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THE JHARKHAND PARTICIPATORY FOREST MANAGEMENT PROJECT

Social Assessment for Inclusion, Cohesion, and Accountability

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FOREWORD

The World Bank's involvement in the India forestry sector dates back to the early 1950s and has passed through a series of distinct stages, with early support to state-managed forest plantations primarily for industrial raw material, followed by a decade of support to social forestry on private land holdings, and more recently to Joint Forest Management (JFM).

When the Bank reviewed and carefully considered the outcome of its support to JFM in the late 1990s and early 2000s, many independent observers (including the Bank's Operations Evaluation Department, the Indian Institute of Forest Management, and others) concluded that JFM had been very good for forests, producing dramatic improvements in forest protection but less clear benefits for forest-dependent peoples, including many tribal groups who live in and around forests. The "care and share" approach of JFM was found to be placing more responsibilities on communities to protect forest, but there was limited evidence of the program's ability to enhance material and economic well-being at the local level, at least in the short term.

The Jharkhand Participatory Forest Management project was conceived as a "next generation" engagement in the forestry sector in India. Jharkhand State government officials and their counterparts in the Bank recognized that forest fringe dwellers could and should play a more active role in management decision-making and forest product marketing. To achieve this objective, project preparation has focused on developing a direct dialogue with local tribal leaders to pursue a mutual understanding of obstacles to and opportunities for moving forward. Technical assistance, including the Social Assessment training workshop outlined in this report, has served to establish a common set of goals and to define priorities for evaluating social, legal, marketing, and management planning aspects of the forest sector in Jharkhand.

Social Assessment in a World Bank investment project is a process for obtaining the views and preferences of key stakeholders in order to improve project design and encourage stakeholder participation in project implementation and monitoring. It is primarily the responsibility of the Borrower (in this case, the Jharkhand State government), and is oriented to ensuring that the project achieves its social development objectives and contributes to equitable, sustainable development.

My collaborators and I look forward to taking the principles and priority issues identified through the Social Assessment training workshop into the field, to develop concrete proposals to address these issues as the Social Assessment itself is carried out. The active participation and genuine efforts made by all who attended the training contributed immeasurably to the value and insights contained in this document.

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OVERVIEW

Introduction

In early 2004, the Government of Jharkhand State ("the Government"), India, in collaboration with central and regional Social Development units of the World Bank, organized a one-week workshop and training program on social analysis and social assessment in the forestry sector.

The workshop took place in Ranchi, Jharkhand, from February 3rd to 9th, 2004. It was conducted as an input to the preparation of the proposed Jharkhand Participatory Forest Management (PFM) project. The World Bank is supporting the development of this project, which will promote a broad, multi-sectoral approach to poverty reduction in forest fringe communities through a series of culturally appropriate, community-driven activities. Both the Government of Jharkhand and the World Bank have emphasized the need to ensure access to services and benefits for poor and vulnerable groups as a result of the project.

To be successful, the proposed project will require active participation by all concerned stakeholders, and the workshop was envisioned as an important first opportunity to set the participatory process in motion.

A participatory and transparent process is particularly important when dealing with natural resources management in India. Historically, the relationship between the Forest Department and local communities has been characterized by mutual distrust and at times open conflict. The role of the Forest Department traditionally has been oriented towards conservation of forest resources, and there have been severe restrictions on how local communities can utilize the forest. Large parts of the forest belt of India have also been declared reserved and protected areas, leading many forest-dwelling people to be labeled as illegal encroachers. Because of its past support for projects in the forestry sector, the World

Bank has been criticized for contributing to conservation but insufficiently to poverty reduction. However, the Indian Government is now attempting to balance the protection of natural resources with greater opportunity for participation and involvement by local communities, in particular through Joint Forest Management (JFM) initiatives. The Jharkhand workshop was important in that it explicitly discussed the rights and needs of local communities, and involved multiple stakeholders to address areas of actual and potential conflict.

The social assessment process described here should not be seen in isolation. It is intended to be fully coordinated, and where possible integrated, with other analyses and studies undertaken for the project, including environmental assessment and economic appraisal.

It is also relevant to note that the discussions and recommendations related to the social assessment process in this case are detailed and comprehensive in part because of the complex and controversial nature of the proposed project. In other simpler settings, a much "lighter" version of a social assessment may be more appropriate. The project-level social assessment is also likely to be reduced in scope, complexity, and cost as more macro-level social analysis is done on policies, reforms, institutions, and risks.[i]

Objectives

The objectives of the workshop were:

1   To agree on a common framework for a social assessment, which will be undertaken as part of project preparation.

2   To strengthen skills and capacity among participants to contribute to the social assessment.

3   To promote understanding and build consensus in a setting historically characterized by tension and lack of trust among different stakeholder groups, particularly between the Jharkhand Forest Department and tribal communities.

The social assessment for the proposed project is intended to help guide the design processes, implementation arrangements, and monitoring and evaluation mechanisms for the proposed project. A high quality social assessment is an important input to the World Bank's appraisal of the project proposal.

The World Bank has recently developed a more holistic and integrative approach to social assessment. Earlier approaches tended to focus primarily on potential negative project impacts

related to involuntary resettlement and the presence of tribal peoples, which are covered by the World Bank's social safeguard policies. The emphasis is now on quality enhancement more broadly, using social analysis to improve understanding of the socio-cultural, institutional, political, and historical contexts of a project. This, in turn, strengthens the likelihood that the project will be socially and environmentally sustainable, and contributes to the development priorities and objectives of the Bank's clients. The current approach is described in the Social Analysis Sourcebook[ii], which was made available to all workshop participants in both English and Hindi.

Participants

The participants in the workshop included senior Government officials from the Forest Department and other departments; Forest Department staff at different levels; World Bank staff; NGO staff; activists; tribal leaders and community members; academics; and media representatives. In total, nearly ninety participants took part throughout the week.

A complete list of workshop participants is included in Annex 1.

Format

The workshop consisted of alternating presentations, plenary discussions, group work (including a full day's fieldwork), and practical exercises. On the first day, participants were divided into eight separate groups having ten to twelve participants each. Each group contained a mix of government and non-government participants, including academics, NGO representatives, and community

members. Maintaining the same groups throughout the workshop helped improve communications and build a degree of trust among people of different backgrounds and perspectives, providing the basis for future collaboration. The Workshop Agenda is included in Annex 2.

While most of the participants understood English, some did not. Therefore, all sessions were conducted in both English and Hindi, with translations provided by various resource persons. The translation process

had an unexpected, positive effect, in that it made the sessions more interactive and had many of the participants discussing among themselves what the correct term or phrase for translating various concepts would be.

Except for the fieldwork, all sessions were conducted in a large conference room at the Ranchi Ashoka Hotel. Meals, coffee and tea for breaks, and logistical support were all provided by the hotel, where many of the participants and all of the resource persons stayed.

A one-day field visit to nearby villages was organized for the fifth day of the workshop, after the participants had discussed basic concepts of social analysis and practical tools and techniques for fieldwork. As with the other sessions and activities, the fieldwork was carried out by the various groups that had formed at the beginning of the workshop.

The workshop was organized with support from the World Bank Institute, which coordinates the World Bank's learning and capacity building programs. All participants received diplomas from the Institute after having completed the training.

Main Findings

As hinted earlier, the workshop was structured around a series of training presentations that aimed to expose participants to the principles and practices of social assessment, within the specific context of the Jharkhand PFM project. But insofar as it was meant to involve representatives of stakeholder groups having different needs and interests, it also provided numerous opportunities for workshop participants to comment on and respond to the information being presented. This included a field-based data gathering experience, which allowed participants to apply what they were learning about social assessment in a real-life setting.

The various comments, questions, and recommendations that emerged in the course of the week can be grouped under seven general headings. These are provided below, together with a summary of the findings associated with each of them:

■ Legal and institutional issues: While the project is taking JFM as a starting point, it needs to incorporate a more inclusive legal and institutional framework, one that allows forest-dependent communities to gain management control over their natural resources. This will require project authorities to coordinate effectively among institutions operating at various levels, and clarify the duties and accountabilities of more traditionally powerful stakeholders—such as the Jharkhand Forest Department—in relation to poor and vulnerable groups.

■ Involving tribal groups: Several participants spoke of the need to ensure the participation of tribal people (also known as adivasis) in a way that both responds to their livelihood needs and respects their traditional culture and knowledge.

■ Balancing conservation and livelihoods: There was general agreement that, while difficult, this is the impetus for most all project activities. Some participants suggested several ways of alleviating poverty through more effective forest asset management and

generation, including the exploitation of non-timber forest products such as medicinal plants; common species such as sal trees; and activities such as dairying, piggery, and poultry breeding. Other participants put more emphasis on the physical and social infrastructure needed for local development.

■ Capacity building needs: There was agreement that the proposed project cannot succeed unless stakeholder capacity is enhanced through sensitivity training for Forest Department members, and village-level capacity building in such areas as natural resources management micro-planning, communications and consensus-building skills, and community organizing.

■ Information dissemination needs: Participants called for communications founded on transparency and open access to information relating both to the Bank-sponsored project and to Government-sponsored opportunities for local development generally.

■ Pilot activities: Participants agreed that pilots can be a good way to test out innovative approaches before they are officially incorporated into the project, provided such pilots are planned with community inputs and carried out in a participatory fashion.

■ Overall design issues, including for social assessment: Many participants argued for a project design that was beneficiary-oriented in the dual sense—generating clear benefits for poor and vulnerable groups, while at the same time avoiding adverse impacts on local populations. Otherwise, participants favored a social assessment process founded on a clear baseline, local knowledge by the selected researchers, and continued dialogue.

Challenges and Opportunities

The Jharkhand workshop should not be seen as a substitute for systematic consultation processes. It did not involve the full range of actors in the public, private, and civil sectors that are likely to be involved in the Jharkhand PFM project. But it did provide a good understanding of who the main stakeholders are, and what concerns and priorities they have. It also served to build a platform for addressing issues such as social diversity and gender, livelihoods, and social risk.

The challenges in the case of Jharkhand are substantial. Many NGOs and activists remain deeply skeptical of the development agenda promoted by the World Bank. In April 2004, a number of them met in the village of Chalkhad, Jharkhand to discuss the theme "Oppose World Bank and Save Forests." Local groups and tribal leaders have stated that "the World Bank programme, rather than empowering the forest communities with ownership and management rights, aims to deprive them and economically,

socially and culturally alienate them from the forests."[iii] This perception is not uncommon, and while participants in the Bank workshop—including tribal leaders and NGO activists—expressed great support for the approach taken, they also stressed the need for conscientious follow up, in order to turn the opinions and ideas discussed at the workshop into concrete actions for the benefit of local communities.

Provided this follow up happens, and the project stays on the right track, it is expected that the Jharkhand workshop and the activities that follow from it will serve to guide the World Bank and the Government of India in developing other projects in the forestry sector which combine attention to sustainable natural resources management and livelihoods enhancement for poor and vulnerable groups.

WORKSHOP PROCEEDINGS

Inaugural Session and Participants' Expectations

The inaugural session was opened by the then Minister of Forestry for Jharkhand, with participation from several other Government officials and dignitaries. It got broad and positive press coverage, and served to demonstrate the Government's commitment to a development process that will address the needs of poor and vulnerable people in the context of sustainable natural resources management.

After introductory remarks by workshop organizers, participants gathered in groups and discussed their expectations for the workshop. Each participant then took pen to colored cards and wrote in either English or Hindi the topics s/he felt were most important to cover. The comments that came out of this exercise can be grouped as follows, with topics listed from highest to lowest importance based on the number of mentions:

■ How to ensure sustainable livelihoods using local resources, addressing issues of poverty reduction.

■ How forests can benefit people, and how disadvantaged groups can get better access to resources and opportunities.

■ How to understand and agree on concepts and processes such as participation, NGO involvement, transparency, focusing on people's needs, and targeting.

■ How the social assessment process works.

■ How to address social diversity and conflict.

■ How to reconcile tribal rights, culturally appropriate development, and sustainable resource use and conservation.

■ How to understand better the motives and role of the World Bank.

Technical Sessions

The main technical sessions were led by R. R. Mohan, Social Development Specialist, SASES and Reidar Kvam, Coordinator of the Social Analysis Unit, SDV of the World Bank. Inputs and facilitation support were provided by Barbara Verardo, SASRD, Sumir Lal, SAREX, Varalakshmi Vemuru, SASES, and Hakon Nordang and Zlatina Loudjeva, SDV, also of the World Bank.

1. Introduction to Social Assessment

The introduction to social assessment on the first day of the workshop went over the conceptual

framework and approach which the rest of the workshop addressed in greater detail, with an emphasis on the specifics of forest management in Jharkhand.

Presentation

Social assessment is the instrument which the Borrower uses to mainstream social development objectives—inclusion, cohesion, and accountability[iv]—into World Bank-supported investment projects, by (i) analyzing social opportunities, constraints, likely impacts, and social risks relevant to a project, and (ii) soliciting stakeholder views and participation in the design, implementation, and monitoring and evaluation of projects. A social assessment is used to channel project benefits to the poor and vulnerable in ways which: ensure access of the poor to markets and public services; increase the social and economic assets and capabilities of people, especially the poor and vulnerable; enhance the accountability of institutions to the poor; address social tensions and conflict; mitigate potential adverse impacts which the project may cause; and build a framework for dialogue and consensus-building among stakeholders on development priorities.

This represents a more holistic and integrative approach to social assessment than that applied in the past. While the standards and requirements in the Bank's social safeguards remain essential and mandatory in Bank-supported projects, the broader approach followed here ensures not only that the focus is on adverse impacts and mitigation, but that the "do no harm" policies fit within a larger concern for producing opportunities and benefits for targeted populations.

The social assessment process for the Jharkhand PFM project is of particular importance given the proposed project's dual purpose of contributing positively to sustainable forest management and reducing poverty in a way that shares benefits with local communities. There has so far been little consensus in Jharkhand, or in India more generally, on how to balance conservation needs with rights to land and resources for adivasis and other poor people. Indeed, forest management in Jharkhand has been historically characterized by tension and conflict between the Forest Department and tribal communities. Against such a backdrop, a social assessment process that can provide the spaces and places for consensus-building, collaboration, and participation is key for the equitable sharing of benefits via the proposed project. This in turn can help ensure the project's social and environmental sustainability, and create new models for forest management in Jharkhand and other Indian states.

The World Bank's framework for social analysis grounds the social assessment process in:

- A detailed analysis of the broader social context, focusing on social diversity and gender dynamics and on socio-cultural, political, and historical factors

■ An analysis of relevant institutions, rules, and behavior, which consists of looking at formal and informal institutions that are likely to affect the project and at informal rules and behaviors

■ An analysis of relevant stakeholders, which involves identifying and describing the characteristics of people and groups who affect or are affected by the project, and who therefore have an interest in and some degree of influence over the project's outcome

■ A framework for participation, providing the mechanisms for the various stakeholders to participate in the project, both during the design and implementation stages. The participation process should particularly enable likely beneficiaries and directly affected populations to become actively involved, and make the necessary arrangements so that poor and vulnerable groups are able to participate in a meaningful way

■ An analysis of issues related to social risks and vulnerability, to ensure that the project does not affect people negatively, and that potential social risks of weak governance structures, elite domination, or other risks to successful outcomes are addressed (including via the Bank's social safeguard policies)

Ultimately, the social assessment process intends to improve project design, involve the concerned stakeholders, help build consensus and mutual understanding on development priorities, and strengthen equity in the allocation of benefits to the poor and marginalized. The process also aims to provide socially relevant benchmarks and indicators for comparison, monitoring, and evaluation.

Comments and Suggestions
In a general discussion, it was suggested that the Jharkhand project's social assessment—and, by extension, the workshop itself—would need to address a range of social issues, including:

■ How best to balance natural resources management concerns with poverty reduction and improved livelihoods

■ How to enhance livelihood opportunities in a sustainable manner, through the exploitation of forest products and other means

■ Limited physical and organizational infrastructure for making schemes and services work well for the poor

■ Weak traditions and capacity among state institutions, as well as among communities, for participatory forestry management

■ Issues of rights and entitlements, access, and encroachments for local communities and especially for tribal groups

■ Conflicting interests and a lack of cohesion among concerned stakeholders

2. Social Diversity and Gender

This session introduced concepts and frameworks for understanding the underlying social reality and context within which investment projects and other development interventions take place.

Presentation

All societies are composed of diverse social groups that may be distinguished and understood according to gender, ethnicity, religion, class, age, and culture, as well as to "spatial" (geographic) and economic characteristics. These social categories are important to social analysts for the simple reason that they are important to the people who use them to define themselves and their neighbors. They also frequently form the basis of vested interests, provoke or restrain action, and determine access to opportunity. As such, they are inherently contestable and reflect the power relations that constitute political life.

It is especially important to consider the role of tribal groups. Adivasis comprise an overwhelmingly large proportion of the forest-dependent population in Jharkhand.[v] They have a very strong cultural and economic affinity with forests, claiming the forests to be "the sources of [their] life and livelihood—the base of [their] society and culture."[vi] Despite this, however, tribals have in the past often been marginalized and excluded from access to forest resources and decision-making processes related to forest management. Indeed, they have often been displaced from their traditional territories and forest resource bases.

Gender is a frequently neglected dimension of social diversity that is also of great importance to natural resources and forest management. The World Bank's framework for social analysis involves gender analysis as an explicit element in the overall inquiry. Gender refers to the socially constructed identities, roles, rights, and responsibilities of women and men. It has to be seen as part of the broader social context, a set of relations between women and men that cross-cuts as well as interacts with other social identities. Gender matters because it relates to the social relations and power balance between women and men, with great implications for how access and benefits related to forest resources and products are distributed. Women and men tend to relate to forests, forest resources, and forest management in different ways. Women's work and economic roles are often less valued than men's, and often less public. Women are also frequently under-represented in governance and decision-making processes. And in terms of land and property rights, women are often legally discriminated against. These are issues that should be addressed in ensuring that women participate fully in forest management, alongside men, and have proper access to project benefits and opportunities.

BOX 1: *Tribal Groups in Jharkhand: Questions for Consideration*

- What are the characteristics of tribal groups?

- How do they relate to non-tribals?

- How do they traditionally use forest resources?

- How are land rights and access to resources organized?

- How do tribals organize themselves locally?

  - Who makes decisions?

  - How are different groups represented?

Comments and Suggestions

A facilitated discussion took place on the social context within which forestry management currently takes place in Jharkhand, and how social diversity and gender dimensions often determine access to resources, particularly forest resources, service delivery, and development schemes.

Many adivasi areas have their own traditional tribal governance structures, based on a two-tiered system that encourages decision-making through consensus. The system functions well in many parts of Jharkhand, especially in traditional khuntkatti villages, although in other less "homogenous" areas, the system has broken down.[vii] Where it works, people are actively involved in local forest protection and management. Many participants highlighted the importance for the project to try to strengthen these institutions, or at a minimum not to undermine them.

In spite of the importance of building on existing local institutions, it is important not to romanticize them or assume that they are fully egalitarian. Indeed, some participants noted that traditional tribal institutions do not always accord adequate rights to participation and decision-making by women.

It was noted that the social assessment should analyze the potential impact of the project on other stakeholders, including head loaders, cultivators, people dependent on grazing lands, and other forest-dependent people, and recommend ways in which they too can benefit from the project. Particular attention should be focused on viable livelihood strategies for poor and marginalized groups living in forest fringe areas. For many landless people and marginal farmers, migration often becomes a livelihood strategy. Migration, however, poses particular

BOX 2: *Gender and Forestry: Questions for Consideration*

- What are the development needs of men and women?

- Activities

  - Who carries out what tasks in the household?

  - What is the gender division of labor?

- Resources and constraints

  - Who has access to and control of productive resources?

- Access and opportunity

  - How does access to extension services and other benefits differ between men and women?

  - What needs and opportunities exist for increasing women's access to and control of benefits?

  - What are the appropriate types of intervention?

  - How can we monitor activities and results from a gender perspective?
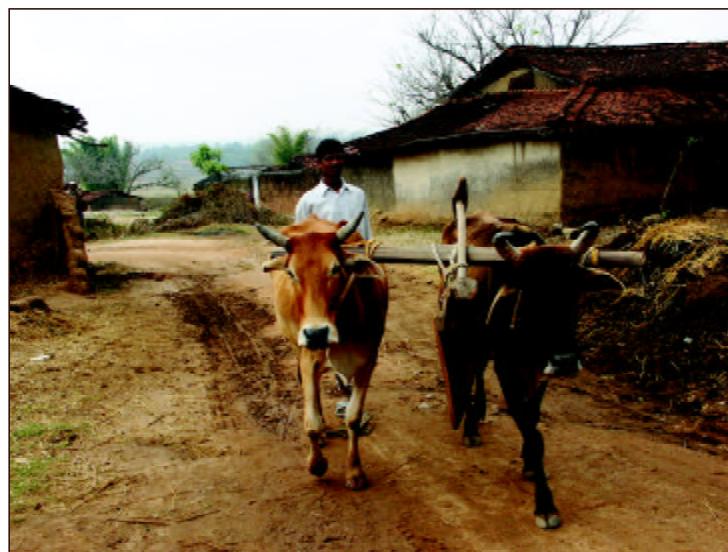
challenges which the social assessment should take into consideration by examining opportunities for enhancing livelihood opportunities for migrant laborers; the effects of migration on women and families in the villages; and the implications of migration for the delivery of services such as health and education.

Some suggested that attention should also be given to the nature of so-called "encroachments" in the project context, and particularly to how such encroachments tend to differ depending on socio-economic status (i.e. poor and vulnerable groups vs. opportunistic encroachments by wealthier, more powerful groups), traditional tenure rights, and other issues. Another thing that was mentioned in this regard is the importance

of shifting cultivation among poor forest dwellers and people in forest fringe areas.

3. Institutions and Stakeholders

This session focused on the ways in which the social context, described in the previous session, interacts with the institutional setting of a project. It also allowed for a clearer definition of the individuals and groups that have "something at stake" in the way the proposed project is designed and implemented.

Presentation

Institutional analysis is used to understand the relationship between organizations and institutions, that is, between the formal and informal structures that people belong to, and the formal and informal rules that govern their interactions. Many development interventions, including projects, depend for their implementation on institutional and behavioral change. Understanding how institutions, rules, and behaviors relevant to forest management in Jharkhand function is therefore of critical importance for the success of the proposed project.

The session continued with a lecture on the concept of stakeholders and the tools of stakeholder mapping and analysis. Stakeholders can be defined as organizations, groups, or individuals who have **interests**—something at stake—in a project's outcome. They may also have some degree of **influence** over the project. Stakeholders thus include both those who can affect and those who are affected by a project (i.e. the project's "winners and losers").

In mapping and analyzing the different stakeholder groups relevant to a project, it is useful to focus on three dimensions of each stakeholder:

- Defining characteristics, including social dimensions, organizational strength and capacity, formal or informal power and authority, etc.

- An assessment of the stakes or interests in the project, and the stakeholder's potential support or opposition to the project. This may include degree of commitment to the status quo; openness to change; and an assessment of whether the proposed project

is aligned with the interests of the concerned stakeholders

- An assessment of the degree of influence the stakeholder group has, and whether potential opposition from the stakeholder (individually or in concert with other stakeholder groups) constitutes a high, substantial, medium, or low risk to expected project outcomes

To emphasize the value of understanding the different needs, concerns, and potential influence of different stakeholders, as well as to provide an example of a stakeholder mapping and analysis, a case study on a stakeholder analysis of land reform in Zambia was presented.[viii]

Comments and Suggestions

The discussion on institutions, rules, and behaviors raised a number of questions that commentators felt the social assessment process needs to address:

- Do current reporting and incentive structures within the different levels of the Jharkhand Forest Department (policy makers; implementing agency staff; forest guards) provide opportunities for moving away from a top-down "policing" mode and towards a collaboration and facilitation mode that promotes community participation and local access to, and shared ownership of, forest resources?

- Do current inter-departmental coordination mechanisms and incentive structures provide opportunities for collaboration between the Forest Department and other relevant Departments or agencies in providing economic alternatives and livelihoods opportunities to forest-dependent communities?

- Are there formal Joint Forest Management committees in place in certain communities which ensure environmentally and socially sustainable use of forest resources? Are there any other formal organizations in place, such as local panchayats, which perform a similar function? Are there in other communities other tribal, "traditional," or informal systems of governance, decision-making, and conflict resolution in place which facilitate environmentally and socially sustainable use of forest resources? How do these different institutional mechanisms and structures currently interrelate with one another? What opportunities are there for the project to draw on and integrate these different institutional and organizational approaches to managing forests?

- What is the likelihood that encroachments will continue through collusion between Government officials and the encroachers?

- What are the opportunities for poor people to access markets for their various produce and products, including non-timber forest products (NTFPs)? How should the project provide marketing and infrastructure assistance to help the poor sell their products?

■ What roles do NGOs or CBOs currently play in different forest-dependent communities in Jharkhand?

■ The proposed project is supposed to include preparation and implementation of locally developed micro-plans. How realistic is this? What is the local capacity to develop such plans? Who would provide inputs to these plans, and who would make the approval decisions? How transparent is such decision-making likely to be?

■ How do social identities and roles interact with these institutions, rules, and behaviors? How do such institutions and rules function in, from a tribal perspective, more homogenous as opposed to more heterogeneous communities? Are the needs, concerns, and participation of women and other marginalized groups, such as Scheduled Castes and Scheduled Tribes, ensured? What is the risk of poor and marginalized people being pressured by more powerful groups in the community, or by outsiders, to relinquish their access to forestlands or other resources?

Workshop participants then engaged in a series of group-work exercises. In one of these, they used a stakeholder analysis matrix to identify the key stakeholders in the proposed project, their respective interests or stakes in the project, and the level of their influence. A summary of the initial stakeholder analysis conducted by the workshop participants is included in Table 1.

4. Consultation and Participation

This session discussed the role and importance of providing meaningful spaces and places for key stakeholders to participate in project design and planning, implementation, and monitoring and evaluation, in order to take full advantage of the opportunities created by the project.

Presentation

Based on the stakeholder analysis, a consultation and participation framework should be developed as part of the social assessment process. In Box 3, different levels of participation are set out, ranging from cases where people are neither informed about nor have a say in decisions that affect them, to cases where the people are agents of their own development, empowered to take or share authority over decision-making.

While certain projects, or different stages in a project, lend themselves to greater participation than others, to ensure equity and social sustainability in projects, the emphasis should be on higher rather than lower levels of participation. This tends particularly to be the case in projects with high risk and high complexity, such as Jharkhand PFM. Indeed, given the history of tensions among the different stakeholders in Jharkhand, effective strategies for creating a more trusting, participatory project setting, in which

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BOX 3: *Different Levels of Participation*

1. None
   - Decisions are taken at upper levels; people at lower levels are not informed

2. Information sharing
   - One-way communication: people are told about what is going to happen

3. Consultation
   - Two-way communication: people's views are listened to, but not necessarily taken into consideration

4. Participation
   - People participate in different ways, and their views are taken into consideration

5. Empowerment
   - Decision-making authority is transferred or shared

adivasis and other forest-dependent people feel they have a full stake in the outcomes of the project, are necessary for its success.

When looking at participation as a dimension of a social assessment, one should first examine the degree to which social groups affected by a project can participate in the opportunities created by the project. This will include an assessment of the equity of opportunity of different groups, in terms of their assets and capabilities, to share in project benefits. Drawing on this, the social assessment should outline strategies for involving stakeholders as participants, building on existing modes and structures of participation where appropriate, and suggesting new incentives and mechanisms to include stakeholders excluded from existing frameworks. In designing these incentives and mechanisms, several basic questions need to be addressed:

■ Which stakeholders will be hired to work in the project as employees, contractors, laborers, managers, quality control inspectors, and so on?

TABLE 1: *Stakeholders Summary, Jharkhand Participatory Forest Management Project*

Government Policy Makers	Implementing Agency Staff	Intended Beneficiaries	Adversely Affected
- Government of India - Government of Jharkhand - Chief Minister, Jharkhand Forest Dept. - Rural Development Dept. - Social Welfare Dept. - JFM Committee - Finance Dept. - Planning Dept. - Mining Dept. - World Bank	- Forest Dept. - JFM committee - District Forest Officers - Forest Rangers - Forest Guards - Local bodies, institutions - NGOs - Naxalites	- Village community - Forest dwellers - Women - Tribal Groups (adivasis) - The poor and marginalized - The landless - Herbal medicine traders - NGOs - Forest & wildlife - Forest Dept. staff - Tourism - Forest industries, traders - Hotel Ashoka (the workshop venue)	- "Timber mafia" - Poachers, smugglers - Forest industries, traders, intermediaries - Corrupt officials - Encroachers - The displaced/those with restricted access - NGOs - Forest Dept. - Mahajans - Politicians - Naxalites
Organized Interest Groups	**Civil Society**	**Donors**	**Other External/International**
- Forest-based industries - Herbal-based industries - Transporters, traders, exporters' associations	- NGOs - CBOs - Tribal Self Governing Institution (TSGI)	- World Bank - Japan Social Development Fund - Other International Donors	- Consulting Companies - Research Institutions - Mining Department - World Bank

■ Who among the stakeholders will control and distribute the goods, services, and work that the project offers?

■ How are those controlling the flow of resources held accountable? If they undermine the project objectives or fail in their responsibilities, can they be removed? If so, through what grievance mechanisms?

■ Who will control and disseminate information, measure performance, monitor compliance, and determine success?

■ Can training and capacity-building enhance the performance of stakeholders in any of the above areas?

Finally, the social assessment needs to account and plan for the costs of participation. Project participation has various costs: in time away from work; in money for transportation, lodging, and food; in the energy participants expend in training, studying, and negotiating to reach agreements. There are "social" costs to participation as well. Women may not feel free to talk in the presence of men; less educated people may be intimidated by the presence of more educated people; citizens may fear criticizing or even disagreeing openly with authorities. In some cultural contexts it is not appropriate for young people to speak when in the presence of older people, or for junior staff to speak when their superiors are present.

This analysis should provide the basis for the development of an overall consultation and participation framework, which sets out the approach and process used to integrate key stakeholder groups. Consultation and participation would not be one-off event in the proposed project, but a process that continues throughout its life span. And the consultation and participation framework developed for this project would find applications beyond it, in other forest management processes in India.

5. Empowerment and Social Accountability

The previous sessions focused mainly on analytical concepts of use in mapping out and describing the social context, stakeholders, and institutions relevant to the project. Following on these discussions, this session explored the dynamic interplay among the various actors and structures associated with forestry management in Jharkhand. It did so, however, in light of the role of social accountability and empowerment in the "service delivery problem," which boils down to how to make public services work for poor people.[ix]

Presentation

India has a policy and legal framework, enshrined in its Constitution, which is strongly pro-poor. It recognizes the rights of marginal and vulnerable groups and provides guaranteed representation of women in local legislative bodies. Both the central government and the states have developed numerous schemes and development programs benefiting poor groups. Yet much can still be done

to make these policies, programs, and services policies more effective. Challenges remain when it comes to ensuring quality, reliability, effectiveness, and equity in public service delivery.

Accountability, as defined in this workshop, is the ability to call public officials, private employers, or service providers to account, requiring that they be answerable for their policies, actions, and use of funds.[x] Accountability is social when it deals with the accountability of agents towards society as a whole, and is exacted by multiple stakeholders. Accountability is public when instead of being an internal process, it is transparent and in the public domain. Social and public accountability mechanisms, then, refer to the range of methods, tools, and choices that ensure greater accounting to citizens and society as a whole for public actions and outcomes. In the case of local communities, social groups, and relationships, the focus is on inclusive and pro-poor institutions developed through partnerships and mutual accountability, as well as on equity in access to services and development opportunities.

Closely related to social and public accountability is the concept of empowerment. This may be defined as the process of enhancing the capacity of individuals or groups to make choices and to transform those choices into desired actions and outcomes. Central to this process are actions which both build individual and collective assets, and improve the efficiency and fairness of the organizational and institutional context which governs the use of these assets.[xi] Strategies for empowering poor and marginalized people include information sharing, inclusion and participation, accountability, and organizational capacity building. Empowerment is as much about institutional reform as it is about individual benefits—as much about providing an enabling framework at the macro and meso levels as it is

about investing in the assets and capabilities of poor people at the micro level.

To help contextualize the presentation, the session continued with two case studies from the Rural Women's Development and Empowerment ("Swa-Shakti") project in India, presented in the case of Jharkhand by Himani Pande, Project Director, and in the case of Bihar by Irina Sinha, Project Director. A general overview of the project was given by Varalakshmi Vemuru, project Task Team Leader from the World Bank.

Both social accountability and empowerment are key to making services work for poor people. This interplay is also at the very heart of participatory forest management. Moving from a policing approach to forest management towards a regulation and coordination approach that enables community participation would represent an advance in terms of providing more transparent mechanisms for managerial decision-making. In addition to creating spaces for the poor to participate, empowerment depends on the expansion of livelihood opportunities through, among other things, the removal of market

distortions, as well as the provision of access to economic opportunities outside those offered by forests and the Forest Department—including rational use of NTFPs, marketing of herbal/ traditional medicines, employment, micro-finance, etc.

Comments and Suggestions

The discussion that followed focused on ways in which both communities and institutions responsible for service delivery in the case of the Jharkhand PFM project can be assisted in working together more effectively. To enhance responsiveness of policymakers and service-providers to the poor, through both "voice" and "service" relationships, respectively, a two-pronged approach was discussed: from the supply side, social and public accountability needs to be raised and incorporated into government policies and practices; and from the demand side, there is a need to empower the poor and marginalized to enable them to hold policymakers and service providers to account.

To conclude the session, each group of participants was asked to pick two important stakeholder groups for the proposed project who have a relationship (e.g. based on citizens' voice, service delivery, bureaucratic functions, etc). Through role-playing excercises each group presented the service-based or other relationships between the two stakeholder groups, their main means of interaction, and the potential for improved relations of public and social accountability between them. This role play was particularly popular with the participants, and demonstrated vividly how roles and actions of different stakeholders were perceived.

6. Social Risks and Safeguards

As noted previously during the workshop, the proposed project is considered controversial, and involves substantial or high risks. The social assessment process, therefore, has to explicitly address these risks, and provide guidance for how they can be mitigated through proper project management and consensus-building mechanisms. That was the focus of this session.

Presentation

The session began with a presentation by Simon Oraon, a tribal leader from Bero, Jharkhand. He described how his village had managed to preserve its forests while providing livelihood opportunities for its inhabitants through a traditional system of cooperation, governance, and dispute resolution. Against the odds, a large, well-preserved tract of forest still exists in the village, one that has been subject to sustainable use by the people.

The presentation shed light on a case where not only had environmental and social risks been mitigated, but social and economic opportunities had been created through appropriate forest and

risk management mechanisms that took into account the concerns of the poor. As such, it introduced the main topics of discussion of the session: social risk analysis, risk management, and consensus-building.

The social assessment for the Jharkhand PFM project needs to focus on two kinds of risks: (i) potential risks **to** the project's achieving its development objectives, i.e. through stakeholder opposition, or inadequate incentives or institutional mechanisms;[xii] and (ii) risks emanating **from** the project, in terms of possible adverse impacts on poor and vulnerable groups, including tribal populations. The risks covered by the World Bank's social safeguard policies on involuntary resettlement and indigenous and tribal peoples (see below) fall into this second category. For each type of risk, the risk analysis should aim to identify:

- Who are the "winners" and "losers"?

FIGURE 1: *Social Risk Analysis*

Likelihood of Risk				
HIGH	R	R	MP	K
SUBSTANTIAL	R	R	MP	MP
MODERATE	I	R	T	T
LOW	I	R	T	T
	LOW	MODERATE	SUBSTANTIAL	HIGH

Importance of Risk

K: Killer assumption. Scratch the design and start over, because the risk is unacceptably high.

MP: Modify Plan. Take action to anticipate likely risk by changing design or introducing complementary measures.

T: Triggers. Establish measurable indicators that, upon being reached, trigger changes in design or measures to address distribution, compensation, adverse impacts, etc.

R: Review and reconsider

I: Ignore

- How do poor and vulnerable people cope with risk?

- What actions can be taken to avoid, reduce, or mitigate risks?

Once the risks have been identified, the analysis should also assess both the probability and importance of all of the risks using the matrix in Figure 1(previous page).

An assessment of vulnerability and social risks, especially in view of the complexity of the project's social context, should also conclude with a consideration of alternative project designs or approaches. If the social risks are deemed to be too high, this should also include the option of postponing the proposed project until appropriate risk management mechanisms have been identified, or the risks have otherwise been mitigated. An important dimension of such an assessment, however, is also to consider the social risks related to *not* pursuing the project.

The presentation went on to focus on two particular operational policies that the World Bank has in place to safeguard individuals or groups that may be negatively affected by a project:

- Operational Policy 4.12 on Involuntary Resettlement

- Operational Directive 4.20 on Indigenous Peoples

The Jharkhand PFM project triggers both of these safeguard policies. This implies a series of considerations that need to be taken into account both the Government of Jharkhand and its World Bank counterparts (see Box 4). The project involves poor adivasi groups that in the past have been displaced from their

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BOX 4: *Safeguard Policies and Forestry Projects*

OD 4.20: Indigenous Peoples
- Objectives: Indigenous peoples
  - Are afforded respect for their cultural uniqueness in the development process
  - Do not suffer adverse impacts
  - Receive culturally compatible social and economic benefits
- Triggers:
  - Do indigenous peoples live in the project area?
  - Are they project beneficiaries?
  - Could the project adversely affect them?
- Problem issues
  - Identification of indigenous peoples
  - Adequacy of consultations
  - "Prior, informed consent"
  - Incorporating IP issues in project design

OP 4.12: Involuntary Resettlement
- Largely community impacts
- Focus on restriction of access
- Avoid direct displacement where possible
- Consider wider impacts
  - Access roads
  - Schools
  - Health services
- Identify unit of impact, consultation, benefits
  - Households
  - Community
- Identify and document livelihood opportunities

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traditional territory and resource base. The social assessment process needs to properly address this fact, and provide guidance for how the project can benefit the local communities in a manner that is not only oriented towards livelihoods improvement and environmentally sustainable development, but also culturally appropriate and built on informed participation by the tribal communities affected.

At the end of a general discussion of potential risks to the project, Sumir Lal of SAREX, World Bank presented a case study on the political economy of power sector restructuring in India. Though focused on a sector other than forestry,

the case study called due attention to the importance of understanding the interests, concerns, and potential influence of the "winners and losers" of a project. So-called potential "losers" are very likely to attempt to stall a reform process or project implementation, or to otherwise capture project benefits, unless their concerns and interests are addressed in the course of project design and implementation.

Comments and Suggestions
The presentation on the potential risks to the project raised a number of issues of great relevance to forest management in Jharkhand, and led to a structured discussion around the need for the social assessment to carefully design mechanisms for risk management, consensus building, and dialogue promotion among the different stakeholders involved in the project.

Balancing Conflicting Views and Interests: The social context of the proposed project consists of groups having very different concerns and interests, particularly with regards to the dual goals of forestry conservation and poverty reduction. Historically, these divergent views have resulted in tension and mutual distrust among different stakeholder groups—and particularly between the Forest Department and tribal communities. The presence of militant "Naxalite" groups (the People's War Group and the Maoist Communist Centre) in several adivasi areas further complicates matters.[xiii] These conflicting views and interests therefore constitute a very high risk to the project.

It is crucial to find ways to channel the divergent interests of the different stakeholders through the consultation and participation framework. This should build consensus around the objectives of the project, and enable support for and ownership

of its outcomes. However, it is unlikely that this process will come out to the satisfaction of all interest groups. Particular emphasis should therefore be put on demonstrating transparency in decision-making processes, and on providing regular feedback from the consultations and discussions held. Dispute-resolution and grievance-redress mechanisms at different levels should also be considered, to ensure that adequate institutional elements are in place to allow people to express disagreements and opinions, voice concerns or complaints, and, generally, be heard.

Protecting the Rights of the Poor and Marginalized: While it is important to account for the risks resulting from stakeholders' divergent interests and concerns, the social assessment process should also look at the need to protect the rights of the poor and marginalized. That is, the process should address the risk that the security and well-being of the poor are compromised when the project attends to the interests of other, more powerful stakeholder groups. This applies to a range of actions and situations,

from safeguarding the poor from the adverse effects of involuntary displacement to ensuring the well-being of tribal groups.

Institutional Capacity and Incentives: The question of institutional capacity and incentives raised in a previous discussion was also found to be relevant to the discussion of risks to the project. The focus here was on the Forest Department, which has languished under a hiring freeze for almost 20 years, and has had a modus operandi of a top-down policing organization. Yet for the purposes of the proposed project, Forest Department staff will be expected to facilitate community participation and local access to resources. While in many areas collaboration is taking place between the Department and village communities, with many positive changes reported, the social assessment process needs to make a realistic assessment of the potential risks to the project of an institutional setup in which the Forest Department will play a leading role.

The rest of the risks discussion focused on the potential risks from the project, including the avoidance or mitigation of adverse impacts. The

proposed project is expected to bring benefits to local communities and individuals, as mentioned earlier. However, there is still a possibility that project activities will adversely affect some individuals or groups. Working in their groups, the participants were asked to identify potential risks caused by the project, and to suggest ways to manage these risks.

7. Methods and Tools for Social Assessment
Social scientists use a broad array of data-gathering and analytical tools and methods, both qualitative and quantitative, during the social assessment process. This session briefly described key methodological principles, qualitative and quantitative tools, and participatory techniques that are at the disposal of the analyst wishing to put an investment project on the path to social sustainability.

Presentation
There are a number of field-based methods for data collection and analysis that are likely to be used in preparing the Jharkhand PFM project. These include the following:

- Review of secondary material

- Key informant interviews

- Direct observation of processes and behavior

- Participant observation of processes and behavior

- Diagramming

- Community mapping

- Production / livelihood diagramming

- Gender analysis

- Socio-economic surveys

- Full census

- Community information and consensus-building

- Project design techniques: Needs assessment and identification of risks

Given the emphasis on social assessment as a **process** in which data on stakeholder views is gathered in a participatory manner, it is little surprise that it should have a more qualitative bent than many other assessments and analyses conducted during the preparation of a forestry sector project. Box 5 (see next page) summarizes some of the core principles involved in doing this kind of research.

8. Social Assessment and the Project Cycle
The last of the technical sessions focused on the operational entry points for social assessment in the World Bank project cycle (see the diagram in Figure 2), providing insights on how to operationalize the concepts and analytical tools and methods discussed during the previous days. Specific attention was given to explaining the roles and responsibilities of the Borrower at the various stages of the cycle, the entry points for meaningful consultations and stakeholder participation, the importance of developing a suitable implementation plan (one containing appropriate action plans,

FIGURE 2: *Social Assessment in the Project Cycle*
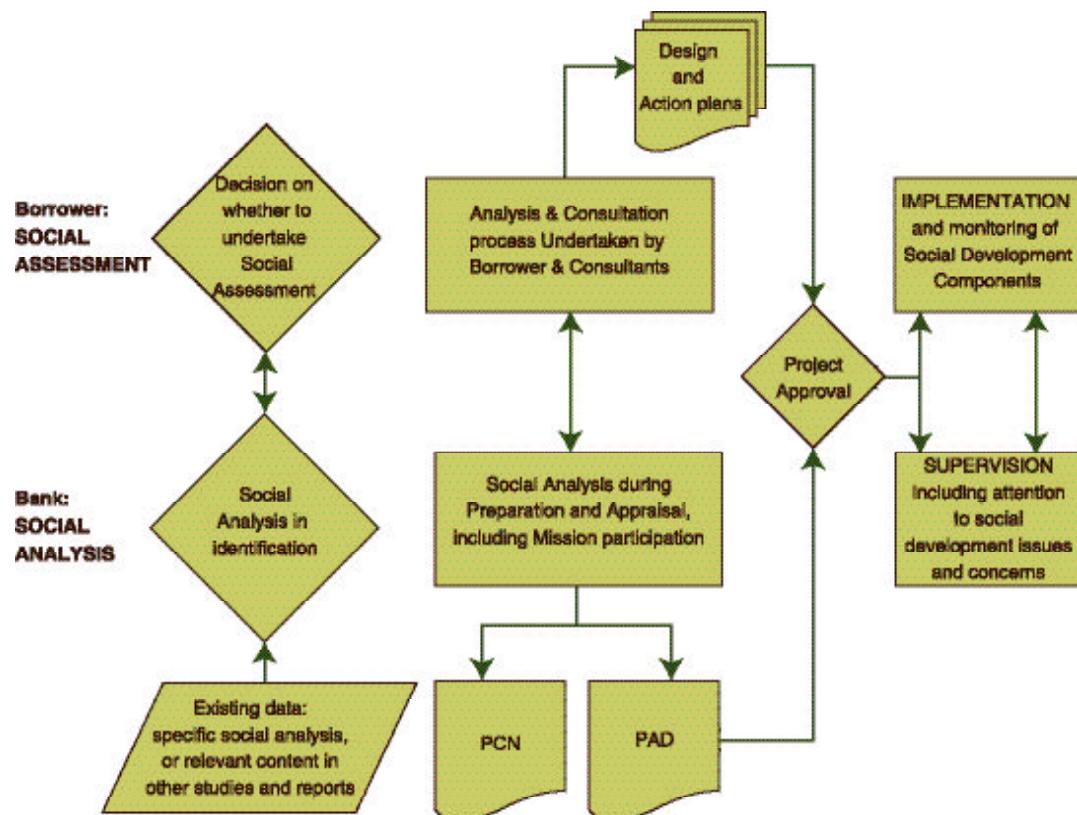
budgets, implementation arrangements and responsibilities, monitoring and evaluation systems, etc.), and outlining a generic terms of reference for social assessment.

Presentation

A two-stage approach to conducting social assessment for this project was recommended. An initial process, a rapid social assessment (RSA), should take stock of existing information and provide a summary report setting out a preliminary problem analysis, stakeholder analysis, proposed participation framework and communication strategy, and risk analysis, including a proposal for transparent consensus-building and dispute-resolution procedures. The RSA should also provide information for identifying gaps and drawing up a more detailed terms of reference and a refined methodology for the second phase. This should be informed by feedback received at a stakeholder workshop organized to share the findings of the RSA summary report.

Following the RSA there would be a detailed design phase, when the necessary studies and data collection should be undertaken, through ongoing consultations and the participation of key stakeholders. The detailed design of this second stage should be informed by the learning from the RSA. Specific action plans should be drawn up, including a framework for preparing Indigenous Peoples Development Plans (if required), and specific inputs to implementation mechanisms should be produced. This should include establishing monitoring and evaluation arrangements to provide ongoing documentation, learning, and the necessary adjustments during project implementation. The findings of this second stage should also be shared at a stakeholder

workshop, and the workshop outcomes incorporated into the final recommendations for project design.

Fieldwork

Days five and six of the workshop were dedicated to fieldwork and post-fieldwork analysis and presentations. Here the eight participant groups were given the opportunity to apply the concepts, tools, and methods of social assessment in a real setting. Each group visited one of the following eight villages situated in the vicinity of Ranchi, Jharkhand: Chand, Dundun, Kutchu, Ramdaga, Sadma, Semra, Siladon, and Tilaksuti.

Each group was asked to conduct a village-specific rapid social assessment, preparing (a) a summary of the key social issues (social diversity and gender, social organization and institutional structures, stakeholders and participation processes, potential risks and how to avoid them); (b) recommendations for a project participation framework; (c) recommendations for pilots and operational approaches (based on community needs); and (d) a summary of suggested priorities and next steps. The groups were then asked to present on the results of their RSAs once they were back together in the workshop.

The post-fieldwork analysis and presentations provided a wealth of relevant information, most of which has been integrated into the recommendations from the workshop set out below. The fieldwork summaries of one group, which had visited the village of Chand in the Khijri Block, Ranchi District, is included in this report as an example of the rapid social assessments produced by the participants (see Annex 3).

Closing Session

The closing session of the workshop began with statements by representatives of three of the main stakeholder groups present: CBOs and tribal peoples' organizations; NGOs and academics; and the Jharkhand Forest Department. These statements are paraphrased below.

CBOs and Tribal Peoples' Organizations

Prabhakar Tirkey spoke on behalf of the CBOs and tribal peoples in attendance. He said that it was a special experience for the tribals to be able to participate in a workshop where they were heard. There was also time for mutual consultation on tribal issues. And yet some concepts were not clear, though a start at understanding had been made. Also a lot of information had been gained about the tribals in the last 50 years, without proper action in their favor. On the contrary, tribal rights had been violated. In the workshop there was genuine attention to tribal needs and problems.

It was necessary to understand the psychology of adivasis, who saw much and analyzed situations according to their views, even as they maintained the culture of silence. If they seemed slow, it was because they had not put themselves completely in the modern development fray. Their understanding of development was different, in that they saw it as integral and symbiotic with nature and natural resources. In agriculture they preferred natural farming methods. So also in questions of health, they went for herbal medicine. The modern world was going the tribal way of understanding the value of nature and natural resources, which were not only the means of production but also a means of livelihood and the foundation of cultural and religious beliefs. There was an urgent need for coordination between the World Bank, the Government of Jharkhand, and the Government of India for tribal development.

NGOs and Academics

Heera Lal Gupta spoke on behalf of the academics and the NGO sector. He said that the workshop gave an understanding of social assessment and the relevant stakeholders. Many ideas and views had been presented for reaching down to the people and engaging them. Now there was a need for networking among all the stakeholders. There was also a need for regional dialogue and broader consultations, especially with potential participants in the project. However, there were different roles for different stakeholders. They all needed to get involved in the various tasks related to building grassroots organizations, carrying out social assessment at different levels, disseminating information, conducting action research, building capacity, making linkages in the marketing of village produce, and documenting progress.

Jharkhand Forest Department

The representative of the Forest Department said that in every seminar there were different inputs and responses. But being together with other stakeholders was very fruitful, as that led to a fuller understanding of everyone's views. Now there was a need for continued coordination and dialogue. The resources created in the workshop had to be used. Additionally, frontline staff had to be adequately prepared. Their mindset needed to change. Through capacity training the right attitudinal changes could come about. There were about 14,000 Forest Protection Committees, which needed a lot of inputs and training. The Forest Training School could also train self-help groups. Project financing during the preparation period could be used for this purpose.

Conclusions and Recommendations

Over the six days of the workshop, a large number of views and concerns were expressed by all the participants. One overarching conclusion was that it is necessary to allow for enough time and flexibility to design a project that truly responds to the needs and aspirations of Jharkhand's forest fringe communities. Another was that continued dialogue between the various stakeholders is going to be critical to keeping project activities on track.

Many of the participants' concerns and recommendations focused on legal and institutional issues. In particular, the workshop participants made the following points:

■ Conditions in Jharkhand are not uniform, so a "one-size-fits-all" approach will not work. Taking JFM as a starting point, a process of consultation, participation, and piloting can improve the impact of forest management on poverty reduction and development.

■ Instead of limiting forest management to JFM committees, partnerships should be built to enable forest-based village communities to have ownership of and management control over their natural resources.

■ In Jharkhand traditional institutions and authorities in tribal communities play an important role. At the same time, the legal status of traditional local institutions needs to be clarified. For example, can they be eligible to receive direct funding for development purposes?

■ It is necessary to clarify and agree on the role of Panchayati Raj Institutions (PRIs), i.e. panchayats and gram sabhas.[xiv] Similarly, greater clarity is needed on the relationship between these and other local institutions such as village blocks, self-help groups, NGOs, etc.

■ The current JFM resolution retains the authority of the Forest Department. Greater clarity is needed on the status of the JFM committees, their control over forest resources in scheduled and non-scheduled areas, and the delegation of authority from the Forest Department to JFM committees and local communities. The provisions of the JFM resolution should be carefully examined, and variances or contradictions with various legal or institutional requirements should be resolved.

■ More coordination among different Government departments is needed as they often have different and contradictory rules and procedures.

■ Local communities are potentially eligible for a large number of development schemes and opportunities, but these are provided by different agencies and are not always well coordinated. Where viable, JFM committees should also be allowed to access such schemes.

■ Particularly in the context of the proposed project, the role of NGOs should be clarified. A number of different functions can be considered: direct implementation; assistance in consultation and community mobilization; monitoring and evaluation; etc. Agreement should be reached on how they can contribute, and on suitable mechanisms for transparency and accountability.

■ Finding the right mechanisms for dispute and conflict resolution is critical, especially when it comes to dealing with land rights in the

villages. It is necessary to find workable ways to resolve disagreements or conflicts between the Forest Department and adivasis; within communities; and between communities and outsiders. In doing so, it is necessary to assess who controls what resources and with what authority.

■ The traditional rights and functions of the tribal gram sabhas should be respected by the Forest Department and other agencies.

- The project needs to concern itself with adequate rules, regulations, and compliance mechanisms for protecting the environment, not just with social issues and poverty reduction.

- Significant parts of Jharkhand are under Naxal control or influence, making it necessary to develop institutional mechanisms for working in these areas.

Having tribal representatives at the workshop provided valuable opportunities for considering the particular needs and interests of tribal peoples. Among the points made were:

- Tribal and other village communities need more alternative livelihood opportunities, in order to maintain the sustainability of forest resources.

- Addressing the fundamental issue of cultural alienation is key to ensuring the support of tribal stakeholders. Traditional culture and knowledge, especially as they relate to the management of forests and other natural resources, need to be respected, protected, and revitalized by the proposed project.

- In designing the proposed project or other interventions, it is important to ensure that tribals are on an equal footing with the rest of society, yet are able to retain their unique identities and belief systems.

- Tribals need to be able to participate in every stage of the project.

The Jharkhand PFM project faces the challenge of balancing conservation of natural resources with creation of livelihood opportunities for forest fringe communities. While much additional work and thinking are required to design appropriate strategies for reducing poverty and creating economic opportunities, the workshop participants offered several thoughts and suggestions in this regard:

- Arrangements should be put in place to generate and provide access to market opportunities and information, to optimize returns for the village communities. This would allow for the selling of forest produce and other products the project can help develop. Marketing opportunities should be developed for herbal and medicinal plants and products.

- Several activities could help in income generation, such as improved forestry practices, plantations, and food processing. But asset generation is also needed; activities that could help with this include lift irrigation and cultivation of community gobargas plants. Individual activities could include dairying, piggery, and poultry breeding.

- Because of the potential restraints on grazing, dairying may constitute a risk.

- The project should focus on the sustainability of various species, such as sal trees.

- There is a need for preservation of small vegetable produce in village blocks.

- Support should be provided for electrification, water supply including for irrigation, etc.

- There is a need to counter migration pressures and livelihood dependence on the cities.

- Any surplus or profit generated through the activities of the JFM committees should be shared adequately among their members.

■ Benefits from JFM-type projects tend to accrue to villagers only in the mid to long term. It is essential to ensure that such a project also provides quick benefits to participants; otherwise support for it is unlikely to be sustained.

■ Community health should be improved through a system of health volunteers from the villages. Also, basic health kits and first aid boxes financed through recurrent expenditures on medicines could be provided.

■ Education improvement should include strengthening of both formal and non-formal education, based on local needs and resources. Services should be provided for primary and secondary education, and for vocational training centers.

As in most projects of this type, the issue of existing capacity of the project agents and the concomitant need for capacity building came up. Among the points made were:

■ Capacity building activities should be based on a needs assessment of all concerned stakeholders: village communities, JFM committee members, Forest Department officials, and field staff. Needs-based capacity building is particularly important for women and other marginalized groups.

■ Capacity building needs to take place in the Forest Department at all levels, or the project will be at risk of not succeeding. Imparting a new orientation is necessary, particularly for front-line workers, as they will be expected to move away from enforcement and policing towards regulatory and facilitation roles.

■ Capacity building and attitudinal change are also needed for staff in other agencies and for district- and block-level officials.

■ Training and capacity building would be especially useful in relation to the following:
  - Micro-planning and natural resources management (including on traditional methods of forest protection and regeneration)
  - Accounting
  - Marketing
  - Legal and administrative skills
  - Communication and consensus-building skills
  - Conflict management
  - Community organizing

■ Given that many staff in the Forest Department are demoralized, it is necessary to provide all of them (but particularly the front-line workers) with better incentives to do a good job.

■ The Forest Department is understaffed, so the project would do well to contribute to providing better employment. At the very least, vacant posts should be filled.

■ There is a perception that representatives of the Government and the Forest Department are "anti-tribal." Sensitivity training for a heightened awareness of tribal concerns is very important.

■ There is a need to upgrade the state's training facilities, including the State Forest Academy at Mahilong. Similarly, there is a need to address the lack of basic infrastructure, e.g. vehicles, communications equipment, and other facilities.

- Unless people are better educated, they cannot participate fully, nor can they guard against various forms of "elite capture" of project benefits.

- Targeted training is required for people to be able to participate fully in participatory monitoring and evaluation.

Several participants additionally pointed to the need for fluid communications and effective information dissemination. They offered several comments and suggestions in this regard:

- Information about the proposed project and the social assessment process should be made available in all local languages, not just Hindi. The information should be disseminated widely, using print, electronic, and popular folk media. The written information should be supplemented with oral information. This access to information is particularly crucial during the planning and design stage of the project.

- Regional Information Centers should be organized in different areas (even in those controlled by Naxalites).

- Greater transparency and access to information is the best way to reduce suspicion of the proposed project, and of agencies such as the Forest Department and the World Bank.

- Information about government outreach programs and schemes, particularly at the village and block levels, should be disseminated better.

- Rights-awareness campaigns should be organized.

- The JFM resolution and its modifications are not well known. They should be widely disseminated, for people to know about their rights and duties, especially with regard to terms of engagement and profit sharing.

- Local and tribal institutions could help with information dissemination and consultations around the proposed project.

At the time of the workshop, the thinking of project authorities was that rather than launching a large-scale project all at once, ideas and approaches could be tested out through a series of pilot activities. The participants had several suggestions regarding this:

- There are good opportunities for promoting traditional tribal culture and building on local communities' knowledge of forests, forest products, and other natural resources. Pilots could take up related themes such as cultivation of herbal/medicinal plants for processing and marketing, revival of traditional healthcare systems, etc.

- Pilots could also address such disparate areas as irrigation, watershed development, drinking water, tourism, etc.

- The planning and implementation of pilot activities should be done in participatory fashion.

- Pilots should be designed to allow for variations in community needs, institutional arrangements (JFM-style; gram sabhas; tribal institutions), social diversity (both tribal and non-tribal areas), and geography (both forest and non-forest areas).

In general, the discussions in the workshop focused more developing an approach for taking social issues into consideration, than on hashing out concrete project design issues. The participants nevertheless made several comments and recommendations regarding overall design:

- Social and economic equity has to be at the core of the project. Project benefits must not go to a few elite groups or individuals. Land reform may be needed to ensure a more equitable distribution of benefits.

- Project activities should be designed to benefit women and other vulnerable groups.

  Gender considerations need to be taken into account when addressing economic opportunities, given the strong relationship between gender roles and economic activities. Women also tend to depend more on the environment, so it is crucial to ensure that the environment does not deteriorate further.

- Project planning should be based on a holistic, long-term shared vision of forest conservation and poverty reduction.

- Project planning should be needs-based.

- The project should not be based on charity or handouts, as these create dependency. It should focus on sustainable schemes that provide secure opportunities for the poorest and excluded.

- While partnerships are essential in preparing and implementing a project, it is necessary to clarify who will partner with whom. Will the Forest Department be ready to accept a real partnership in terms of sharing rights, responsibilities, resources, and power?

- Project evaluation needs to be done by independent, external bodies (i.e. not the Forest Department, NGOs involved, or the World Bank). But evaluation also needs to be draw on the actual experiences and voices of the participants.

- In preparing the proposed project, the role of local communities should be clarified in areas such as design and planning; implementation; and monitoring and evaluation.

- In designing the project, care should be taken to avoid any negative impacts on local populations. In particular, local cultural rights need to be respected and protected.

Finally, workshop participants had some comments and suggestions with regard to the social assessment process:

- A baseline study should be completed.

- At least some of the researchers and facilitators contracted to do the social assessment should know the applicable local languages.

- The social assessment should promote continued dialogue among different stakeholders; otherwise, its outputs won't be sustained.

ENDNOTES

i See the approach developed for Poverty and Social Impact Analysis (PSIA) of reforms, as well as recent work and frameworks being piloted for country-level social analysis.

ii World Bank 2003. For more information refer to http://www.worldbank.org/socialanalysissourcebook/

iii WRM Bulletin No. 81, April 2004. See http://www.wrm.org.uy/bulletin/81/viewpoint.html

iv As described in the World Bank strategic paper on Social Development, *Empowering People by Transforming Institutions: Social Development in World Bank Operations* (Social Development Department, January 12, 2005), inclusive institutions promote equal access to development opportunities. To move towards this goal, institutional barriers must be removed so as to encourage the participation of diverse individuals and groups in development activities. Cohesive societies enable women and men to work together to address common needs, overcome constraints, and consider diverse interests. Accountable institutions are transparent and responsive to people's needs, and serve the public interest in an effective, efficient, and fair way. Accountability is linked to empowerment, participation, and civic engagement in that these processes enhance the assets and capabilities of individuals and groups to engage, influence, and hold accountable the institutions that affect them.

v Based on an extrapolation of the 1991 census, the newly created State of Jharkhand has a total of about 6.5 million tribal people, which constitutes about 30% of the State's population. Heavily concentrated along the forested belt, the tribal population comprises an overwhelming majority of Jharkhand's forest fringe communities. These data are taken from *The Scheduled Tribes and Scheduled Castes in the Forests of Bihar: Facts and Figures*, Forest Department, Bihar, 1996.

vi Statement 1, the Khunti Declaration 2003 adopted by the Jharkhand Forest Protection Movement (Jharkhand Jangal Bachao Andolan) at their 3rd Annual Convention, November 27-29, 2003, Khunti, Jharkhand (unofficially translated from the original Hindi version).

vii Khuntkatti refers to a system of communal forest ownership that has underlain forest management practices in tribal areas of Jharkhand, Bihar, and other states.

viii Jorgensen, S. L. and Loudjeva, Z., *Poverty and Social Impact Analysis of Three Reforms in Zambia: Land, Fertilizer, and Infrastructure.* Social Development Paper No. 49. Social Development Department (World Bank 2005).

ix *World Development Report 2004: Making Services Work for Poor People* (World Bank 2003).

x Drawing on the definition set out in *Empowerment and Poverty Reduction: A Sourcebook*, (World Bank 2002), p. 20.

xii The Swa-Shakti project has helped form more than 17,000 Self-Help Groups (SHGs) benefiting more than 240,000 people

throughout India. It works in innovative partnership arrangements with more than 700 local NGOs. With the exception of some minor assistance towards developing community assets, the project does not provide direct financial support to the members. Instead, it focuses on strengthening women's capacity to leverage resources from existing institutions: financial institutions for access to credit; government departments for improved services, particularly in health and education; and the private sector for better access to information and markets for locally produced products.

xiii These risks to the project can be further subdivided into four distinct risk types: country risks: conflict and violence, political instability, ethnic and religious tensions; political economy risks: capture of benefits, opposition to or distortion of project objectives by influential stakeholders; institutional risks: poor governance, limited technical and administrative capacity, design complexity; and exogenous risks: terms of trade, regional conflict, climate effects.

xiv The Naxalites, also sometimes called the Naxals, are a loose association of self-styled insurgent groups waging a violent struggle on behalf of landless laborers and adivasis against landlords and others. In recent years, Jharkhand has been severely affected by Naxal violence, with 156 deaths recorded in 2002, according to the New Delhi-based Institute of Peace & Conflict Studies.

xv Gram sabhas are village-based assemblies or committees. They normally act as conduits for the views of the rural poor, women, and other marginalized groups in deliberations by more formal bodies such as the panchayats (village councils). Both of these PRIs have been vested with decision-making authority over local natural resources by the Constitution Act of 1992.

ANNEX 1: List of Participants

NAME	DESIGNATION/TITLE	INSTITUTION/AGENCY
PUBLIC SECTOR		
A.K. Malhotra (Dr)	CCF (WFP) Jharkhand	Department of Forests and Environment
A.K. Mishra	C.F.Hazaribagh	Department of Forests and Environment
A.K. Prabhakar	C.F. Territorial Circle, Ranchi	Department of Forests and Environment
A.K. Rastogi	DFO Research & Eval, Ranchi	Department of Forests and Environment
A.K. Singh	Regional Chief Conservator of Forests, Singhbum, Jamshedpur	Department of Forests and Environment
Amarnath Singh	ACF, Khunti Forest Division, Ranchi	Department of Forests and Environment
Arun Kumar	Range Officer of Forest, Dumka Forest Div (Simra Range)	Department of Forests and Environment
Ashish Rawat	Dy Conservator of Forest, Social Forestry Monitoring & Evaluation, Ranchi	Department of Forests and Environment
Awadhesh Pal Singh	Forester, Garhwa South Div	Department of Forests and Environment
Balbhadra Sahu	Forester, Forest Div, Simdaga (Gumla)	Department of Forests and Environment
Brijnandan Sah	Forester, Daltonganj Western Circle, Latehar Div	Department of Forests and Environment
C.R. Sahay	C.C.F. Development	Department of Forests and Environment
Chaturgun Ram	Forest Guard	Department of Forests and Environment
D.J. Mitra	C.F Hq. Ranchi	Department of Forests and Environment
D.K. Srivastava (Dr)	C.F. Wild Life, Ranchi	Department of Forests and Environment
Daya Shankar Tiwary	Forester, Ajay Soil Cons Div, Deoghar	Department of Forests and Environment
Dhirendra Kumar	Conservator of Forests	Department of Forests and Environment
Diksha Prasad	DFO, Information and Extension, Ranchi	Department of Forests and Environment
Ganesh Lal Bhagat	Range Officer of Forest, Ranchi	Department of Forests and Environment
H.S. Gupta	DFO, Saranda, Chaibasa	Department of Forests and Environment
Harendra Kumar	Forest Guard, Ranchi East Forest Div	Department of Forests and Environment
J.B. Jauher	CCF-cum-M.D. Jharkhand State Forest Dev. Corp, Ranchi	Department of Forests and Environment
J.L. Srivastava	P.C.C.F. Jharkhand	Department of Forests and Environment
Jabber Singh	DFO, Ranchi (W)	Department of Forests and Environment
John Kerketta	Range Officer of Forest, Kolhan	Department of Forests and Environment
K.K. Pandey	Range Officer of Forest, Ranchi West Lohardaga Div	Department of Forests and Environment

NAME	DESIGNATION/TITLE	INSTITUTION/AGENCY
Kalyan Kumar Chatterjee	Conservator of Forests, Southern Circle, Chaibasa	Department of Forests and Environment
Kuldip Chaube	Forest Guard	Department of Forests and Environment
L.N. Damor	G.M. M.F.P. Project, Ranchi, Forest Dev Corpn	Department of Forests and Environment
Mahendra Kardam	C.F. State Trading, Ranchi	Department of Forests and Environment
Mangal Bara	Range Officer	Department of Forests and Environment
Manoj Singh	DFO Ranchi East	Department of Forests and Environment
Manraj	CF Ranchi	Department of Forests and Environment
Mukti Prakash Panna	Range Officer of Forests, Balumath	Department of Forests and Environment
P.K. Sinha	D.F.O. Simdega Forest Div.	Department of Forests and Environment
P.P. Singh	ACF South Div., Garhwad	Department of Forests and Environment
Paritosh Upadhyay	D.F.O. Chaibara North Div	Department of Forests and Environment
Probindra Kr Sharma	Forest Guard, Mango Range, JSR, Dhalbhujm Forest Div	Department of Forests and Environment
R. Bharat	DFO, WFP, Dumka Forest Division	Department of Forests and Environment
R.R. Hembrom	CF Dumka Circle	Department of Forests and Environment
Raj Kumar Singh	Forester, Ranchi Forest East Division	Department of Forests and Environment
Rajiv Ranjan	Deputy Conservator of Forests, Planning, Monitoring and Evaluation Cell, Ranchi	Department of Forests and Environment
Rajiv Ranjan	Asst. Conservator of Forests, Deoghar Social Forestry Division	Department of Forests and Environment
Ram Sewak Tiwary	Forest Guard, Ranchi West Lohardaga Div	Department of Forests and Environment
Rama Shish Singh	Forester, Ranchi West Lohardaga Div	Department of Forests and Environment
Ravi Ranjan	D.F.O.South Div. Garhwa	Department of Forests and Environment
S.K. Adhikari	Range office of Forest, Musaboni, Dhalbhujm Forest Div	Department of Forests and Environment
S.N. Trivedi (Dr)	Regional Chief Conservator of Forests, Ranchi	Department of Forests and Environment
Shambhu Prasad	Astt. Conservator of Forest, Simdege Forest Div, Simdega	Department of Forests and Environment
Shashi Nandkeolyar	D.F.O. Pakur	Department of Forests and Environment
Shivashish Ram	Divisional Forest Officer, Latehar	Department of Forests and Environment
Shyam Bihari Prasad	Asst. Conservator of Forest	Department of Forests and Environment
Sukh Ram Puran	Forester, Kolhan Div, Chaibasa	Department of Forests and Environment
Suresh Kumar Sinha	Asst. Conservator of Forest, Ranchi East Forest Div	Department of Forests and Environment
U.R. Biswas	CCF-cum-Chief Wildlife Warden, Jharkhand	Department of Forests and Environment

NAME	DESIGNATION/TITLE	INSTITUTION/AGENCY
Umesh Ch Choudhary	Forest Guard, Dumka Division	Department of Forests and Environment
CIVIL SECTOR & VILLAGES		
A. Ahmad	Snr Proj. Officer	Xavier Inst of Social Service (XISS)
A. Dean	Member	Jharkhand Org for Human Rights
A.K. Jha	Dty Director, Animal Husbandry	Nepal House
Ajit Tirkey	Snr Proj. Officer	Xavier Inst of Social Service (XISS)
Alex Ekka (Dr)	Director Research	Xavier Inst of Social Service (XISS)
Anupama Sinha	Project Planner	Alternative for Indian Development
Arun Kumar Singh	Coordinator	Lok Prerna
B.K. Sinha	Dy Secretary	Revenue & Land Reforms, Jharkhand
Bandhu Oraon		Bikas Bharti
Barkha	Communication Officer	Jharkhand Women Dev Society, SWA-Shakti Proj
Bhikhari Bhagat	Joint Secy	Vikas Bharti Bishunpur, Gumla
Brahmachari Nirliptachaitanya	Farm incharge, Divya KVK	Ramakrishna Mission Ashram, Morabadi, Ranchi
Chami Murmu	Secy	Sahayogi Mahila Baghraiensai
D.P. Sinha	Secy	Ranchi Consortium for Comm Forestry
Diptiman Bose	Prog. Coordinator	Nagrik Manch, Ranchi
Haldhar Mahto	Proj Dir	Nav Bharat Jagriti Kendra
Harishwar Dayal	Lecturer	St. Xaviers College
Heera Lal Gupta	Secretary	Trust for Comm Dev. & Research
Indrajeet Prasad	Proj. Incharge	ERC Group
Indu Kumari	Member	Peasure Globe (PG), Kanke, Ranchi
Jawahar Mahato	Field Officer	Sahayogi Mahila Baghraisai
Jigisha Srivastava	Lecturer	St. Xaviers College
Kunal Shekhar	Project Coordinator	Krishi Gram Vikas Kendra
Malancha Ghosh (Ms)	Reader in Dept of Zoology, RWC & President, M.U.V&V.S.	Ranchi Women's College
Manoranjan Kr Jamuar	Regl. Dir	ADRI
Neeru Johri (Dr)	Consultant (Freelancer)	
O.N. Panday (Dr)	Dean, Faculty of Forestry	Birsa Agril Univ, Kanke, Ranchi, 834006
Prabhakar Tirkey	President	Patra
Pradeep Kr Sarkar	Proj. Incharge	ERC Group
Prafulla Kr Mallik (Dr)	Training Coordinator	Jharkhand Women Dev Society, SWA-Shakti Proj

NAME	DESIGNATION/TITLE	INSTITUTION/AGENCY
Pramod Kr Singh	Fieldworker	Indian Rural Association
Praveen Kumar Singh	Forestry Incharge/PPFT	Gramin Vikas Trust, Ranchi
R.B. Singh		
R. Bhengra	Member	Jharkhand Tourism Coordination Comm (JTTC)
Rajeev Ranjan	Proj. Incharge	Environmental Research & Consulting Gp
Ravi Sinha	Consultant	SRI Ranchi
Rini Sinha	Project Officer	Society for Rural Industrialization (SRI)
Rohini Singh	Student	SCMHRD, Pune
S.S.K. Biswas	Member	Ranchi Consortium for Comm Forestry
Shamim Akhtar	Proj. Coord	Karra Society for Rural Action
Shashi Kumari	Field Specialist	Gramin Vikas Trust
Shiukar Purty	Genl Secy	Society for Reformation & Advancement of Adivasis
Shiv Kumar Sharma	Advocate	High Court
Simon Oraon		
Sr. Celia Branganza	Director	Centre for Womens Development, Torpa
Sr. Maria Elena	Asst. Director	Centre for Womens Development, Torpa
V.K. Munjani	Under Secretary	Rural Development, Jharkhand
Vasavi Bhagat	Journalist	Ranchi
William Norman	Research Asst.	Xavier Inst of Social Service (XISS)
WORLD BANK		
Lorraine Ghosh		World Bank, New Delhi
R.R. Mohan		World Bank, New Delhi
Sumir Lal		World Bank, New Delhi
Varalakshmi Vemuru		World Bank, New Delhi
Barbara Verardo		World Bank, Washington
Hakon Nordang		World Bank, Washington
Reider Kvam		World Bank, Washington
Zlatina Loudjva		World Bank, Washington

ANNEX 2: Workshop Agenda

Jharkhand Participatory Forestry: Social Assessment Workshop
February 3-9, 2003 Ashoka Hotel
Ranchi, Jharkhand

Day 1, Tuesday, February 3, 2004

09:00 – 12:30   Morning session
                        (with coffee/tea break)

Registration

Opening and welcome
Opening Remarks by Govt. of Jharkhand
& World Bank

Introduction to project

Workshop objectives

Social Assessment: a brief introduction
Conceptual framework, project cycle and
discussion of key concepts.

Social diversity and gender issues
Presentation and discussion of relevant
social groups and categories, and the
importance of gender, ethnicity, religion,
age, culture, caste, or other criteria which
are used to define and organize social
interaction. Discussion of relevance to the
proposed project.

Introductions

Workshop expectations

12:30 – 13:30   Lunch

**13.30 – 18:00   Afternoon session: Elements
                        of Social Assessment**
                        (with coffee/tea break)

Discussion of presentations
Presentation of participants' feedback.

Stakeholder mapping and analysis
· Plenary presentation
· Group work on stakeholder matrices
· Group presentations and discussions in
  plenary

Discussion of groups and individuals who
have an interest or a stake in the proposed
project, in the sense that they are likely to
benefit or be affected by it, or they can
influence its outcomes and success. The
purpose is to identify winners and losers,
and develop a systematic and explicit
grounding for further analysis, participation
and consultation, identification of risks and
opportunities, and likely capacity building
needs. The group work will include an
exercise where different stakeholder groups
are identified in terms of their relative
interest in and influence over the project.

Logistics and practical information

Discussion of next days and the field trips. Handout of binders, materials to read. Informal discussions and time for participants to get to know each other.

Reception and welcome dinner

Hosted by the World Bank.

Day 2: Elements of Social Assessment (continued)

09:00 – 12:30   Morning session
(with coffee/tea break)

Prioritizing and working together
· Group work: What are the expectations of, and the key issues to be addressed by, the social assessment and the project?
· Group presentations and discussions in plenary: Deciding on priorities

Formal Inaugural session
· Chief Guest: His Excellency, the Chief Minister

12.30-13.30   Lunch

13.30 – 18:00   Afternoon session
(with coffee/tea break)

Case study: Stakeholder analysis and how the five core elements interact

Empowerment and social accountability

· Plenary presentation
· Case study: The Rural Women's Development and Empowerment Project (Swa-Shakti)

· Group work
· Group presentations and discussions in plenary

This session focuses particularly on proposed beneficiaries and other community members; their ability to access improved services, livelihoods, or other opportunities, and the potential for improving "downward" accountability through more efficiency, transparency, and decentralized methods of operation in responsible agencies such as the Forest Department.

Day 3: Risks and Consensus Building

The full day will be dedicated to presentation and discussion of a comprehensive risk management framework from a social perspective, focusing on both risks of adverse impacts, vulnerability or unevenly distributed benefits from the project. This will be linked with the previous day's stakeholder analysis, to determine risks and risk mitigation strategies for different stakeholder groups. Mechanisms for dealing with dissent and building consensus will be presented and discussed.

09:00 – 12:30   Morning session
(with coffee/tea break)

Risk analysis framework
Introduction to the framework and a discussion of "winners" and "losers".

Risks from the project: vulnerability issues and social safeguards

     i. Social safeguards
     ii.   Other risks

12.30-13.30   Lunch

13.30 – 18:00   Afternoon session
     (with coffee/tea break)

Risks to the project: Capacity, governance, political economy

· Plenary presentation and discussion
· Group work: How to deal with dissent and build consensus?
· Group presentations and discussions in plenary

Day 4: Methodology and Fieldwork Preparation

09:00 – 12:30   Morning session
     (with coffee/tea break)

Project cycle
A brief introduction to the standard cycle of events of World Bank projects. Specific attention is paid to the role of social assessments during the project cycle: When to do it, who does it, and how the findings translate into project relevant design options, implementation mechanisms, and monitoring and evaluation systems with appropriate indicators.

Consultation and Participation
Building on the previous discussions on participation, emphasizing the role, importance and opportunities for popular participation during social assessment as well as during the project cycle.

Methods and tools
Overview and discussion of principles of quantitative and qualitative data collection for a social assessment process. Discussion of methods such as participant observation, structured and unstructured interviews, focus group discussions, and social surveys.

12.30-13.30   Lunch

13.30 – 18:00   Afternoon session
     (with coffee/tea break)

Preparation for fieldwork: Sample Terms of Reference, implementation plan, Rapid Context Assessment
· Plenary presentation and discussion
· Group work: The groups prepare for the next day's fieldwork, work on the Terms of Reference and plan for a Rapid Context Assessment

Overview of the objectives of the fieldwork, as well as the focus of the different groups. Brief introduction and background to the context of the fieldwork will also be provided.

Day 5: Fieldwork

Field work will be done in small groups, at sites which have been selected purposefully to address the main issues and possibly the pilot areas for proposed project components. It will be organized by local organizations or resource persons (NGOs or others), using an informal approach. Each group will be accompanied by a resource person, and will be made up of a mix of the different participants in the learning program.

Day 6: Fieldwork Analysis

09:00 – 12:30   Morning session
     (with coffee/tea break)

Fieldwork analysis and presentations
·   Group work: The groups prepare their presentations and discussion-points based on the field work
·   Group presentations and discussions in plenary

12.30-13.30   Lunch

13.30 – 18:00   Afternoon session
     (with coffee/tea break)

Feedback on presentations and case studies

Discussion of priorities and follow up
Workshop facilitators will comment on the field studies, and discuss implications for the project, data gaps and implications for the social assessment process, and likely capacity building needs.

Workshop evaluation

Day 7: The Way Ahead

09:00 – 12:30   Morning session
     (with coffee/tea break)

Pilots and approaches

Participation framework

> **Expected output:** An agreed-upon framework for participation and consultations with key stakeholder groups during project preparation, implementation, and monitoring and evaluation.

12.30-13.30   Lunch

13.30 – 18:30   Afternoon session
     (with coffee/tea break)

Participant feedback

Summary of key issues

Next steps and closing remarks

Closing Dinner
Hosted by the Government of Jharkhand.

ANNEX 3: Sample Rapid Social Assessment (RSA)
Fieldwork Summary from Chand village, Khijri Block, Ranchi District

I) KEY ISSUES
A) Social Diversity
1) Social and Demographic Profile
   a) Social composition: Tribal = 80%,
      Munda = 50%
      Uraons = 30%
      Mahtos = 10%
      Others = 10%
   b) Households = 82,
      total population = 500
   c) Religious groups: Traditional Sarna =
      80% Hindu = 10%, Christianity = 10%
   d) Male-Female Ratio 1000:990

2) Educational Profile:
   Majority is illiterate
   Few literate persons, including some women
   Some children go the Hulhundu school
   Most of the children don't go to school
       - No school in the village
       - Muslim school in the neighboring
         village is hostile to the tribal children

3) Economic Profile:
   Agriculture is the main occupation – mono
   cropping
   Casual labor during lean season – coolie,
   rickshaw pulling, working at stone quarries
   and crushers, selling of rice beer. Except
   for a few, majority is poor. Many of them
   are marginal farmers. Most people don't
   have irrigation facilities. Sources of credit
   are bank and relatives. No income
   generating activities in the village except for
   a few growing cash crops & vegetables. No
   self-help groups (SHGs), no schools, no
   electricity in the village

4) Health Profile:
   General good health
   Minor illness taken care by the traditional
   method
   Some also take allopathic medicines

B) Gender Relations and Issues
1) Equal love and care for boy child and
   girl child
2) No dowry practiced, only bride price is
   given (boy's party to girl's party)
3) Though husbands consult their
   wives, the decision is ultimately of
   husbands
4) Women do mostly the household
   work, including the agricultural
   work except for plowing and other
   hard labor
5) Women are paid lower wages
6) Migration of women for domestic
   works to cities

C) Organizational Structure
1) Traditional leadership exists – but
   weakened
2) No Gram Panchayat, no Gram
   Sabha
3) No PDS, No Red card (for people
   below poverty line)
4) Weak Mahlia Mandal
5) One Anganwadi – not very effective

D) Institutional Structure
1) Communal harmony
2) Sometimes practice of superstition
   and witchcraft
3) Lack of self-esteem

E) Stakeholders
1) All the men and women of the village
2) But greater dependence on Government
3) Not much enterprising as a community
4) Not mobilizing their human resources: educated youth, retired military men

F) Participation Process
1) No bargaining power: i.e. can't insist that the Block Development Officer give them a check dam
2) Lack of awareness of development schemes, lack of self-confidence
3) Conflict between the younger and the older generations

G) Potential Risks
1) Increasing alcoholism
2) Cattle let loose, which eats up the standing crops in summer
3) Increasing dependency on Government
4) Fatalistic attitude
5) Outsiders grabbing land of the villagers

H) Avoiding Risks
1) Strict control over alcoholic beverages and alternative occupation to rice beer selling
2) Mutual agreement to keep the cattle tended by cowherds, etc.
3) Schools through the local youth
4) NGO presence or contact needed
5) Awareness of land rights
6) Team building
7) Training of youth for hand-pump repairs
8) Regeneration of forests

II) Recommendation for Project Participation Framework
1) Baseline survey
2) Formation of core committee, under

the leadership of the Pahan, consisting of the following stakeholders: People, NGOs, Forest Dept., Other departments
3) Training of these stakeholders
4) Exposure program
5) Allocation of responsibilities
   a) NGOs = Establishing linkages with other stakeholders
          = Giving ongoing training and capacity building to stakeholders
   b) Forest Dept.= Frontline staff more active with necessary skills and facilities
          = Vertical and horizontal communication and relationship
          = Benefiting people through their know-how and schemes
   c) Other Depts. = Keep up the contact with people
          = Give need-based schemes to people
          = Vertical and horizontal communication and relationship

III) Recommendation for Pilot and Proposed approaches
1) Proper information and awareness building
2) Baseline survey
3) Formation of the stakeholders committee

4) Training at all levels of the stakeholders
5) Making of check dam
6) Social forestry: on Government land and people's land
7) Primary education in the village
8) Health and hygiene to be attended to
9) Herbal medicines to be propagated: people's efforts and Forest Dept.'s efforts
10) Hand pump repairing
11) Improved seeds and agriculture
12) Marketing of produce
13) Constant monitoring and evaluation

IV) Suggest Priorities

1) Awareness building and motivation of stakeholders
2) Repair of hand pumps
3) Making of check dam
4) Primary education, adult education, SHGs, Mahila Mandals fostered
5) Health through traditional system to be fostered
6) Improved agriculture
7) Marketing of produce

ANNEX 4: Evaluation of Outcomes

Workshop participants "voted" at the end of each day to register how they felt about that day's presentations and discussions. The results of these informal daily polls were very positive overall.

At the end of the workshop, the generally positive impressions of the proceedings were reconfirmed via a formal evaluation process. All participants were asked to fill out a two-sided evaluation form, and 81 did so. On the front side of the form, respondents had to rate a number of positive statements from 1 ("strongly disagree") to 6 ("strongly agree"). In a tabulation of the results, the mean response to all the questions came out at 5.08. The statement that rated highest (with a mean of 5.31 for all respondents) was "The training was relevant to my work."; the one that rated lowest (with a mean of 4.69) was "The pace of the presentations was adequate." The evidently small amount of variance would indicate considerable unanimity, across gender and sectoral differences, on the high value of workshop inputs, and on the perceived high likelihood that workshop outputs will contribute to better project design.

On the back side of the form, participants were asked to provide open-ended responses to four questions. A sample of responses is given below:

What part of the workshop did you enjoy most?
- "The bilingual explanation on all issues

and deliberations and full participation" [female NGO representative]

- "Background materials (especially ODs/OPs)" [male CBO representative]

- "The fieldwork exercise—i.e. social analysis in the village—sharing experiences with people coming from various [sectors]" [male NGO representative]

What part of the workshop was most useful?
- "The most useful part in the workshop was [the] 'role play' as it broke the ice between participants in the group" [female academic sector representative]

- "The presentations of the fieldwork which leads to concrete answers to many

complex questions" [male NGO representative]

- "The discussion on the 6th day was quite useful as some problems and solutions related to village development could be addressed" [male Forest Department official]

- "Risk factor analysis" [female Forest Department official]

What would you have liked to have done differently?

- "Additional technical inputs should [have been] provided in the training while doing social impact assessment" [male consulting company representative]

- "To stay in the field for a few days for more close interaction with different groups and communities" [female NGO representative]

- "More Jharkhand based social and anthropological inputs in terms of literature, history, and analysis" [male Forest Department official]

- "Number of participants should be less" [male NGO representative]

- "There were some people who were less experienced, especially from NGOs, which made difference in sharing/ learning" [male CBO representative]

- "More representation from traditional people in the workshop, so that we could learn from their experiences" [male Forest Department official]

How are you likely to make use of what you have learned during this week?

- "Motivate the people for making forest management for environment and self-reliance" [female Forest Department official]

- "It will help me in understanding social issues more clearly" [male Forest Department official]

- "This outlook can be used in future interaction with different stakeholders" [male Forest Department official]