bank project that included HIV/AIDS control and prevention in road contracts. In its early phase, there was a recognition of the prevalence of HIV/AIDS in its areas and the need for HIV/AIDS control programs. During the project preparation, the HIV/AIDS Program for Africa (MAP) was not operational, and therefore, the project initiated an HIV/AIDS strategy for the transport sector. At the initial phase of the HIV/AIDS strategy implementation, the Ethiopian Road Authority (ERA) was wary about disseminating HIV/AIDS information. The project hired sociologists and nurses to initiate HIV/AIDS awareness raising activities that were targeted at staff of Ethiopia Road Authority, contractors, and consultants, and the local communities at project sites. HIV/AIDS prevention activities became a part of work contracts and of the ERA itself.

Western Africa HIV/AIDS Project for Abidjan-Lagos Transport Corridor¹⁶

The HIV/AIDS Project for Abidjan-Lagos Transport Corridor aims to increase access to HIV/AIDS prevention, basic treatment, support and care services of vulnerable groups that reside along the Abidjan-Lagos transport corridor. The project is active in five countries- Cote d'Ivoire, Ghana, Togo, Benin and Nigeria.

The project design phase included a civil society and social assessment that revealed the lack of civil society organizations along the transport corridor that worked on HIV/AIDS issues. Most of these organizations focused on HIV/AIDS information dissemination, education and communication. The assessment recommended that the project include capacity building activities for these civic society organizations, as they had little capacity to participate in the project activities. As a means of strengthening stakeholder participation, the project has made a provision for grants to Civil Society Organizations to undertake community based initiatives in HIV/AIDS care and support.

In addition, the project has adopted innovative ways to limit HIV transmission along transport corridors by balancing multi-sector/multi-country challenges and by making trans-national cooperation more effective to make up for the lack of regional and institutional capacity. It has organized awareness raising campaigns, produced three films, and involved local stakeholders including religious leaders, traditional chiefs and commercial vehicle drivers in the project activities.

Republic of Cape Verde. HIV/AIDS Project¹⁷

The project supports the national HIV/AIDS strategy of the Government of Cape Verde. The project objective includes minimizing the health and socio-economic impact of HIV/AIDS at individual, household and community level, and establishing a strong and sustainable national capacity to respond to the epidemic.

The project beneficiaries include the entire population of Cape Verde, but it specifically targets vulnerable groups, especially people living with HIV/AIDS and HIV/AIDS affected households, youth, street children and orphans, pregnant women, commercial sex workers, migrants, maritime crews, road and other long-distance construction workers, traders, fishermen, the military, the prison population. The project will reach them through key sectors such as education, transport, agriculture, health, and social welfare.

TRANSPORT TO PROMOTE AND ACCESS HEALTH OUTCOMES

In addition to road injuries and HIV/AIDS, there are other health-related risks and impacts where the transport sector can play a pivotal role in developing countries.

¹⁵ World Bank. 2005.

¹⁶ World Bank. 2003c.

¹⁷ World Bank. 2002a.

Increasingly, transport systems are being associated with an array of health risks and problems that vary for each transport mode. Incidences of cardiovascular diseases are associated with reduced physical activity and mobility due to increased motorized travel and inadequate urban transport planning; respiratory diseases are linked to greater atmospheric pollution; and mental health disorders caused by increasing environmental stressors such as traffic congestion caused by urban sprawl and noise of motorized transport such as cars and also airplanes. The risks of health complications and chronic diseases linked to increased motorization tend to be less prominent in rural areas where walking and cycling continue to remain the most effective mode of transport. In densely populated urban environments, transportation planning and design that seek to include a mix of adequate pedestrian design, efficient and reliable public transportation, while promoting healthier activities like walking and bicycling, would help minimize negative health impacts¹⁸ (see Box 5).

Box 5: Reducing Automobile Use in Brazil

Curitiba, Brazil, provides an example of the benefits of a strategy that reduces automobile use and increases use of public transportation. In 1965, city planners adopted a master plan that promoted development along designated corridors along with a bus system so efficient that it has virtually eliminated the need for automobiles. Minibuses are used to quickly and efficiently transport individuals from residential neighborhoods to express bus lines. These bus lines run almost every 90 seconds and can carry up to 270 passengers each. Compared with other Brazilian cities of its size, Curitiba uses 30 percent less petrol per capita, and its air pollution is among the lowest in the nation.

Extracted from Jamison et al.. (footnote 1)

Transport also facilitates access to and the delivery of health services.¹⁹ Transport is essential for the distribution of drugs, blood and other supplies necessary for care and the proper operations of health facilities. It also enables the timely transfer of patients between health facilities and to the different levels of care of health referral systems. Efficient transport systems and roads also facilitate access by health workers to often sparsely-populated rural areas as well as the necessary monitoring and supervision of health services and initiatives. Adequate transport also positively influence the success of tuberculosis and other immunization and disease control programs provided by the major international development partners involved in immunization such WHO and UNICEF.

In many developing countries, however, distance combined with transport costs, poor road access and lack of transport continues to be a considerable challenge for health access. Transport expenses often account for large shares of the costs incurred by immunization programs for their mobile strategies, which rely on the use of specialized vehicles to transport health professionals and vaccines to deliver services. In terms of access, the World Health Organization (WHO) estimates that between 40 to 60 percent of the people living in developing countries live more than eight kilometers from a health care facility. Although health outcomes have improved in the second half of the 20th century, progress slowed down in the 1990s, and at the current pace, it is anticipated that most regions of the developing world will not reach the Millennium Development Goals (MDGs) for Health by 2015.

The inclusion of both maternal and child mortality reduction in the MDGs has stimulated increased attention to the role played by transport in achieving these goals and the complex inter-sectoral linkages that exist between the transport and the health sectors to ensure adequate

¹⁸ See Willett, W. 2006.

¹⁹ Roberts, P. and J. Barbinard. forthcoming.

provision of and access to health care services. Every year, 529,000 women worldwide die due to complications arising from pregnancy and childbirth. Nearly all these deaths (99%) occur in developing countries, where a woman's lifetime change risk of dying from pregnancy-related complications is about 46 times higher than that of women in developed countries. Likewise, almost all (98%) of the deaths of children under five years of age occur in developing countries, with an estimated four million deaths worldwide each year. The risk of dying from pregnancy-related complications and for a child to die under the age of five is highest in Sub-Saharan Africa. It is estimated that 75 percent of maternal deaths could be prevented through timely access to essential childbirth-related care.²⁰ Yet in many cases, considerable time is spent by women and their families waiting for transportation and traveling to reach a health facility with the necessary capacity, including telephones or transmitters, to treat women with obstetric complications.

Improving transport arrangements for the development of effective patient referral and better access to health services requires inter-sector cooperation between health and transport sector planners. Community participation and mobilization to understand local and cultural norms and needs are also crucial aspects to ensure adequate design and socially acceptable transport modes.

Box 6: Transport's Role in Reducing Maternal Mortality in Malaysia and Sri Lanka

Despite differences in income levels and economic growth between Sri Lanka and Malaysia, both countries have been able to make significant reductions in their maternal mortality levels because they managed over time to expand service provision (particularly in rural areas); to increase utilization of services; and to emphasize quality of service as a last stage to ensure utilization. Modest levels of investments have sufficed because they have included focused on underprivileged groups such as rural populations and were combined with an integrated package of measures such as increased education, and promotion of water and sanitation services. Other success factors included removing financial barriers to access care as well as attendance by trained professionals.

A key factor behind the declines experienced in both Malaysia and Sri Lanka was the planning of transport measures that linked with and supported the delivery of health services:

- Transport facilitated and improved access to health facilities to higher levels of health care when health systems were underdeveloped in one location;
- Measures to stabilize the health condition of women with complications and the availability of blood supplies ensured successful transportation of patients to the next level of care;
- Rural development measures included better transportation and road access to improve overall mobility in rural areas (also important in Malaysian urban context);
- Early detection by midwives and nurses in rural health centers helped persuade patients to go to the hospital or brought patients to the nearest hospital where government transport was available;
- In both Malaysia and Sri Lanka, free or subsidized emergency transportation was provided in rural areas primarily; whereas ambulatory medical care was gradually and to a greater extent provided by the private sector and financed by user fees;
- In the absence of or lack of access to an ambulance or other forms of official transportation (Sri Lanka evidence), field staff were authorized to hire private transportation for emergency referral. In this case, the money was reimbursed by the MOH – transport evolved from bullock cart or a buggy in remote areas to taxi or private vehicle;
- Telephone access also helped in referral process and efficiency of transport measures (Sri Lanka).

Source: I. Pathmanathan, et al. 2003.

²⁰ Wagstaff, A. and M. Cleason. 2004.

EMPLOYMENT ISSUES IN THE TRANSPORT SECTOR²¹

Construction and maintenance of road infrastructure often provides employment to poor, low skilled or entry level workers. However, the employment status of road construction workers is often informal and usually places workers in exploitative, dangerous, or environmentally hazardous working conditions. Every year over 100,000 construction workers are killed in site accidents; nearly all of these deaths could have been prevented. Their extremely hazardous working conditions result in problems such as deafness, vibration syndromes, respiratory illnesses, HIV/AIDS, and malaria. Complicating these dire conditions are the sometimes hostile reactions of construction contractors toward workers who try to organize and address the issues of their poor working conditions.

Equitable access to fairly paid employment with reasonable and safe working conditions is an essential element of any poverty reduction strategy. Poor employment conditions of construction workers are addressed by International Labor Standards (ILS) and often by national laws. The problem, however, is usually not the legislation, but the government's lack of capacity to enforce it. The ILS should be integrated with project procurement as a critical element of the Bank's Standard Bidding Documents (SBDs).²² Borrower country capacity must be built, specifically in procurement and for the construction industry more broadly, including development of practical tools, such as training courses and guidance notes. A social analysis can assist in developing indicators to verify and monitor compliance with the ILS in project implementation.

RETRENCHMENT

Regulation and restructuring, especially through employment reduction and various forms of private sector partnerships, are important mechanisms for reforming transport institutions and improving both financial performance and service delivery.²³ However, individual and institutional behavior will affect the regulation and restructuring; a social analysis can reveal how this will happen and illuminate the possible differential impacts on employees. In projects with significant retrenchment components, social analysis can identify potential mitigating actions, reveal unanticipated impacts on larger communities, and identify appropriate job retraining possibilities for workers. Social analysis can also anticipate problems and build support for new regulatory frameworks and various kinds of private-sector ownership and management.

The Mozambique Railways project, for example, identified through a social assessment the differential impacts on workers depending on their age, but it was not until the NGO responsible for providing training began their program that they found 90 percent of the workers who had been laborers were illiterate and that the previously-designed training would not be practical. Good social analysis should identify the multiple dimensions of vulnerability, including illiteracy

²¹ Adapted from Murie, F. 2004.

²² See Annex 1.

²³ Staff reduction is usually an important element of any transportation sector restructuring effort. While this may, in the long term, lead to improvements in sector efficiency and service delivery, these improvements may never materialize if the pain of restructuring leads to company strife and civil unrest. Employment reduction without social analysis to establish an appropriate social safety net and to provide reasonable alternatives for those being laid off is usually unsuccessful.

levels, limited access to information training, and then suggest appropriate communication mechanisms and components for such a project.²⁴

Box 7: Lessons learned from privatization of the Mexican National Railroad Company²⁵

Resistance to reform can be avoided by including leaders of labor unions in the restructuring process. The Mexican National Railroad Company's restructuring generated a strong resistance from labor groups that led the authority to canceling the programs for some time. The privatization team realized the necessity to include labor unions in the process and to communicate regularly with the leaders. As a result, the CEO of the railroad company went on tour across the country to meet union leaders and to convince them and their union members that privatization was the only way to save the company. Labor unions constituted a fundamental part of the privatization process and regular communication was established with the union leaders.

SAFEGUARDS ISSUES

Construction of roads and other infrastructure often means resettlement or loss of both assets and livelihoods for communities living and working adjacent to the construction areas. Failure to properly identify and register affected households can lead to risky complications for projects and significant losses of time for project implementation. In the case of linear developments, clear cut understandings of affected communities are quickly complicated as impacts vary depending on status (i.e., squatter versus landowner); gender (the India highway project found that women preferred different forms of compensation than men); identification of household heads is also a complicated issue; and placement (i.e., within the road reserve or adjacent). In the case of informal marketplaces, there are important factors to be taken into account when identifying affected persons (i.e., people who rent spaces versus own them, market women who only show up during certain seasons).

Social Safeguards against displacement and loss of economic options are one kind of vulnerability risk that many road projects encounter. World Bank policies on Involuntary Resettlement (OP 4.12) and Indigenous Peoples (OP 4.20) establish mandatory guidelines to be followed when Bank-financed projects cause physical or economic displacement, or affect tribal and indigenous populations. Newly acquired land must be compensated based on full market value, and affected livelihoods must be restored. Apart from land acquisition, transport projects frequently pose particular challenges, in that some of the displaced populations may not have legal property rights over the land they are occupying. This is particularly the case when squatters and encroachers occupy the public Right of Way. Determining status and eligibility for support to such persons should be based on a principle of compensation for lost assets other than land, support towards relocation, and support to restore lost or reduced livelihoods. In the case of indigenous peoples, preparation of an action and development plan in the form of an Indigenous Peoples Development Plan is required. This must be based on systematic and meaningful consultations with the potentially affected populations, to ensure that projects components and required mitigation activities are culturally appropriate.

²⁴ See PowerPoint presentation in resource section by Satoshi Ishihara on the experience and lessons learned with retrenchment in transport projects; also Labor Retrenchment and Restructuring in the Privatisation of Private Enterprises: A Toolkit.
<http://rru.worldbank.org/documents/toolkits/labor/toolkit/index.html>.

²⁵Lopez-Calva, L. 2001.

Box 8: Inclusion and diversity in Bank projects**Peru - Second Rural Roads Project**²⁶

The Second Rural Roads Project (RRP) in Peru aims to alleviate rural poverty by increasing rural population's access to basic social services and to economic and income-generating activities. A social assessment of Peru Second Rural Roads Project (RRP) revealed the presence of indigenous people among the project beneficiaries. It examined the approaches adopted by previous NGOs in the project area to promote indigenous people's participation. In the highland area, the NGOs did not target indigenous beneficiaries, and instead, promoted participation from all community members, including the indigenous people. In the Amazon basin area, NGOs emphasized the indigenous identity of the local people in promoting their participation.

The project developed the Indigenous Peoples Development Plan in the upper Ucayali River. The plan is based on country reports, including the indigenous profile, legal framework studies, and lessons learned from ongoing projects in Peru that include the Peru Indigenous People LIL. This plan provides a framework for participation of indigenous communities in the upper Ucayali River and ensures that indigenous people's will benefit from the project benefits.

Vietnam Road Network Improvement Project²⁷

The Road Network Improvement Project (RNIP) aims to contribute to the Government of Vietnam's overarching goals to eliminate hunger and reduce poverty by raising living standards in rural areas of Vietnam. The social assessment revealed a substantial number of ethnic minorities, Muong and Thai, in Dong Hop and Nghia Xuan communes of Nghe A province. A majority of the ethnic minority in these two communes lived five kilometers away from the road and was outside the road impact. Few lived in settlements alongside the road and were integrated with the majority group, Kihn, by marriage, lifestyle, and welfare standard. However, the number of ethnic minorities was significant and they were, on average, poorer than the majority group. Therefore, the project plans to develop an Ethnic Minority Development Plan in accordance with the Bank Policy Framework for Ethnic Minorities.

Assessing the institutional capacity of the transport sector during project preparation is critical. Many ministries in Africa, for example, have begun to create Environmental and Social Management Units that are responsible for identifying, addressing and monitoring transport issues. Only by assessing the institutional mechanisms can procedures be adequately formulated and applied. By contrast, Resettlement Action Plans (RAPs) are often prepared by parties outside the client government, nevertheless, adequate training for this process and its supervision needs to be planned and budgeted for, and carried out.

ENABLING ENVIRONMENT: MACRO ISSUES

One of the most important aspects of social analysis in the transport sector is an understanding of the macro level policy environment that may serve to support or inhibit specific actions. These would include regulations regarding land ownership, resettlement, compensation, labor, gender equity, access for disabled, decentralization, and regulatory environment for small and medium enterprises.

With the move toward increased private sector engagement and the public sector acting in a regulatory capacity, there are enormous institutional and capacity implications for the sector. Adequate stakeholder identification and engagement is especially important in this new environment. In such cases, addressing environmental and social issues will be in the hands of regulatory agencies and the sometimes subtle regulatory principles, rules and laws of such agencies. Often the transfer of regulatory knowledge has meant a transfer of regulatory principles,

²⁶ World Bank. 2001.

²⁷ Ministry of Transportation. 2003.

specifically, concepts of “quality” and “standards,” and agencies that do not fit the needs of the poor and marginalized outside the formal economy and transport markets. Hence, assessments need to be made of the regulatory opportunities provided for informal and local private sector initiatives aimed at meeting the needs of the poor and marginalized. Social analysis asks questions such as: How are the concerns and needs of poor and marginalized stakeholders taken into account in the policy and reform process? What is the relation between the sector strategies and the PRSP objectives? How are these issues reflected in the regulatory bodies? What agency or individuals are ultimately responsible and accountable in the process?

In summary, with growing emphasis on new funding mechanisms (i.e., DPLs municipal financing, PRSCs), projects that strive for regional integration and trade facilitation, the growth of road funds and other policy decisions, it is imperative that transport engage in more macro social analysis to better understand and address the impacts of its programming.

III. Analytical Framework for Transport Social Analysis

Social analysis can enhance the development process by recognizing and analyzing the multiple social systems in play in any project or program. As a means of identifying the opportunities, risks, outcomes and impacts of transport sector operations, *The Social Analysis Sourcebook*²⁸ suggests five entry points of social analysis: Social Diversity and Gender, Institutions, Rules and Behavior, Stakeholders, Participation, and Social Risks. Depending on the circumstances and context of a particular project, some entry points may be more salient than others. Nevertheless, the intention of the social analysis entry points is to provide a comprehensive framework to analyze and address the social dimensions of transport projects.

SOCIAL DIVERSITY AND GENDER

Transportation projects require detailed analysis of impacts and opportunities on issues of social diversity and gender to ensure the effective mobilization and participation of women, people with disabilities and marginalized groups in society.²⁹ Debilitated or inadequate transport services entraps poor women, as their access to employment, education and health care are further constricted. Many social assessments identify the special difficulties in mobility and access to services that the people with disabilities and the elderly encounter. User surveys and focus group discussions in Dhaka, Bangladesh, for example, demonstrated that women's exclusion from public transport grows out of overcrowded buses and inadequate sidewalks that hinder their access to the workplace. Detailed analysis and consultation with these stakeholders are necessary to actually reach the goal of the sector in providing "access for all."

Transport user surveys in Ashgabat, Turkmenistan found that use of transport services is highly differentiated by gender. For example, 28 percent of Turkmenistan women walk to work, as compared to 14 percent of men. Their waiting times are longer than men's, and their average total journey time is 10 to 15 percent longer.³⁰ While it is generally acknowledged that these groups have special needs, much more social analysis is necessary to help design the processes and mechanisms, whereby these can be addressed with reference to design, provision of services, financing of upgrades, subsidies, etc.³¹ Social analysis helps to contextualize issues for decision makers, and also makes concrete suggestions as to how to best address these specific needs. Another relevant example is how gender differences appear in transport resettlement programs. The India State Highways Program has shown that women often have different compensation preferences. Men frequently prefer cash compensation for lost land or homes, whereas women prefer in-kind support, such as replacement land, a new home, or assistance in learning new skills.

²⁸ The World Bank, 2003b.

²⁹ The World Bank, 2004.

³⁰ Managing the Social Dimensions of Transport 1999.
[http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873467-1111665942878/20489606/SocialDimensionsofTransportSector\(429KbPDF\).pdf](http://siteresources.worldbank.org/INTRANETSOCIALDEVELOPMENT/873467-1111665942878/20489606/SocialDimensionsofTransportSector(429KbPDF).pdf)

³¹ The NGOs IFRTD (www.ifrtd.org) and Helpage (www.helpage.org) have been working on the issues of social diversity, gender and disability with reference to transport for some time and have important global resources and good practices listed on their websites.

Box 9: Uganda Road Sector Program Support³²

Road Sector Program Support (RSPS 2) in Uganda is a DANIDA supported program that is designed to assist the Government of Uganda to implement its Ten-Year Road Sector Development Program 1996/97-2005/06. The first phase of the program (RSPS1) was launched in 1999 and ended in December 2002. RSPS2 will be implemented from 2003-2007.

In Uganda, historical and socio-cultural factors contribute to inequities in women's access to and control over livelihood assets. Men make all the decisions and dominate the public sphere, while women's roles are limited to the domestic sphere. The government of Uganda has initiated an affirmative action to promote women's participation, but women remain under represented in national and local government strategic bodies. Further, road works are regarded as men's work and women are discouraged to participate in it. Women's low level of education also limits their opportunities in the transport sector. Further, women have limited time to participate in road work, as their household chores, such as cooking, collecting firewood and water, digging, caring for the sick, young, the old and the men, consume most of their time.

The project encountered several institutional challenges in their efforts to mainstream gender. Some policies, programs and guidelines, such as transport sector policy and the RSDP, were not gender sensitive, and there was insufficient gender-disaggregated data to inform policy and practice. The central and local governments possessed limited capacity and insufficient technical and financial resources to address gender issues. In both the central and local governments, government officials who were assigned the task to mainstream gender did not receive adequate training to take on the responsibility. Further, the gender focal points in the line ministries were either too high up in the hierarchy to devote time to address gender issues or too low to take the lead; nor were there to ensure that gender issues are addressed.

RSPS2 developed a gender management plan to address the gender issues in its project area. It adopted a participatory approach in developing the gender management plan and involved all stakeholders at all levels, including the designated gender officers in local governments. The plan included gender-specific activities and indicators.

- RSPS2 incorporated lessons learned from RSPS1. RSPS1 experienced a number of constraints in its gender mainstreaming activities. RSPS1 lacked funds to commit to intended gendered outcomes. Gender mainstreaming initiatives did correspond to the pace of program implementation. RSPS1 set up a quota system to hire women in road work, but the project did not ensure adherence to the quota system. The road contractors did not have contractual obligations to comply with the quota system. Further, the monitoring system of RSDP1 did not consider gender outcomes. These shortcomings of RSPS were taken into consideration in RSPS2.
- A stakeholder gender awareness-creation program was initiated, and gender training was provided to contractors, district engineers and community development officers.
- Gender was incorporated in to the training, policies and structures of national labor-based training center, METC.
- Gender mainstreaming practices were included in the national guidelines and policies for the transport sector.

INSTITUTIONS, RULES AND BEHAVIOR

Designing appropriate transport sector investments and policy advice rests on an adequate understanding of institutions, rules, values and behavior, especially in such key areas as institutional setup, subsidies, cost recovery, efficiency, regulation and restructuring, and decentralization. A social analysis of transport institutions can map the range of transportation infrastructure and services within a system and attempt to define the socio-

³²Tanzaran, N. 2003.

political factors that influence the flow of investments and services. How does social interaction influence these flows through public and civil-society organizations, community and tribal groups, or informal actors? Does the Ministry of Transport really make the decisions regarding the distribution of funding for transport projects, or are those decisions made in more political arenas elsewhere? Who are the gatekeepers? Social analysis also reveals the gaps between formal rules, laws and procedures and “real life” applications. For example, it can anticipate the impacts of decentralization (defining multiple stakeholders and interests, introducing new forms of participatory decision making and accountability, outlining the difficulties of institutions and coordination issues working with multiple jurisdictions and constituencies) on criteria setting for rural road rehabilitation, or the setting of fares on buses and trains. In spite of the posted bus fare; what is the total cost in money, bribes, time-used, etc and harassment of getting on a public bus? All of these issues are important for understanding who will most likely gain access to transport and opportunities, and what groups may be left behind. This analysis is not limited only to formal institutions – informal institutions and their underlying rules and norms are equally important but often not addressed.

Social analysis can provide an accounting of the various actors within a transport ministry that are responsible for social issues. Several countries in the Africa region have been setting up environment and social units within ministries in an effort to better address safeguards and other issues. An important factor in the success or failure of these units is their placement within the hierarchy of decision making in the ministry. The lack of understanding of the rules and behavior within the institution can jeopardize the ability of the units to carry out their agreed upon mandates. Most importantly, where such units do not exist, social analysis can reveal gaps in responsibility for social issues that jeopardize opportunities for success.

STAKEHOLDERS

An enormous number of stakeholders exist in transport projects, but many of them (i.e., pedestrians, women, disabled, etc.) are seldom identified or consulted. Failure to do so creates transport networks and services that do not reach the goals of providing access and contributing to poverty reduction. Understanding the dynamics and divergent or overlapping interests of stakeholder groups and their influence on transportation sector investments and operations is an important contribution of social analysis. Such analysis can assist the project in taking stakeholder issues into account, and since the stakes and stakeholders often change during the design and implementation of transport projects, analysis, feedback and consultation are needed throughout project preparation and during implementation. Without ongoing analysis, it is difficult to sustain participation and to investigate emerging issues in the project. Carrying out social analysis throughout a project allows for the continuous involvement of stakeholder groups in forums, such as community information meetings during construction projects to share information and anticipate and act on particular concerns. Widespread and open consultation with stakeholders allows them to form new alliances and address problems that they see themselves but do not have the mechanisms to deal with alone. (See Annex 2 for a list of possible stakeholders in transport projects.)

Stakeholder analysis is especially important when looking at the impact of policy shifts, such as the introduction or increase of fuel levies or the allocation of road funds to particular areas of a country. These policy issues and others relevant to the sector are an important missed opportunity for integrating social analysis and understanding the differential and perhaps unanticipated impacts of policies, including increased bus fares on the poor.

PARTICIPATION

The transport sector has expanded its overall goals from the development of physical infrastructure to include poverty reduction and a greater use of participatory processes. Participation at all levels is key to a successful project, and therefore, it is important that it be a part of both preparation and implementation processes. There are two main aspects of participation in social analysis: analyzing whether groups, largely beneficiaries, affected by the project will be able to benefit from the project, and designing an effective participation framework. Social analysis refers to the extent to which stakeholders contribute to project design, influence public choices, and hold public institutions accountable for services they provide. Looking at the processes of and conditions for participation is also important especially with a view to strengthening national ownership of a project and the inclusion of normally invisible and inaudible stakeholders.

In a recent review of the Africa Transport Sector (2002), it was found that while many projects achieved participation through information sharing and consultation with stakeholders, very few went further with the participatory process to include participatory planning and joint decision-making. One area where participation is being addressed is in designing community maintenance schemes for rural roads and in community involvement in project monitoring and evaluation. These are proving to be definitive opportunities for building ownership and sustainability.

Inevitably, successful participation is also contingent on adequate stakeholder identification and consultation, although incorporating participatory processes can also serve to help mitigate unwanted social outcomes (i.e., right-of-way issues) and address social risks. Social analysis can help to identify the mechanisms by which participation can be carried out and then feed back into the decision-making and implementation processes. Transportation consumers must have a voice within transportation agencies if a government wants any hope of achieving social development outcomes. Some of the commonly used mechanisms for giving consumers voice include consumer advisory boards, consumer departments and qualitative and quantitative consumer surveys. Another approach is to ask consumers to help with the decision-making in transportation agencies, regulatory bodies and government oversight units. Other mechanisms include special external advisors, grievance committees, and external monitoring agencies. Building capacity for consumer relations and having qualified staff to deal with divergent social group interests is especially important. Enhanced stakeholder analysis and consultation combined with participation will build on these efforts and identify opportunities for feeding back into the process of implementation.

Corporate and Private Sector Participation

It is vital for project planners to understand the major interests of key stakeholders, each of whom may want something different. Private Sector participation takes place both in construction and in the provision of services. Effective private sector participation takes time to prepare and implement, especially those forms that involve private ownership. As some in the sector seek to increase social development outcomes by encouraging greater involvement from SMEs and local contractors, attention to facilitating their participation will be needed through changing procurement guidelines, bidding documents, and renting construction equipment. Further attention is needed to reach out to local communities, address HIV/AIDS, road safety actions, and communicate with sector institutions.

When the private sector is involved for construction purposes they should also be involved in policy decisions (i.e., membership on Road Fund Boards, payers of tolls, unions, etc.). The social impacts of transport projects can be affected not only by the design and engineering standards of

the civil works, but also by the use of labor-based techniques, social and HIV/AIDS clauses (see annex). Adequate consultation and a participatory framework that can help to identify and address the issues are paramount. Social analysis has an important role to play in identifying and designing each of these components, but to date it has not been extensively applied for these issues.

Assessments of participation are particularly important when the transport planners are considering private-sector participation in transport services. Public transportation companies can arrange participation plans that contract out such operations as billing, revenue collection and infrastructure maintenance; arrange for different forms of building, operating and transferring new investments; conduct various management schemes; or grant concessions and full privatization of transportation activities. However, as with the public sector constraints, there are important institutional and capacity implications of doing this. Who will have oversight and/or mediate conflicts? How will attention to all of the social complexity adduced in this note be addressed? Are social risks and opportunities involved?

Civil Society and NGOs Participation

With the growth in Community Driven Development (CDD) projects, community organizations have become partners in many rural roads projects. This is a welcome change, since many more partnerships can be fostered to help take account of all voices affected by the transport project. Perhaps the biggest challenge within the sector is having appropriate mechanisms and institutions with which to reach out and create such networks. The Sub-Saharan Africa Transport Policy Program (SSATP) in the Africa region is a network of public and private sector transport institutions. It is increasingly linked to various NGOs and Civil Society organizations throughout the region and including them in important knowledge sharing and analytical exercises. Their perspectives bring together important voices in identifying equitable and alternative solutions for access and serving as advocates for vulnerable communities. There are relatively few transport specific NGOs (an important exception being IFRTD and its affiliates), but there are many NGOs that work with beneficiaries who are affected by transport issues. Their work can be enhanced by the inclusion of social analysis in World Bank projects that would focus on expanding the stakeholder base and forums for participation to bring in other community based organizations and NGOs.

Box 10: Civil Society and NGO Participation in Madagascar Rural Transport Project³³

The Second Rural Transport Project assists the Government of Madagascar in implementing its transport sector policy and strategy. The project aims to reduce transport costs and to improve accessibility in rural areas. Stakeholders played a key role during the project preparation phase. NGOs contributed in defining the project log frame. The NGOs and other civil society representatives also assisted in selecting roads to be rehabilitated under the project. The project will include NGOs in other project activities, such as animation, technology transfer, micro credit, etc. Further, the project aims to build technical and managerial capacity of provincial transport officials and gradually transfer them the responsibility of managing the road networks.

³³ World Bank. 2002.

Unions

Unions are often important intermediaries between Transport Ministries, workers and the public. Because Unions have a sanctioned voice in the public arena, they are powerful stakeholders to engage in discussions about transport projects – especially when dealing with issues of retrenchment or reductions in pay. Finding ways to have their voices heard and accounted for, as well as identifying roles for them to play in negotiations, is an important role for social analysis. Associations are also a critical institution for change. Transport provider associations hold seats on Road Fund Boards and have been important stakeholders in the efforts to combat HIV/AIDS in the Africa region. Increased social analysis of these constituents could better identify their potential role in addressing strategic transport issues such as road safety, emergency access for communities, and other relevant issues related to social development.

Community and local level Participation

Over the past twenty years, communities have taken part in transportation operations and management, such as in the construction and maintenance of rural roads and in some aspects of urban transport and trade facilitation, and people have moved beyond being consumers to become producers and operators of transportation services. There is room to enhance these efforts with increased attention to accountability mechanisms for consumers (such as community score cards for service providers), participation in decentralized decision making processes, participation in community monitoring and evaluation of civil works and contractors as well as the impact of road construction. Some projects, such as the rural roads program in Guatemala, have had an explicit component of encouraging small enterprise development within communities adjacent to the road construction. The poor, women and other vulnerable groups benefit in particular from capacity-building efforts in which they upgrade their skills or obtain special training.

SOCIAL RISKS

The analysis of social risk seeks to understand in the context of the transport project what kind of potential risks exist, what can be done to avoid or mitigate these identified risks, and do the anticipated benefits of the project justify the perceived risks. There are several types of social risk that can affect project success, these include:

Vulnerability risk involves increased exposure or susceptibility to endemic risks or external shocks. In terms of transport sector, social analysis assesses whether transport service users and operators are subject to risk, and identifies the characteristics, needs, and concerns of the users and operators that make them particularly prone to vulnerability or insecurity. Rural women, people with disabilities, and the poor, for instance, compared with urban non-poor are frequently considered to be at greater risk of falling into poverty, since (among other differences) they tend to have limited access to transport services. Road construction workers are more at risk than others to transmission of HIV/AIDS and other communicable diseases. Stakeholder and institutional analyses are valuable for identifying likely sources of vulnerability risk.

Political economy risks are those that may affect the project's intended beneficiaries as an indirect result of the project itself, including the undermining of project goals by powerful stakeholders, and the capture of benefits by elite groups. Since the balance of power within society often (although not always) favors non-poor rather than poor, men rather than women, it is necessary to ensure that stakeholder interests do not distort or divert project goals. Also, reluctance to attend to rural-urban issues is likely to divert limited resources away from rural

areas. Analysis must also explore the possible effects of the project, both positive and negative, on gender relations, on poor and marginalized groups.

Institutional risks include weak governance, limited technical and administrative capacity, and design complexity. In transport sector project, this may mean that organizational arrangements fail to provide equitable provisions for meeting the needs of women, people with disabilities, poor and other marginalized groups.

Country risks and **exogenous risks** are often beyond the control of project authorities, but because they derive from the context in which a project is prepared, they must be considered through social analysis and be dealt with during the appraisal stage. Country risks involve situations such as political instability, ethnic or religious tensions, and violent conflict. Exogenous risks such as regional conflict, macroeconomic changes, and physical events or environmental disasters (earthquakes, floods, drought, etc.) are also likely to affect social development outcomes. The Bank has created a Conflict Analysis Framework³⁴ that is based on a series of indicators that are especially useful for determining a society's sensitivity to conflict. If most or all of the conflict indicators are present, a more detailed conflict analysis is recommended before undertaking the project.

³⁴ See World Bank Website:
[http://Inweb18.worldbank.org/ESSD/sdvext.nsf/67ByDocName/TheConflictAnalysisFramework/\\$FILE/CAF+April2005.pdf](http://Inweb18.worldbank.org/ESSD/sdvext.nsf/67ByDocName/TheConflictAnalysisFramework/$FILE/CAF+April2005.pdf)

IV. Integrating Social Analysis into Transport Project Cycle

Good social analysis is informed by upstream analytical work, including country/macro social analysis. It is carried out in an iterative process and informed by social and environmental assessments. Social analysis is conducted by a Bank team and is an ongoing process – from inception to the end of the project – carried out at several interlinked levels (e.g., country, sector, project). Country level analysis can incorporate findings from poverty assessments, Country Social Analysis (CSA), Poverty and Social Impact Analysis (PSIAs) or country gender assessments (CGAs), for example, to help with better targeting of investments. Sector level analysis may pull from findings in PRSP documentation, environmental assessments and institutional analysis and focus on identifying possible policy reform impacts. Project level social analysis helps to inform the terms of reference for social assessments, and builds on the knowledge generated by investigating issues through a particular conceptual framework which focuses on five entry points: Social diversity and gender; institutions, rules and behavior; stakeholder interests and concerns; participation; and social risks. Social analysis is used to identify the possible opportunities, consequences and constraints early on. In addition, social analysis is used to identify social and institutional constraints and opportunities that may not be immediately apparent, but that may influence project objectives. Social analysis thus helps to ensure that the project objectives are clear and achievable and helps to create the necessary processes (i.e., participation, stakeholder identification and consultation, institutional setups and capacity, monitoring and evaluation indicators and mechanisms) for success.

These step by step notes offer suggestions on how to integrate the social analysis inputs throughout the project cycle. The intention is that this format will provide guidance for social analysts in their work, and identify the opportunities for including social analysis and influencing the outcomes of a project.

PROJECT IDENTIFICATION AND DESIGN

At the Project Concept Note (PCN) stage, the analyst draws from existing ESW and the sector or macro social analysis (i.e., country gender and poverty assessments, country social analysis [CSA], etc.) to enumerate social issues that are important in the country, and especially for the particular project under consideration. The PCN must include indicators to monitor intended social benefits and development outcomes and risks. In addition, the Bank's social scientists provide guidance for tailoring the project to achieve the social development outcomes during the process of PCN preparation and through the standardized PCN and safeguard review.

A transport module has recently been developed for the Living Standard Measurement Survey.³⁵ The opportunity to gather country level data on household use of and access to transport will fill a longstanding gap for baseline information and support social analysis in transport. Other potential sources for national data include: Demographic and Health Surveys (DHS), as transport related questions can be suggested in the modules, and also in census data. Similarly, poverty mapping data may be available and can be used as an overlay over the existing transport network to provide a first cut at prioritization and selection criteria for the team. This information can either be created as a stand alone product, or incorporated into an existing transport GIS (see Guatemala and Lesotho examples of GIS and social analysis in resource section). In instances where safeguards are known to apply, carrying out a social assessment will be mandatory and a preliminary TOR for the process is drawn up at this time. The

³⁵See [http://siteresources.worldbank.org/INTTRANSPORT/214578-1099319223335/20467543/tp-5_LSMS-TranspModule-final%20\(JLB\).pdf](http://siteresources.worldbank.org/INTTRANSPORT/214578-1099319223335/20467543/tp-5_LSMS-TranspModule-final%20(JLB).pdf)

TOR will layout the possible methods to be used in social assessments, identify existing data gaps and determine the relevance of safeguard issues in the proposed project.

Table 1: A rapid social assessment requires attention to the following social dimensions of the transport project:

Social diversity and gender	▪ Are there vulnerable groups among the stakeholders?
	▪ What is the gender pattern of the transport use?
	▪ What are the needs of women, people with disabilities, elderly and marginalized groups? How do transportation problems interfere with access to social services?
	▪ What other vulnerable groups may be directly affected by the transport project? (Indigenous people, ethnic groups, redundant labor force, squatters, encroachers, street vendors, etc.)
Institutions, rules and behavior	▪ What are the key institutions implicated in the project?
	▪ Are there underlying institutional rules and behavior that will impact (adversely or positively) on the project?
Stakeholders	▪ Who are the actual and potential users of publicly and privately provided transportation?
	▪ What interests do they hold in the public and private transportation? How much voice do they have? How much influence? Do they compete against one another?
	▪ How are they affected? (winners/losers/risks?)
	▪ What sort of collaboration will there be between beneficiaries and planners? What sort of collaboration will take place with local NGOs?
	▪ Will women and other marginalized groups be given equal opportunities to express their views and concerns?
Social risk	▪ What are the risks the project is likely to trigger?
	▪ What are the potential risks to achieving project development outcomes?
	▪ Is the project likely to trigger any of the Bank's operational policies (OP/BP)?
	▪ Is the project approach to address safeguard issues adequate?

Ideally, a rapid social assessment carried out by the client and consultants focuses on the five entry points (identification of key social issues, initial assessment of institutions, rules, behavior, policies; stakeholder analysis; participation framework, and an initial risk assessment). The result of this rapid assessment should be a well formulated plan, identifying the issues to be addressed throughout the project, the processes, the data collection and analysis needs, monitoring and evaluation preliminary indicators, participation framework and inputs into project design and mechanisms. The rapid social assessment is followed by input into the PCN, the review and clearance for safeguard issues, and the TOR for social assessment.

PROJECT PREPARATION AND APPRAISAL

Based on the social issues highlighted at the PCN stage, a detailed social assessment is conducted at the project preparation and appraisal stage. The borrower is normally responsible for the social assessment, although the analysis may be conducted either directly by or in consultation with the

World Bank. Ideally, this is both a sequential and iterative process done in conjunction with the engineering preparation and design stages. The result is a two way process that seeks to systematically integrate an understanding of social impacts and opportunities, and address these in the physical design process and choice of construction techniques. Inputs are based on commissioned studies and consultations and can also lead to initiating important participatory processes with affected communities and design changes regarding such things as by-passes, safety measures, and attention to potential for labor-based works or for IMTs.

Another important output during project preparation is the assessments for safeguards (i.e., Resettlement Action Plans). Consultation with design engineers occurs before this process to ensure that any design choices requiring resettlement or compensation are absolutely necessary. Participation and communication frameworks with affected communities are essential to ensure equity and access to information, and to allow for transparent processes, especially if there are any disagreements about plans.

Table 2: A social assessment should clarify the social dimensions of the transport project, including but not limited to:

Social diversity and gender	<ul style="list-style-type: none"> Do men and women use transportation in differently? If so, how? What do these differences mean?
	<ul style="list-style-type: none"> Do spatial/regional inequities exist that are reflected in the poor, low income and potentially vulnerable groups, such as women, elderly, disabled people, etc. who have limited access to transport services?
	<ul style="list-style-type: none"> In what ways is gender hierarchy demonstrated at the household, community and societal levels? What are the differences between norms and actual behaviors? How are these differences reflected in gender access to transportation and infrastructure and services?
	<ul style="list-style-type: none"> How do attributes such as age, ethnicity, caste, religion, disability and/or level of wealth affect mobility? What are their implications for transport sector?
	<ul style="list-style-type: none"> How do these differences affect the control and use of transport services, IMTs?
	<ul style="list-style-type: none"> How are older people and the disabled access issues accounted for in the transport systems?
	<ul style="list-style-type: none"> What gender differences are evident in information and communication patterns? How are they relevant to capacity-building, stakeholder participation, and information campaigns, especially as they relate to employment opportunities, safety, security and environmental conservation?
Institutions, rules and behavior	<ul style="list-style-type: none"> What are the respective roles of the public and the private sector in providing transport services?
	<ul style="list-style-type: none"> Do the public and private sector organizations have the capacity to participate in the proposed project and to operate and manage improved transport infrastructure?
	<ul style="list-style-type: none"> Who regulates and manages transport sector institutions?
	<ul style="list-style-type: none"> What are the differences between formal and informal rules? How do these differences affect information and decisions?
	<ul style="list-style-type: none"> Will the project propose institutional changes such as reducing the role of the state in the provision of transport services and reducing subsidies targeted to certain social groups? What mitigation measures are appropriate for addressing adverse impact of such institutional changes?
Stakeholders	<ul style="list-style-type: none"> Who are the actual and potential users of the transport services?

	<ul style="list-style-type: none"> ▪ Who are the providers and regulators of the transport services? What interests do they hold? Do they compete against one another? ▪ How are they affected? (winners/losers/risks?) ▪ How can they best be consulted and participate in the process?
<p>Participation</p>	<ul style="list-style-type: none"> ▪ How can participation be ensured in the project? Do social and institutional practices exist whereby consumers are surveyed for their satisfaction level? What mechanisms exist by which transportation users can express their views? ▪ Who are the key intermediaries? Do the intermediaries have the capacity to implement the proposed project? Will they be involved in the operation and maintenance of the transport system? ▪ What about consultation and information-sharing on labor and mobility issues? Have employment arrangements considered the needs of the poor and marginal groups, especially with regard to maintenance of rural roads and of urban streets in low-income areas? ▪ How will the project consult with the disabled, the poor, and/or elderly? ▪ Key questions for the use of social clauses in contract agreements with private sector providers are: <ul style="list-style-type: none"> ○ Who will be responsible for the compliance, clearances and “policing” of the clauses? ○ How will it be done? ○ How much will it cost? ○ Where is the support and constituency for such clauses both within the country and the World Bank?
<p>Social risk</p>	<p>Vulnerability risks</p> <ul style="list-style-type: none"> ▪ Will the project increase vulnerability and/or safety of different population groups? ▪ Will the transport project mean displacement of any persons? If so, how many and where? ▪ Will displacement affect women and men differently in terms of economic and social issues? ▪ Will the project enhance exclusion, transportation patterns, fare rates and technology that create rather than alleviate isolation of low-income, peripheral groups? ▪ What is the ability and willingness to pay higher fares for improved services? ▪ Do risks exist from increased road safety problems as a result of improved roads? ▪ Is there increased exposure to HIV/AIDS? ▪ Do risks exist from unregulated labor standards or from poor in-country capacity to enforce existing laws? ▪ How are different stakeholder groups affected by reduced subsidies and exemption removal? ▪ What underlying rules and behavior that will impact (adversely or positively) the project? <p>Country Risks</p> <ul style="list-style-type: none"> ▪ What danger exists for emergency lending for rebuilding transport infrastructures, particularly in the wake of conflict or natural disaster? ▪ Are risks associated with ongoing or recently ended conflicts in the country? ▪ Does the project risk inequitable distribution of benefits from/access to benefits that may also lead to reinforcing social tensions?

	<p>Political Economy Risks</p> <ul style="list-style-type: none"> ▪ What changes in political leadership exist that may drastically alter sector policies and plans? ▪ What historical legacies exist of unequal access to transport networks and services? ▪ Does elite capture exist of benefits from transportation investments? ▪ Does corruption and poor governance exist that is exacerbated by a lack of accountability mechanisms? ▪ What anticipated efforts to enhance stakeholder consultation and participation at risk of empowering some groups and create new imbalances? ▪ What private-sector monopolies exist that can undermine the project's objectives?
	<p>Institutional Risks</p> <ul style="list-style-type: none"> ▪ What coordination exists between public authorities and private service provider, and as stated in various other places – coordination between multiple jurisdictions; dealing with different constituencies? ▪ Does either insufficient public-sector capacity for service provision, or for monitoring of private-sector service providers impact transport? ▪ What level of frustration exists that reflects unclear responsibilities for different components of the transport infrastructure? ▪ What impact does insufficient private sector capacity have on the institutional ability to implement participatory processes and address safety issues?
	<p>Exogenous Risks</p> <ul style="list-style-type: none"> ▪ Are there any changes in government or policy shifts that might occur during project preparation or implementation, and will ultimately halt or slow the project's process?

Social Assessment Inputs to the Project: The results of the social assessment are discussed in section D.6 of the Project Appraisal Document (PAD) and summarized in one of the PAD's technical annexes.³⁶ At the project preparation and appraisal stage, all social action plans prepared by the Government should be approved and found appropriate by the Bank. The possibility of conflict over resources, weak governance, etc. is discussed in section C.5 of the PAD on "Critical Risks" and "Possible Controversial Aspects." The social scientist must specify the best possible institutional arrangements for achieving project goals, the most appropriate design for the technical assistance component, (especially as it concerns capacity building for vulnerable groups), and the most effective mechanisms for stakeholder consultation and participation in the project. The findings of the social assessment provide critical inputs to the Operational Manual (OM) of the project. The social scientist that implements the social assessment must participate in the preparation of the operational manual to ensure that the findings of the social analysis are incorporated in the OM.

³⁶ The Social Development team member should make contributions in the following sections of the PAD:

- Section B.3.: Project development objective and key indicators
- Section C.3.: Implementation (especially sections on M&E, sustainability, and risks)
- Section D.4.: Social (This section must discuss the relevant social issues, and address participation, capacity, risks, etc.)
- Section D.6.: Safeguards
- Annex 1: Country and Sector Background
- Annex 3: Evaluation and Monitoring Framework: Should contribute to indicators and processes
- Annex 6: Institutional and Implementation Arrangements
- Annex 10 : Safeguard Policy Issues

If the appraisal stage does not involve a social assessment, then section E.6 in the PAD needs to state key social issues and how the project will address them.

Social Assessment Inputs to other Policy Dialogues: The gender issues that emerge from the social assessment can be reflected in policy dialogue between the borrower and the Bank. Combined with data on the project's macro-social context, the results of a rigorous social assessment can help to inform a stand-alone piece of ESW, or serve as an input into Country Assistance Strategy (CAS) or Poverty Reduction Strategy Paper (PRSP) exercises.

Box 11: Examples of the positive impacts of social assessments

Lesotho: The Lesotho Road, Rehabilitation and Maintenance Project (2001) carried out a targeted assessment of their past experience in employing women in road construction and maintenance. This information helped the project to focus on gender issues and resulted in concrete actions among the project managers and communities about how to best include women in labor-based works. The questions addressed ranged from understanding the experience of both men and women in the labor-based work groups, to identifying how to create systems of equitable pay, and using participatory methods to identify strategic jobs for women in construction work.

Peru: The Peru Rural Roads Social Assessment process focused on several different issues: (i) Inclusion of social indicators in the prioritization of road works for rehabilitation; (ii) Inclusion of gender and social diversity issues; (iii) The management of rehabilitation through the use of NGOs and community based micro enterprises, and (iv) Setting up an adequate monitoring and evaluation framework that would consistently feedback information into the project implementation so that adjustments and modifications could be made based on rigorous learning.³⁷

NEGOTIATIONS AND APPROVAL

The project social scientist must review the legal agreement of the proposed transport sector project to ensure that it reflects the social issues adequately addressed by the project.

The social scientist also needs to ensure that the agreements related to the rules and procedures for addressing social issues have been included in the operational manual (OM).

EFFECTIVENESS AND IMPLEMENTATION

The social development team member reviews the effectiveness conditions and gives input into the effectiveness decision. The social development team member must review and clear the bidding documents and contracts to ensure that contractors hire appropriate personnel is hired to address social issues. The social development team member must also identify gaps between statements in the PAD and institutional capacity on the ground and make an informed judgment regarding that capacity. If the institutional capacity is weak, the project team member can advise on criteria for recruitment, capacity building, staffing, etc. The minimum standards of readiness for the action plan should be: fully staffed coordination unit which is responsible and has the budget.

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 designs, but were unsuccessful in achieving their social development objectives. A social assessment conducted during project supervision will capture vital information about the socio-cultural impacts at different stages of

³⁷ World Bank, 2001.

the project. This provides continuous feedback on the process and outcome indicators established for measuring project performance, based on which midstream adjustments can be made on the implementation arrangements.

SUPERVISION AND MONITORING

Social analysis should not be a one-time event in the life of a project. Analysis should be repeated at given intervals, and as necessary during the implementation phase in order to monitor the progress of social issues in transport project components and to verify whether the project continues to be responsive to the social issues identified during the project planning phase. Many of the key questions that were asked during project design and planning should be revisited at intervals throughout implementation. Social analysis should form part of project implementation documents, including mid-term reviews. The participatory approaches to social analysis discussed for project identification and design should also form the underpinnings of analysis during project implementation. Supervision must provide input for changes or modifications into supervision reports and aide memoire.

Table 3: The following indicators can be used to monitor the social dimensions of transport project implementation:

Monitoring implementation of social diversity and gender related issues specified in the project design	Have resources (funds and personnel) been approved for addressing access and affordability of women, elderly, people with disabilities and other people?
	Do project component and activities correspond to social diversity and gender-related goals included in project plans based on the expressed needs and priorities of men and women?
	Have responsibilities involved in carrying out activities been assigned to specific members of project staff?
Monitoring implementation of institutional development in the project	Are public and private organizations involved in project activities? Have local NGOs and community based organizations participated in project activities and management?
	What proportion of project management are women, including in key decision-making roles?
	Have institutional capacity issues been addressed?
Monitoring stakeholder response to the project activities	What were the responses of different stakeholders, and what changes are needed in the project design to address stakeholder responses?
Monitoring implementation of equitable participation	Have arrangements been made to women and other marginalized groups to attend project meetings and activities? (Work schedules accommodated; transport, child care and food provided as necessary)
	Have both male and female facilitators been used for focus groups and interviews?
	Have project components been made easily accessible and affordable to women and marginalized groups?
Monitoring and addressing problems encountered during implementation	What potential gender-specific 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?
	Have necessary adjustments and changes been made to correct approaches and alter techniques, or to adapt project components that were deemed unsuccessful or problematic by the stakeholders?

MID TERM REVIEW

The mid-term review (MTR) serves as an opportunity for project management teams to take stock of project progress and assess the direction of the project intervention toward achieving its development objectives, including the social development objectives. It involves two outputs: an independent evaluation and a MTR report.

The social development team member should prepare a TOR for the mid-term outside impact evaluation and also participate in the mid-term review. This evaluation will also lead into the one for the ICR. There should be attention to the indicators at all levels:

- Process indicators – client uses to monitor
- Output indicators – WB uses for supervision
- Impact indicators – 3rd part external evaluators

Table 4: Sample of Mid Term Review Indicators

<p>Process Indicators Track changes in quality and quantity of unit costs, access and coverage of the activities and services</p>	<p>Output/Outcome Indicators Activities and services produced with the inputs Track changes in transportation behavior, skills and capacity as a result of the transport sector improvements</p>	<p>Impact Indicators Assess changes in behavior over the medium and long run.</p>
<p>Number and frequency of public buses servicing poor neighborhoods</p> <p>Changes in the number of decentralized “consumer relations units” that transportation agencies established.</p> <p>Participation indicators such as community meetings, HIV/AIDS mitigation measures, private sector and other stakeholder consultations, accountability activities, etc.</p>	<p>Length of roads (km) built and maintained with labor-based methods</p> <p>Length of urban roads (km) in good condition or constructed in poor neighborhoods</p> <p>Number of people reached with HIV/AIDS activities</p> <p>Number of people employed, disaggregated by gender or other relevant social grouping</p> <p>Increased marketing of agricultural produce</p> <p>Increased safety for women in public transport</p> <p>Increased school attendance by girls</p> <p>Increased use of unleaded gasoline</p> <p>Increased consumer satisfaction with the quality of transport services</p>	<p>Increases in rural and urban incomes in general and among target groups in particular</p> <p>Increased number of transport service options</p> <p>Greater affordability and availability of access, especially for the poor</p> <p>Decreases in government subsidies to transportation agencies as a result of private sector participation and better targeted subsidies</p> <p>Reductions in pedestrian injuries and deaths along selected corridors</p> <p>Reductions in HIV/AIDS prevalence – increased access to health services</p> <p>Reduction in air and noise pollution in select areas.</p>

IMPLEMENTATION COMPLETION REPORT

The Implementation Completion Report (ICR) evaluates progress toward the achievement of the transport project’s social development objectives and the effectiveness of the participation and social risk management strategies. To prevent a conflict of interest, ICR must be prepared by a social scientist who was not involved in the project social assessment. The social scientist should organize the evaluation leading into the ICR. The evaluation should address the following concerns:

- Assess the achievement of project social development objectives;
- Assess the implementation of the participation plan, social impact mitigation plans and monitoring system for social issues;
- Identify lessons learned for future projects;
- Was the introduction of new IMT successful and should this be replicated in future projects?

Table 5: An evaluation of the project outcomes requires attention to the following social dimensions of the project:

Evaluation of the implementation process	<ul style="list-style-type: none"> ▪ The questions that were asked during the social analysis need to be revisited to provide a final evaluation of the extent to which plans to integrate social dimensions into transport project activities and processes were successful, and also evaluation of the factors that promoted or hindered this goal.
Evaluation of project outcomes and impacts related to: social diversity and gender	<ul style="list-style-type: none"> ▪ To what extent was the project effective in addressing issues of women, poor, people with disabilities and other marginalized social groups? ▪ Was the project successful in including women and marginalized groups in the project activities?
Institutions	<ul style="list-style-type: none"> ▪ Did the project increase transparency, equity and responsiveness in the public and private sectors, formal and informal institutional and organizational structures of the project area?
Stakeholders	<ul style="list-style-type: none"> ▪ Have the intended project benefits been provided to all stakeholders, particularly to women, people with disabilities and other marginalized groups in the community?
Participation	<ul style="list-style-type: none"> ▪ Did the project increase community capacity to work together to achieve common goals and reconcile differences of interest?
Social risk	<ul style="list-style-type: none"> ▪ How sustainable are the social development outcomes likely to be after project completion? What aspects of the local, regional or national environment are likely to increase or decrease the likelihood that these changes will be institutionalized within the project community?

Annex 1: Draft STI & HIV/AIDS Clauses as Proposed for Incorporation in the Bank's Standard Bidding Document Procurement of Works

The Bank's leverage in the struggle against HIV/AIDS in transport project operations is presumed to be strongest at the design level—that is, to include HIV/AIDS clauses in bid documents.³⁸ The inclusion of HIV/AIDS clauses in the Bank's standard bidding documents for procurement will ensure that HIV/AIDS issues are addressed in transport projects. The following includes the HIV/AIDS clauses proposed for incorporation in the SBD of the Africa Region Transport Group.

1. HIV/AIDS CLAUSES USED IN AFTR

A. Conditions of Particular Application

Clause 14.1 Program to be submitted

Notwithstanding General Conditions of Contract Clause 14.1, the program to be submitted for the execution of the Works shall, in addition to the program of pure construction activities, include a program for Site staff and labor and their families in respect of Sexually Transmitted Infections (STI) including HIV/AIDS. The STI and HIV/AIDS program shall indicate when, how and at what cost the Contractor plans to satisfy the requirements of Clause 19.1 herein and the related Technical Specifications. For each component, the program shall detail the resources to be provided or utilized and any related sub-contracting proposed. The program shall also include provision of a detailed cost estimate with supporting documentation.

B. Conditions of Particular Application

Clause 19.1 Safety, Security and Protection of the Environment.

Notwithstanding General Conditions of Contract Clause 19.1, the Contractor shall throughout the contract (including the Defects Liability Period): (i) conduct Information, Education and Communication (IEC) campaigns, at least every other month, addressed to all the Site staff and labor (including all the Contractor's employees, all Sub-Contractors and Consultants' employees, and all truck drivers and crew making deliveries to Site for construction activities) and to the immediate local communities, concerning risks, impact, and appropriate avoidance behavior with respect to Sexually Transmitted Infections (STI) in general and HIV/AIDS in particular; (ii) provide male or female condoms for all Site staff and labor as appropriate; and (iii) provide for STI and HIV/AIDS screening, diagnosis, counseling and referral to a dedicated national STI and HIV/AIDS program, unless otherwise agreed) of all Site staff and labor.

C. Recommended Clauses in the SBD Special Specifications:

General STI and HIV/AIDS Prevention and mitigation measures

The Contractor shall advise all Site staff and labor (including all the Contractor's employees, all Sub-Contractors and Consultants' employees, and all truck drivers and crew making deliveries to Site) of the dangers and impact of Sexually Transmitted Infections (STI) in general and HIV/AIDS in particular. To this end, the Contractor shall conduct Information, Education and

³⁸ World Bank, 2004.

Communication (IEC) campaigns at least every other month, addressed both to the aforementioned Site staff and labor and to the immediate local communities. The content for IEC will be based on the National STI and HIV/AIDS program.

The Contractor shall throughout the Contract (including the Defects Liability Period) also provide, maintain and operate at least one STI and HIV/AIDS facility on each Site or make alternate arrangements with an existing suitably qualified and equipped local facility. Each facility shall be suitably staffed and equipped to provide screening, diagnosis and counseling of STI and HIV/AIDS cases for the Site staff and labor (as defined above), including their immediate relatives such as spouse and children Those tested (on a voluntary basis) positive (for STI or HIV/AIDS) shall be referred to the National STI and HIV/AIDS program coordinated or executed by the Ministry of Health or entity responsible for carrying out the National STI and HIV/AIDS Program.

The Contractor shall also make readily available at least 150 condoms per year for each member of the above-mentioned Site staff and labor. The condoms shall be of the male and female types, which shall be provided in accordance with the gender of the recipient. The condoms shall comply with the respective current WHO/UNAIDS Specification and Guidelines.

The Contractor shall maintain register/records of all the related activities including training, attendance, distribution of condoms, test results on screening and referrals.

The Contractor shall, throughout the contract, liaise with the National HIV/AIDS Secretariat, Ministry of Health (MOH) and/or their designated local representatives or agents: in drawing up the Works' STI and HIV/AIDS program (including IEC); in sub-contacting NGOs experienced in this field to implement the Works program; and to report progress and coordinate the STI and HIV/AIDS measures on Site with the National STI and HIV/AIDS Program.

All of the above provisions shall be provided free of charge to the participants.

D. Measurement and Payment (STI and HIV/AIDS measures)

The cost of provision of all the STI and HIV/AIDS measures as stipulated herein shall be paid under the following items in the Bills of Quantities (BOQ):

Item Unit

- I(a) STI and HIV/AIDS measures during the Provisional Sum period allowed for completion of the Works.

The actual direct costs incurred by the Contractor in providing the STD and HIV/AIDS measures throughout the period allowed for completion of the whole of the works shall be reimbursed, with each reimbursement subject to the provision of suitable supporting invoices/receipts, records and registers.

- I (b) Contractor's charges and profit associated with Percent (%) administration of the above item

- II (a) STD and HIV/AIDS measures during the Provisional Sum Defects Liability Period.

The actual direct costs incurred by the Contractor in providing the STD and HIV/AIDS measures throughout the Defects Liability Period for the last section of the works shall be reimbursed, with each reimbursement subject to the provision of suitable supporting invoices/receipts, records and registers.

II (b) Contractor's charges and profit associated with Percent (%)

Annex 2: Stakeholder Analysis

Stakeholder analysis reveals the nature and magnitude of social actors' interest and influence in a project. The *Social Analysis Sourcebook: Incorporating Social Dimensions into Bank-Supported Projects* gives details of carrying out a stakeholder analysis and questions to be asked. A stakeholder analysis matrix (see Table 6 below) can summarize and compare stakeholder categories in terms of their relevance to a project, their characteristics, their interest, and their influence. Stakeholder analysis yields four main outputs:

- Those who will be positively or negatively affected by the project are identified;
- Participants' commitment to the goals of the project – their ownership of the project is assessed;
- The likelihood of the stakeholders' assisting or obstructing the project's development objectives is evaluated;
- Monitoring stakeholder involvement during implementation can be straightforward if the social analysis defines indicators that involve decisions and outcomes.

Table 6: Stakeholder Analysis Matrix

Stakeholder Categories	Relevant Stakeholders	Characteristics Social situation, location, size, organizational capacity	Interests What is their stake that will be affected?	Influence H-High M-Moderate L-Low
National Policy Makers	Environment Ministry Ministry of Gender Ministry of Labor Ministry of Transport Ministry of Infrastructure Ministry of Public Works			
Staff of Implementing Agencies	Planners Engineers Environment and Social Units Construction			

<p>Intended beneficiaries</p>	<p>Local communities</p> <p>Transport service providers (public/private/informal/international)</p> <p>Boat operators Truck drivers</p>			
<p>(Potentially) Adversely Affected Persons</p>	<p>Local communities</p> <p>Pedestrians</p> <p>IMT users</p>			
<p>Organized Interest Groups</p>	<p>NGOs working in transport or with communities at grassroots level</p> <p>Unions</p> <p>Conservationists</p> <p>Elected local officials needing citizen support</p>			
<p>Donors & External Stakeholders</p>	<p>Multinational companies that depend on logistics for just in time delivery</p> <p>International transport companies</p> <p>Other donor agencies</p>			

Annex 3: Resources for staff working on the social dimensions of transport

GENERAL

- Transport and social responsibility: <http://www.worldbank.org/responsibletransport> includes links to Margaret Grieco webpages on social dimensions of transport and transport/health/MDGs connections
- Poverty and Transport: http://www.worldbank.org/transport/pov&tra_resources.htm
- Transport and PRSP: http://poverty2.forumone.com/files/4408_chap22.pdf
- Sub-Sahara Africa Transport Policy Program (SSATP): www.worldbank.org/afr/ssatp with links to HIV/AIDS toolkit, PRSP- transport linkages, methodology, etc.
- International Forum for Rural Transport Development (IFRTD): www.ifrtd.org
- Helpage: www.helpage.org
- New Mobility : Devoted to discussing sustainable and equitable transport systems: http://www.ecoplan.org/wtpp/wt_index.htm
- Hosts discussions:
 - SUSTRAN: The Sustainable Transport Action Network for Asia & the Pacific -- an email discussion list devoted to people-centered, equitable and sustainable transport with a focus on developing countries (the 'Global South').
 - GATNET: This is the discussion group of a community of practice that began with a program on mainstreaming Gender into the World Bank's Transport Sector. It is open to all those who are interested in issues relating to improving mobility and access for poor women and men in developing countries.
 - Waterways and livelihoods site and discussion group: <http://www.ruralwaterways.org/> includes extensive global case studies.

GENDER, DISABILITY, VULNERABLE CHILDREN

- Gender and Transport Study supported by the Transport Anchor (includes nine case studies plus report): <http://web.worldbank.org/WBSITE/EXTERNAL/TOPICS/EXTGENDER/EXTGENDERTRANSPORT/0,,contentMDK:20192312~menuPK:522666~pagePK:148956~piPK:216618~theSitePK:338726,00.html>
- Gender and Rural Travel Initiative (GRTI): www.grti.org includes link to case studies plus manual on Monitoring and Evaluation of Gender and Transport by Michael Bamberger and Petronella Maramba.
- Mainstreaming Gender in Transport Projects, 2004: (<http://intranet.worldbank.org/WBSITE/INTRANET/SECTORS/INTGENDER/INTGENDERTRANSPORT/0,,menuPK:339100~pagePK:151716~piPK:176772~theSitePK:339093,00.html>).

- Gender and Transport:
<http://intranet.worldbank.org/WBSITE/INTRANET/SECTORS/INTGENDER/INTGENERTRANSPORT/0,,menuPK:339100~pagePK:151716~piPK:176772~theSitePK:339093,00.html>
- World Bank's Disabilities webpage:
<http://intranet.worldbank.org/WBSITE/INTRANET/SECTORS/SOCIALPROTECTION/DISABILITY/0,,menuPK:280665~pagePK:151716~piPK:176772~theSitePK:280659,00.html>
- Orphans and Vulnerable Children Toolkit (with section on transport interventions):
<http://info.worldbank.org/etools/docs/library/108875/toolkit/sector/multicountry4.htm>
- NGOs IFRTD (www.ifrtd.org) and Helpage (www.helpage.org) have been working on the issues of social diversity, gender and disability with reference to transport for some time and have important global resources and good practices listed on their websites.

TRANSPORT AND HIV/AIDS

- Clauses for Transport Projects (see Annex 1).
- HIV/AIDS and Transport Toolkit –
<http://www.worldbank.org/afr/ssatp/HIV/Framework.pdf>
- Taming HIV/AIDS on Africa's Roads:
<http://www.worldbank.org/afr/ssatp/technotes/ATTN35.pdf>
- IFC HIV/AIDS toolkit: <http://www.ifc.org/ifcext/aids.nsf/Content/Tools>

ROAD SAFETY

- World Report on Road Safety: <http://www.who.int/world-health-day/2004/infomaterials/world>
- World Bank Road Safety site:
<http://www.worldbank.org/transport/roads/safety.htm#emergency>

DATA

- Link to Demographic and Health Surveys: <http://www.measuredhs.com/>
- Transport and safeguards
- Urban Transport Reforms
<http://siteresources.worldbank.org/INTURBANTRANSPORT/Resources/340136-1120662668760/benmaamar-Jeudi.pdf>
- Development of a Transport Module for Multi-topic Household Surveys:
[http://siteresources.worldbank.org/INTTRANSPORT/214578-1099319223335/20467543/tp-5_LSMS-TranspModule-final%20\(JLB\).pdf](http://siteresources.worldbank.org/INTTRANSPORT/214578-1099319223335/20467543/tp-5_LSMS-TranspModule-final%20(JLB).pdf)

- GIS and Transport:
www.worldbank.org/.../Roads%20Wednesday/walker_Transport%20and%20SD%20-%20transport%20week%202005.3.ppt
- Sub-Saharan Africa Transport Policy Program: Poverty Reduction-Transport Strategy Review Process:
http://www4.worldbank.org/afr/ssatp/Resources/CountryDocuments/PRTSR_progressReport04.pdf

RETRENCHMENT

- Labor issues in infrastructure reform toolkit:
<http://rru.worldbank.org/documents/toolkits/labor/toolkit/index.html>

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