



Putting Social Development to Work for the Poor

An OED Review of World Bank Activities



OPERATIONS EVALUATION DEPARTMENT

ENHANCING DEVELOPMENT EFFECTIVENESS THROUGH EXCELLENCE AND INDEPENDENCE IN EVALUATION

The Operations Evaluation Department (OED) is an independent unit within the World Bank; it reports directly to the Bank's Board of Executive Directors. OED assesses what works, and what does not; how a borrower plans to run and maintain a project; and the lasting contribution of the Bank to a country's overall development. The goals of evaluation are to learn from experience, to provide an objective basis for assessing the results of the Bank's work, and to provide accountability in the achievement of its objectives. It also improves Bank work by identifying and disseminating the lessons learned from experience and by framing recommendations drawn from evaluation findings.

OED PUBLICATIONS

Study Series

2002 Annual Review of Development Effectiveness—Achieving Development Outcomes: The Millennium Challenge
Agricultural Extension: The Kenya Experience
Agricultural Extension and Research: Achievements and Problems in National Systems
Assisting Russia's Transition: An Unprecedented Challenge
Bangladesh: Progress Through Partnership
Bridging Troubled Waters: Assessing the World Bank Water Resources Strategy
Debt Relief for the Poorest: An OED Review of the HIPC Initiative
Developing Towns and Cities: Lessons from Brazil and the Philippines
The Drive to Partnership: Aid Coordination and the World Bank
Financial Sector Reform: A Review of World Bank Assistance
Financing the Global Benefits of Forests: The Bank's GEF Portfolio and the 1991 Forest Strategy and Its Implementation
Fiscal Management in Adjustment Lending
IDA's Partnership for Poverty Reduction
India: The Challenges of Development
India: The Dairy Revolution
Information Infrastructure: The World Bank Group's Experience
Investing in Health: Development Effectiveness in the Health, Nutrition, and Population Sector
Lesotho: Development in a Challenging Environment
Mainstreaming Gender in World Bank Lending: An Update
The Next Ascent: An Evaluation of the Aga Khan Rural Support Program, Pakistan
Nongovernmental Organizations in World Bank-Supported Projects: A Review
Paddy Irrigation and Water Management in Southeast Asia
Poland Country Assistance Review: Partnership in a Transition Economy
Poverty Reduction in the 1990s: An Evaluation of Strategy and Performance
Promoting Environmental Sustainability in Development
Reforming Agriculture: The World Bank Goes to Market
Social Funds: Assessing Effectiveness
Uganda: Policy, Participation, People
The World Bank's Experience with Post-Conflict Reconstruction
The World Bank's Forest Strategy: Striking the Right Balance
Zambia Country Assistance Review: Turning an Economy Around

Evaluation Country Case Series

Bosnia and Herzegovina: Post-Conflict Reconstruction
Brazil: Forests in the Balance: Challenges of Conservation with Development
Cameroon: Forest Sector Development in a Difficult Political Economy
China: From Afforestation to Poverty Alleviation and Natural Forest Management
Costa Rica: Forest Strategy and the Evolution of Land Use
El Salvador: Post-Conflict Reconstruction
India: Alleviating Poverty through Forest Development
Indonesia: The Challenges of World Bank Involvement in Forests
Uganda: Post-Conflict Reconstruction

Proceedings

Global Public Policies and Programs: Implications for Financing and Evaluation
Lessons of Fiscal Adjustment
Lesson from Urban Transport
Evaluating the Gender Impact of World Bank Assistance
Evaluation and Development: The Institutional Dimension (Transaction Publishers)
Evaluation and Poverty Reduction
Monitoring & Evaluation Capacity Development in Africa
Public Sector Performance—The Critical Role of Evaluation

Multilingual Editions

Allègement de la dette pour les plus pauvres : Examen OED de l'initiative PPTE
Appréciation de l'efficacité du développement :
L'évaluation à la Banque mondiale et à la Société financière internationale
Determinar la eficacia de las actividades de desarrollo :
La evaluación en el Banco Mundial y la Corporación Financiera Internacional
Côte d'Ivoire : Revue de l'aide de la Banque mondiale au pays
Filipinas: Crisis y oportunidades
Reconstruir a Economia de Moçambique
Содействие России в переходе к рыночной экономике: беспрецедентная задача



Putting Social Development to Work for the Poor

An OED Review of World Bank
Activities



© 2005 The International Bank for Reconstruction and Development / The World Bank
1818 H Street, NW
Washington, DC 20433
Telephone 202-473-1000
Internet www.worldbank.org
E-mail feedback@worldbank.org

All rights reserved
Manufactured in the United States of America
First edition April 2005

The findings, interpretations, and conclusions expressed here are those of the author(s) and do not necessarily reflect the views of the Board of Executive Directors of the World Bank or the governments they represent.

The World Bank cannot guarantee the accuracy of the data included in this work. The boundaries, colors, denominations, and other information shown on any map in the work do not imply on the part of the World Bank any judgment of the legal status of any territory or the endorsement or acceptance of such boundaries.

Rights and Permissions

The material in this publication is copyrighted. Copying and/or transmitting portions or all of this work without permission may be a violation of applicable law. The World Bank encourages dissemination of its work and will normally grant permission promptly.

For permission to photocopy or reprint any part of this work, please send a request with complete information to the Copyright Clearance Center, Inc., 222 Rosewood Drive, Danvers, MA 01923, USA, telephone 978-750-8400, fax 978-750-4470, www.copyright.com.

All other queries on rights and licenses, including subsidiary rights, should be addressed to the Office of the Publisher, World Bank, 1818 H Street NW, Washington, DC 20433, USA, fax 202-522-2422, e-mail pubrights@worldbank.org.

Cover photo courtesy of the World Bank photo library.

ISBN 0-8213-5886-3
e-ISBN 0-8213-5887-1

Library of Congress Cataloging-in-Publication data has been applied for.

World Bank InfoShop
E-mail: pic@worldbank.org
Telephone: 202-458-5454
Facsimile: 202-522-1500

Operations Evaluation Department
Partnerships & Knowledge Programs (OEDPK)
E-mail: eline@worldbank.org
Telephone: 202-458-4497
Facsimile: 202-522-3125



Printed on Recycled Paper

Contents

vii	Acknowledgments
ix	Foreword, Prólogo, Avant-Propos
xiii	Executive Summary, Résumen, Résumé Analytique
xxi	Acronyms and Abbreviations
1	1 The Analytic Context for the Review
	1 Evolving Staff and Shareholder Values Led to Changes in Focus
	2 Social Development Is a Fuzzy Concept
	3 Differing Perspectives Have Bureaucratic Implications
	3 The Bank's Social Development Objectives
	5 Study Design
7	2 Where Is Social Development Being Conducted?
	7 Is There a Social Development "Portfolio"?
	9 It's Done Everywhere, but the Portfolio Varies by Region and Sector
11	3 Is Social Development Relevant?
	11 It Is Relevant to the Bank's Broader Development Objectives
	11 It Is a High Priority at the Country Level
	15 It Is Relevant at the Project Level
17	4 Have Social Development Interventions Been Effective?
	17 Effectiveness of Projects with Social Development Components Compares Well with Others
	19 Projects with Overlapping Social Development Themes Have Better Ratings
23	5 What Challenges Affect Implementation of Social Development?
	23 Consistency: Treatment Received by the Various Social Themes Is Highly Variable
	25 Maintaining the Flow of Socially Relevant Information
	27 Borrower Institutional Development in the Broadest Sense
	30 The Interdependence of Social Themes
31	6 What Are the Implications for Bank Organization and Procedures?
	31 The Bank's Focus on, and Support for, Social Development Could Be Improved

	34	More Work across Internal Units Would Help
	36	Bank and Borrower Social Development Inputs Could Be Fine-Tuned
	36	Good Social Assessments Focus on Vital Issues
39	7	Conclusions and Recommendations for the Bank's Sector Strategy
	40	The Closer You Get to the Poor, the More You Need Social Development
	44	Recommendations
47		Annexes
	49	A: Supplemental Charts and Tables
	53	B: Methodological Note
	65	C: Definitions of Social Development
	67	D: World Bank Operational Policies Relevant to Social Development
	69	E: Key Characteristics of Highly Satisfactory Projects
	73	F: Selected Comments of World Bank Staff on Social Development Issues
	79	G: Survey Instruments
	85	H: Management Response
	93	I: Chairman's Summary: Committee on Development Effectiveness (CODE)
99		Endnotes
103		Bibliography
		Boxes
	8	2.1 How Many Social Development Professionals Work for the Bank?
	12	3.1 Latin American CAS Success for Indigenous Peoples
	14	3.2 CAS Priority Issues
	21	4.1 Key Characteristics of Highly Satisfactory Projects
	33	6.1 Modifications Suggested by Task Managers
	35	6.2 Country Directors' Recommendations
	37	6.3 Social Analysis versus Social Assessment
	40	7.1 Success Factors in Highly Satisfactory Projects with Social Development Components
	54	B.1 How the Objectives Matrix Was Made
	70	E.1 Characteristics of the 10 Highly Satisfactory Projects in the Desk Study
		Figures
	13	3.1 Percent of CASs that Mentioned Various Topics
	15	3.2 Relationship of Social Development Themes in CASs to Portfolios
	18	4.1 Outcome Ratings of Social Development Portfolios Compared with All Bank Projects from the Same Period
	19	4.2 Sustainability Ratings of Social Development Portfolios Compared with All Bank Projects from the Same Period
	20	4.3 Institutional Development Impact Ratings of Social Development Portfolios Compared with All Bank Projects from the Same Period
	49	A.1 Social Development by Region, 1980–01
	51	A.2 The Outcome Ratings of Social Development Portfolios Show an Improving Trend

Tables

4	1.1 Coverage of Social Development Priorities by Selected Documents
6	1.2 Evaluative Questions
8	2.1 Social Development Portfolios
9	2.2 Regional Distribution of Portfolios (percent)
10	2.3 Portfolio Overlaps (percent)
20	4.1 Ratings for Projects with Two, Three, or Four Overlapping Social Development Themes
32	6.1 In Need of More Attention from Social Development Staff
35	6.2 Staff Groups Generally Oppose Merging Social Development Groups
37	6.3 Quality of Social Risk Assessment (percent satisfactory or better)
50	A.1 The Top Three Sectors for Each Social Development Portfolio
51	A.2 OED Ratings of Completed Projects with Highest Overlap of Two Social Development Themes (in descending order of satisfactory outcomes)
52	A.3 Comparing Outcome Ratings: Projects Dealing with Three Social Development Themes
52	A.4 Comparing Outcome Ratings: Projects Dealing with Four Social Development Themes
56	B.1 The Meta-Evaluation Findings on the Degree of Agreement among OED Evaluations of Social Development–Related Topics
61	B.2 Evaluation Framework
62	B.3 CASs for Each Region that Mentioned Social Development Topics (percent)
63	B.4 Social Development Themes in CASs and Regional Portfolios: Percentage of Occurrence

Acknowledgments

This report was prepared by a team under the leadership of Ronald S. Parker and consisting of Anna Amato, Kristin Little, and Helen Phillip. Alf Morten Jerve and Gunn Helen Softing of the Christian Michelsen Institute (Bergen, Norway) prepared the analysis of the organization of social development in aid agencies. Kavita Mathur performed the CAS review. Maria Mar provided survey support. William Hurlbut edited the report and provided document production support, and Caroline McEuen edited the manuscript for publication.

The authors gratefully acknowledge Mary Anderson, Samuel Paul, and Alison Scott for their patient and detailed review of previous drafts of this report. We also thank Susan Jacobs Matzen for coordinating the efforts of this study, with scheduled events leading to the Sector Strategy Paper, and Lawrence Salmen for general coordination with the Social Development Department. We are also indebted to Michael Cernea, Anis Dani, Gloria Davis, Judith Edstrom, and Ashraf Ghani for sharing their insights.

The study conducted a mission to learn more about how other aid agencies handle social development. In connection with this mission, the authors thank Claudia Fumo, Lucia Hanmer, Colin

Kirk, Michael Schultz, and Rachel Turner of the Department for International Development (U.K.); Martin Pallman and Marco Rossi of the Swiss Agency for Development and Cooperation; Andrew Norton of the Overseas Development Institute; David Archer and Antonella Mancini of ActionAid; Cynthia Hewitt of UNRISD; Helmut Asche, Barbara Hamming, Martina Kampmann, Bianca Schimmel, and Sabine Trommershauser of GTZ; Analie John-Hubach, Pieter Lammers, Margreet Moolhuijzen, Karin Roelofs, Hans Slot, Marijke Stegeman, Rob D. van den Berg, Rob Visser, and Sjoukje Sandra Volbeda of the Netherlands Ministry of Foreign Affairs; Max Spoor of the Institute of Social Studies; Poul Engberg Pedersen of the Centre for Development Studies (Denmark); Lars Elle and Anders Baltzer Joergensen of DANIDA; Johan Helland, Arve Ofstad, and Gunnar M. Sorbo of the Christian Michelsen Institute; Bergljot Baklien and Jon Naustdalslid of the Norwegian Institute for Urban and Regional Research; Jan Dybfest and Sigurd Endresen of the Norwegian Ministry of Foreign Affairs; Einar Vetvik of Diakonhjemmet College; Stefan Molund, Alexandra Silfverstolpe, and Torsten Wetterblad of the Swedish International Development Cooperation Agency; and Eva Tobisson of Hultcrantz and Tobisson AB.

Director-General, Operations Evaluation:

Gregory K. Ingram

Director, Operations Evaluation Department:

Ajay Chbibber

Manager, Sector, Thematic, and Global Evaluation:

Alain Barbu

Task Manager:

Ronald S. Parker

ENGLISH

FOREWORD

World Bank staff were first directed to address the social aspects of operations in 1984, when social scientists were brought in to deal with rural development issues, but only in 1995, soon after President Wolfensohn's first annual meetings address, "New Directions and New Partnerships," did the Bank make rapid progress in mainstreaming attention to social concerns. The culmination of this effort came in 1996, when President Wolfensohn convened a Social Development Task Force to address the role of social assessment in Bank lending instruments and Country Assistance Strategies. Then, through the 1997 Strategic Compact, the Bank provided additional resources for social development capacity building, as well as funds to help execute the Regional social development action plans. As a result of these initiatives, Bank social scientists began to provide social analysis and to take steps to understand the social impacts of both traditional Bank projects and the Bank's growing portfolio of social service projects.

The increased attention to the social impacts of its operations led the Bank to build up its staff resources in this area. The first social development unit was created in 1993, with six staff. By 1997 there was a stand-alone Social Development Department (SDV), created as part of ESSD. In 2002, the scale and importance of social development work in and around Bank projects led management to commission a

ESPAÑOL

PRÓLOGO

La primera vez que se encomendó al personal del Banco Mundial que abordara los aspectos sociales de las operaciones fue en 1984, año en que se recurrió a especialistas en ciencias sociales para que se ocuparan de las cuestiones relativas al desarrollo rural, pero fue sólo en 1995, poco después de que el presidente Wolfensohn pronunciara en sus primeras Reuniones Anuales su discurso titulado "Nuevas orientaciones y nueva relación de colaboración", que el Banco comenzó a avanzar rápidamente en el proceso de prestar atención a las cuestiones sociales en todas sus actividades. El proceso culminó en 1996, cuando el presidente Wolfensohn organizó un Grupo de trabajo sobre desarrollo social para que examinara la función de la evaluación social en los instrumentos crediticios y las estrategias de asistencia a los países. Luego, a través del Pacto Estratégico de 1997, el Banco proporcionó recursos adicionales para el fortalecimiento de las capacidades en materia de desarrollo social, así como fondos para ayudar a la ejecución de los planes de acción regionales para el desarrollo social. Como resultado de esas iniciativas, los especialistas en ciencias sociales del Banco comenzaron a realizar análisis sociales y a tomar medidas para determinar el impacto social tanto de los proyectos tradicionales del Banco, como de los comprendidos en la cartera cada vez más extensa de proyectos de servicio social.

La mayor atención prestada a los efectos sociales de sus operaciones

FRANÇAIS

AVANT-PROPOS

C'est en 1984 qu'il a été demandé pour la première fois aux services de la Banque mondiale de tenir compte des aspects sociaux des opérations de l'institution et que des spécialistes des sciences sociales ont été recrutés pour traiter des questions de développement rural. Il a fallu toutefois attendre 1995, et la première allocution du Président Wolfensohn consacrée, à l'occasion des Assemblées annuelles, aux « Nouvelles orientations et nouveaux partenariats » pour que les efforts déployés par l'institution pour intégrer les questions sociales dans ses opérations fassent de rapides progrès. Ces derniers ont atteint un point culminant en 1996, lorsque le Président de la Banque, J.D. Wolfensohn, a formé un Groupe de travail sur le développement social pour étudier le rôle que peuvent jouer les évaluations sociales dans le choix des instruments de prêt et la formulation des stratégies d'aide-pays de la Banque. À la suite de l'adoption du Pacte stratégique en 1997, la Banque a dégagé des ressources supplémentaires au titre du renforcement des capacités de développement social et contribué au financement de l'exécution des plans d'action régionaux en ce domaine. Du fait de ces initiatives, les spécialistes des sciences sociales de la Banque ont commencé à produire des analyses sociales et à prendre des mesures pour comprendre l'incidence sociale non seulement des projets traditionnels de la Banque mais aussi du portefeuille de plus en plus important des projets de services sociaux.

ENGLISH

Sector Strategy Paper (SSP) for social development to guide Bank work in this thematic area.

An analysis of past performance is an essential building block in the strategy formulation process.

Many OED evaluations touch upon social development issues; for this study we reviewed: gender (1995, 1997c,d, 2000a), post-conflict reconstruction (1998b–e), NGOs (1999a), participation, (2000b), rural water (Parker and Skytta 2000, 1996a–c), resettlement (2001a–e), cultural heritage (2001f), community-driven development in the Sahel (2000, 2002a), and forestry (1991a,b, 2000e). In addition, the social funds study (2002) and the *2002 Annual Review of Development Effectiveness* (ARDE) deal with the subject. This study is in large part a meta-evaluation that draws on the work listed above.

The study used the standard OED methodology to analyze which aspects of the Bank's social development agenda have attained satisfactory outcomes, significant institutional development impact, and likely sustainability. It analyzed the degree to which they build upon the Bank's strengths or strain institutional capacities, and to which they attain their objectives in project preparation or on the ground. Very recent aspects of Bank social development work that have not yet been evaluated are not covered in this report. A description of the study methodology can be found in Annex B of this report.

This report presents the collected findings of several evaluative exercises: a literature review, an analysis of the organization of social development in aid agencies, surveys of Bank

ESPAÑOL

indujo al Banco a reforzar los recursos de personal en esa esfera. En 1993 se creó la primera unidad de desarrollo social, con una dotación de seis funcionarios. Para 1997 se había creado ya un Departamento de Desarrollo Social

independiente, como parte de la Red sobre Desarrollo Social y Ecológicamente Sostenible. En 2002, la magnitud e importancia de la labor de desarrollo social relacionada con los proyectos del Banco motivó a la administración a encargar la preparación de un documento de estrategia para el sector de desarrollo social que habría de servir de guía a las actividades del Banco en ese sector de intervención.

El análisis del desempeño anterior es un elemento esencial del proceso de formulación de estrategias. En numerosas evaluaciones del DEO se mencionan cuestiones de desarrollo social; para el presente estudio hemos examinado las siguientes: género (1995, 1997, 2001), reconstrucción después de los conflictos (1998), organizaciones no gubernamentales (ONG) (1999), participación (2000), abastecimiento de agua en las zonas rurales (2000, 2002), reasentamiento (2001), patrimonio cultural (2001), desarrollo impulsado por la comunidad en el Sahel (2003) y silvicultura (1991, 2000). Además, el estudio sobre fondos sociales (2002) y el *Informe anual sobre la eficacia en términos de desarrollo* de 2002 tratan del tema. El presente estudio es en gran parte una metaevaluación que se basa en los trabajos mencionados anteriormente.

En el estudio se utilizó la metodología estándar del DEO para analizar cuáles aspectos del programa de desarrollo social del Banco han logrado

FRANÇAIS

L'attention accrue portée par la Banque aux impacts sociaux de ses opérations a conduit l'institution à renforcer ses ressources humaines dans ce domaine. La première unité de développement social a été créée en

1993 avec un effectif de six personnes. En 1997, un département du développement social indépendant a été constitué au sein de ESSD. En 2002, la direction de la Banque, consciente de l'ampleur et de l'importance croissante du travail de développement social effectué dans le cadre des projets et suscité par eux, a demandé que soit élaboré un Document de stratégie sectorielle pour le développement social afin d'orienter les activités de la Banque dans ce domaine.

Tout processus d'élaboration d'une stratégie s'appuie nécessairement sur l'analyse des acquis du passé. De nombreuses évaluations de l'OED évoquent les questions de développement social. Aux fins de la présente étude, l'analyse a porté sur : la problématique hommes-femmes (1995, 1997, 2001) la reconstruction après un conflit (1998), les organisations non gouvernementales (ONG) (1999), la participation (2000), l'eau dans les zones rurales (2000, 2002), les réinstallations (2001), le patrimoine culturel (2001), le développement de proximité au Sahel (2003) et la foresterie (1991,2000). L'OED aborde également la question du développement social dans son étude des fonds sociaux (2002) et son examen annuel de l'efficacité du développement – 2002 (ARDE). La présente étude est essentiellement une méta-évaluation basée sur les travaux indiqués précédemment.

ENGLISH

staff, and a meta-analysis of the previous and ongoing OED studies related to social development. Separate reports on each of these exercises are available on request.

ESPAÑOL

resultados satisfactorios, efectos importantes en el desarrollo institucional y una probable sostenibilidad. Se analizó la medida en que aprovechan los puntos fuertes del Banco o ponen a prueba las capacidades institucionales, y

la medida en que logran sus objetivos en la preparación de los proyectos o sobre el terreno. El presente informe no abarca aquellos aspectos muy recientes de la labor de desarrollo social del Banco que aún no han sido evaluados. En el anexo B del informe figura una descripción de la metodología utilizada para el estudio.

En el presente informe se presenta una recopilación de las conclusiones de varios estudios de evaluación: un examen de las publicaciones sobre la materia, un análisis de la organización del desarrollo social en los organismos de asistencia; encuestas del personal del Banco, y un metaanálisis de los estudios anteriores y en curso del DEO relacionados con el desarrollo social. Se pueden solicitar informes separados sobre esos trabajos.

FRANÇAIS

Cette étude applique la méthodologie habituelle de l'OED pour identifier les volets du programme de développement social de la Banque qui ont donné des résultats satisfaisants, ont eu une incidence importante sur

le renforcement des institutions, et peuvent être durables. Elle analyse dans quelle mesure ils tirent parti des points forts de l'institution ou exercent des pressions sur ses capacités et dans quelle mesure leurs objectifs sont atteints au niveau de la préparation du projet ou sur le terrain. L'étude n'inclut pas les éléments les plus récents des efforts de développement social de la Banque qui n'ont pas encore été évalués. La méthodologie suivie est décrite dans l'annexe B du rapport.

Ce rapport regroupe les résultats de plusieurs exercices d'évaluation ; il présente une étude de la documentation existante, une analyse de l'organisation des activités de développement social dans les organismes d'aide, des enquêtes des services de la Banque, et une méta-analyse des études antérieures et en cours de l'OED concernant le développement social. Des rapports distincts sur chacune de ces activités peuvent être obtenus sur demande.



Gregory K. Ingram

Director-General, Operations Evaluation

ENGLISH

EXECUTIVE
SUMMARY

As the concept of development has widened—beyond economic and technical aspects to include indirect institutional and social dimensions—the World Bank’s attention to the social impacts of its operations has expanded. This expansion was aided by the 1997 Strategic Compact, which provided additional resources for building social development capacity and funds to help execute Regional social development action plans. In 2002, the growing scale and importance of social development work related to Bank projects led management to commission a Sector Strategy Paper (SSP) for social development to guide Bank work in this thematic area. OED’s study was designed to inform the preparation and review of the new strategy.

The study is a desk review consisting of a meta-evaluation (drawing on recent and ongoing OED evaluations addressing specific components of social development or stakeholder social processes) supplemented with the analysis of data from other sources, including a portfolio review, a literature review, individual interviews and surveys, and a review of Country Assistance Strategies. The study did not cover recent initiatives not yet ready for evaluation, such as country-level poverty and social impact assessments. Following are the major study findings.

Social development does not have a single, broadly agreed definition, and is often characterized by what it does,

ESPAÑOL

RÉSUMEN

A medida que el concepto de desarrollo se ha ido ampliando hasta abarcar, además de los aspectos económicos y técnicos, las dimensiones institucionales y sociales indirectas, la atención que presta el Banco Mundial a los efectos sociales de sus operaciones ha aumentado. Contribuyó a ello el Pacto Estratégico de 1997, que proporcionó recursos adicionales para el fortalecimiento de las capacidades en materia de desarrollo social, y fondos para ayudar a la ejecución de los planes de acción regionales sobre desarrollo social. En 2002, la magnitud e importancia crecientes de la labor de desarrollo social relacionada con los proyectos del Banco motivó a la administración a encargar la preparación de un documento de estrategia para el sector de desarrollo social que habría de servir de guía a las actividades del Banco en este sector de intervención. El estudio del DEO tuvo por objeto servir de base para la preparación y el examen de la nueva estrategia.

El estudio es un examen teórico consistente en una metaevaluación (basada en evaluaciones recientes y en curso del DEO que se ocupan de componentes específicos del desarrollo social o de los procesos sociales de los interesados), complementada con el análisis de datos procedentes de otras fuentes, entre ellas un examen de la cartera, un examen de lo escrito sobre el tema, entrevistas personales y encuestas, y un examen de las estrategias de asistencia a los países. El estudio no abarcó aquellas iniciativas recientes que aún no están en condiciones de

FRANÇAIS

RÉSUMÉ
ANALYTIQUE

L’attention portée par la Banque mondiale aux impacts sociaux de ses opérations s’est accrue parallèlement à l’élargissement du concept de développement — qui recouvre maintenant non seulement ses aspects économiques et techniques mais aussi, indirectement, ses dimensions institutionnelles et sociales. Cette évolution a été facilitée par le Pacte stratégique de 1997, qui a permis d’affecter des ressources supplémentaires au renforcement des capacités de développement social et de contribuer au financement de l’exécution des plans d’action régionaux à l’appui du développement social. En 2002, l’ampleur et l’importance accrues du travail de développement social lié aux projets de la Banque ont conduit la direction à demander que soit élaboré un document de stratégie sectorielle (DSS) pour le développement social afin de mieux orienter le travail de l’institution dans ce domaine. L’étude de l’OED a été conçue pour fournir la documentation de base pour la préparation et l’examen de la nouvelle stratégie.

Cette étude est une analyse documentaire qui regroupe une méta-évaluation (basée sur les évaluations antérieures et en cours de l’OED portant sur des éléments spécifiques du développement social ou des processus sociaux des parties prenantes) et une analyse de données provenant d’autres sources, notamment un examen du portefeuille, une étude de la documentation existante, des interviews et des enquêtes et un examen de la stratégie d’aide-pays. Elle n’inclut pas les récentes initia-

ENGLISH

rather than by what it is. Four conceptions of social development have emerged within donor organizations. They pertain to social sectors; safety nets; inclusion, equity, and empowerment; and social relations. These are often

reflected in the structures agencies adopt to deal with social issues. Within a single development organization, any combination of these conceptions can exist, making the internal dialogue quite challenging. In the Bank, all four conceptions are common, but social development as a practice fits into five “business lines”: participation and civic engagement, social analysis, community-driven development, conflict prevention and reconstruction, and social safeguards.

Social development matters for project success, and there is a strong positive association between including social development themes and project success. Using the Bank’s social development business lines as a guide, the study team identified 2,577 projects in 9 thematic portfolios covered by recent OED evaluations: community-driven development, conflict, culture, gender, indigenous peoples, NGO/civil society, participation, resettlement, and social funds. Many of these projects addressed more than one of these themes. Projects that addressed at least one social development theme were rated 3 to 4 percent higher on outcome, sustainability, and institutional development impact than the overall average of Bank projects for a 30-year period. Projects that address multiple social themes concurrently perform even better on the same three ratings.

ESPAÑOL

ser examinadas, como las evaluaciones de la pobreza y del impacto social a nivel de los países. A continuación se presentan las principales conclusiones del estudio.

No existe una definición única, convenida en líneas generales, del desarrollo social, al que con frecuencia se describe en función de sus efectos y no en función de lo que es. Dentro de las organizaciones de donantes se han perfilado cuatro nociones de desarrollo social, que guardan relación con los sectores sociales: las redes de protección social; la inclusión, la equidad y la potenciación, y las relaciones sociales. Dichas nociones generalmente se manifiestan en las estructuras que adoptan los organismos para abordar las cuestiones sociales. Dentro de una sola organización de desarrollo, puede existir cualquier combinación de esas nociones, lo que dificulta bastante el diálogo interno. En el Banco, es común encontrar las cuatro nociones, pero en la práctica el desarrollo social se encuadra dentro de cinco “ramos de actividades”: participación y compromiso cívico, análisis social, desarrollo impulsado por la comunidad, prevención de conflictos y reconstrucción, y salvaguardias sociales.

El desarrollo social tiene importancia para el éxito de los proyectos, y hay una relación fuertemente positiva entre la inclusión de temas de desarrollo social y el buen resultado de aquellos. Utilizando como guía los ramos de actividades de desarrollo social del Banco, el equipo encargado del estudio identificó 2.577 proyectos repartidos en nueve carteras temáticas que fueron objeto de evaluaciones recientes del DEO: desarrollo impulsado por la co-

FRANÇAIS

tives qui n’ont pas encore atteint le stade de l’évaluation rétrospective, telles que les analyses d’impact sur la pauvreté et la situation sociale dans les pays. Les principales conclusions de l’étude sont indiquées ci-après.

Il n’existe pas de définition généralement acceptée du développement social, qui est souvent caractérisé par ce qu’il fait plutôt que par ce qu’il est. Quatre axes du développement social ont été définis par les organismes de bailleurs de fonds : les secteurs sociaux ; les filets de sécurité ; l’inclusion, l’équité et l’autonomisation ; et les relations sociales. Ces axes influencent souvent les structures adoptées par les organismes pour traiter des questions sociales. Un organisme de développement peut orienter son action sur plusieurs de ces axes, ce qui ne facilite pas le dialogue interne. À la Banque, ces quatre axes sont couramment pris en considération mais, en pratique, le développement social est replacé dans cinq « domaines d’activités » : la participation et l’engagement civique ; l’analyse sociale ; le développement de proximité ; la prévention des conflits et la reconstruction ; et les mesures de sauvegarde sociale.

Le développement social contribue au succès des projets et il existe une corrélation positive étroite entre l’inclusion des thèmes de développement social dans un projet et le succès de ce dernier. En reprenant les domaines d’activités relatives au développement social, l’équipe chargée de l’étude s’est penchée sur 2 577 projets regroupés dans neuf portefeuilles thématiques ayant fait l’objet d’évaluations récentes de l’OED : le développement de proximité, les conflits, la culture,

ENGLISH

The Bank's social development resources are deployed in ways that are not optimally supportive of its social development goals. Task managers and country directors surveyed by OED were generally satisfied with the services provided by social development specialists, but noted the need for some improvement. Specifically, they stated that:

provided by social development specialists, but noted the need for some improvement. Specifically, they stated that:

- Social development advice is often inappropriate for operational needs or is related to policy compliance.
- Social development specialists need to have a greater presence in the field.
- Operational support from social development staff should be available when it is needed.
- When social development staff are providing operational support, they need to be more closely integrated with the task team and country office and to share the team's agenda.

Yet the answer is not necessarily to put more social development specialists in the field—the Bank could make greater use of in-country capacity. Although the staff surveys indicated that a stronger presence of social development specialists in the field would be desirable, this would be costly. Several OED evaluations highlighted the use of subnational institutions as key to long-term sustainability. The Bank's traditional focus on developing institutions at the national level might therefore be supplemented with attention to using and developing existing local government and community institutions.

ESPAÑOL

unidad, conflictos, cultura, género, pueblos indígenas, ONG/sociedad civil, participación, reasentamiento y fondos sociales. En muchos de esos proyectos se abordó más de uno de esos temas. Los proyectos que abordaban un

tema de desarrollo social por lo menos, recibieron calificaciones entre un 3% y un 4% más altas en cuanto a resultados, sostenibilidad y efectos en el desarrollo institucional, que el promedio global de proyectos del Banco durante un período de 30 años. Los proyectos que se ocupan de múltiples temas sociales a la vez obtienen calificaciones aún más altas en esos tres aspectos.

Los recursos de desarrollo social del Banco no se aprovechan en forma óptima para prestar apoyo a sus objetivos de desarrollo social. Los jefes de proyectos y los directores a cargo de los países encuestados por el DEO se mostraron generalmente satisfechos con los servicios prestados por los especialistas en desarrollo social, pero indicaron que eran necesarias algunas mejoras. Concretamente, señalaron que:

- El asesoramiento sobre desarrollo social era con frecuencia inapropiado para las necesidades operacionales o se refería al acatamiento de las políticas.
- Los especialistas en desarrollo social debían mantener una mayor presencia sobre el terreno.
- El apoyo operacional del personal encargado del desarrollo social debía estar disponible cuando fuera necesario.
- Cuando el personal encargado del desarrollo social prestara apoyo operacional debía estar más estrechamente integrado con el equipo

FRANÇAIS

la problématique hommes-femmes, les populations autochtones, les ONG/la société civile, la participation, les réinstallations et les fonds sociaux. Un grand nombre de ces projets portaient sur plus d'un de ces thèmes. Les projets axés sur au moins un domaine du développement social ont reçu des notes pour leurs réalisations, leur pérennité et leur incidence sur le renforcement des institutions, de 3 à 4 % supérieures aux moyennes générale des projets de la Banque calculées sur une période de 30 ans.

Les projets qui couvrent plusieurs thèmes sociaux à la fois ont reçu des notes encore plus élevée dans ces trois domaines.

Le déploiement des ressources que la Banque affecte au développement social n'appuie pas de manière optimale les objectifs de développement social de l'institution. Les chefs de projets et les directeurs-pays interrogés par OED se sont, dans l'ensemble, déclarés satisfaits des services fournis par les spécialistes du développement social tout en notant qu'il faudrait apporter certaines améliorations. Ils ont signalé en particulier que :

- Les conseils en matière de développement social sont souvent peu adaptés aux besoins opérationnels ou bien ils concernent le respect des politiques établies.
- Il importe de renforcer la présence des spécialistes du développement social sur le terrain.
- Il devrait être possible d'obtenir un appui opérationnel des services chargés du développement social en cas de besoin.
- Lorsque les spécialistes du développement social apportent un

ENGLISH

Country teams lack consistent access to essential social information needed to build social development into project designs and ensure that social development concerns are addressed during implementation.

While the Bank has done a great deal to expand its social development activities in the past decade, incorporating best practices in social development is not yet routine. In part this is the result of a lack of capacity within country and within task teams, but it is also a function of the amount and quality of information available to support clear decision-making. Though social analysis has been improving, OED evaluations in seven of the ten thematic areas found that often the focus is off the mark, the timing is problematic, and the findings are not used. Several of the evaluations also pointed out that little can be done until the link between the various social development inputs and poverty reduction is more fully explored.

Bank mission and policy priorities related to social development receive uneven treatment across Regions, and gaps in skills and monitoring and evaluation lead to uneven treatment within countries. The only social themes that currently have any operational guidance are those covered by social safeguards, including involuntary resettlement and indigenous peoples. Rather than being the entry point for good social analysis, the special emphasis on safeguards (which cover a few of the possible social risks) seems to be crowding out other important social issues. This contributes to an observed unevenness in the intensity with which Regions address social development issues.

ESPAÑOL

del proyecto y la oficina del país y debía compartir el plan de acción del equipo.

Sin embargo, la solución no consiste necesariamente en enviar sobre el terreno a un mayor número de especialistas en desarrollo social; el Banco podría aprovechar mejor la capacidad existente en el país.

Aunque las encuestas del personal indicaron que sería conveniente contar con una mayor presencia sobre el terreno de especialistas en desarrollo social, ello resultaría costoso. Varias evaluaciones del DEO pusieron de relieve que el uso de instituciones subnacionales era esencial para la sostenibilidad a largo plazo. Por consiguiente, la atención prestada tradicionalmente por el Banco a la creación de instituciones a nivel nacional se podría complementar con la utilización y el mejoramiento de las instituciones gubernamentales y comunitarias que existen a nivel local.

Los grupos a cargo de países no disponen de acceso constante a la información social necesaria para la incorporación del desarrollo social en la formulación de los proyectos y para asegurar que los aspectos de desarrollo social sean tratados durante la ejecución. Si bien el Banco ha hecho mucho por ampliar sus actividades de desarrollo social en la última década, la incorporación de las prácticas óptimas en materia de desarrollo social aún no es una medida de rutina. En parte ello se debe a una falta de capacidad dentro de los grupos a cargo de países y dentro de los equipos de proyectos, pero también es función de la cantidad y calidad de la información de que se dispone como base para un proceso claro de adopción de decisiones. Aunque el análisis social ha

FRANÇAIS

appui opérationnel, il importe qu'ils soient mieux intégrés dans l'équipe du projet et le bureau du pays et adhèrent au programme de travail de l'équipe.

Toutefois la solution ne consiste pas forcément à placer un plus grand nombre de spécialistes du développement social sur le terrain — la Banque pourrait mieux tirer parti des capacités existantes dans les pays. Bien que les enquêtes menées auprès du personnel indiquent qu'il serait souhaitable d'augmenter le nombre de spécialistes du développement social présents sur le terrain, il serait coûteux de procéder de la sorte. Plusieurs évaluations de l'OED ont souligné que la pérennité des résultats passait par le recours aux services d'institutions infra-nationales. La Banque qui, traditionnellement, privilégie le renforcement des institutions au niveau national pourrait envisager de faire appel aux institutions locales et de proximité et de développer ces dernières.

Les équipes-pays n'ont pas toujours régulièrement accès aux informations sociales essentielles pour intégrer le développement social dans les projets au stade de la conception et pour veiller à ce que les besoins de développement social soient pris en compte au stade de l'exécution. Au cours des dix dernières années, la Banque a beaucoup œuvré pour étendre la portée de ses activités de développement social ; toutefois, l'adoption de pratiques optimales dans le domaine du développement social n'est toujours pas systématique. Cela est dû en partie à l'insuffisance des capacités des pays et des équipes des projets mais aussi à la quantité et à la qualité des informations dispo-

ENGLISH

The previously noted lack of social development capacity and information in country and task teams compounds the problem. Exacerbating this situation are the well-known monitoring and evaluation deficiencies. Without

data to show that local groups need more attention than they currently get, field needs have often been overshadowed by procedural requirements and the need to work with government staff in the implementing ministries.

The Bank needs to do more to convince its own staff as well as its borrowers of the potential of social development.

When country directors were asked whether the governments they work with are interested in confronting social problems in Bank-financed projects less or more intensively, 63 percent said *less* intensively. This challenge needs to be confronted. A supportive enabling environment is critical for a satisfactory social development outcome. Developing such an environment calls for sustained outreach to government leaders and public sector managers. The less powerful ministries, such as those that generally deal with social development themes, often need targeted support. Further, supportive legal and policy frameworks will help to improve implementation and the attainment of the Millennium Development Goals. The recent initiatives by social development staff on policy and macro-level work with civil engagement, social accountability, and analysis of the social impact of public expenditures and adjustment lending (which are not yet ready for evaluation) have the potential to fill these gaps by raising

ESPAÑOL

ido mejorando, las evaluaciones realizadas por el DEO en siete de las 10 esferas temáticas determinaron que con frecuencia el foco de atención no era acertado, la periodicidad era problemática, y las conclusiones no se utilizaban.

En varias de las evaluaciones se señaló además que es poco lo que se puede hacer mientras no se estudie más fondo el vínculo que existe entre las diversas medidas de desarrollo social y la reducción de la pobreza.

La misión del Banco y las prioridades de política relativas al desarrollo social reciben un tratamiento desigual en las distintas oficinas regionales, y las diferencias de conocimientos especializados y de capacidad de seguimiento y evaluación dan origen a un tratamiento desigual dentro de los países.

Los únicos temas sociales que cuentan actualmente con alguna orientación operacional son los abarcados por las salvaguardias sociales, en particular el reasentamiento involuntario y los pueblos indígenas. En lugar de ser el punto de partida para un análisis social de buena calidad, el énfasis especial que se pone en las salvaguardias (que abarcan unos cuantos de los riesgos sociales posibles) parece estar desplazando otras cuestiones sociales importantes. Ello contribuye a la intensidad desigual que se observa en la forma en que las oficinas regionales se ocupan de las cuestiones de desarrollo social. La falta anteriormente señalada de capacidad e información en materia de desarrollo social de los grupos a cargo de países y los equipos de proyectos agrava el problema. Exacerban esta situación las bien conocidas deficiencias de las actividades de seguimiento y evaluación. A falta de datos que demuestren que los grupos

FRANÇAIS

nibles qui peuvent faciliter la prise de décisions. Malgré l'amélioration des analyses sociales, les évaluations de l'OED dans sept des dix domaines thématiques ont révélé que les activités sont souvent mal ciblées, le calendrier pose problème et les conclusions ne sont pas

exploitées. Plusieurs évaluations ont également montré qu'il ne sera guère possible de progresser tant que les liens entre les différents éléments du développement social et la réduction de la pauvreté n'auront pas été étudiés de façon plus approfondie.

La mission de la Banque et ses priorités au plan du développement social sont poursuivies de façon inégale par les Régions ; l'insuffisance des compétences et des activités de suivi et d'évaluation ne permet pas non plus d'agir de manière uniforme au sein des pays.

Les seuls thèmes sociaux qui font actuellement l'objet de directives opérationnelles sont ceux qui sont couverts par des principes de sauvegarde sociale, comme la réinstallation involontaire et les populations autochtones. L'intérêt particulier porté aux mesures de sauvegarde (qui couvrent quelques-uns des risques sociaux qui peuvent exister) semble, non pas entraîner la préparation d'une analyse sociale de qualité, mais avoir pour effet d'évincer d'autres questions sociales importantes. Cette situation est en partie à l'origine de l'ardeur variable avec laquelle les Régions paraissent s'attaquer aux problèmes de développement social. Le manque de capacités en matière de développement social et d'information au sein des pays et des équipes-projets évoqué plus haut ne fait que compliquer le problème. La situation est encore exacerbée par les lacunes bien

ENGLISH

client awareness of social development's potential to enhance project outcomes.

Recommendations

Chapter 7 of the report elaborates on the following four major recommendations:

- Since the study shows the strong positive interaction of some social themes, the Bank (through the Social Development Sector Board) should identify, and promote integration within, the thematic combinations that improve outcomes.
- The Bank's human capital and the borrowers' existing institutional capacity need to be employed to provide task and country teams with the relevant social development expertise throughout the project cycle.
- Country teams need to have the capacity to identify critically needed social knowledge and to facilitate its flow.
- Sector staff need to ensure that stated Bank or policy priorities receive adequate treatment across Regions and countries, and Bank strategic planning needs to address current skills and monitoring and evaluation gaps.

ESPAÑOL

locales necesitan más atención de la que reciben actualmente, las necesidades sobre el terreno han quedado muchas veces eclipsadas por los requisitos de procedimiento y por la necesidad de trabajar con el personal gubernamental de los ministerios encargados de la ejecución.

El Banco debe esforzarse más para convencer a su propio personal, así como a los prestatarios, de las posibilidades que ofrece el desarrollo social.

Cuando se preguntó a los directores a cargo de países si los gobiernos con los que trabajaban estaban menos o más intensamente interesados en encarar los problemas sociales en los proyectos financiados por el Banco, el 63% contestó que estaban *menos* intensamente interesados. Es preciso hacer frente a este reto. Un entorno propicio y facilitador es fundamental para obtener resultados satisfactorios en lo que respecta al desarrollo social. Para establecer un entorno así, es necesario mantener una comunicación constante con las autoridades de gobierno y los administradores del sector público. Los ministerios menos poderosos, como los que generalmente se ocupan de temas de desarrollo social, con frecuencia necesitan apoyo específico. Además, la existencia de un marco jurídico y normativo favorable ayudará al mejoramiento de la ejecución y a la consecución de los objetivos de desarrollo del milenio. Las iniciativas recientes del personal encargado del desarrollo social relativas a la realización de estudios de política y macroeconómicos sobre el compromiso cívico, la responsabilidad social, y el análisis del impacto social del gasto público y el financiamiento para fines de ajuste (que aún no están

FRANÇAIS

connues dans le domaine du suivi et de l'évaluation. Sans données montrant qu'il importe de prêter davantage attention aux besoins de groupes locaux, l'application des règles de procédure et la collaboration nécessaire avec

le personnel des ministères d'exécution prennent souvent le pas sur les besoins sur le terrain.

La Banque doit faire plus pour convaincre ses propres services et ses emprunteurs des possibilités offertes par le développement social.

Lorsqu'il a demandé aux directeurs-pays si les gouvernements avec lesquels ils collaborent étaient disposés à aborder les problèmes sociaux dans le cadre des projets financés par la Banque avec plus ou avec moins d'ardeur, 63 % ont répondu *moins* d'ardeur. Cela pose un problème auquel il est important de s'attaquer. Un environnement porteur et favorable est indispensable à l'obtention de résultats satisfaisants en matière de développement social. Pour créer cet environnement, il faut intervenir de manière systématique auprès des autorités et des administrateurs du secteur public. Les ministères moins puissants tels que ceux qui traitent des problèmes de développement social ont souvent besoin d'un appui ciblé. L'existence d'un cadre juridique et d'un contexte de politique générale favorables contribuera aussi à améliorer l'exécution et la réalisation des objectifs de développement pour le Millénaire. Les initiatives prises récemment par les spécialistes du développement social dans les domaines de la macroéconomie et des grandes orientations, qui concernent l'engagement civique, la responsabilisation sociale et l'analyse de l'impact social des dépenses publiques et des prêts/crédits d'ajustement (qui

ESPAÑOL

listos para ser evaluados), podrían subsanar esas deficiencias creando conciencia entre los clientes acerca de las posibilidades que ofrece el desarrollo social de mejorar los resultados de los proyectos.

Recomendaciones

En el Capítulo 7 del informe se exponen con detalle las cuatro principales recomendaciones siguientes:

- Como el estudio demuestra la fuerte y positiva interacción de algunos temas sociales, el Banco — por intermedio de la Junta Sectorial de Desarrollo Social— debería determinar cuáles son las combinaciones temáticas que mejoran los resultados, y promover la integración dentro de ellas.
- Es preciso aprovechar el capital humano del Banco y la capacidad institucional establecida de los prestatarios para proporcionar a los equipos de proyectos y a los grupos a cargo de países los conocimientos especializados pertinentes sobre desarrollo social a través de todo el ciclo de los proyectos.
- Los grupos a cargo de países deben tener la capacidad necesaria para determinar cuáles son los conocimientos sociales indispensables y facilitar su difusión.
- El personal del sector debe velar por que las prioridades declaradas del Banco o de política reciban un tratamiento adecuado en las Oficinas Regionales y en los países, y en la planificación estratégica del Banco es preciso ocuparse de las deficiencias actuales en materia de conocimientos especiales y de actividades de seguimiento y evaluación.

FRANÇAIS

ne sont pas encore au stade de l'évaluation) pourraient combler ces lacunes en faisant mieux comprendre aux clients que le développement social offre des possibilités de renforcer les réalisations des projets.

Recommandations

Le chapitre 7 du rapport développe les quatre principales recommandations énoncées ci-après :

- Puisque l'étude montre qu'il existe de fortes interactions positive entre certains des thèmes sociaux, la Banque (par le biais de la Commission technique sur le développement social) devrait identifier les thèmes qui peuvent être associés et promouvoir leur intégration afin d'améliorer les réalisations.
- Les ressources humaines de la Banque et les capacités institutionnelles des emprunteurs doivent être mobilisées pour que les équipes des projets et les équipes des pays puissent disposer des compétences voulues tout au long du cycle du projet.
- Les équipes des pays doivent être capables d'identifier les informations sociales d'importance cruciale et d'en faciliter la diffusion
- Les services sectoriels de la Banque doivent veiller à ce que les priorités déclarées et les grandes orientations de l'institution sont dûment prises en compte au niveau des Régions et des pays. Les plans stratégiques de la Banque doivent, en outre, faire intervenir des mesures visant à combler les lacunes existantes dans certains domaines de compétence et en matière de suivi et d'évaluation.

ACRONYMS AND ABBREVIATIONS

AFR	Sub-Saharan Africa
ARDE	Annual Review of Development Effectiveness
CAS	Country Assistance Strategy
CBO	Community-based organization
CDD	Community-driven development
EAP	East Asia and Pacific Region
ECA	Europe and Central Asia Region
ES	Evaluation summary
ESSD	Environmentally and Socially Sustainable Development
FY	Fiscal year
HD	Human Development Network
HR	Human Resources
ICR	Implementation Completion Report
IP	Indigenous peoples
LCR	Latin America and the Caribbean Region
MDG	Millennium Development Goal
MNA	Middle East and North Africa Region
NEAP	National Environmental Action Plan
NGO	Nongovernmental organization
OED	Operations Evaluation Department
OPCS	Operations Policy and Country Services
PAR	Project Performance Assessment Report
PMU	Project Management Unit
PREM	Poverty Reduction and Economic Management Network
PRSP	Poverty Reduction Strategy Paper
QACU	Quality Assurance Compliance Unit
QAG	Quality Assurance Group
QEA	Quality at Entry Assessment
SAR	South Asia Region
SDV	Social Development Department
SME	Small and medium-size enterprises
SSP	Sector Strategy Paper



The Analytic Context for the Review

In 2002 the scale and importance of social development work in and around World Bank projects led management to commission a Sector Strategy Paper (SSP) for social development to guide Bank work in this thematic area. An essential building block in the strategy formulation process is analysis of past performance.

The Operations Evaluation Department (OED) has evaluated many of the constituent activities of social development over the past few years, and this review (“the study” throughout this volume) systematically reviewed their findings (a process known as meta-evaluation), together with the findings of a literature review, portfolio analysis, and various survey instruments. Working papers have been available for staff who are preparing the SSP. Several background reports more fully document the findings presented in this summary report (see the Bibliography for a full listing of papers).

Evolving Staff and Shareholder Values Led to Changes in Focus

The Bank’s original emphasis on investment gaps and infrastructure deficits has gradually broadened over time into a more holistic vision encompassing knowledge, participation, institutions, and the enabling environment for development, because less complex conceptualizations of development did not attain the expected results. Concomitant with this broader

development vision in the Bank has been a change in both the way projects are analyzed and in the mix of operations the Bank supports. Analysis in support of Bank operations has widened from economic and technical impacts to include indirect institutional and social impacts.

The focus of the international development community also has shifted strongly toward the social sectors. This is particularly evident in the Millennium Development Goals (MDGs)—seven of the nine are related to human development—and sustaining human development gains means paying attention to the social development issues at their root (such as inequality, conflicts and social instability, and exclusion). Moreover, the diverse community that constitutes the Bank’s authorizing environment had unambiguously committed itself to a number of social development goals before the March 2002 International Conference on Financing for Development in Monterrey. The 1995 World Summit for Social Development in Copenhagen, Denmark, was

the first major UN conference dealing specifically with issues of social development. It was the largest gathering of world leaders ever held—117 heads of state or government. Also in attendance were 14,000 participants, 2,300 of them representatives from 811 nongovernmental organizations (NGOs), and more than 2,800 journalists. The main conclusion of the conference acknowledged that alleviating poverty is not just a matter of providing more services—political, economic, institutional, and cultural factors play a critical role. The event culminated in the signing of the Copenhagen Declaration and Program of Action, putting people at the center of development. The signatories pledged to “make the conquest of poverty, the goal of full employment, and the fostering of stable, safe and just societies their overriding objectives.”

Social Development Is a Fuzzy Concept

The Copenhagen Summit also attempted to define social development, but was unable to arrive at a definition satisfactory to the assembled group. The lack of broadly accepted definitions for the term *social development* and a number of related concepts continues to be a problem, not only for this study but also for social development practitioners everywhere. Development theory is enriched with many such comprehensive concepts, but social development is more comprehensive than most. In addition, certain new concepts are taken as symbols of the need for a major reorientation of operations. *Social development* is one such concept. It is presented by many as the “missing link” in development aid. It represents, it is argued, a perspective on development goals, analysis, and working methods that holds the prospect of ensuring that the key objective of aid—to eradicate poverty—will be met more effectively. Reflecting this realization, most

The lack of broadly accepted definitions for the term social development continues to be a problem.

development organizations now address social development in some way.

Issues covered under the rubric of social development vary from

organization to organization, but even those that do not have a particular policy or strategy for social development do recognize that their work has social dimensions (Thin, Good, and Hodgson 1997, p. 15). The report on the literature review conducted by the study traces the evolution of the notion of social development over the past few decades.

Not only are there countless definitions of social development (see Annex C for a collection of suggested definitions for social development), but many of the terms related to the concept may have a different meaning from one organization to another, or even within the same organization. Moreover, the field of social development is notorious for its lack of indicators precisely because of inherent measurement difficulties that exacerbate the monitoring and evaluation deficiencies of development projects generally.

Some attempts have been made in the Bank to define social development. When this study began, the accepted definition was:

*Social development is equitable, socially inclusive and therefore sustainable. It promotes local, national and global institutions that are responsive, accountable and inclusive and it empowers poor and vulnerable people to participate effectively in development processes.*¹

The “Issues Paper for a World Bank Social Development Strategy,” prepared by the Bank’s Social Development Department (SDV), commits SDV to developing a more pragmatic and operational definition as part of the SSP process. A first attempt² has been made by the team developing the SSP:

Social development begins with the perspectives of poor and marginalized people and works towards positive and sustainable changes to make societies more equitable, inclusive and just.

While this is still more a statement of the goal of social development than a true definition of what it is, and there is a clear connec-

tion between fuzzy definitions and a lack of indicators, it is at least somewhat less all-inclusive than the previous definition.

Differing Perspectives Have Bureaucratic Implications

All definitions of social development are made up of building blocks that exhibit a tendency to cluster into four schools of thought. Each of these gives a very different perspective on which activities to undertake. Development organizations can adopt just one or multiple perspectives. In this they are guided to some degree by the history and traditions of the country where they are located or, for the multilateral banks, the changes in their authorizing environment.

In a paper commissioned for this study, CMI/Norway (Jerve and Softing 2002) develops these four perspectives. Within a single development organization, any combination of these classifications can be at play, thus making the internal dialogue quite challenging. People speaking convincingly and passionately about *social development* may not be talking about the same thing. The relative emphasis given to each perspective varies among agencies and it is often reflected in the manner in which they structure themselves to deal with social issues.

The *first* perspective relates to the concept of *social sectors* and embraces the cornerstones of the Western welfare state—public health and education systems and social insurance. It is a perspective that functions well administratively, since it is linked to specific government sectors.

The *second* perspective is similar, but focuses more narrowly on *safety nets* and *social exclusion*. It denotes areas of public policy that explicitly attempt to target particular *vulnerable groups*. Typically, the activities of a number of countries' ministries of social affairs center essentially on this mandate.

The *third* perspective is more political and influenced by development theory. It is about *inclusion and empowerment*, and to some extent about *equity*. It holds that people have certain rights to participate in and benefit from planned development. This perspective has

inspired both a far-reaching discourse on *rights-based* approaches to development and a more restricted concern that, as a bare minimum, people shall not suffer as a consequence of induced development efforts. This has brought about measures such as social safeguards.

Fourth, social development is being used as an even more encompassing concept, linking it to efforts and processes induced by development agencies that essentially influence *social relations and institutions* in a society. This way of perceiving social development has been reinforced with the growing popularity of the “social capital” concept and the recent accentuation of the need for a holistic and multi-dimensional approach to poverty reduction (the Comprehensive Development Framework is an example). For partisans of this approach, social development is defined primarily in terms of what you achieve (the impact or end result), and not what you do (the input), much like the concept of “economic growth” or development. This perspective does not lend itself to bureaucratic departmentalization.

The phenomenon of people talking about the same concept but meaning slightly different things has led to a blending of perspectives that culminated in the definitions of social development used by the Social Development Department of the World Bank. Both the old and new definitions cover all four perspectives. The breadth of the old definition seriously limits its utility. In addition to reviewing definitions, this study sought to determine what constitutes social development through an analysis of the Bank's business practice in the area.

The Bank's Social Development Objectives

The Bank's Social Development Department identifies five “business lines” in social development: participation and civic engagement; social analysis; community-driven development; conflict prevention and reconstruction;

People speaking convincingly and passionately about social development may not be talking about the same thing.

and social safeguards. These roughly correspond to the aggregated social development portfolio identified by this study (discussed in Chapter 2). The portfolio includes other themes, such as gender, an important area of focus that is handled by several groups within the Bank and is the subject of a sector and thematic strategy Operational Policy. Most other organizations consider gender part of social development. Using the business lines as a guide, the study team dissected their components into objectives to arrive at a characterization of what social development is in the Bank. Making the objectives discrete is essential to the analytic

process, although it tends to obscure their connectedness and interactivity.

To develop this characterization, an objectives matrix was created that synthesizes Bank objectives for social development. Internal and external documents and statements relevant to the Bank's work with social development are listed in table 1.1 (see also Annex B, box B.1).

The objectives outlined by the documents are coherent.³ For example, gender objectives in the Concept Paper, the Task Group Report, the Annual Meetings Speeches, the *World Development Report*, the safeguards, and the Strategic Compact are all consistent with one another.

Table 1.1
Coverage of Social Development Priorities by Selected Documents

Social development objective	Number documents covering	SD Strategy Issues Paper	World Development Report	Task Group Report	Annual Meetings Speeches	Participation Sourcebook	Copenhagen Declaration	Operational Policies	MDGs	Strategic Compact
Poverty reduction	9/9	X	X	X	X	X	X	X	X	X
Gender	8	X	X	X	X	X	X	X	X	
Sustainability	7	X	X	X	X	X		X	X	
Partnership	7	X	X		X	X	X		X	X
Participation	7	X	X	X	X	X	X	X		
Human development	7	X	X	X	X		X	X	X	
Indigenous peoples	7	X	X	X	X	X	X	X		
Conflict prevention and reconstruction	6	X	X	X	X	X		X		
NGOs/civil society	6	X	X		X	X		X		X
Empowerment	6	X	X	X		X	X		X	
Culture	6	X	X	X			X	X		X
Security	5	X	X		X		X		X	
Inclusion	5		X	X	X	X	X			
Resettlement	4	X		X		X		X		
Governance	4	X	X	X	X					
Social capital	4	X	X	X		X				
Livelihoods	2				X		X			
Community-driven development	1	X								
Themes covered		16/18	15	13	13	12	11	10	7	4

Furthermore, this Bank consensus on gender objectives resonates with the objectives in the statements agreed on by the broader development community (the Copenhagen Declaration and the MDGs), and thus reflects the views of the Bank's authorizing environment, which includes the broader development community. Aside from the consistency in message across the board, the sheer number of times objectives were mentioned in such a wide variety of documents is testament to their importance to the Bank. The matrix shows that, in the absence of explicitly adopted objectives and a strategy to achieve them, the Bank is nevertheless sending out a consistent and cohesive message in its broad social development goals.

One very clear observation that emerged from the exercise is that there is a remarkable interconnectedness among the various documents on nearly every subject. Many of the documents had a multidimensional perspective, and showed the interconnectedness of most of the objectives. The study observed that many of the individual objectives were closely related to each other. For instance, the *World Development Report* objective, to “make progress toward gender equality and empowering women by eliminating gender disparities in primary and secondary education by 2005,” could be considered part of not only gender, but empowerment and human development as well.

Study Design

The study was largely a desk review, drawing its conclusions from a number of recent evaluative exercises. To map out the methodology and related research process, the study team prepared a detailed Design Paper. The paper established a pattern of work and analysis (including proposed survey instruments, a framework for analysis, and a description of the methods that were ultimately used). A portfolio review was conducted using available Bank documentation and databases. The other components are described briefly below, and in more detail in Annex B.

Literature Review. To capture a broad understanding of the field, the study prepared

a detailed literature review. It focuses on key policy issues such as social development tools and indicators, current debates in the field, programs led by other institutions, and cutting-edge issues in social development.

Individual Interviews and Surveys. Within the Bank and other development agencies, open-ended interviews were conducted before and after the preparation of the Design Paper. Initial consultations were carried out with the Utstein group,⁴ Switzerland, Sweden, and the UN. Early interviews helped inform the development of survey instruments. An Internet-based system (WebIQ) was used with Bank staff and outside social development experts to field-test draft instruments before their widespread use and to evaluate and “reality check” preliminary results. Three survey instruments (described in Chapter 6) were administered to selected Bank staff through Lotus Notes (the survey instruments are attached as Annex G).

Meta-evaluation. Ten topics have been examined by recent OED evaluations, enabling the extraction of further, broader lessons from the data. The evaluations examined were gender (1995, 1997c,d, 2000a), post-conflict reconstruction (1998b–e), NGOs (1999a), participation, (2000b), rural water (Parker and Skytta 2000, 1996a–c), resettlement (2001a–e), cultural heritage (2001f), community-driven development in the Sahel (2000l, 2002a), and forestry (1991a,b, 2000e). The team also drew on the *Annual Review of Development Effectiveness* (ARDE) (2002) and the social investment funds review (2001) for additional information.

Country Assistance Strategy (CAS) Reviews. The study reviewed the role of social development in CASs and Country Assistance Evaluations (CAEs), and reviewed Quality Assurance Group (QAG) assessments of quality at entry and economic and sector work.

Review Panel. A group of external reviewers was established, consisting of three social development experts, to review the steps taken by the study team and to comment on the final study report (see Foreword).

This report presents the major findings of the meta-evaluation, supplemented with the analysis of data from the other sources (triangulation). Work with Poverty Reduction Strategy Papers and community-driven development are the subject of ongoing OED evaluations and were not covered by the study. SDV's recent and ongoing work on social accountability, citizen report cards, public expenditure analysis, and the social impact of

adjustment lending and policy reforms is not yet ready for evaluation.

The several components of the study addressed a set of broad evaluative questions that were presented in the Approach Paper and elaborated in the Design Paper for the study. While many of these questions are covered in several places in this report, they generally map to the report's organization, as indicated in the following table.

Table 1.2 Evaluative Questions

Chapter	Evaluative Questions
2. Where is social development being conducted?	What constitutes the Bank's social development portfolio? To what degree have social development issues been incorporated into Bank lending activities?
3. Is social development relevant?	To what degree have social development issues been incorporated into Bank policy formulation? To what degree has attention to social development issues influenced Bank activities in the field throughout the project cycle? To what extent does social development show up within important Bank macro processes such as the CAS?
4. Have social development interventions been effective?	Is there a rhetoric/reality gap between strategy and project programming? How do social development interventions compare with other Bank interventions? What light does (already completed and ongoing) self- and independent evaluation shed on the impact of social dimensions? Have some methods of introducing social concerns into Bank work been more effective than others?
5. What challenges affect implementation of social development?	What factors identified in completed and ongoing self- and independent evaluations enhance and constrain the general pursuit of the Bank's social development objectives?
6. What are the implications for Bank organization and procedures?	What organizational and procedural factors do Bank staff identify as enhancing or constraining the general pursuit of the Bank's social development objectives?



Where Is Social Development Being Conducted?

This chapter reviews the nature of the Bank’s social development portfolio and analyzes the Regional and sectoral distribution of completed and ongoing social development work. It also identifies overlaps in practice. That is, certain themes have received complementary treatment in the past, and the study identified the thematic combinations that have tended to occur.

Is There a Social Development “Portfolio”?

Portfolio reviews were undertaken for evaluations OED completed in eight social development areas (plus community-driven development, where sufficient data were available). This data-gathering and analysis exercise is not a portfolio review in the traditional sense, because there are very few stand-alone social development projects. Nonetheless, the completed OED evaluations identified clusters of projects that can be conceptualized as being aligned with four out of the five “business lines” of social development (safeguards, participation/civic engagement, community-driven development, and conflict prevention). The fifth business line, social analysis, does not meaningfully generate a portfolio, and Bank experience with this process is explored in Chapter 6.

The nature of the various portfolios and their contents varied widely. For instance, the participation portfolio includes projects where there might have been one consultation activity, as

well as projects in which every phase of the project had participatory aspects. To the extent practicable, these portfolios of Bank-supported projects with social development processes or targets were updated by this study to include projects through fiscal 2002, including all ongoing and completed projects, so that they take recent experience into account. Following the update process, the study database documented projects that addressed the social themes in table 2.1. Follow-up research to ascertain the efficacy of social activities was undertaken with the OED database of Implementation Completion Report and Project Performance Assessment Report findings. The results of that analysis are in Chapter 4.

While evolving development focus only recently led to Bank lending for social development, the Bank has contributed to the economic and social progress of the past 56 years by supporting more than 8,000 operations in 140 countries with almost \$500 billion in financing (commitments). In the early

Table 2.1 Social Development Portfolios

Portfolio	Number of projects	Approval years covered	Countries
Community-driven development	285	2000–02	All
Conflict	264	1978–02	All countries with conflict
Culture	150	1972–02	All
Gender	738	1994–01	All
Indigenous peoples	462	1987–02	All
NGO/civil society	1,767	1972–02	All
Participation	671	1994–98 ^a	All
Resettlement	308	1985–02	All
Social funds	84	1987–01	All countries with social funds

a. Portfolio from 1999 to 2002 not available.

Between 1985 and 2002 more than half of all Bank operations addressed social development.

1980s, investment with at least some support for social development amounted to 5 percent of Bank lending. By 1994, it accounted for 15 percent. Since then it has grown steadily. The Bank is currently “the world’s largest financing source for investments in people” (World Bank 1992, pp. 48-49). The study portfolio review identified 2,577 projects approved between 1972 and 2002 that addressed social development themes. Most projects took place in the later years, with a dramatic increase in approvals beginning in

1989 (see Annex figure A.1). Between 1985 and 2002 more than half of all Bank operations (56 percent of all approved projects—2,291 of 4,266) addressed social development themes.¹ The number of social development professionals in the Bank mirrors the growth in lending (see box 2.1).

Many projects are identified as having social development activities in the database without having a specific dollar amount tied to the social development aspect(s) in the project documents and budget. In some instances, the social development component could be a small amount directed to the cultural heritage aspect of a large infrastructure project. Conversely, the

Box 2.1

How Many Social Development Professionals Work for the Bank?

Increased attention to the social impacts of its operations led the Bank to build up its staff resources in this area. The first social development unit was created in 1993, with six staff. By 1997 there was a stand-alone Social Development Department (SDV) within the Environmental and Socially Sustainable Development vice presidency. Taking into account both staff and short-term consultants, OED estimates that as of January 2002, the Bank employed 175 social development professionals and 22 gender specialists. Many Bank staff members not working on social issues are

educated in the social sciences, and they constitute a resource the Bank could utilize. Information from the Human Resource Service Center shows that 249 additional Bank staff members hold master’s or doctorate degrees in the noneconomic social sciences.¹ It is not known how they have incorporated their academic background in their work.

1. This is based on voluntary information provided by staff through the Human Resources Kiosk as of March 2002, and should therefore not be considered 100 percent inclusive of all graduates.

entire loan amount of a Social Fund project could be directed at social development.

To get a sense of the resources applied to social development efforts, the total of the loan amounts committed to the 2,577 projects in the OED-identified portfolios is \$188.89 billion. Of course, only a fraction of the proceeds of many loans went to social development. As part of last year's re-categorization of projects into multiple sectors and themes, Operations Policy and Country Services (OPCS) estimated the proportion and amounts of each project approved since 1990 for social development plus gender. Between 1990 and 2002, the amount allocated to social development (but including gender in that category) in the OPCS database is \$13.3 billion.

It's Done Everywhere, but the Portfolio Varies by Region and Sector

Regional Distribution

Table 2.2 shows the percentage of each thematic portfolio represented by work in the various World Bank geographic Regions. The East Asia and the Pacific (EAP) Region has almost half of the resettlement projects (48 percent), and the Latin America and Caribbean (LCR) Region has the vast majority of the indigenous peoples portfolio, with 46 percent. Work in and around physical cultural resources figured most

prominently in the *Africa has been the beneficiary of the bulk of social development work.*

Europe and Central Asia (ECA) Region, although with the exception of South Asia (SAR) it is quite evenly distributed. Actual figures can be compared with the "all Bank projects" column to see the extent to which the observed percentage differs from what might otherwise be expected. (Annex figure A.1 shows the growth in the actual number of social development projects by year by Region up to FY01, after which changes in thematic recording and classification make graphic representation difficult.)

The Regional distribution table clearly shows that the Africa (AFR) Region has been the beneficiary of the bulk of social development work, having the largest percentage of projects in six of the nine social development thematic portfolios. This is partially because AFR receives the largest number of Bank projects generally, but five out of those six portfolios exceed their actual percentage share. The three thematic areas in which Africa does not predominate are indigenous peoples (5 percent of projects), resettlement (9 percent), and culture (18 percent). Indigenous peoples generally have not been identified as an issue in AFR (and the Middle East and North Africa, or MNA) because of the legal and technical differences between *indigenous* and *ethnic minority*, even though there are groups in these Regions that would qualify under the terms

Table 2.2

Regional Distribution of Portfolios (percent)

Region	All Bank projects (1992–02)	Community-driven development	Culture	Gender	Indigenous peoples	NGOs	Participation	Conflict	Resettlement	Social funds
AFR	28	34	18	31	5	33	25	45	9	35
EAP	15	8	16	15	22	14	19	12	48	5
ECA	20	19	21	12	6	13	16	19	8	20
LCR	21	22	20	21	46	21	23	14	11	30
MNA	7	6	18	8	4	6	6	7	4	10
SAR	9	11	7	14	17	13	11	3	20	1

Note: Columns may add to more than 100 percent due to rounding. The largest percentage in each category is in boldface type. AFR=Africa; EAP=East Asia and the Pacific; ECA= Europe and Central Asia; LCR=Latin America and the Caribbean; MNA=Middle East and North Africa; SAR=South Asia.

The agriculture sector had the highest proportion of projects in five of the nine portfolios.

of Operational Directive 4.20.² Africa’s fourth rank in resettlement is probably a function of the Bank not financing many large dams and large-scale

transportation projects in the Region. The OED evaluation of physical cultural property found that it is a common perception that Africa’s physical cultural heritage is meager, biodegradable, and excessively vulnerable to its climatic conditions. But the data are poor and there has been insufficient research—allowing for a high degree of country variability, cultural property actually may be substantial and widely distributed.

Sectoral Distribution

The agriculture sector had the highest proportion of projects in five of the nine portfolios (see Annex table A.1). Many of the portfolios have 20 percent or more of their projects in agriculture, while that sector made up 14 percent of projects approved by the Bank between 1992 and 2002, which still makes it the sector with the largest

The participation portfolio had large overlaps with almost all the others.

number of projects. Not surprisingly, almost a third of the resettlement portfolio (30 percent) resides in the transportation sector, giving that

sector first rank for that portfolio. The urban sector had the most culture projects. Compared with the whole Bank portfolio, social development themes were seen *least* frequently in the finance, private sector development, and economic policy sectors.

Portfolio Overlaps

The portfolio databases were compared to see how many projects appeared in more than one portfolio. (The portfolios were aligned to make sure the years covered were the same; see table 2.3.) This analysis was done because most social development experts believe that there are synergies that occur when projects finance complementary activities. There is good reason to expect that the larger the number of social development aspects covered under one project, the more they will interact in a manner that increases their development impact.³ The impact of overlaps on project ratings is explored in Chapter 4.

As might be expected, the participation portfolio had large overlaps with almost all the others. Other portfolios with large overlaps were NGO/civil society and social funds. To suggest the scale of this phenomenon: when the number of projects in each portfolio is added together, the sum is 4,729. Yet the actual number of discrete projects is only 2,577.

Table 2.3

Portfolio Overlaps (percent)

Portfolio	Culture	Gender	Indigenous peoples	NGO/Civil society	Participation	Conflict	Resettlement	Social funds
Community-driven development	37	32	4	74	*	30	10	76
Culture		28	19	29	51	5	14	3
Gender			41	77	52	25	22	75
Indigenous peoples				46	57	6	21	23
NGOs					73	37	50	94
Participation						41	77	90
Conflict							2	13
Resettlement								1

* There is no overlap between the community-driven development and participation portfolios, as the data for these two themes are from different years.

Note: Portfolios that overlap 50 percent or more are in boldface type.



Is Social Development Relevant?

Having examined the composition of the array of projects in the Bank's social development portfolio, it is important to consider their relevance. Normally, the study would have turned first to the sector strategy. But since there is no social development Sector Strategy Paper (SSP), the examination of relevance had to be directed elsewhere.

The Bank's commitment to social development is reflected first and foremost in its Operational Policies (OPs), especially those known as safeguards (see Annex D for a list of relevant OPs).¹ The application of the Bank's safeguard policies often involves social development staff, and they require an in-depth knowledge of country realities and social development processes. For safeguards to be applied effectively, there needs to be government ownership of their principles and institutional capacity in client countries to put them into effect. Strengthening existing institutions and assisting in the creation of new ones when necessary are tasks the Bank's social development staff is qualified to carry out.

OED's benchmarks for rating relevance involve two key factors. First, the benchmarks cover both borrower development priorities and World Bank strategies, goals, and policies. Thus, the CAS, as a repository of agreed Bank-borrower priorities, is a key source for rating relevance in the absence of a strategy. Second, the benchmarks must be current. In many

cases, priorities, strategies, and goals have not changed.

It Is Relevant to the Bank's Broader Development Objectives

To be able to examine the relevance of social development to the Bank's broadest development goals, and to compensate for the Bank's lack of a formal strategy or social objectives, the study created a matrix that groups the social development objectives contained in internal and external documents and statements relevant to the Bank's work—see the discussion on the objectives matrix in Chapter 1, and Annex B. This exercise highlights the nature of the Bank's tacit objectives (or what they were before the Sector Strategy development process began), and it shows the strong linkages from social development objectives to sustainability and poverty reduction.²

It Is a High Priority at the Country Level

The meta-evaluation reviewed OED evaluations related to social development themes to

establish what they said about thematic inclusion in the CAS. On the whole, the OED evaluations had found that, although treatment of social issues in CASs had expanded in recent

Social development is highly relevant to the lending priorities agreed upon by the Bank and borrower.

years, the quality of the treatment remained variable. Treatment of five themes (NGOs, participation, indigenous peoples, cultural heritage, and gender) in the CAS had improved significantly in the past few years, according to those OED evaluations. For example, the indigenous peoples (IP) study highlights progress in Latin America (box 3.1). The participation evaluation found that despite increased attention, social concerns were still not adequately reflected in CASs and National Environmental Action Plans (NEAPs), and when they *were* reflected, they were often not reflected in the country portfolios in a manner befitting the priority accorded to them. The evaluations determined that the development potential of social themes should also be recognized more explicitly. In particular, more attention to the appropriate role of the social themes within the country’s overall institutional framework is needed.

A review of the CASs revealed that social development is highly relevant to the lending priorities agreed upon by the Bank and borrower. Given that several OED evaluations concluded that social development themes need to be explicitly recognized in the Bank’s corporate priorities as they are expressed in country strategies, the study team reviewed all of the most recent CASs to see if there had been

a change since completion of the various OED evaluations of social development themes.

The review centered on the question of how social development had been addressed in the CAS. This document, in which the Bank delineates its strategy for a country based on a Bank assessment of country priorities and input from the borrower, indicates the level and composition of assistance to be provided, based on the strategy and the country’s portfolio performance.³ To approach the question, the study team examined the most recent CASs of 109 countries for information on Bank and borrower assessment of social development needs. The documents were analyzed to see which of the social development areas the Bank works in were mentioned in the text of the CAS. Issues highlighted by survey respondents were also included.⁴

The search revealed that the issues appear in the most recent CASs quite often (figure 3.1). An average of 2.7 social development topics were mentioned in each CAS. The topics that were mentioned most often were *participation* (74 percent of the CASs), *gender* (67 percent), and *NGOs/civil society* (55 percent).

In addition to these topics, the analysis also noted how often institutional reform (transparency/accountability and decentralization), anti-corruption, and public services for the poor were mentioned. Institutional reform was mentioned more often than any of the topics currently defined by the Bank as being social development (in 83 percent of the documents).

In addition to the text searches, the “Summary of Development Priorities” section of each CAS was also examined. In this section

Box 3.1

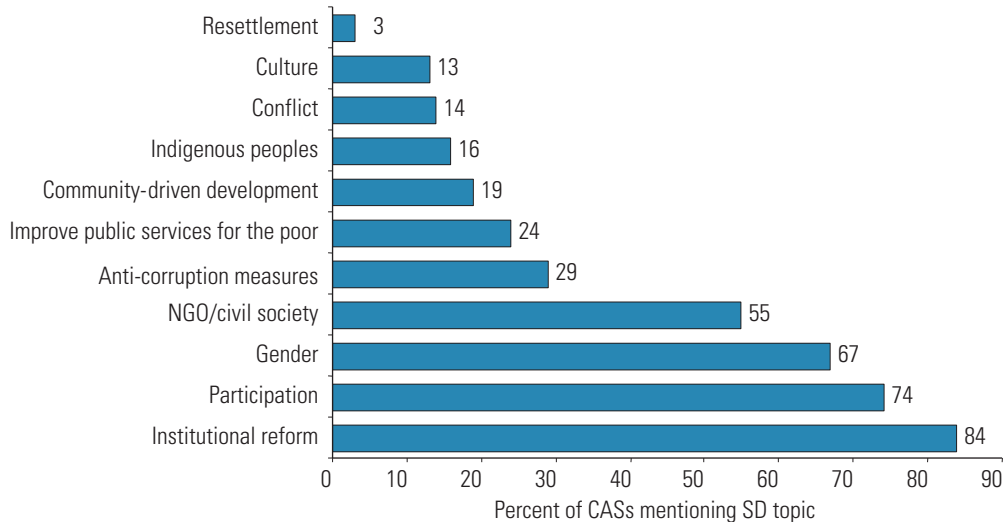
Latin American CAS Success for Indigenous Peoples

Recent Latin American CASs attend to indigenous peoples’ (IP) issues. The latest CAS of every sample country in LCR integrated issues related to IP into their strategies. This is true, even in countries

where the percentage of IP populations is low, such as Argentina, Brazil, Chile, and Colombia. The Chile CAS, for example, takes the Inter-American Development Bank (IDB) strategy into consideration.

Source: OED 2003a, p. 9, paragraph 2.8.

Figure 3.1 Percent of CASs that Mentioned Various Topics



Note: The resettlement figure is probably low because there is a safeguard that needs to be followed, and this topic is typically dealt with project-by-project rather than in the CAS.

of the CAS, the borrower lays out and rates its priorities. The Bank rating of these priorities is also noted in this section. Three segments of the summary were examined: public sector, gender, and social development.

The study team analyzed the contents of the social development segment of the summary. In this section, the borrower must define one “major social development issue” (although sometimes two were mentioned) in the country. Looking across all of the CASs, these issues fell into 23 categories, listed in box 3.2. Notably, 14 of the 23 groupings fall outside of the purview of the Bank’s Social Development Department and specialists in the Regions who are attached to SDV (those in plain-face type).

Social development issues: a high priority for both the Bank and borrower. Regardless of whether the “major social development issue” stated by the borrower was covered by SDV and its Regional specialists, analysis revealed that social issues are a high priority for both the Bank and the borrower.⁵ Of those with a stated “major social development issue” (76 CASs), 91 percent were rated moderate or high priorities by the borrower, and 97 percent were so rated by the Bank.

Twenty-two CASs were rated differently by the Bank and borrower. In 16 of the 22, the Bank wanted to give the issue a higher priority than the borrower did. In only six cases did the borrower want to give the issue a higher priority than the Bank did. This pattern was confirmed by the surveys. When country directors were asked whether the governments they work with are interested in confronting social problems in Bank-financed projects less or more intensively than is normal under current Bank practice, almost two-thirds said *less*.

Strong consistency in Bank and borrower rating of priorities was apparent. When the Bank wanted to *upgrade* the priority, the “major issue” generally centered around institutions, transparency, or civil society exclusion. Where it wanted to *downgrade* the priority, the “major issue” was mainly participation, indigenous peoples, or refugees. Conflict prevention does not appear in the table because borrowers chose to emphasize components of this work (such as violence reduction, social cohesion, and vulnerability).

Table B.3 in Annex B shows the percentage of CASs for each Region that mentioned a particular social development topic. The social development

Box 3.2

CAS Priority Issues

(Those covered primarily by the Social Development Department and its Regional specialists in bold)

- 1. **Vulnerability/exclusion (empowering vulnerable groups)** (15)
- 2. **Participation** (15)
- 3. **Weak civil society** (13)
- 4. **Indigenous peoples** (6)
- 5. **Decentralization** (5)
- 6. **Lack of social capital (capacity of local institutions/ community development)** (4)
- 7. **Inequality** (4)
- 8. **Implementation capacity** (4)
- 9. **Violence reduction** (4)

- 10. **Poverty** (4)
- 11. **NGO presence** (3)
- 12. **Social services—high cost and delivery** (3)
- 13. **Internally displaced people** (2)
- 14. **Food aid to support social sectors** (2)
- 15. **Education and health** (2)
- 16. **Transparency** (2)
- 17. **Lack of focus in public programs** (1)
- 18. **Urban/rural disparities** (1)
- 19. **Youth** (1)
- 20. **Safety nets** (1)
- 21. **Social cohesion** (1)
- 22. **Consolidate the democratic process** (1)
- 23. **Income-generating opportunities** (1)

Note: Numbers in parentheses refer to the number of CASs that mentioned the listed topic as a priority.

subjects appear in order of their importance in the CASs overall—participation being mentioned the most, resettlement the least.

The study also compared what was said in the CASs with what has been dealt with at the project level. (See figure 3.2, which shows a frequency scatter plot comparing the two; a tabular description of the data points is in Annex B.) In most instances, statements in the CAS do not directly correspond with the Bank’s actual work portfolio. It would be more accurate to say that they indicate the way forward (they are “stretch” goals). In figure 3.2, the points above the 45 degree line show that the Regions are working more intensively on the issues than was called for in the CAS. Conversely, points below the line show the opposite. The majority of the points (25 out of 40) fall below the 45 degree line, indicating that rhetoric may be a bit ahead of reality. Each point on the scatter plot compares the percentage of projects that deal with a particular social development theme in a Region with the percentage of the most recent CASs in the Region that mention that theme. Points that are on the line represent themes that have the same likelihood of appearing in the CASs and the portfolios.

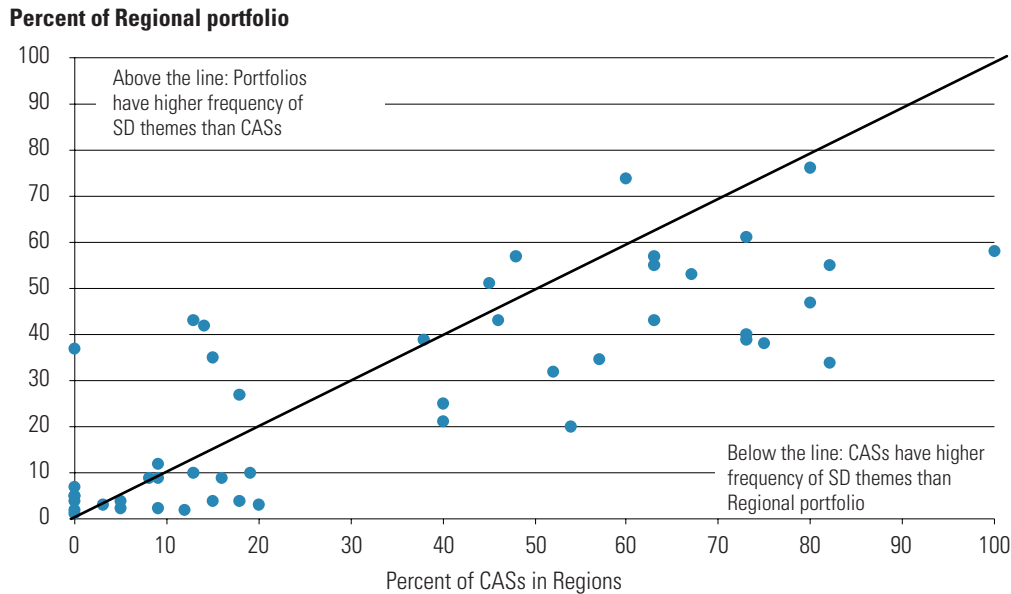
The two most outlying examples are the gender portfolio in the South Asia Region, where 100 percent of the CASs mention this theme, and 58 percent of the projects have some gender aspect to them, and the resettlement portfolio in the East Asia Region, where none of the CASs mentions it, but 37 percent of the portfolio has resettlement issues. (Resettlement tends to fall near zero on the *x* axis because it is usually not mentioned in the CASs, but it comes up in the context of the safeguards, and it therefore tends to be well represented in the portfolio.)

Data points with fairly similar percentages are: community-driven development (CDD) projects in the MNA Region, where 38 percent of CASs mention CDD and 39 percent of projects do some form of CDD; and NGO involvement in the ECA Region, where 46 percent of CASs mention it, and 43 percent of projects address the theme. Also notable is the participation portfolio in the South Asia Region, where 80 percent of CASs mention it, and 76 percent of projects claim to do some form of participation.

OED’s Country Assistance Evaluations (CAEs) assess progress toward CAS-stated goals. The study team reviewed 21 recent CAEs (those

Figure 3.2

Relationship of Social Development Themes in CASs to Portfolios



produced in the past three years) to identify conclusions relevant to social development. The most frequently mentioned social development topic in the CAEs was gender, mentioned in 10 out of the 21 evaluations. Several CAEs cited the Bank as the initiator of discussion and action on gender in the studied countries. Also noted in some CAEs is the unsuccessful mainstreaming of gender, which one CAE referred to as its “ghettoization” in the education and women’s health sectors. CAEs in several conflict-prone countries noted that the Bank’s social development efforts had made significant contributions to physical reconstruction and social cohesion. A lack of knowledge by Bank operational staff regarding relevant NGOs was frequently mentioned. A number of CAEs noted the increasing tendency of projects to devote resources to participation, although two CAEs cited instances where Bank-borrower tensions were provoked when the project staff included certain beneficiary groups in participatory activities without clearing their participation with concerned government entities. Two countries see indigenous peoples issues as poverty issues and deal with them in an overall poverty reduction framework, rather than separately. Resettlement

issues figured largely only in the India CAE, where the Bank has been a significant shaper of that country’s resettlement policies, commencing with the Sardar Sarovar dam project.

It Is Relevant at the Project Level

An analysis of relevance was done on the completed projects of the social development portfolios based on OED evaluations. Of the 713 projects rated by OED either in evaluation summaries or Project Performance Assessments (PPARs), more than 89 percent of the overall objectives of the projects were found to be highly or substantially relevant to the overarching country and sector development priorities (the nature of which was explained in the preceding section on the CAS). The comparator group, which would be all Bank projects rated in the same period, has about 83 percent of the projects rated as highly or substantially relevant. The social development portfolio fares better than the Bank’s portfolio as a whole. It should be noted, however, that this rating pertains to the whole project, not just the social development component. For example, some projects could be highly relevant transporta-

The most frequently mentioned social development topic in the CAEs was gender.

The social development portfolio fares better than the Bank's portfolio as a whole.

tion projects that contain a social development component. Thus, the relevance rating would pertain to not only the social development piece, but also to the construction of roads and other infrastructure.

Some projects were rated for the relevance of their social development objectives as well.

That rating was analyzed separately when available, and 508 projects were thus rated. These were highly or substantially relevant in 79 percent of these operations. The relatively lower relevance of this subgroup (and its below-comparator status) may just reflect the late arrival of social development themes into the Bank-borrower dialogue, or the rhetoric/reality gap revealed by the CAS analysis.



Have Social Development Interventions Been Effective?

The study combined all the completed and evaluated projects in the various social development portfolios to arrive at an overview of how projects with social development themes in the aggregate have been performing over their varying life cycles. Some themes began to receive attention as early as the mid-1970s, while others came to the fore a decade or more later.

Effectiveness of Projects with Social Development Components Compares Well with Others

The combined social development portfolios have a satisfactory outcome rating 72 percent of the time, attain likely sustainability 53 percent of the time, and achieve substantial institutional impact 37 percent of the time. This pattern—higher outcome than sustainability, higher sustainability than institutional development impact—is typical of all Bank projects. Still, in order to have an idea of how well projects that address social development themes are doing, it would be helpful to have a comparator group. How does this aggregate rating compare with other projects implemented during the same period? The answer is, quite well: All Bank projects over the same period have a satisfactory outcome rating 68 percent of the time, likely sustainability 50 percent of the time, and substantial institutional development impact 34 percent of the time. Thus, over a period of nearly 30 years,

projects that address social development themes are consistently rated 3 to 4 percent better, on average, than projects that do not address these themes. The overall percentage of Bank-financed projects rated *highly* satisfactory is 4.4 percent, while the percentage of Bank-financed projects with social development themes rated *highly* satisfactory is 5.8 percent.

Outcome

The study also compared the outcome ratings of each social development portfolio to a cohort of all Bank projects that were approved during the same period. Is the comparatively better performance of the various disaggregated portfolios consistent across thematic areas? To a large degree it is. The results showed that the social development project *Social development project outcomes were rated more highly in all portfolios but one (resettlement projects). Figure*

4.1 shows the portfolios and the relevant comparator for the period in ascending order of performance. The comparator is different for several of the themes because their implementation period covers distinct time spans. While the social funds portfolio is the most highly rated of the rated portfolios, the recent in-depth OED evaluation of social funds raised a number of caveats that warrant consideration in weighing relative performance.

The study also examined the combined outcome ratings of all social development portfolios over the period 1992–02. The data show that completed projects in this portfolio exhibited an improving trend (figure A.2 in Annex A).

Sustainability

The disaggregated social development portfolios did not fare as well against their comparators on sustainability, however (figure 4.2). Only three of the eight portfolios (indigenous peoples, culture, and resettlement) have higher percentages of the likely sustainability rating than the comparable cohort of Bank projects from the same time period. Indeed, the highest

performing portfolio on outcome, social funds, had the lowest likelihood of sustainability. And the worst performer on outcome, resettlement, attained sustainable results more often than the average Bank project during the time period covered by the resettlement portfolio. The difference becomes even more striking when one looks at the sustainability ratings for only resettlement projects that were rated satisfactory or highly satisfactory in outcome (67 percent)—85 percent of that group of projects is likely to be sustainable.

A recent OED “Lessons and Practices” publication on improving communities’ ability to manage their own development examined a cohort of 48 social development projects. The projects studied—including social funds and slum upgrading¹—while they did well in the other ratings scales, also compared poorly with the average Bank project with respect to sustainability. The observed performance weakness in sustainability is largely a function of projects’ tendency to leave infrastructure behind in poor communities without leaving a functioning social structure to support it, or to create new formal organizations and then to leave them on

Figure 4.1 Outcome Ratings of Social Development Portfolios Compared with All Bank Projects from the Same Period

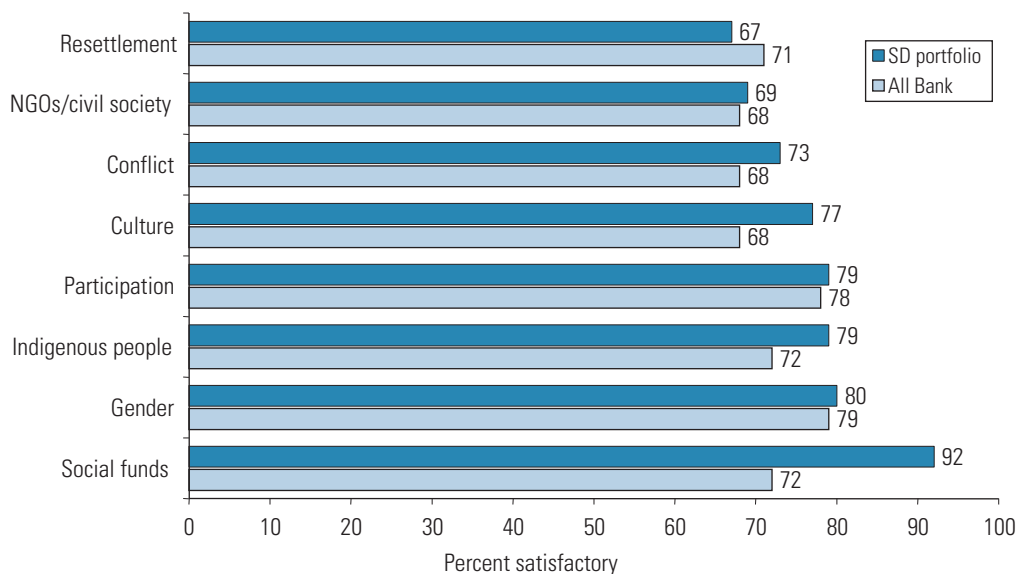
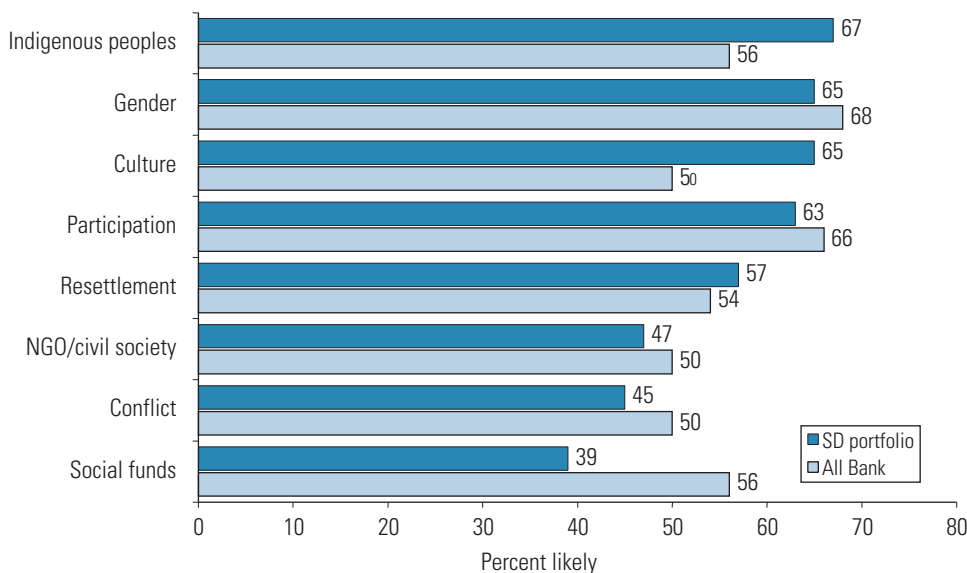


Figure 4.2 Sustainability Ratings of Social Development Portfolios Compared with All Bank Projects from the Same Period



their own prematurely. This explains the comparatively better sustainability performance of successful resettlement projects (which have less to do in this regard once beneficiaries are successfully resettled). This point is discussed further below.

Institutional Development Impact

Bearing in mind that even in the aggregate, institutional development impact was rated quite low (37 percent substantial impact), the disaggregated portfolios fared better than their comparators for a majority of the portfolios (figure 4.3). When compared with their contemporaneous cohort of Bankwide projects, the institutional development impact (substantial) ratings were higher for five social development portfolios: indigenous peoples, resettlement, social funds, participation, and culture.

Projects with Overlapping Social Development Themes Have Better Ratings

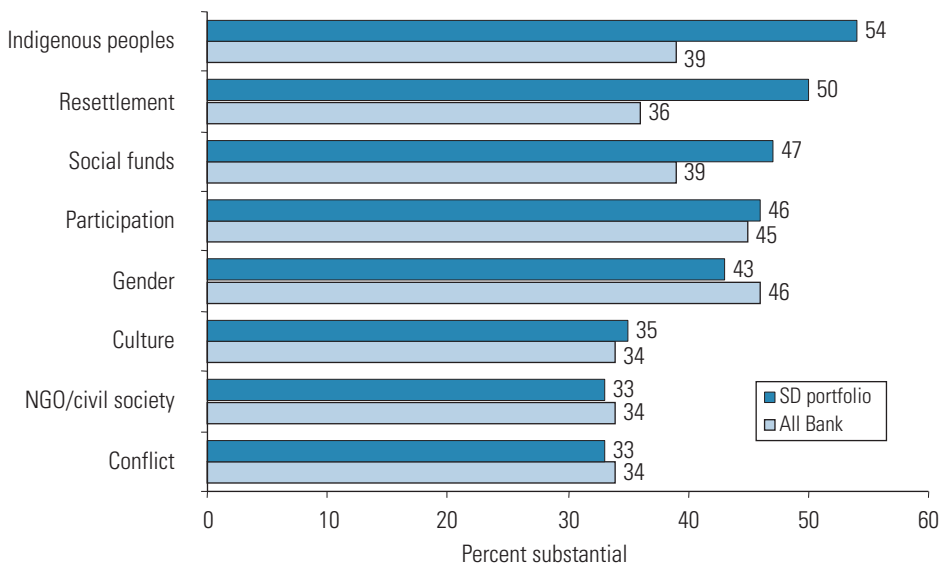
Portfolio overlaps result when projects address multiple social development themes. As Chapter 2 notes, the portfolio review process

uncovered considerable overlap between the projects mapped to each thematic area. In light of the meta-evaluation finding that there are synergies that result from the interdependent nature of social development themes, the study subjected the portfolio to further analysis to learn more about those synergies.

The study reviewed completed projects for portfolio pairings that had an overlap of 50 percent or more to search for thematic complementarity. In order to see whether more comprehensive treatment of social themes had an impact on project performance, the study reviewed the OED ratings of completed projects for those portfolio pairings. The average outcome rating for all Bank projects from 1972 to 2001 is 68 percent satisfactory. One grouping attained a 100 percent satisfactory rating, and eight out of nine bested the aggregated rating for the comparator group. Table 4.1 summarizes the ratings for projects with overlapping themes. Further detail on each overlapping portfolio is in Annex table A.2.

The projects studied compared poorly with the average Bank project with respect to sustainability.

Figure 4.3 Institutional Development Impact Ratings of Social Development Portfolios Compared with All Bank Projects from the Same Period



Sustainability and institutional development impact ratings were also substantially above Bank averages. This finding, together with the parallel meta-evaluation results, leads to the inescapable conclusion that many aspects of project-level social development work are

The more themes overlapped, the better the outcome, sustainability, and institutional development impact.

highly complementary, and they (probably) need to be designed and implemented in close coordination.

The study took this analysis a few steps

further to ascertain whether increasing social thematic coverage led to improved project outcomes. It did. Taking the pairings with the greatest overlap and adding a third portfolio, the study found that 11 of 13 of these portfolio combinations had satisfactory outcomes of 78 percent or better. Four groupings attained a 100 percent satisfactory rating (Annex table A.3).

The more themes overlapped, the better the outcome, sustainability, and institutional development impact, as shown in table 4.1. In particular, the outcome ratings increase from 81 percent in projects with two overlapping

Table 4.1 Ratings for Projects with Two, Three, or Four Overlapping Social Development Themes			
Number of overlapping themes	Outcome (% Satisfactory)	Sustainability (% Likely)	Institutional development impact (% Substantial)
2	81	62	45
3	84	63	47
4	90	64	49

themes to 90 percent for projects with four overlapping themes. (Also see Annex table A.4). There were considerably fewer examples of a five-project overlap, but three out of four permutations also had a 100 percent satisfactory rating.

Of the projects that overlapped at least four themes, ten were rated *highly* satisfactory in

outcome, and/or *highly* likely in sustainability (four were both). The study team performed a desk review of these ten projects to determine what success factors they might have in common. (The full report of the findings of this exercise can be found in Annex E.) As anticipated, these factors mirror findings of the meta-evaluation quite closely (see box 4.1).

Box 4.1	Key Characteristics of Highly Satisfactory Projects
<p>Ten highly successful projects that each dealt with at least four social development themes had several of the following factors in common:</p> <ul style="list-style-type: none"> • Success stems from quality participation of all stakeholders. • Giving the participants the responsibility for structuring their involvement in the project increases the likelihood of success and sustainability. • Stakeholders—beneficiaries in particular—participating in project design led to project success. 	<ul style="list-style-type: none"> • Project team composition and team continuity were critical to the success of the projects. • Providing integrated attention to social development themes led to better implementation and more socially sustainable benefits. • The analysis of socially relevant aspects of projects was necessary for success. <p>Reproducing many of these success factors in new projects requires sustained social development support at the project level.</p>



What Challenges Affect Implementation of Social Development?

Although there is an improving trend (the Bank has a long history and extensive implementation experience in several social development areas, and performance has been improving through the years), the way forward has not always been smooth. Every OED evaluation reviewed for the meta-evaluation reported highly variable treatment of social issues during implementation.

Consistency: Treatment Received by the Various Social Themes Is Highly Variable

Descriptions ranged from “uneven” to “unsatisfactory,” all the way to “destructive and socially inequitable.” Integration of social development good practice into Bank processes has been slow, and good quality assurance mechanisms are scarce. Implementation difficulties come in part from a fragmentation of responsibility, the consequence of the cross-sectoral nature of many social concerns.

Regional variation. Some Regions address social issues in projects more often than others (AFR and LCR most often, SAR and MNA least often—see table 2.2). But there are exceptions to these patterns—the treatment of ethnic minorities and/or indigenous people in AFR and MNA, for example.

Variation because of staff expertise. Treatment of these issues is highly variable for a number of reasons. Often it is dependent on the level of

staff interest and expertise. For instance, staff interested in cultural heritage, and those who realize its organizing power, take advantage of opportunities when they find significant physical cultural resources in their path (OED 2001f, p. 37).

Hesitation to deal with safeguard issues. Several of the OED evaluations reported a disappointing or uneven record of safeguard compliance,¹ although projects that address social development themes may do better in this respect than projects that do not.² Many of the OED evaluations highlighted recent improvements or identified an improving compliance trend. (The creation of the Quality Assurance Compliance Unit, QACU, and the development of the Integrated Safeguards Data Sheet are contributing to this improvement, and they were partly organiza-

Several of the OED evaluations reported a disappointing or uneven record of safeguard compliance.

An enabling environment is critical for a satisfactory outcome.

tional responses to the findings of the stand-alone OED thematic evaluations that this meta-evaluation draws upon.) Some social issues are less likely to be checked or included in projects than others, according to the evaluations. For instance, the OED social funds study concluded, “environmental assessment, natural habitats, indigenous peoples, and cultural property all appear likely to be relevant in a larger number of cases than have included them thus far.”³ The water resources study pointed out that some social issues—poverty, participation, and gender—are checked more, relative to others, during project appraisal. Similarly, of the safeguard policies, resettlement receives a more routine consideration than indigenous populations and cultural heritage.⁴

The OED evaluations reported that dealing with safeguard issues presents many difficulties—high transaction costs, risk, and a lack of capacity and ownership. These difficulties, combined with weak incentives within the Bank to implement safeguard policies, result in shortcomings. But despite the difficulties, performance has been improving in five of the evaluation areas.⁵ However, these improvements may only be in project design. According to QAG, the Bank’s performance in monitoring actual compliance does not meet the 100 percent quality standard expected for safeguard policies. (See the “Policy and Safeguards” section of the meta-evaluation report for specific supervision improvement recommendations.)

Recommendations for improvement. The OED evaluations shared several strong recommendations for improved implementation performance. First, *be flexible/agile*. OED evaluations in seven of the ten areas stressed the importance of flexibility—in processes, implementation, procedures, programming, and design. This

Incentives to work with social development themes are important.

strong message coming out of the OED evaluations resonates with general development

thought in that the ability to adapt to events and changes in stakeholders’ priorities is critical to effective projects.⁶ Second, *supportive management is key*. Several of the evaluations noted the need to lend greater support to staff to implement the policies, as well as the need to give high priority to appropriate staffing and structuring (OED 1998e, p. xvi). Third, *clear procedures are imperative*. Most of the evaluations flagged the need to develop or clarify procedures and guidelines. Things to consider included: determining responsibilities and designating leaders, refining procedures to be used, developing guidelines for planners, determining benefits and costs (for better planning), and outlining recommendations for implementation. Fourth, *cultivate an enabling environment*. An enabling environment is critical for a satisfactory outcome. Developing such an environment calls for support by government leaders and, more important, the willingness of public sector managers in line agencies to commit themselves and their staffs. Further, the evaluations found that a supportive legal framework was necessary for smooth implementation.

On the Bank side, incentives to work with social development themes are important. Some OED evaluations suggested that task managers need incentives to accommodate and experiment with social development approaches, especially their first time. Suggestions for maximizing effectiveness from the various evaluations include:

- Senior management must give high priority to staffing and structuring country teams.
- Country offices need to be adequately staffed (OED 1998e, p. xvi).
- Country directors need sufficient authority to make a wide range of programming and implementation decisions in the field (OED 1994c, p. 4).
- Good practices should be developed that encourage staff to be sensitive to predatory and exclusionary behavior that adversely affects projects and shared development objectives (OED 1998e, p. xiii).
- Completion reporting needs to deal with appraisal commitments on social and environ-

mental matters, especially those dealt with in the project environmental assessment.⁷

Social Assessments need to be done consistently where needed, but sector and Regional assessments may be able to make the process within the project context less resource-intensive in some cases, and depending upon the size and ethnic diversity of the country in question, there may be a role for national-level exercises. Social development plans stated in project concept documents need to be consistently implemented and monitored.

Maintaining the Flow of Socially Relevant Information

The OED evaluations found that learning about peoples' behavior and opinions in a continuous fashion is essential to ensuring that project objectives are relevant to people's needs, and that project implementation must take account of local realities. Evaluations in nine of the ten areas agreed that awareness of the socio-political realities and/or the performance of social analysis within borrowing countries is crucial to effective social development assistance. The post-conflict study noted that the Bank must thoroughly grasp a country's political framework to be relevant and effective. The Bank must understand that framework, since it is a major determinant of the prospects for sustained peace (OED 1998e, p. 21). Looking at social analysis in particular, the evaluations underlined its importance, noted that it was too often lacking when it was needed, and recommended it be performed in a more timely manner, and then used.

Seven of the ten OED social development evaluations reviewed by the meta-evaluation found that Bank operational staff do not have easy access to the technical social development knowledge they require. Knowledge is often either not organized in a manner that facilitates retrieval, or has just not been gathered, at least not by the Bank. The lack of knowledge and capacity handicaps subsequent projects. The culture study noted that task managers preparing projects lack information on whether

physical manifestations of heritage (OED 2001f, p. 10) are found in the project area, and reports, "even the most qualified staff are hampered by lack of sector analysis" (OED 2001f, p. 37). Even when the mechanisms for keeping track of experiences and building capacity are in place, capacity building takes time and training, and ongoing technical assistance is often necessary for benefits to materialize. The OED evaluations called for agreements with specialized partners for knowledge support, more intensive practical guidance, increased communication (especially regarding funding) with NGOs/ community-based organizations (CBOs), a greater commitment to learning by doing, and exchange of experiences across countries.

Awareness of the socio-political realities and/or the performance of social analysis within borrowing countries is crucial.

the mechanisms for keeping track of experiences and building capacity are in place, capacity building takes time and training, and ongoing technical assistance is often necessary for benefits to materialize. The OED evaluations called for agreements with specialized partners for knowledge support, more intensive practical guidance, increased communication (especially regarding funding) with NGOs/ community-based organizations (CBOs), a greater commitment to learning by doing, and exchange of experiences across countries.

Awareness of the socio-political realities within borrowing countries is crucial to effective social development assistance. Awareness of and responsiveness to a country's agenda for a given social topic in Bank assistance proves to be a very important factor for successful results. Eight OED evaluations reviewed for the meta-evaluation reported that a lack of specific country knowledge hindered project success.⁸ The evaluation reports recommend that the Bank become more knowledgeable about country issues by conducting inventories, performing local institutional analyses, and developing good practices, among other things, to avoid blunders and to improve performance.⁹

*Although social analysis has been improving, OED evaluations in seven of the ten areas reported that in many instances the focus is off the mark, the timing is problematic, and the findings are not used.*¹⁰ The evaluations found that there is considerable scope for improving the comprehensiveness and timeliness of assessment diagnosis, for expanding the analysis to include more than just traditional sectors, and for better mainstreaming of social themes into the Bank's analytical work in general.¹¹ In addition, the analysis that

is done tends to have a relatively narrow focus.¹² Most projects incorporated a focus on one or another social issue, and a holistic social assessment was missing from the majority of projects. The projects not only had a narrow treatment of the behavioral and social structural elements, but also provided little evidence that in-depth knowledge had been acquired, as found by the 2001 OED gender study (OED 2002c). Similarly, assessment of women's/gender issues was often limited and tended to ignore differential access to and control over assets and resources. Where it did pay attention to these issues, the analysis did not result in appropriate recommendations.

Even where assessments have been satisfactory, it is unclear from available documentation whether recommendations have been incorporated into project design and implementation, according to the forestry study (OED 2000e). The water resources study found that project documents suggest that social assessment is deferred to the implementation stage without specific budget allocation. Similarly, analysis of gender issues, often formulated within the framework of poverty and/or exclusionary policies for service delivery, has been integrated into the design of many projects, but attention to gender is seldom translated into action or monitored (Parker and Skytta 2000, p. 82).

Several of the OED evaluations also pointed out that, given the Bank's current strategic thinking, *little can be done until the link of a given social topic with poverty reduction is more fully explored*. Numerous approaches to the cultivation and retention of technical knowledge were suggested.

Not surprisingly, several of the OED evaluations recommended that the poverty reduction

The poverty reduction effects of activities and the economic growth and poverty reduction linkages need to be documented and disseminated.

effects of activities and the economic growth and poverty reduction linkages need to be documented and disseminated. The Bank needs to clarify how its gender, cultural heritage, and forestry policies are linked with its poverty

reduction mandate, and explain the operational implications for Bank processes and practices—this would be the responsibility of the relevant sector or thematic group. The evaluations also recommended that the Bank recognize the importance of specialized knowledge and cultivate such knowledge.

Part of maintaining a strong knowledge and resource base involves monitoring and evaluation in order to feed lessons learned back into the process and improve projects in action. Unfortunately, in all but one of the areas there is a critical lack of monitoring and evaluation.¹³

Resources are needed to maintain the flow of socially relevant information. The human and financial resources in the Bank for social development are inadequate for the number and scope of the mandates received. Though human resources are undoubtedly critical to the success of social development aims, all but one of the OED evaluations claimed that the human and/or financial resources for the task at hand were inadequate.¹⁴ This finding was confirmed by the survey of country directors. When asked whether there are areas where increasing the investment in social development support would yield *major* benefits, 87 percent said yes. In order to address risky and controversial social areas, the Bank's internal incentives and skill mix need to be enhanced so that operational staff feel they have the support and confidence of Bank management and country borrowers and access to the human and financial resources needed, as found by the forestry study (OED 2000e, p. xxv). Yet other evaluations mentioned the need to strengthen program management.

Each OED evaluation offered a slightly different suggestion for the most cost-effective way to deal with the lack of staff knowledgeable in social development areas. Suggestions included: rely on consultants and partnerships to do specialized work, maintain a minimum core of competency to deal with the "do no harm" aspects of the work, and employ a few strategically placed staff. Also noted was that these areas are generally risky and controversial, thus demanding the support of both operational staff and management. Suggestions along these lines

included: give high priority to staffing and structuring country teams and make sure there is upper-management support for the ideas.¹⁵

Budget allocations affect project performance. The OED evaluations found that even the most qualified staff are hampered by inadequate budgets for strategy implementation and project preparation (culture, forestry, and gender). Several evaluations noted difficulties complying with policy because the control of the budget was in the hands of country managers who had to deal with a tight budget constraint and whose highest priority was not always social development.

The evaluations noted the importance of aligning resources with strategies and objectives. To ensure safeguard compliance, expertise and funds need to be available to facilitate the process—in community-driven development, in culture, in forestry, and in post-conflict situations, among others, “Adequate funding, institutional capacity, and time are . . . needed within the Bank to ensure safeguard compliance and responsiveness to high-priority country demands” (OED 2002d). The investment pays off when country offices are adequately staffed, the post-conflict study report explains. It describes those investments as “a precondition for successful Bank intervention in post-conflict situations” (OED 1998e).

Continuity in staffing is key. This general OED lesson also applies to social development themes. The China case study of the forestry study noted that continuity among the staff managing Bank projects has been high at all levels in Bank forestry projects in that country, generally ensuring accumulated learning and greater impact. With this continuity, China has been able to create successful models that can be replicated within the forest administration (OED 2000h, p. 94). This lesson is underlined by the review of highly satisfactory projects in the previous chapter.

Borrower Institutional Development in the Broadest Sense

OED evaluations have long highlighted the lack of institutional capacity in borrower countries, especially in less powerful ministries such as

those that generally deal with social development themes. Not surprisingly, all of the OED evalua-

tions examined for the meta-evaluation agreed that the Bank’s impact on institutional development had been limited. This aspect of project context is an important factor in project success and can have broad effects when neglected. For instance, according to the OED forestry study, the Bank’s forest strategy overlooked fundamental governance issues that affect forest sector development, thereby hindering the entire program (OED 2000e, p. 45). Bank impact on institutional development has been limited—“modest at best,” according to one evaluation. Another evaluation was unable to link provision for its highly pertinent theme (NGOs/CBOs) to institutional development at all.

To give an example of the sort of skill deficits that social development staff (and the Sector Strategy Paper) need to be prepared to routinely address, Bank-financed rural water projects regularly build water systems and expect farmers to be able to maintain the pump and the piped system, keep books, collect user fees, run meetings, answer correspondence, budget for equipment replacement, and so on. Without sustained help, they almost never can do this. Skill differences are not confined to rural water projects. Successful forestry, housing, disaster relief, sewerage, and other projects that leave behind formal organizations for communities to manage require beneficiaries to perform similarly complex tasks. Such projects often rely on public employees (field staff) to supervise the sort of participatory activities they have precious little experience with, often in difficult-to-find and hard-to-reach areas.

The Bank’s focus is currently on building national-level government capacity. For lasting and broad impact, however, the OED evaluations found that it is important to look at all levels of institutional development—national, local, and NGO/CBO—and work to improve the existing system by clarifying (or creating, where necessary) procedures, roles, and responsibilities.

The Bank’s impact on institutional development had been limited.

The Bank recognizes that creating effective borrower capacity for dealing with social themes is more useful than hiring expensive foreign experts and that it has a lasting and broader impact, and Bank activities have explored some successful methods of capacity building. However, as noted, projects tend to focus only on institutional capacity building at the national government level, ignoring the local institutions, NGOs, and CBOs. Recommendations from the OED evaluations had two broad messages:

- Look at all levels of institutional development—national, local, and NGO/CBO—and work to improve capacity within the existing system.
- Make a road map by clarifying (or creating, where necessary) procedures, roles, and responsibilities.

Develop local capacity. Improvements in sustainability were found when efforts were made to create effective *local* capacity for management. The culture study found that reliance on local knowledge and experience may result in higher upstream costs (building in time for input,

Improvements in sustainability were found when efforts were made to create effective local capacity for management.

consultation, education, and conflict resolution), but determined that the improved sustainability of projects where stakeholders are sufficiently involved made up for this. This is likely to be true in other thematic areas, and is probably reflected in the higher sustainability ratings (relative to their comparators) for indigenous peoples, culture, and resettlement.

Developing partnerships and alliances: NGO participation in Bank projects is increasing, but actions vary greatly in depth and quality

The best way to adequately plan and supervise projects is often through partnerships. The Bank has had some valuable positive experiences with partnerships and with innovative approaches to participation, and the NGO study (OED 1999a) reported that Bank NGO guidelines are sound.

The Bank has increasingly encouraged the participation of partners (at the institutional level) and alliances (at the project level, “coalitions for change” in current parlance) since the early 1990s. For instance, the water resources study reported that the number of projects that involved an NGO specializing in gender at the appraisal more than doubled (from 8 percent to 19 percent) from one period to the next (Parker and Skytta 2000, p. 80). This participation had not been of the necessary quality, however. The NGO study showed that NGO/CBO involvement varies greatly in depth and quality, and that skepticism of NGOs leads to easy failure of partnerships on many levels.¹⁶

Partnerships have generated enhanced results in many Bank activities, but the OED evaluations recommended that the Bank not rush the process, and: (1) make deliberate and informed choices about who to partner with (consider all levels of government and NGOs/CBOs); (2) delineate a rationale, rules, and procedures; and (3) develop capacity.

NGOs and CBOs should be involved in the right sectors and “owned” by the borrowing country. OED evaluations in nine of the areas¹⁷ found that, overall, partnerships are beneficial. But they strongly urged more selectivity when choosing Bank partners. The NGO study reported that the Bank’s partnership approach is “ad hoc” (OED 1999a, p. xvi). The rhetoric of partnership and participation is “moving faster than the reality” (OED 1998e, p. 26), according to NGOs in Uganda quoted in the post-conflict study.¹⁸ Bank support for NGO and CBO involvement should be provided to projects in the sectors, and for the activities, where their involvement is believed to have a comparative advantage (OED 1999h, p. 31)—such as in cultural heritage (OED 2001f, p. 39). Additionally, partnerships in support of country programs work best when there is an agreed policy framework “owned” by the borrowing country, when sector professionals clarify the Bank’s core competencies and comparative advantage relative to partners, and when the Bank establishes businesslike alliances (that benefit both parties) with appropriate sharing of responsibility, according to the NGO study

(OED 1999a, p. 41). There is no one right partner in most cases, however, and effective partnerships are also the result of hard work, mutual learning, and common interests.

Participation is up, but the quality is uneven

Participation is up. In six of the OED evaluations, plus the social funds study, participation was reported to be high or increasing.¹⁹ *However, the quality and impact of participation was found to be uneven.* The OED participation study found that participation was often limited to only small parts of projects, was too rushed or superficial, or had been too ineffective to make much difference. Similar to other social strategies, plans for participation have become more ambitious during appraisal and design, while implementation has lagged. Participation was uneven during the project cycle and gains varied across Regions, often reflecting the extent to which borrowing countries pursue participatory approaches in their own programs, as found by the forestry study (OED 2000e, p. 15). Within the Bank, the most significant constraints were scarce time and money, rigid project cycles, inadequate incentives, and inconsistent management support for participation (OED 2002d, p. 3).

Participation may be increasing, but key stakeholders are often not consulted. As a result of safeguards, vulnerable stakeholders have been incorporated in project design, but other key stakeholders, including those most likely to cause harm, are often not consulted. The ways, for instance, that safeguards have been applied can thus contribute to conflicts among interests competing for resources—including conflicts between the indigenous poor and the nonindigenous poor, between the powerful and the poor, and others—without helping to establish transparent rules to hold all accountable and to monitor performance (OED 2000e, p. 16). Often, participation captures the input of an enclave within a community, partly because in Bank-assisted projects it often bypasses existing processes or organizations (OED 2002d, p. 2).

Often, the poorest—landless farmers, pastoralists, smallholders, and minority communities—

have little voice in planning and tend to be further marginalized in implementation (Parker and Skytta 2000, p. 83). *The rhetoric of partnership and participation is “moving faster than the reality.”*

Even when community participation mechanisms are in place, as in social funds projects, it can be difficult to reach the poorest communities because they are often the least competitive in preparing proposals. The social funds study also noted that this kind of decision-making may not be ideal for all types of projects, especially those that require higher-level decisions to benefit from economies of scale or to deal effectively with externalities (OED 2002b, p. xxvi).

Concentrating on participation at the micro level can lead to the loss of the macro planning perspective. While participation points in the right direction, according to the OED evaluations—enabling the Bank to play a catalytic role in operationalizing and scaling up domestic participatory approaches in several countries that were committed—it lacks financial resources for the training and capacity building needed to put the approaches into practice. Without an equitable overall country institutional framework, the impact of Bank attempts to focus on social issues at the community level will be marginal. This is the case with respect to women’s participation, according to the gender study, among others.

A better understanding of participatory techniques is needed

Increased stakeholder participation has improved outcomes in areas related to social development, but a better understanding of participatory techniques could lead to more consistent outcomes and impact. There is considerable room for quality improvement according to the OED evaluations. Local community members can be agents of transformation, but they must be adequately mobilized and organized; they must participate. Participation results in increased ownership; improved transparency

Even when community participation mechanisms are in place, it can be difficult to reach the poorest communities.

and accountability in contracting and procurement; and better relations between men and women, between villages and government agency staff, and between groups that have not traditionally cooperated (OED 2002d, p. 3). In the case of cultural heritage, bringing together those who live near an asset and those whose actions are destroying it to participate in the preservation process, may be the best way to preserve physical and living culture, and to ensure ongoing use by the surrounding community (OED 2001f, p. 27). However, several evaluations noted that care must be taken that intensive community involvement in planning

Broad-based approaches that include the views of all stakeholders offer more sustainable results.

Seek solutions with a broad support base. Three OED evaluations recommended that within and beyond the project context, solutions should be sought that have broad support and widespread public acceptance (OED 1998e, 2000e; Parker and Skytta 2000). Broad-based approaches that include the views of all stakeholders offer more sustainable results. In post-conflict countries, sustained peace is essential to sustained development. According to the OED post-conflict study, broad-based development, important in its own right, also contributes to sustainable peace (OED 1998e, p. 21).

The Interdependence of Social Themes

Many social themes are interdependent. Four OED evaluations (participation, forestry, NGOs, and culture) emphasized the value of integrating work on these topics with other social topics and with other areas in development to create synergies. Individual attempts to address single issues often suffer, while integrated approaches can create synergistic effects, and lead to better implementation and more socially sustainable benefits and institutions. The push for an integrated approach should not lead to (or be an excuse for) overly complex design. For example, the post-conflict study underlined this point, warning that challenging circumstances coupled with good intentions often lead project designers to attempt to implement more components than can be successfully managed.

While integrating social development themes in the design and implementation of projects can be advantageous, maintaining individual focal points within the Bank that center on a single theme increases the visibility of an issue. Various social development topics receive targeted support and individual treatment across the Bank structure. The current individual focal points may only be a temporary or interim measure (as social development efforts seem likely to become more integrated), but they help gain visibility through stand-alone units, leading to eventual mainstreaming.



What Are the Implications for Bank Organization and Procedures?

Three survey instruments were administered to selected Bank staff through Lotus Notes (see Annexes F and G). Each instrument had about 20 questions in 4 broad categories: improving the Bank's practice in social development, improving the skills balance of social development staff, Bank organization and social development, and contributions of social development staff to the work of task and country teams.

Given that the number of task managers is very large (more than 800 were identified by the study), a randomly selected sample of 263 task managers of ongoing projects with social development themes was identified, stratified according to the degree that sectors were present in the overall portfolio. The response rate was 17 percent (44 task managers), which is fairly typical of Bank staff response rates to surveys. The social development staff survey did not select a sample, opting instead for the complete universe, based on the SDV roster. This consisted of 164 permanent staff and long-term consultants. The response rate was 44 percent, and those who responded tended to be experienced. The average time respondents had spent working in social development in the Bank was 5.7 years (median of 5). All 49 country directors were sent the survey, and were asked to complete the survey themselves or pass it on to knowledgeable staff on their country team to fill out. The response rate was 53 percent. This is higher than normal and reflects the

support given by the country directors' network.¹

The Bank's Focus on, and Support for, Social Development Could Be Improved

A large majority of task managers (93 percent) said that the nature of their work routinely required attention to social development themes. Country directors rated the importance of social development quite high: 96 percent of respondents said that, based on their experience, attention to social development improves the development outcome of Bank operations. Randomly sampled task managers were also very positive: 83 percent said the same thing. Over 94 percent of the social development (professional) staff members that responded cited specific and unique contributions that social development has made to the work of the Bank (a selection of survey responses is in Annex F). The most common responses were (in descending order):

- More realism has been brought into all types of projects and instruments and it has opened the eyes of the Bank and its borrowers to the stakeholders’ perspectives.
- It has married the economic and social development agenda for sustainable development and poverty reduction.
- It has focused attention on indigenous peoples, resettlement, rehabilitation, post-conflict, and culture.
- The work of social development staff has fostered greater inclusion in Bank projects.

The social development contributions to the work of the Bank identified most often by the task managers were:

- It improves project design through better understanding of the social context.
- It leads to a clearer understanding of project impact.
- It contributes to sustainability.
- It improves relations with clients.

Social development work in thematic areas is more likely to build on best practice, and attention is being given where it is needed more consistently.

The meta-evaluation found that the OED evaluations generally reported an improving trend. The social development work that is being done in the various thematic areas is more likely to build on best practice, and attention is being given where it is needed more consistently than in the past. Social development staff perceive this trend as well. A very large majority (91 percent) noted that attention to social development is currently

being handled more appropriately than in the past—9 percent said that there has been no improvement. When asked about the impact of their own work, 89 percent said that it has had a *significant* impact on Bank operations.

Staff were also asked about the project cycle—specifically, which activities required more attention from social development staff than they were currently receiving. Nearly everyone thought that at least one aspect needed more attention. Of those that specified further, 17 percent said that all of them required more. The spheres are ranked in table 6.1 in descending order (of needing attention). Completion reporting, a subset of monitoring and evaluation (M&E), was named by 32 percent of respondents as the evaluative aspect most in need of consideration.

For the most part, task managers found the social development staff with whom they had worked on a project to be knowledgeable (90 percent) and found their inputs useful to the task they were addressing (92 percent). When task managers were asked whether they had recommendations for increasing the impact of the work done by social development staff on poverty reduction, their responses fell into four categories. Twenty-three percent of the respondents thought the way the Bank approached social development needed to be modified (see box 6.1).

An equal number of task managers (23 percent of respondents) were of the opinion that social development staff need to change their way(s) of thinking. Their comments fell into several groups—they suggested SD staff integrate better with their Bank colleagues and be more readily available when their help is

Table 6.1 In Need of More Attention from Social Development Staff	
Area	Percentage of respondents
Monitoring and evaluation	68
Supervision	61
Project identification	49
Design and appraisal	46

Box 6.1**Modifications Suggested by Task Managers**

- **Social development staff should work with their colleagues as part of interdisciplinary teams.**
- **Social development staff should be an integral part of country and task teams and should participate in development of CASs and Poverty Reduction Strategy Papers (PRSPs),¹ as well as be part of the quality enhancement team for projects.**
- **Social development staff's contributions should be less "audit-like."**
- **There needs to be an increase in staff with social development skills, and they need a budget adequate to complete their tasks.**

1. One surprising survey result was that about half of the task managers (50 percent) and social development staff (53 percent) opine that their work will not change and does not need to change as a result of the PRSP process.

sought; be open to new initiatives that might have social impact, even when they are not traditional social foci; develop some new techniques to work with the clients; listen more closely to the beneficiaries; and focus on the most pressing problems of the poor, and their limitations in addressing them.

About 18 percent of the task managers were of the opinion that social development staff needed to take a more practical approach. They urged social development staff to be more engaged in the monitoring and evaluation of project activities, with a more quantitative approach to situation analysis. They urged that social assessments and social development issues in projects be more sharply focused on just the pertinent issues. Survey respondents suggested that social development staff should avoid working in isolation, interacting more with task teams to make sure the approaches they suggest are relevant.

Task managers also had some ideas when asked the open question of how the role of the central Social Development Department (SDV) should be changed. They requested that social development staff stop "policing," coordinate more, and provide more support to operations. One respondent suggested that people be flexibly grouped by team or task force as needs arise and change. Respondents noted that PRSPs are often supervised by people who have limited operational experience and suggested that social development staff could add operational "know-how" to increase the likelihood that Poverty Reduction Strategy Papers

(PRSPs) would lead to action.

Some task managers thought that social development staff needed earlier involvement with projects so that the project design and project area could still be easily adjusted if that was required. The suggestion was made that social development staff become involved in all poverty reduction interventions from the very beginning.

Both country directors and task managers were of the opinion that social development staff could do more to train task managers so that they could handle routine matters without further support. Other related suggestions included a request for training in specific approaches that allow infrastructure projects to do a better job of targeting the poor.

A small number of task managers suggested that social development staff be recruited and selected differently. They thought that it was important that social development staff bring real grassroots experience and solid analytical skills to the Bank. They also suggested that recruiters look particularly for practical people who are able to communicate in plain language, as well as those who have the patience to build capacity and the interpersonal skills to network with a wide range of groups.

One area where *Task managers requested that social development staff stop "policing," coordinate more, and provide more support to operations.*

lay out participatory processes, 92 percent said they did. One cause for concern, however, is that a majority of country directors (58 percent) said that task managers are not adequately trained to recognize social development issues that arise during the project cycle and require specialized intervention. This perception is in line with the task manager’s request (immediately above) for more *practical* training.

More Work across Internal Units Would Help

One consequence of the Bank having moved into social development incrementally (and at least partially as a response to outside criticism) has been the creation of internal divisions, which some in the Bank refer to disparagingly as “silos.”² Dealing with each topic as it came up led inevitably to a bureaucratic separation of some social science practitioners from others, when it might have made sense to work together, or the separation of some policy aspects from others. For example, a gender unit was created in the Poverty Reduction and Economic Management Network, where it functions without day-to-day interactions with SDV. PREM staff often supervise the preparation of PRSPs, even if they lack the social science background (which SDV staff have) that would facilitate such a task. Similarly, crisis response was divided when a post-conflict unit was created in the Environmentally and Socially Sustainable Network and a Disaster Management Facility created in the Private Sector and Infrastructure Network. Further reinforcing these bureaucratic separations, the creation of separate safeguard policies directed staff focus to single issues, spurring the creation of additional separate units to deal with the various topics. This has led to the treatment of a number of social issues as individual entities in Bank operations.

Part of the solution is to work effectively across internal divisions. A commendable example of this is the Poverty and Social Impact Analysis Web site.

Staff opinions on the advisability of changing the organizational structure to bring practitioners closer together are negative (table 6.2), in part because they have change fatigue, but also because they do not

believe that the organization will get the structure right no matter how many times it tries. One person wrote, “I think it is less important whether or not [social development] is in SDV/PREM or HD [the Human Development Network] than whether we can break down all sectoral boundaries and get on with the business of multidisciplinary poverty reduction. Social development should be part of this agenda and all the rest about where it sits and what it is called is pure bureaucratic infighting.” Another person commented, “Because I am a realist and I know the Bank will always be dominated by economists, I would not recommend that we try to make gender and poverty ‘part of SDV’ (though there is a great deal of justification for making gender part of SDV). I fear also that if there were to be a ‘new stand-alone unit,’ it would be dominated by PREM economists.”

Of course, no unit can possibly include everyone and everything it might need, and any way that staff are organized inevitably will lead to new issues. Part of the solution is to work effectively across internal divisions. A commendable example of this is the Poverty and Social Impact Analysis Web site (created in January 2003 with inputs from across the Bank) that is managed jointly by PREM and SDV. A coordinated plan of work building on the site’s information is planned for FY04 and beyond.

Regional Groups Are a Key Link

Most of the Bank’s networks have representative groups in the Regions—the Environmentally and Socially Sustainable Development Network (ESSD), for example, has six Regional units. The Regional units are the link between the Bank and project stakeholders. For example, because of the controversy surrounding Brazil’s POLONOROESTE projects, LCR was one of the first Regions to deal with the rights of indigenous peoples. The approach of Regional social development groups consists of several tactics:

- *Safeguard compliance*—ensuring compliance with Bank social safeguard policies.

- *Operational support*—providing support in social assessment, involuntary resettlement, indigenous peoples, and cultural property.
- *Participation facilitators*—assisting the Region in promoting poverty reduction and participation in the development process by helping the Region to connect with civil society organizations and local communities.
- *Social development promotion*—promoting social development considerations in all Bank-financed operations.
- *Project preparation*—preparing a new generation of Bank-financed social development projects.³

Even though they all consider similar tactics, it is important to note that the Regional units focus to varying degrees on each of them, and some Regions focus more on task management, while others perform more of a support role to task teams. One of the main challenges faced by these Regional units is coordination—between their Regional and headquarters staff, with the rural and environmental teams they are linked to, and with other Bank task groups. They are also concerned with monitoring and evaluation of the social dimensions of development.

Country directors were asked to recommend ways to increase the utility of the

Table 6.2		Staff Groups Generally Oppose Merging Social Development Groups
Group	Percent opposed	
Social development staff	60	
Task managers	73	
Country units	65	

work of social development staff in the Regions. Some of the suggested modifications are listed in box 6.2.

Regarding the role of the Regional units, task managers were in agreement with the country directors. They would particularly like to see the Regional social development units be more team-oriented, and they see many advantages to having them merge with sector units. One task manager, expressing a point of view shared by many, said: “Social development staff sometimes act like police constables rather than broadly trained development professionals. . . [They are like] doctors dealing with malpractice problems—no amount of diagnosis is too much, especially when spending other people’s money.”

Box 6.2**Country Directors’ Recommendations**

- **Involve social development staff more in project preparation and supervision, and in helping field-based task teams to improve projects. Social development staff in the Regions need to develop more of a sense of ownership for development outcomes.**
- **Social development staff need to strengthen their analytic and presentation skills. Standards for analytical contributions need to be raised.**
- **Social development staff’s knowledge of country-specific issues must be first-rate.**
- **Change the safeguard clearance function of the Regional social development staff to an advisory function .**
- **A closer examination of staffing levels needs to be undertaken in the field and in headquarters to ensure that the proper mix is available to satisfactorily support social development interventions, both at the policy and the project levels.**
- **Social development staff need to do much more “hands-on” work and be exposed to field conditions. More social development staff could be based in country offices.**
- **Encourage more exchange of experiences among social development staff from different Regions and among those from the same Region. Improve knowledge sharing with country departments and country offices.**

Bringing Social Development Staff Closer to Task and Country Teams Would Help

Social development staff stated that their effectiveness would increase if they could be out in the field. When asked whether increased decentralization of social development staff would be an improvement, 56 percent said it would. Task managers felt even more strongly about this: 69 percent answered this question affirmatively. When they were asked about development outcomes, the pattern was much the same (69 percent of task managers and 56 percent of social development staff answered “yes”). A majority in each of the three surveyed groups also stated that relocating some headquarters staff to country or Regional offices would have a positive impact on development outcomes. Country directors were most likely to say that it would have a positive impact (82 percent affirmative), followed by task managers (61 percent) and social development staff (60 percent). The way in which this could be made to happen is a matter for the upcoming sector strategy to address.

An area of intense conflict centers on the administration of safeguards.

An area of intense conflict explored in the background reports centers on the administration of safeguards. Although staff agree that significant benefits accrue to projects from the application of the social safeguards, the manner in which this should be done is the subject of acrimonious debate. About 48 percent of social development staff see the transaction costs of the current patterns of practice as being so high as to discourage colleagues in Operations from pursuing other social development goals, and 83 percent of task managers thought that better ways could be found.

Bank and Borrower Social Development Inputs Could Be Fine-Tuned

The importance donor agencies place on social assessment is growing (see box 6.3 for relevant definitions). SDV recommends social assessment in projects that “depend on behavioral

change among individuals or within organizations, involve community implementation or beneficiary participation, or are targeted to the needs of the vulnerable and the poor.” They note that it is “useful for bridging ‘ownership gaps’ on the part of the borrower, by involving formal and informal stakeholders in design and implementation.”⁴ Taking it a step further, the Second Social Summit placed significant emphasis on social assessments, noting that their future scope and purpose will extend beyond use as simply a tool in project preparation. Summit participants called for them to include the implementation of systems to assess and monitor the social impact of macro-economic policies.⁵

Social assessments are performed (by the borrower) on about a third of World Bank–financed projects. In exceptional circumstances, such as a controversial large dam project, the cost of a social assessment can exceed \$500,000. This has only happened in a handful of cases, however, and several years of conducting social assessments have led to cost efficiencies across the board. SDV data shows that the costs for social assessments have declined slightly, from an average of \$75,000 in 1996, to \$37,500 (plus four staff weeks, or a total of \$57,500) per social assessment in FY01-02, with a range of \$15,000–120,000. Two OED evaluations found that the average time from terms of reference to draft for a social assessment at the Bank was six months.

Good Social Assessments Focus on Vital Issues

When social assessments are performed, they can strengthen projects. Successful social assessments are tightly focused on vital issues, giving them the minimum treatment necessary for full coverage of pertinent social aspects in their specific project context. When they concentrate on just a single component, social assessments can still be more useful than if they are used to make general statements about overall social and economic policy. Often, however, assessments are not performed because of a shortage of funds, time, or skills. Worse still, they are often done superficially,

Box 6.3**Social Analysis versus Social Assessment**

Social analysis generally refers to the Bank's expert social development input. According to ESSD, social analysis is "the systematic investigation of relevant demographic factors, socioeconomic determinants, social organization, sociopolitical context, and stakeholders' needs and values in order to account for the social differences, assess impact and risks, mitigate adverse impacts, and build capacity of institutions and individuals." It includes many types of analysis: stakeholder analysis, institutional and organizational analysis, participation analysis, gender analysis, beneficiary assessment, the social capital assessment tool, participatory poverty assessment, social assessment, conflict analysis, transitional support strategies (a short-to-medium-term plan for Bank involvement in a country in conflict), social impact analysis, safeguard assessment, and macro-social analysis.

Social assessment is the main analytical instrument used by aid agencies and their clients to examine the social context in which a given project will take place and integrate the findings of social analysis and participation into project design.¹ Assessments take into account social diversity, social cohesion, security, livelihood systems, gender equity, social opportunities and

constraints, stakeholder interests, participation, and social risks associated with a certain project. The basic components of the social assessment process, according to internal Bank discussions toward an Operational Policy covering social analysis, are (a) identification of key social development and participation issues; (b) evaluation of institutional and organizational issues; (c) definition of action plans and participation framework; and (d) establishment of mechanisms for monitoring and evaluation. For Bank-financed projects, the borrower performs such an assessment in order to weigh the potential benefits and costs (sometimes they hire external consultants). The assessment provides a "framework for reaching agreement about intended social development outcomes and the indicators to monitor those outcomes," and it "promotes dialogue and understanding among stakeholders; in turn fostering the organization of alliances for action" (World Bank 2001, p. 1). It also helps build the capacity of local social scientists.

1. The Bank issued its first social assessment guidelines in 1994, but they were voluntary. Four years later, the Bank dedicated itself to mainstreaming social assessment through social analysis and participation in all priority and high-risk projects through the Strategic Compact (FY98-00).

leading to "comfortable" findings, rather than high-quality assessments, or they overlook key and interrelated issues. One Bank study found a lack of methodological rigor, centering on a question of the representativeness of the samples chosen; a failure to limit their focus to issues critical to the project; and unevenness in coverage across projects, sectors, and Regions. Another difficulty with social assessments is that even when they are done well, the findings may not be fully used, or used at all. Several OED evaluations of topics related to social development found instances where analyses/assessments (environmental and social) were fully satisfactory, but it was unclear from available documentation whether recommendations had been incorporated into project design and implementation.

According to the QAG Quality at Entry Assessments (QEAs), which examine a random sample of 100 new lending operations each year, the quality of social risk assessment has dropped

from CY98 to the present, from 77 percent satisfactory or better in QEA1 to 60 percent in QEA5. The QAG social risk assessment ratings are shown in table 6.3.

When social assessments are performed, they can strengthen projects.

Table 6.3		Quality of Social Risk Assessment (percent satisfactory or better)
		Social risk assessment
QEA1 (CY98)		77
QEA2		81
QEA3		81
QEA4		79
QEA5 (FY02)		60

Source: QAG 2003, p. 53.

An unpublished SDV study noted that 46 percent of Bank projects underwent social assessments in fiscal 2002. The study examined 44 social assessments in detail. Within that subgroup it found:

- About 75 percent of the operations incorporated the recommendations in project design.
- Eighty-four percent informed the design and implementation of the M&E system.
- Ninety-five percent resulted in specific action plans for social issues and/or impacts.

The study noted that about half of the assessments were concerned with adverse impacts of Bank-funded projects. Issues most frequently reported were equity and distribution concerns and, to a lesser extent, social exclusion, vulnerability, and gender discrimination. It also found that where social benefits and adverse impacts were identified, fewer than half of the assessments fully defined monitoring indicators.

Assessment quality is only likely to improve if client commitment to social development goals increases. One of the country directors surveyed

Clear guidance and rules concerning when and how social assessment should be performed are needed.

noted a “disconnect of Government and Bank policies and an unclear understanding and commitment by clients to social assessment processes and application of

safeguard policies.” Staff interviewed for an SDV study of social analysis strongly believed that if the Bank wishes to require such assessments, it should fund them.

The OED evaluations suggest that clear guidance and rules concerning when and how social assessment should be performed are needed. Overarching social analysis should take place, covering issues in a coordinated way, considering Regional and sectoral issues, and then supplementing that knowledge with only necessary, targeted, and project-related assessment. Because social assessment is an iterative process, this information should be promptly integrated into project preparation and/or implementation, and the assessment process continued as needed. To coordinate such a process, the Bank may consider having each country team designate one person to oversee the collection and distribution of knowledge generated by social scientists working as civil society specialists and those working on social assessments and economic and sector work. The system of responsibilities should be reworked to make Bank social scientists assigned to task teams into overseers, affording them time to make sure that the whole is performing well. This is but one of several reasons why social development staff need to reconceptualize their work into a role that makes them function more as managers and coordinators of larger groups of less expensive consultants.



Conclusions and Recommendations for the Bank's Sector Strategy

The surveys conducted for this study show that Bank operational staff now consider social development integral to what they are doing, and they state that it has a significant impact on development outcome. The OED performance data that supports their view seems compelling: the inclusion of social development themes makes a difference.

Projects that addressed only one social development theme were rated 3 to 4 percent higher in three ratings categories (outcome, sustainability, and institutional development impact) than the overall average of Bank projects for a 30-year period.¹ Integrated attention to social themes (covering more than one theme, as appropriate) is apparently a recipe for success, according to the broader ratings analysis: projects that address *multiple* social themes concurrently perform even better on the same three ratings. Two-theme combinations beat the one-theme average, and larger overlaps did better yet. Even more encouraging is the likelihood that this picture will improve considerably: there is an improving project performance trend, there are highly satisfactory projects to study, and there is likely to be more effective quality control and a clearer vision of priority areas as a result of the elaboration of the social development sector strategy. This is not to say that improvements cannot be made.

Meta-evaluation findings and the results of the staff surveys highlighted a number of major

challenges that will need to be overcome if social development is to fulfill its potential to improve projects and the lives of the poor.

- There is a lack of clarity about what social development is and about when to use its different instruments (social analysis, social assessment, beneficiary assessment, social appraisal).
- There is a lack of consistency/quality in the application of these instruments.
- Recommended actions are often not implemented or monitored.
- Social issues identified in the CASs are not fully reflected in the Bank portfolio.

One challenge (which shows up more clearly in the survey summary background report) is that staff are evenly divided and disagree strongly about a number of issues. Perhaps most contentious is the safeguard clearance issue discussed in the previous chapter.

To give another example of contention, operational staff and task managers want social

development staff who provide operational support to spend more time out in the field, and the majority of social development staff believe that they would function better with a closer connection to Operations. Nevertheless, the 44 percent who do not agree represent significant resistance to any initiative in that area (assuming that many of the staff who do not want a closer connection are in the business of providing operational support), and relocation does not always lead to integration in any event. The social development leadership in the Bank needs to work on developing a consensus around some of these issues.

The Closer You Get to the Poor, the More You Need Social Development

In the past, the Bank built *things*; now, projects involve *people*. This can be seen in the success factors listed in box 7.1. The nature of these factors (detailed in Annex E) shows that there

In the past, the Bank built things; now, projects involve people.

is more interaction with communities than ever before. The Bank has gotten into this situation because of its renewed focus on poverty. Projects deal increasingly with community-based *organizations* because they have the best record of bringing services to the target groups, and they can do this at a relatively low cost. With this change, however, the Bank, which is traditionally good at “wholesale” projects, now frequently finds itself doing “retail” projects in some sectors. All three surveys show that social development

staff need (and many of them want) to spend more time in the field to support this effort: they recognize that within many projects there is a situation in need of attention.

Almost by definition, the poorer the members of a community organization, the lower the levels of its leaders’ technical skills and formal education. Consequently, Bank operational staff (and anyone who purports to work at poverty alleviation) need to be ready to address skills differences and deficits (whatever they may be) when they work with local institutions. Insofar as formal organizations are required to achieve project aims, while there have been some isolated (and successful) attempts to build on local organizations’ capacities, OED evaluations show that the need of those organizations for systematic support has not been adequately addressed. Bank projects that leave infrastructure behind in poor communities cannot assume that putting hardware into place is a contribution to sustainable development in the absence of a functioning social structure to support it. (This is the only problem for social development reflected in the ratings data: five out of eight disaggregated social development portfolios were rated lower than their comparators on sustainability).

The institution’s renewed emphasis on poverty reduction will depend heavily upon the tools that the Bank’s social development specialists bring to the job. Bank operational staff need to be able to work effectively with poor communities so that they become involved in effective change. The success factors (Annex E) and the problem discussed

<p>Box 7.1</p>	<p>Success Factors in Highly Satisfactory Projects with Social Development Components</p>
<ul style="list-style-type: none"> • Stakeholders, especially beneficiaries, participated in project design. • The project made participation inclusive and brought in participants early on. • Implementers viewed participation as a continued process. • The project built institutional capacity at all levels. 	<ul style="list-style-type: none"> • It involved beneficiaries in project implementation. • It secured a community contribution to the project and its future maintenance. • It drew on community traditions. • It built on local NGO capacity. • It made sure participation was culturally appropriate.

above are worth looking at again in light of the following question: Can the necessary activities be managed by Bank staff? The answer is: Not very easily. It is too expensive to have headquarters-based staff spend nearly all their time in the field, and, even if they were relocated, there are so many communities for each project that need support that the size of the Bank would have to be multiplied. Instead, dedicated project staff, local networks, NGOs, and even project champions can work with communities until they develop the necessary new skills and can go it alone. If such a course of action is chosen, the resource implications must be recognized. Social development staff working with project teams (especially those from the country office) can be used as *managers/coordinators* of collaborators who will work closely with project beneficiaries. The World Bank simply must develop the skills it needs (and to some degree already has) to work with poor communities on poverty alleviation. This cannot be left to others. There is no evidence that smaller and more agile organizations do poverty alleviation consistently well either. The highly successful projects show clearly that a few task teams have learned what needs to be done. A major challenge is to identify champions within the Bank and learn more from the inside.

Social Development Efforts Need to Move Upstream and Downstream While Recognizing Organizational Limitations and Borrower Reluctance

The meta-evaluation argues that (a very broad range of) projects require more attention to field conditions than is the case at present. One mistake the institution has made has been to load onto social development what economic development should do. Consequently, social development has historically been focused on the negative “policing” side—ensuring compliance with policy—at the expense of the positive “results-oriented” side—helping to ensure that project benefits have an impact on poverty. It should not be the role of social development specialists to make a socially negative project work out. While the meta-

evaluation and staff opinions show that social due diligence is taking place increasingly often at the project level, they also show that too often it is still just an add-on.

What makes the challenge facing social development so difficult is that more needs to be done both upstream

and downstream. Preparing projects that attain sustainable outcomes and strengthen local institutions requires (as prerequisites) a supportive policy environment, the availability of social knowledge, and putting timely, socially relevant information into the right hands. Trouble-free implementation often depends on the provision of medium-term implementation support, often up to loan closing. Satisfactory project outcomes also frequently depend on these things. The study has identified a number of problem areas that need to be addressed:

- Social development advice is often inappropriate for operational needs or is related to policy compliance.
- The most pressing social issues identified by country directors are not addressed by the Bank's Social Development Department.
- Working with borrowers at the policy level should be a higher priority for social development staff.
- Social development specialists need to have a greater presence in the field.
- When social development staff are providing operational support, they need to be more closely integrated with the task team and country office and to share the team's agenda and timetable.
- Most poverty-focused projects need more institutional support from social development specialists than other interventions, and far more than they are currently receiving.

The only social themes that currently have any operational guidance are those covered by

The highly successful projects show clearly that a few task teams have learned what needs to be done. A major challenge is to identify champions within the Bank and learn more from the inside.

social safeguards, including involuntary resettlement and indigenous peoples. Clearly these are important issues that should not be neglected. But rather than being the entry point for good social analysis, the special emphasis on existing safeguards seems to be crowding out other important social issues. The study can only speculate whether this is caused by a lack of resources, adverse reactions to overzealous enforcement, or fragmentation of the social issues across structural boundaries, especially across networks and departments. But historically, within the Bank, the most significant constraints have been scarce time and money, rigid project cycles, inadequate incentives, and inconsistent management support. Even within SDV, at both the levels of country analytical work and operations, more effort should be made to make this work more systematic.

When country directors were asked whether the governments they work with are interested in confronting social problems in Bank-financed projects less or more intensively, 63 percent said *less* intensively. This challenge needs to be confronted. The lack of institutional capacity in borrower countries, especially in less powerful ministries such as those that generally deal with social development themes, is problematic. A supportive enabling environment is critical for a satisfactory social development outcome. Developing such an environment calls for sustained outreach to government leaders and public sector managers. Further, supportive legal and policy frameworks will help to improve implementation and the attainment of the MDGs. OED will need to evaluate ongoing policy and macro-level work with civil engagement, social accountability, and the social impact of public expenditures and adjustment lending, when enough time has passed to allow the impact to be seen.

The lack of institutional capacity in borrower countries is problematic. A supportive environment is critical.

To be quite succinct, the Bank needs to do more than it has to date to convince both its own staff and its borrowers of the potential of social development. Even though the majority of staff strongly support the Bank's social

development aims, an important minority (17 percent of surveyed task managers, for example) do not, and consequently are less likely to design projects that take social development into account. One task manager had the following suggestion for social development colleagues, "[You] have to demonstrate win-wins to economists and country directors, reduce transaction costs, and learn to communicate in Bank jargon." More visible and widespread project success will undoubtedly help.

What Is Currently Being Done Is Not Commensurate in Scale with What Is Needed, and Often Does Not Fall in High-Priority Areas

The Bank cannot achieve its development objectives by providing financing and then walking away. Ignoring the risks of adverse social impacts and evolving beneficiary priorities can lead to highly visible and costly errors that damage the Bank's reputation. Under the current organizational structure, established resource allocation patterns, and existing job descriptions, social development staff have not been able to provide country and project teams with the social development support they believe is needed if project-level interventions are to fully and sustainably achieve their objectives. Staff—especially task managers and country directors—state this unambiguously. Achieving all of the above will require more effective work with NGOs, contracting out, greater flexibility in processes, and supportive management. More care will also have to be taken in determining responsibilities and designating leaders, refining procedures to be used, developing guidelines, determining benefits and costs for better planning, and outlining recommendations for implementation. Obviously, this would have significant resource allocation implications that would have to be carefully considered.

Institutional reform was mentioned as a priority more often in the CASs than any topic that the Bank currently defines as social development. When country directors list the highest-priority social concerns facing their countries (see the background report summarizing the survey findings), it turns out

that only a few of them are areas currently supported by SDV. Similarly, a review of Bank and borrower social development priorities as expressed in the CASs highlights many areas not currently in its purview. The CAS analysis also noted how often transparency, accountability, decentralization, anti-corruption, and public services for the poor were mentioned.

Achieving the Bank's Poverty Goals Requires More Intensive and Prolonged Interactions with the Poor, and the Resolution of Lingering Monitoring and Evaluation and Knowledge Management Deficiencies

Project designs and related participation activities need to give greater consideration to the stakeholders most likely to undermine or harm development efforts (Annex E). Results that alter negative power relationships, or that give communities new control over their destinies through new organizations and infrastructure, have a long gestation period, and solutions are almost always highly context-dependent. Meanwhile, the institution faces a serious incentives problem in the conflict between activities that lead to rapid disbursement and activities that bring stakeholders to the point where they can go it alone. Exacerbating this situation are the well-known monitoring and evaluation deficiencies: without being able to demonstrate that local groups need more attention than they are currently getting, field needs have often been overshadowed by procedural requirements and the need to work with government staff in the implementing ministries.

The Bank works in the same countries, Regions, and sectors over and over again. The lessons of experience need to be incorporated in projects, but doing that requires appropriate integration. SDV has prepared a draft operational policy that provides a framework for a more systematic approach. Chapter 1 suggested a four-part conceptual typology for social development, and argued that the inadvertent blending of these conceptions had led to some of the fuzziness that typified discussions in the Bank about this topic. Even in the same project, it is not unusual to find multiple conceptions of social development in

use. Social issues are currently addressed systematically to the degree to which individual task managers buy into these issues and are able to allocate resources for them from project preparation budgets. Assigning a member of the country team to coordinate the flow of socially relevant information, funded directly by country budgets, would lead to greater consistency. The Sector Strategy Paper should address this knowledge management challenge.

If the demands of country directors and task managers (as reflected in the surveys) are to be met, it will mean more resources for social development, without reducing resources for something else. It is also likely to have a bearing on the staff skills mix and job descriptions, staff deployment, and coordination.

Country directors and task managers call for more support and a separation of staff with enforcement and project preparation responsibilities. It is too soon to determine whether the recent creation of a Regional Safeguard Coordinator² will mollify the critics, but it is clearly an important step in the right direction.

Other steps being taken include a number of recent initiatives developed by the Bank's social development specialists on policy and macro-level work with civil engagement, social accountability, and analysis of the social impact of public expenditures and adjustment lending. These initiatives have the potential to raise client awareness of social development's potential to enhance project outcomes and to bridge the organizational divisions within the Bank. While not a part of this study, they will likely be covered in the context of forthcoming OED evaluations.

Project designs and related participation activities need to give greater consideration to the stakeholders most likely to undermine or harm development efforts.

Assigning a member of the country team to coordinate the flow of socially relevant information, funded directly by country budgets, would lead to greater consistency.

Recommendations

Drawing on these conclusions, the study makes four recommendations to be followed up by the Bank as part of its forthcoming social development strategy.

Since the study shows the strong positive interaction of some social themes, the Bank (through the Social Development Sector Board) should identify—and promote integration within—the thematic combinations that improve outcomes.

- Even though the most effective thematic combination for any given project is generally context-dependent, the summary of recent experience in this paper can inform task managers designing new projects. Social development experts should help task managers to maximize the use of integrated approaches to social issues.
- Social development specialists should undertake further research on thematic interaction to discover how to maximize the benefits of this finding, including how to best monitor its impact.
- As projects that integrate multiple social development themes close and prepare completion reports, SDV tracking systems should record the results of thematic interaction, and responsible staff should share findings through the appropriate networks and thematic groups when their analysis shows that improvements in project design are possible.

The Bank’s human capital and the borrowers’ existing institutional capacity need to be employed to provide task and country teams with the relevant social development expertise throughout the project cycle.

- Social development specialists should be engaged early in the project design phase and as required thereafter.
- Project teams need to make use of and strengthen institutions within the project area and those already serving it to some degree, especially national organizations that have training institutions of their own.

- National and local institutions should remain engaged long enough to ensure that local groups can perform all of their critical functions without further assistance.

Country teams need to have the capacity to identify critically needed social knowledge and to facilitate its flow.

- Procedures, accompanied by adequate resources, need to be put in place to ensure that country and task teams have access to the social information they require.
- Country and task teams should be assigned clear responsibility for ensuring that social assessments are carried out at the right level (project, country, sector, or Regional) where social information can be most usefully aggregated to address project issues.
- Social development staff within the country team should compile relevant existing social information, such as inventories of physical cultural heritage, analysis of potential conflicts, institutional analysis, and culturally relevant good practice. Technical knowledge on some social topics (notably how to preserve cultural heritage and effectively promote participation) needs to be developed and/or better organized.

Sector staff need to ensure that stated Bank or policy priorities receive adequate treatment across Regions and countries, and Bank strategic planning needs to address current skills and monitoring and evaluation gaps.

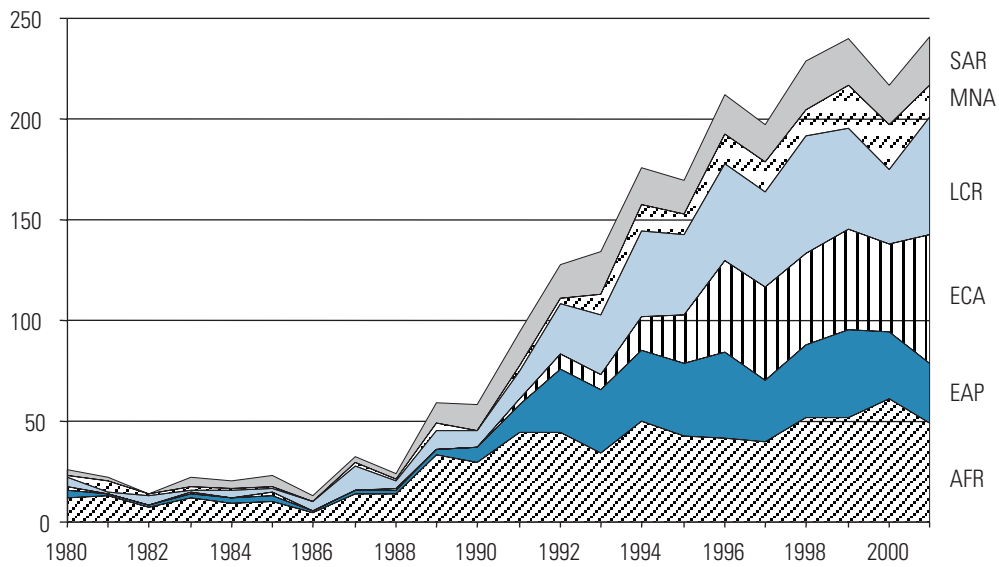
- Country strategies should more consistently incorporate social themes to strengthen the overall institutional framework in the country.
- Unless the Bank is prepared to relax existing requirements for social due diligence, it must maintain a sufficient core of staff who are adequately trained in the specialized thematic areas of social development. But all Bank operational staff also need to be sufficiently skilled to routinely take into account in their work the themes of gender division of labor, cultural traditions, and conflict-reducing ethnic interactions.
- The Bank’s social development strategy should give particular attention to monitor-

ing and evaluation. Social development plans stated in Project Concept Documents should be more consistently implemented and monitored. Completion reporting should more

systematically deal with appraisal commitments on social matters, especially those included in the project's socially relevant assessment reports.

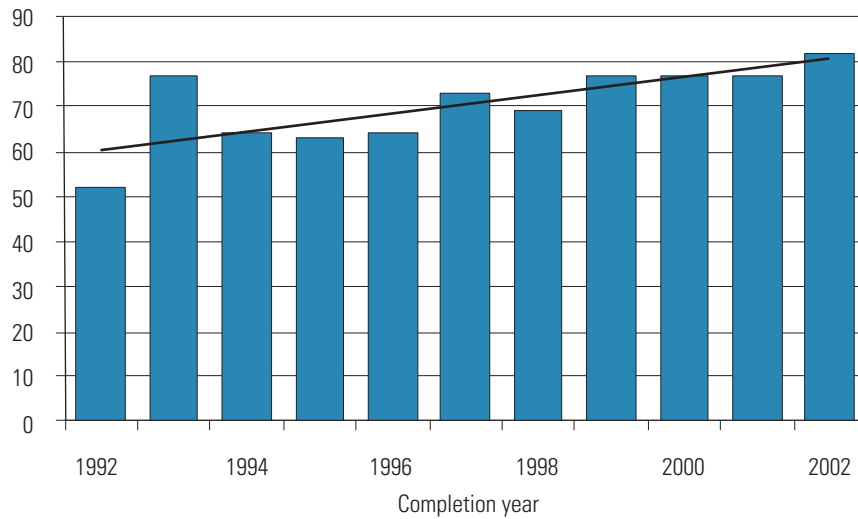
Figure A.1 Social Development by Region, 1980-01

Number of SD projects approved



Note: Actual numbers were not available for the participation portfolio for the years 1998-01. The numbers for this portfolio were projected for 1998-01 using the rate of growth in the portfolio between 1994 and 1998.

Table A.1		The Top Three Sectors for Each Social Development Portfolio								
Sector	All Bank projects (1992–2002)	Community-driven development	Culture	Gender	Indigenous peoples	NGOs	Participation	Conflict	Resettlement	Social funds
Agriculture	1	1		1	1	1	1	3	3	
Economic policy	3									
Education	3			3		3	2			
Energy/electricity			2						2	
Environment			3		2					
Finance										
Health, nutrition, population		2		2		2	3			3
Industry										
Mining, oil, & gas										
Multisector								1		2
Private sector development										
Public sector										3
Social protection		3						2		1
Social development										
Telecommunications										
Transportation	2				3				1	
Urban			1							3
Water										

Figure A.2**The Outcome Ratings of Social Development Portfolios Show an Improving Trend****Percent satisfactory****Table A.2****OED Ratings of Completed Projects with Highest Overlap of Two Social Development Themes (in descending order of satisfactory outcomes)**

	Rated projects (number)	Satisfactory outcomes (%)	Likely sustainability (%)	Substantial institutional development impact (%)
Participation & social funds	19	100	50	39
NGOs & social funds	39	92	45	45
Gender & social funds	19	89	53	44
Indigenous peoples & participation	80	81	70	55
Gender & participation	122	80	65	47
Gender & NGOs	145	79	61	40
NGOs & participation	175	79	63	43
Resettlement & participation	28	70	63	44
Culture & participation	3	67	67	33

Table A.3

Comparing Outcome Ratings: Projects Dealing with Three Social Development Themes

Themes	Projects (number)	Projects rated (number)	Satisfactory (%)
NGOs, participation, social funds	28	19	100
Gender, participation, social funds	24	16	100
NGOs, social funds, indigenous peoples	17	11	100
Gender, NGOs, conflict	32	11	100
NGOs, participation, conflict	28	14	93
Gender, NGOs, social funds	48	19	89
Gender, indigenous peoples, NGOs	118	51	84
Gender, indigenous peoples, participation	81	44	84
Gender, NGOs, participation	302	110	81
Gender, NGOs, resettlement	48	5	80
Indigenous Peoples, NGOs, participation	109	64	78
Resettlement, participation, gender	32	4	75
NGOs, participation, resettlement	63	16	63

Table A.4

Comparing Outcome Ratings: Projects Dealing with Four Social Development Themes

Themes	Projects (number)	Projects rated (number)	Satisfactory (percent)
NGOs, participation, social funds, conflict	5	4	100
NGOs, participation, social funds, gender	24	16	100
NGOs, participation, social funds, indigenous peoples	8	5	100
Gender, participation, social funds, conflict	4	4	100
Gender, participation, social funds, indigenous peoples	8	6	100
Gender, NGOs, social funds, conflict	5	4	100
Gender, NGOs, social funds, indigenous peoples	12	6	100
Gender, NGOs, participation, conflict	17	9	100
Indigenous peoples, NGOs, participation, gender	75	41	85
Indigenous peoples, NGOs, participation, conflict	6	4	80
Gender, NGOs, participation, resettlement	28	4	75
Indigenous peoples, NGOs, participation, resettlement	19	8	63

ANNEX B: METHODOLOGICAL NOTE

This study is essentially a meta-evaluation that draws on recent and ongoing OED evaluations that address specific components of social development or stakeholder social processes. It supplements this process with the analysis of data from several other sources (triangulation). Key aspects of the research process are described in this annex. A fuller and more detailed description of the study methodology is contained in a Design Paper that is available on request.

The study addresses the following broad evaluative questions:

- What factors identified in completed and ongoing self- and independent evaluations enhance and constrain the general pursuit of the Bank's social development objectives?
- Have some methods of introducing social concerns into Bank work been more effective than others? What has been the experience of other donors in terms of effectiveness?
- To what degree have social development issues been incorporated into Bank lending activities and policy formulation? What constitutes the Bank's social development portfolio?
- To what degree has attention to social development issues influenced Bank activities in the field throughout the project cycle? Is there a rhetoric/reality gap?
- What light does (already completed and ongoing) self- and independent evaluation shed on the impact of social dimensions? To what extent does social development show up within important Bank macro processes such as the CAS? How do social development interventions compare with other Bank interventions?

Design Paper and Consultations

The study team prepared a detailed Design Paper, which is also available on the study Web site.¹ Initial outside consultations carried out with the Utstein group,² Switzerland, Sweden, and the U.N. informed the Design Paper process. Input from within the Bank and from other development partners was used to inform the development of survey instruments. Study team members approached key internal stakeholders, inviting suggestions for questions, themes, and topics that should be explored within the context of the study. Responses were received from the Country Directors Network, the Social Development Department, and the Safeguards Team. Three preliminary instruments were put together to survey social development staff, operational staff, and country directors. The first drafts of these instruments were shared with selected evaluation partners, development institutes, and members of the Social Development Advisors Network. Subsequently, Bank staff from all around the organization are being given the chance to ensure that the questions are relevant and sufficiently comprehensive.

Web IQ decisionmaking software, a new technology for OED evaluations, was used to gather staff feedback. WebIQ interface offers a unique opportunity to see what informed colleagues have to say about the surveys while there is still time to make them better. Clean copies of the three preliminary surveys were put into the WebIQ format, online. Staff were notified of the session and could begin by logging on at their convenience and reviewing the proposed survey questions. Given a set period of time in which to respond (in this case, one week), they

were free to comment on individual questions and respond to comments already posted at their leisure. The information and suggestions gathered from the reviewers were taken into account by the study team, and the questionnaires were reworked accordingly. Subsequently, each pilot participant was sent a Closure Report, summarizing the findings of the session, and the new version of the questionnaire. Even when the suggestions proved to be contradictory, contributors appreciated the chance to be heard, and were able to see why their particular suggestion may not have been taken on board by the study team. After this process, the surveys went out to the respondents.

Surveys

Staff from the Bank were surveyed with the three instruments described above. These are included in Annex G. Special questions that reflect the reality of staff sitting in different places in the bureaucracy were formulated.

The Goal Matrix

The Study Design document developed benchmarks for the review of social development in the Bank, given the absence of organizational goals and strategies. OED evaluations

normally compare the Bank's actions with its objectives, but social development lacks clear objectives or a formal strategy. To compensate for this, a goal matrix that synthesizes Bank objectives for social development was developed (see box B.1). Both internal and external documents and statements relevant to the World Bank's work with social development were reviewed. These included: the Social Development Strategy Issues Paper, 2002; World Bank Safeguards, 1984–2002; the World Development Report 2000/2001; the Social Development Task Group Report, 1997; the Strategic Compact, 1997; the Participation Sourcebook, 1995; The Millennium Development Goals (MDGs), 2001; the Copenhagen Declaration and Program of Action, 1995; and relevant speeches given by World Bank President James Wolfensohn. The goal matrix summarizes the social development objectives contained in the previously mentioned documents. It assesses their priority (based on frequency of appearance), their clarity, and their applicability to social development (as opposed to human development). The goal matrix facilitates the assessment of relevance (of the policy yardsticks used to measure Bank progress to date) in the various research activities.

Box B.1

How the Objectives Matrix Was Made

First, the Bank documents were examined and the objectives that emerged were placed in the matrix. The objectives were found to cluster around several subjects—poverty reduction, gender, sustainability, partnership, participation, human development, indigenous peoples, conflict prevention and reconstruction, NGOs/civil society, empowerment, culture, security, inclusion, resettlement, governance, social capital, livelihoods, and community-driven development. While there is no consensus within the development community regarding which subjects should be included in a definition of social development, and which should not, these subjects cover the middle of the spectrum. They are listed in order of their im-

portance as judged by the number of documents mentioning objectives in these categories.

Next, the Bank-adopted international documents were examined and the objectives placed in the matrix. Because parts of those documents relate to the Bank system and others do not, the identification of relevant objectives within these statements was limited to the categories derived from the examination of the Bank documents to ensure that the matrix of Bank objectives did not include only Bank social development objectives. For the most part, the objectives in the two sets of documents were parallel, indicating that the Bank objectives are highly relevant to internationally accepted social development objectives.

Literature Review

The literature review (available on request) was prepared in parallel with the Design Paper. It is not intended to be exhaustive or to cover the many thematic areas of social development in depth. Rather, it was intended to give the study an overview of what these areas are, and, more important, a broad understanding of social development as a field. The literature review draws from books, journal articles, and bilateral and multilateral aid agency publications, evaluations, and studies. It focuses on key policy issues, social development tools and indicators, and current debates and (anticipated) cutting-edge issues in social development.

Portfolio Review

The study did not do a traditional portfolio review because there are very few stand-alone social development projects. Nevertheless, several completed OED evaluations identified clusters of projects that capitalized on social processes (participation, empowerment, NGOs, and the like) or addressed specially defined groups (indigenous peoples, gender). To the extent practicable, these “portfolios” of Bank-supported projects with social development processes or targets were updated so that they take recent experience into account. Projects in the pipeline that were included in earlier OED evaluations were dropped from the analysis in this study. If they had not been approved in the intervening years, there was little reason to expect that to happen in the near future. Social aspects of projects were identified through documentary analysis of a sample of completed, ongoing, and proposed projects. Additional sources of data include initial executive project summaries, project concept documents, and staff appraisal reports. Follow-up research to ascertain the effectiveness of social activities began with the OED database of ICR and PAR findings. The study also reviewed the role of social development in Country Assistance Strategies and drew on Quality Assurance Group assessments of quality at entry and economic and sector work.

Meta-Evaluation

The term *meta-evaluation* refers to any type of evaluation designed to aggregate findings from a series of evaluations. A new analysis of a series of completed evaluations often can identify more definitive evidence (of effectiveness or ineffectiveness) than can be obtained by undertaking a stand-alone evaluation—that is, one that does not build on what has already been done. Meta-evaluations can put project and program achievements in perspective and provide summative findings about impact that are missed unless the results of individual evaluations, which on the surface may appear contradictory, are examined systematically as a single body of evidence.

The task facing the meta-evaluative component of the social development study was to find ways to compare and contrast the findings of many evaluations, while letting the completed OED evaluations speak for themselves as much as possible. Using the goal matrix as the study analytic framework could obscure some clear and consistent messages that come out of this important body of work and constrain an in-depth analysis that has the possibility of taking many interesting and important factors into account. Instead, the analytic framework below (see table B.1) has been tailored to gather and organize the less quantitative information from the OED evaluations. Pilot testing showed that it seems to highlight the most operationally relevant conclusions, findings, and recommendations of the 15 relevant evaluations.

The information gathered from the OED evaluations fell into several categories of findings. Below, the findings are listed and the evaluations that agreed with a finding are noted with an X in the table.

Designing the Framework

The process that was used to develop the framework is straightforward. First, the text of six of the evaluations was reviewed for conclusions relating to social development generally. These were combined into one master list. Even this list included findings pertaining to a very broad range of issues. The challenge facing

Table B.1		The Meta-Evaluation Findings on the Degree of Agreement among OED Evaluations of Social Development-Related Topics										
Finding	Cultural heritage	Forestry	Gender	NGO	Post-conflict	Resettlement	Water	CDD	Indigenous peoples	Participation	Other studies	Percent
M&E is lacking	X	X	X	X		X	X	X	X	X		90
Increased stakeholder participation has improved outcomes in areas related to social development, but a better understanding of participatory techniques could lead to more consistent outcomes and impact. There is considerable room for quality improvement.		X	X			X	X		X	X	Social funds	60
The active participation of NGOs in Bank projects is increasing, but actions vary greatly in depth and quality.	X	X	X	X	X	X	X		X			80
The Bank has a long history and extensive implementation experience in several social development areas, and has been improving through the years, but there is highly variable treatment of social issues within countries and across Regions.	X	X	X	X	X	X	X	X	X	X		100
The human resources in the Bank for social development are not adequate for the number and scope of the mandates received.	X	X	X	X	X		X	X	X	X		90
Financial resources: Although policies have been made, a lack of funding hampers their effectiveness.	X	X	X	X					X			50
KM: Awareness of the socio-political realities within borrowing countries is crucial to effective SD assistance. The Bank needs to improve its project context knowledge.	X	X	X	X	X		X		X	X		80
KM: Bank staff do not have easy access to the technical knowledge they require (dealing with social topics).	X	X	X	X			X		X	X		70

Poverty reduction knowledge: There is little knowledge within the Bank concerning the link between project activities and poverty reduction.

Treatment of social issues in **CASs** has improved, but the quality of the treatment is variable.

Learning about peoples' actual behavior and opinions in a continuous fashion is essential to ensuring that project objectives are relevant to people's needs, and that project implementation takes account of local realities. Six evaluations that underlined the importance of **social analysis** in the areas being studied, noted that it is too often lacking when it was needed, and recommended it be performed in a more timely manner, and then used.

Bank impact on **institutional development** has been limited. For lasting and broad impact, it is important to look at all levels of **institutional development**—national, local, and NGO/CBO—and work to improve the existing system by clarifying (or creating, where necessary) procedures, roles, and responsibilities.

Many social themes are interdependent and need to be addressed from a holistic perspective. Individual attempts to address single issues often suffer, while integrated approaches can create **synergistic** effects.

Need to improve **sustainability**. Suggestions given.

Partnerships have generated enhanced results in many Bank activities, but choosing partners wisely is key.

X	X	X	X	X	X	X	X	X	X	X	X	40
X	X	X	X	X	X	X	X	X	X	X	X	60
X	X	X	X	X	X	X	X	X	X	X	X	80
X	X	X	X	X	X	X	X	X	X	X	X	100
X	X	X	X	X	X	X	X	X	X	X	X	40
X	X	X	X	X	X	X	X	X	X	X	X	90
X	X	X	X	X	X	X	X	X	X	X	ARDE Social funds	70

(Table continued on the following page.)

Table B.1 (continued)												
Finding	Cultural heritage	Forestry	Gender	NGO	Post-conflict	Resettlement	Water	CDD	Indigenous peoples	Participation	Other studies	Percent
There is a lack of borrower ownership of social development activities . Bank-funded activities can only achieve sustainability to the extent that borrower "owns" a given project. A <i>broad</i> base of support from stakeholders is key to successful outcomes.	X	X	X	X			X		X	X		70
Bank assistance that is responsive to or framed within the country's agenda for that issue has been proven to be a very important factor for successful results. Some issues may be better addressed at a country rather than at a project level.			X	X					X			30
There has been policy success, but too often a lack of clear policy hinders the Bank's efforts in social development.	X		X		X		X		X			50
Within the project context, attention to social issues and safeguards is uneven . Many evaluations identified an improving trend, however.											ARDE Social funds	60
Focal points : critically needed (social) information needs to be channeled through a stand-alone unit, in some cases with the aim of eventual mainstreaming, but in others permanent positions may be required.	X		X	X		X	X	X	X			50
There has been policy success, but too often a lack of clear policy hinders the Bank's efforts in social development.												

the study team was to resist the temptation to impose categories on the various findings based on collective preconceptions. Consequently, the decision was made to use *emic* categories—that is, those suggested by the findings themselves. To the degree possible, the preliminary framework presented below used the wording and taxonomy of the documents being drawn upon.

The Use of Emic versus Etic Categories in the Meta-Evaluation

Although emic and etic categories are most commonly used in anthropology, and research that tries to capture the reality of studied groups, it is a powerful tool for use in meta-evaluation, keeping the research team faithful to the words and concepts used by the authors of the OED evaluations that constitute the primary data for this undertaking. Emic categorization makes sense of things according to the way participants classify their own world. Discovering, recording, and analyzing emic categories is the basis of much recent research in a number of social science disciplines. Etic categories classify research findings according to some external system of analysis, often brought in by someone who is an outsider to the process or processes being studied. The use of etic categorization has been discredited in that it assumes that the current researcher is better able to see an objective reality than are the participants in a process and previous researchers. While it is often not possible to find usable emic tools for analysis, where it can be done it often yields better results. It is also more respectful of the work that has already been completed.

Comparisons are greatly facilitated by a systematic consideration of the factors that are integral to the primary data. In a meta-evaluation, the findings of the evaluations *are* the primary data. Grounded theory³ is a general method for developing theory that is grounded in data systematically gathered and analyzed. The method is applicable to data collected from interviews, observation, or documents, or from a combination of these sources. The grounded theory is a function of the study's

research questions. The information is analyzed using open coding, an analytic device that identifies patterns in the data using emic categories. The development of open codes allows the study to summarize and synthesize the evaluation findings, without foreclosing the richness of the data in the rush to make sense of it. Therefore, the process is only valid to the degree that the codes fit the data. Forcing the data to fit the codes would be a serious analytic error.

In the framework below, bullet points would be the emic categories, in that they come from the findings of the evaluations. As a point of departure, the bold heads would represent a summarized taxonomy from the source documents. But they could also be derived by a process Glaser called focused coding (Glaser 1992). For the final report, broader analytic categories will be developed from the coded findings (that is, those placed in the analytic framework). In focused coding, the preliminary categories (codes) developed in the initial analysis are applied to larger amounts of data—in this case, the full universe of OED's socially relevant evaluations (described in a separate annex). The coded data in the analytic framework were compared with data from self-evaluation and data from other non-Bank studies. This process is sometimes referred to as *the constant comparative method*, whereby analyzed and coded data are constantly confronted with new data for verification purposes. The resulting broader categories are the result of the way coded data clusters together. The strength of the approach is that it provides a strongly supported analytic insight rather than a simple summary of discrete works. This is an iterative process: many versions were required before it was possible to present the vast body of information in a way that is true to the source documents while responsive to the study's evaluative questions. Each new version illuminates the data, however. A study of the material that does not yet fit the framework (labeled in the current version as *Extras*) leads inexorably to a better framework, which deals more simply and transparently with the primary data.

Table B.2 Evaluation Framework											
	Culture	NGOs	Post-conflict	Forestry	Participation	Gender	Resettlement	Rural water	Social Investment funds		
Policy											
Supervision											
Participation and civil society											
Social capital											
Implementation											
Human and financial resources											
Mainstreaming-related											
Knowledge management											
Borrower institutional development											
Synergy/ies											
Sustainability											
Selectivity											

The columns, of course, represent the OED evaluations. It is easy to imagine more categories than those presented here. The meta-evaluation is based on a more evolved version of this framework. As findings required additional categories during the meta-analysis, they were created. Conversely, however, categories are not created just to unleash a search for data that is not there, or (in its own terms) already fits elsewhere.

CAS Review

The study analyzed how social development is addressed in the Country Assistance Strategies (CASs). The CAS, which delineates the Bank

strategy for a country, based on a Bank assessment of country priorities and input from the borrower, indicates the level and composition of assistance to be provided based on the strategy and the country’s portfolio performance.

The study team examined the most recent CASs of 109 countries for information on the Bank and borrower’s assessment of social development needs. First, the documents were analyzed to identify which of eight social development areas the Bank works in were mentioned in the text of the CAS, to see if these issues were appearing in the documents. The categories searched for include: gender, indigenous peoples, participation, community-driven

Table B.3

CASs for Each Region that Mentioned Social Development Topics (percent)

Region	Total CASs	Participation	Gender	NGO/civil society	CDD	Indigenous peoples	Conflict	Culture	Resettlement	Number mentions of topics in Region	Ratio ^a
AFR	38	(82%) 31	(73%) 28	(63%) 24	(13%) 5	(0%) 0	(16%) 6	(5%) 2	(3%) 1	97	2.5
EAP	11	(73%) 8	(82%) 9	(45%) 5	(18%) 2	(9%) 1	(9%) 1	(18%) 2	(0%) 0	28	2.6
ECA	26	(73%) 19	(54%) 14	(46%) 12	(15%) 4	(12%) 3	(19%) 5	(15%) 4	(0%) 0	61	2.3
LCR	21	(67%) 14	(57%) 12	(48%) 10	(14%) 3	(52%) 11	(8%) 1	(9%) 2	(0%) 0	53	2.5
MNA	8	(63%) 5	(75%) 6	(63%) 5	(38%) 3	(0%) 0	(13%) 1	(50%) 4	(0%) 0	24	3.0
SAR	5	(80%) 4	(100%) 5	(60%) 3	(80%) 4	(40%) 2	(20%) 1	(0%) 0	(40%) 2	21	4.2
Total	109	81	74	59	21	17	15	14	3	284	2.6
Percent of total	100	74	67	55	19	16	14	13	3		

a. Number of CASs for that Region to mention the topics.

Note: The number below the percentage is the actual number of CASs in which a topic was mentioned. The highest occurrences for each topic are in bold type, while the second-highest occurrences are in italicized type.

development, NGOs/civil society, resettlement, culture, and conflict. In addition to these topics, the analysis also noted how often institutional reform (transparency/accountability and decentralization), anti-corruption, and public services for the poor were mentioned (see table B.3).

To check if Bank priorities resonate with borrower priorities, as well as what the Bank can operationally manage given its structure, the analysis included an examination of the “Summary of Development Priorities” section of each CAS. In this section, the Bank lays out and rates the priorities it has determined for its work in that country. The borrower rating of these priorities is also noted in this section. The team examined three parts of the summary: public sector, gender, and social development.

Whether or not a given country’s portfolio reflects what was said about social development in the CAS is an issue covered by the

scatter plot (figure 3.2) in Chapter 3. The data behind the plot are shown in table B.4.

Desk Study of Highly Satisfactory Projects

Of projects that overlapped four themes, only ten projects were rated *highly* satisfactory in outcome, and/or *highly* likely in sustainability (four were both). These were:

- Peru Rural Roads and Rehabilitation Project (*Loan 3962-PE*)
- Morocco Emergency Drought Project (*Loan 3935-0, 3935-1 MOR*)
- Bosnia-Herzegovina Local Initiatives (*N002-0 BOS*)
- India Maharashtra Earthquake Recovery (*Credit 2594-IN*)
- Kazakhstan Technical Assistance (*CPL-36420*)
- Indonesia Village Infrastructure Project (*Loan 3888-IND*)

Social development theme	Africa		East Asia		Europe and Central Asia		Latin America and Caribbean		Middle East and N. Africa		South Asia	
	CAS	Portfolio	CAS	Portfolio	CAS	Portfolio	CAS	Portfolio	CAS	Portfolio	CAS	Portfolio
Community-driven development	13	43	18	27	15	35	14	42	38	39	80	47
Conflict	16	9	9	9	19	10	8	9	13	10	20	3
Culture	5	2.5	18	4	15	4	9	2.5	5	4	0	2
Gender	73	40	82	34	54	20	57	34.5	75	38	100	58
Indigenous peoples	0	1	9	12	12	2	52	32	0	4	40	21
NGOs	63	55	45	51	46	43	48	57	63	57	60	74
Participation	82	55	73	61	73	39	67	53	63	43	80	76
Resettlement	3	3	0	37	0	5	0	7	0	5	40	25

- Indonesia Second Village Infrastructure Project (*Loan 4100-NIN*)
- China Iodine Deficiency Disorder (*Project 39140; 3914A; 27560*)
- Kyrgyz Republic Health Project (*IDA-28600*)
- Chile CL Secondary Education (*CPL-38830; SCL-38836*).

The study team examined these projects to determine what success factors they had in common, if any (see Annex E). Project Performance Audit Reports (PPARs), if available, and Implementation Completion Reports (ICRs) for the projects were examined for factors and findings pertinent to social development success. The conclusions were developed by an iterative process similar to that described for the analytic framework. A separate analytic framework was generated early in the process

(derived from a case study). This was then repeatedly confronted with new data from subsequent cases—the constant comparative method described above. Success was attributed to several common project characteristics that were also emic categories. These characteristics were noted and then separated into two groups: factors related to social development (for example, stakeholders, especially beneficiaries, participated in project design) and general factors of success (such as performed consistent monitoring and took corrective action when necessary). The list of general factors of success contained in this volume is incomplete, as there were many more that were not at all related to social development, yet still important to project success. It will be recalled that the focus of the exercise was on the social development factors that led to success.

ANNEX C: DEFINITIONS OF SOCIAL DEVELOPMENT

The **Asian Development Bank (ADB)** believes that social development “promotes people’s well-being alongside a dynamic process of economic development. People must have equitable access to the economic and social benefits of development. It supports development interventions that build upon culture, social structures and institutions. Local initiatives and people’s needs are merged through a participatory approach. This helps improve the lives of the poor and other vulnerable sectors.” *Source:* ADB Web site: oesd.adb.org/socdprimer.asp

The **Department for International Development (DFID)** definition of social development is all-encompassing: “Social development is a growing discipline which aims to refine development work by making it more accountable, more equitable, and more appropriate. Throughout, the focus is on the needs and interests of the poorest people. Social development brings together various strands that in recent years have contributed to development thinking and practice. These include:

- an understanding of how gender issues influence all aspects of development practice and policy;
- a realization of the need to give poorer people a voice and encourage their participation;
- an awareness of the social and cultural factors affecting all efforts to improve people’s lives; and
- an emphasis on people’s rights.”

“Together with formal economics and formal political or institutional analysis, it covers every aspect of human relations. It is central to every type of development cooperation—as much

with energy or transport as with health or education, and as much with macro-economic policy as with micro-enterprise. A social development approach aims to secure more equitable relations between people—within and between households and communities. It is because the social development approach is concerned with relationships that issues including social support networks, participation, social exclusion, gender, and poverty can all be integrated within a single framework. In this case it can be seen that the specific outcomes expected define social development. DFID’s approach strives for increased proportions of men and women who (i) are active participants in social groups, communities, and structures of governance that affect their lives; (ii) have reduced their vulnerability to natural and man-made shocks and disasters; and (iii) have achieved sufficient livelihood security to be able to exercise choice in relation to their priorities and needs as they define them.” *Source:* DFID Social Development Factsheet. Can be viewed at: www.dfid.gov.uk/index.html

The **United Nations Development Program (UNDP)** equates social development with “sustainable human development” (1990). It defines this as “enhancing human capabilities for enlarging human choices.” *Source:* *Lincoln C. Chen and Meghnad Desai, “Paths to Social Development: Lessons from Case Studies,” Development with a Human Face: Experiences in Social Achievement and Economic Growth*, Santosh Mehrotra and Richard Jolly, eds. (Oxford: Clarendon Press, 1997) 422.

Participants of the **World Summit for Social Development, 1995**, defined it as: “The well-being of individuals and the harmonious functioning of societies in a context of sustainable economic

growth. Development on a social level includes the provision of a decent living standard for all, work and employment without discrimination or exploitation, gender equality, social cohesion, democracy and respect for human rights. The development of the individual in a peaceful and creative society and world also implies the sharing of moral norms of decency and responsibility.”
Source: www.geneva2000.org/index_en.html

Social development experts, **Lincoln Chen and Megnand Desai** believe that “Every level of society is engaged—the individual, the family, the community, and the nation state. Social development is holistic, encompassing physical and psychosocial well-being, a healthy polity, and harmonious social relations—not simply the abundance of material goods.”
Source: Lincoln C. Chen and Meghnad Desai, “Paths to Social Development: Lessons from Case Studies,” in *Development with a Human Face: Experiences in Social Achievement and Economic Growth*, Santosh Mehrotra and Richard Jolly, eds. (Oxford: Clarendon Press, 1997), p. 422.

Ignacio Garaycochea from International Cooperation for Development (ICD), Peru, believes social development is “a process in which multi-dimensional activities, particular and general, take place in both quantitative and qualitative terms.”
Source: Ignacio Garaycochea, “The Methodology of Social Development,” in *Evaluating Social Development Project*, David Marsden, ed. (Oxford: Oxfam, 1990), p. 67. See p. 18 for more information on the history of the debate., ed.

David Marsden, a professor at the Center for Development Studies, University College, Swansea, Wales, states that social development “addresses problems of access to resources, the provision of basic needs, the distribution of those resources, the room to maneuver in straitened circumstances, and the effectiveness of the use of those scarce resources. It examines the different value premises on which policy decisions are made, and the contexts in which they are elaborated. It takes as its starting point the willingness of govern-

ments to intervene to direct development efforts, and to contribute resources to the satisfaction of basic needs and the redistribution of assets on a more egalitarian basis. But it also recognizes the inability of many governments to intervene effectively, and the rising importance of what are termed non-governmental organizations (NGOs) in the provision of resources, to supplement those of governments.”
Source: Ignacio Garaycochea, “The Meaning of Social Development Evaluation: Thematic Paper,” in *Evaluating Social Development Projects*, David Marsden and Peter Oakley, eds. (Oxford: Oxfam, 1990), p. 67.

Gerard Rolland, of the *Centre Lebrét*, a research-action organization based in Paris, claims that social development “should enable each society to bring about the dynamics of endogenous development and development from below.”
Source: Gerard Rolland, “Social Development as a Vision of Societies,” *Development 2000*, 43:2; 94.

Paul Streeten, Professor Emeritus of Economics at Boston University, describes it as a three-dimensional process: social service and social transfers; economic access and productive returns; and social integration.

Neil Thin, Professor, University of Edinburgh, School of Political and Social Studies, defines the term for the paper “Characteristics of DFID-Funded Projects” as “any aspects of Department for International Development’s (DFID’s) work which seek to improve social relations (structures, systems, patterned relations among individuals and groups and through networks and organizations), and/or social institutions (attitudes, values, informal networks, patterned behavior, identity).” He notes difficulties in defining the term, stating that a “challenge for this review has been that of identifying what is understood as ‘social development’, a term which was barely used and not defined in the original project Concept Paper.”
Source: Neil Thin, “*Characteristics of DFID-Funded Projects*.” SD SCOPE Paper no. 12, DFID SD SCOPE Project (Bath: Center for Development Studies, University of Bath, 2000).

ANNEX D: WORLD BANK OPERATIONAL POLICIES RELEVANT TO
SOCIAL DEVELOPMENT

1. OMS 2.20 *Project Appraisal* (1984)
2. OP 2.30 *Development Cooperation and Conflict* (2001)
3. OD 4.15 *Poverty Reduction* (1991)
4. OD 4.20 *Indigenous Peoples* (1991)
5. OD 8.60 *Adjustment Lending Policy* (1992)
6. OP 8.50 *Emergency Recovery Assistance* (1995)
7. OP 4.01 *Environmental Assessment* (1999)
8. OP 4.20 *The Gender Dimension of Development* (1999)
9. OPN 11.03 *Cultural Property* (1999)
10. OP 4.02 *Environmental Action Plans* (2000)
11. OP 4.07 *Water Resources Management* (2000)
12. GP 14.70 *Involving NGOs in Bank-Supported Activities* (2000)
13. OP/BP 4.12 *Involuntary Resettlement* (2001)
14. OP 4.36 *Forestry* (2002)

ANNEX E: KEY CHARACTERISTICS OF HIGHLY SATISFACTORY PROJECTS

Of those projects that overlapped at least 4 themes, 10 were rated *highly* satisfactory in outcome. The study team examined these 10 projects (a desk review) to determine what success factors they might have in common.¹ Project Performance Assessment Reports (PPARs), if available, and Implementation Completion Reports (ICRs) for the projects were examined for factors and findings pertinent to social development success.

Within the referenced documents, success was attributed to several common project characteristics. These characteristics were noted and then separated into two groups: social development-related factors (such as “stakeholders, especially beneficiaries, participated in project design”) and general factors of success (such as “performed consistent monitoring and took corrective action when necessary”). As anticipated, these mirror findings of the meta-evaluation quite closely. The list of *general* factors of success is incomplete; it has been edited down for brevity and to omit those that were not at all related to the topic under study (box E.1 lists the social development-related characteristics of success, along with the number of projects in the set of 10 that noted that characteristic as important).

What emerges from this exercise is that these highly successful projects agreed on several things. First, that success stems from *quality participation of all stakeholders*. Quality participation in the context of these highly satisfactory projects means that the process is inclusive, culturally appropriate, and sustained. In the Peru Rural Roads and Rehabilitation Project, community leaders, the heads of NGOs, and community members were all involved in project process. Strong publicity

efforts were carried out to reach community members and encourage their active participation, especially that of women and others who might hesitate to express themselves. Participation of various social groups helped improve structures of accountability, encourage greater dialogue, and contribute to good governance at the local level, as in the India Maharashtra Earthquake Recovery Project. The ICR for that project points out that women’s organizations are able to play an important and highly influential role in projects that involve intensive social interaction, and should be inducted into formal administrative structures for developmental programs to aid communication and foster participation. To reduce the risk that they might try to undermine the project, the Kyrgyz Republic Health Project brought in important stakeholders with the ability to cause potential harm, such as health facility managers, physicians, and other health personnel, early on in the process.

Another important factor was *giving the participants the responsibility for structuring their involvement in the project*, thus increasing the likelihood of success and sustainability. The Morocco Emergency Drought Project ICR notes that the sustainability of locally operated, community-based systems is greatly enhanced if communities are involved from the beginning in planning their water supply system according to their needs and their willingness to pay. Likewise, the success of the Peru Rural Roads and Rehabilitation Project was partially attributed to the fact that participants were in charge of structuring their involvement in the project.

Especially important is that stakeholders—beneficiaries in particular—participate in project design (9 out of the 10 projects noted

this), while their local needs and traditions were also incorporated into the design. For example, in the Morocco Emergency Drought Project, the sustainability of locally operated, community-based water systems is greatly enhanced if communities are involved in planning from the beginning, helping to design the project according to their needs and their willingness to pay.² The Peru Project documents note that project design was in tune with the local ethos. It grew from what already existed (traditions, practices, and groups), which was a factor that enhanced the likeli-

hood of community support and project sustainability. In the Bosnia-Herzegovina Local Initiatives Project, demand-driven and well-tailored technical assistance largely contributed to highly satisfactory performance of partner organizations, thus contributing to the success of the project. In addition, the Second Indonesia Village Infrastructure Project ICR notes that task managers should not simply look up “best practice,” but analyze local needs and find local solutions with the local people. On a similar note, an evaluation of the Indonesia Village Infrastructure Project found that

Box E.1

Characteristics of the 10 Highly Satisfactory Projects in the Desk Study

Social Development Characteristics for Success

- Stakeholders, especially beneficiaries, participated in project design to help clearly identify desired outcomes. (9/10)
- Had a project team with relevant country (political and social), sector, and project experience. (8)
- Provided integrated attention to social development themes. (7)
- Made participation inclusive and brought in participants early on. (6)
- Analyzed socially relevant aspects of the project: risks, community participation, and NGOs. (6)
- Viewed participation as a continued process. (5)
- Built institutional capacity at all levels, improved institutional design or procedures. (5)
- Involved beneficiaries in project implementation. (4)
- Secured community contribution to the project and its future maintenance. (4)
- Built social capital: the “success breeds success” approach. (4)
- Employed consciousness-raising activities as appropriate. (4)
- Had a livelihood focus. (3)
- Drew on community traditions. (2)
- Built on local NGO capacity. (2)
- Made sure participation was culturally appropriate. (2)
- Demonstrated the broad effects of the project. (2)

General Characteristics for Success

- Planned for risks.
- Maintained staff continuity.
- Created local consulting capacity.
- Enabled self-selection of beneficiaries.
- Carried out the project in conjunction with another donor agency.
- Created broad support and ownership.
- Avoided unnecessary complexity.
- Performed consistent monitoring and took corrective action when necessary.
- Project preparation used lessons—past projects, country dialogue, the pilot project, Bankwide experience, and direct observations.
- A pilot project provides an ongoing example to use for continued testing and honing of project design and to guide the planning and execution of the project.
- A well-structured, decentralized management system, with clear responsibilities, roles, and procedures.
- Frequent field visits.
- Maintained a database of project information.
- Developed technical and operational guidelines and manuals for implementation of project activities.
- Develops at a reasonable speed (consistent with the absorptive capacity of the borrower).
- Institutional development at all levels.
- The extensive use of small local private firms.
- On-the-job training opportunities.
- Labor-based construction methods.

working directly with village people rather than through local government produced sound, sustainable results and is an approach worthy of replication.

Project team composition was critical to the success of the projects in 8 of the 10 cases. In-depth knowledge of the political and social context and continuity of the team members were crucial. In the India Maharashtra Earthquake Recovery Project, the Bank fielded teams with diverse expertise for project supervision, including a sociologist, community participation experts, community housing experts, financial analysts, seismic engineers, an earthquake reconstruction specialist, a disaster management specialist, a small-scale industry specialist, a civil engineer, a procurement specialist, and a disbursement specialist. In addition to team composition, *team continuity* was especially important to success, according to project reports. So was time on the ground. In the Chile Secondary Education Project, the continuity in Bank task management ensured consistency and a high degree of follow-up on the recommendations of supervision missions. It also helped to continue building the already good working relationship with the borrower.

In project design, 7 out of these 10 successful projects attributed their success to *providing integrated attention to social development themes*. The fact that the ten projects had four social development components each and were all rated highly satisfactory is in itself suggestive. Integrated approaches, *providing they can avoid excessive complexity*, lead to better implementation and more socially sustainable benefits. In the case of the (highly satisfactory) Second Indonesia Village Infrastructure Project, the components were few and simple, but each focused on achieving the objectives of the project. Comprehensive rehabilitation, including social and economic rehabilitation plans, as

well as long-term disaster management and planning were critical to the success of the India Maharashtra Earthquake Recovery Project. The China Iodine Deficiency Disorder Project's success hinged on delivering a social benefit through a technologically simple and very cost-effective intervention at the local level. The Kyrgyz Republic Health Project files noted straightforwardly, "Simplistic solutions that only addressed one element of the health sector were not possible, and would not have produced any results on the ground."

More than half of the projects partially attributed their success to *the analysis of socially relevant aspects of projects*. Analysis considered and planned for risks in the long and short terms, mapped out community participation, and established a role for NGOs, for example. A major contribution of the Kazakhstan Technical Assistance Project was to carry out the technical studies required for preparing subsequent policy-based operations. In the India Maharashtra Earthquake Recovery Project, the Project Management Unit (PMU) produced extensive analysis of the project, covering, among other things, community participation, NGOs, the media, and a beneficiary survey. The Morocco Emergency Drought Project employed an expert panel to review project documents and meet regularly with the task team to discuss potential risks and other sectoral issues, based on experiences elsewhere in the Bank. Likewise, the Chile Secondary Education Project drew its technical assistance from a pool of worldwide technical experts provided by the Bank.

Granting that the study's desk review of highly satisfactory projects was merely exploratory, one conclusion that is nevertheless nearly inescapable is that reproducing many of these success factors in new projects will require sustained social development support.

ANNEX F: SELECTED COMMENTS OF WORLD BANK STAFF ON
SOCIAL DEVELOPMENT ISSUES

These comments are gathered from the three surveys—Country Director, Task Manager, and SD Staff—and arranged by subject.

Social development specialists should stop policing and join the task/country team.

(Task manager) “Increase ownership of social assessment and internalize related processes to project implementation, supported by effective capacity development in the client countries. Reduce zealous policing in the context of safeguards, based on templates and focus on the realities of client countries.”

(Task manager) “Finding the balance between project quality enhancement and policing Task Team Leaders; Social Development as a field needs to be more clearly defined.”

(Task manager) “Currently their role is policing, which does not provide much help.”

(Task manager) “More focus on learning and cross-regional exchanges; less on policing.”

(Task manager) “It should be seen as a core part of the Bank’s dialogue and work at the country level and should not be considered an ‘extra’ burden by both the client and the Bank teams. The reason it has become an extra burden is lack of teaming with the task teams, and a perception that SD has more of an external and ‘negative policing function’ rather than ‘positive value added function’ as part of the team.”

(Country director) “SD staff sometimes act like police constables rather than broadly trained development professionals.”

(Country director) “Shift skill mix from enforcement of safeguards to sound social development impact.”

(Country director) “Get rid of the enforcement and clearance process entirely and focus instead on development impact. Give profes-

sional advice on policy compliance rather than policing.”

(SD specialist) “They see us [SD specialists] as policemen and naysayers instead of people who bring solutions and help them get things done.”

SD specialists should join the team and focus on problem-solving rather than criticizing.

(Task manager) “Become more team-oriented instead of an external critic. Become aware of the project as a whole rather than treating social issues in a compartmentalized manner. Interact with project TT and make an effort to understand issues in other areas of specialization.”

(Task manager) “Join the staff working in operations (this applies to social scientists working in operational units). . . . It will be for the better for all concerned. . . . We find that you are interested in a career as ‘critics’ and don’t trust you. You think we’ll do anything to avoid complications on social issues. We’re all working for development and should be cooperating.”

(Task manager) “Social development scientist[s] should be working much more as part of the project teams and have to learn to work better with people with hard skills (engineers and financial analysts).”

(Task manager) “In case this means how can SD issues be more streamlined into project: The key approach is to have SD professionals acting as team members, accountable to the TTL for getting these things right, rather than acting as gatekeeper for the TTL, and the TTL having to transmogrify into an expert to meet WB requirements. This may have improved since the last time I led a preparation team.”

(Task manager) “Social development staff should be proactive and be a part of the task team.”

(Task manager) “I need such specialists’ help that can work in a multidisciplinary team, can start without an agenda but can develop it and a program, together with the clients, and then work so that the client implements the program by doing and learning (meaning, it is not going to be perfect and there are mistakes). It needs a budget, too, and the client has to pay even if only a little. No grants.”

(Task manager) “Avoid working in isolation. Interact with TT to get pointers and to develop relevant approaches. NB: Developing a strategy paper and circulating it for comments is NOT adequate interaction!”

(Task manager) “They should be an integral part of country teams and should participate in development of CASs and PRSPs, as well as be part of the quality enhancement team for projects.”

(Country director) “[Have a] sense of ownership for development outcomes; more training; more ‘being there’.”

(Country director) “Less focus on ‘mandating’ policies, more on helping task teams to improve projects.”

(Country director) “Good on relations and process, less so on analysis and dialogue. Sometimes focus too much on problems with insufficient proactive problem-solving.”

(SD specialist) “I work in one of the Regions. There was a mutual learning curve. In the first operations I was involved in, I was marginalized and treated as a nuisance by the task manager—I was there to do what I was told, and particularly to ensure that the project did not get into trouble with the safeguards compliance police. Gradually TMs began to see that a social scientist could improve project quality, and I was able to get gender, participation, poverty focus integrated into projects. There have been successes and failures, but I can look back on a number of projects that have been quite significantly changed as a result of SDV inputs, and at least one where the TM has said that without the social scientist, there would have been no project at all. (Become so fixated on resisting safeguards and the argument that all social requirements are onerous that many opportunities for value added and sustainable interventions are lost.)”

(SD specialist) “[SD specialists] should be made accountable to the field units and operational units. They need to be more field oriented in their approach and focus their efforts at evolving practical solutions to day-to-day problems than just produce manuals and guidelines based on a few examples!!!”

SD input should come early and continue throughout the lifecycle of a project.

(Task manager) “Involvement in earliest phase of project, so that project design and project area can be easily adjusted, i.e., make social development staff less of a ‘watchdog’ and more responsible for decisions they make.”

(Task manager) “Upstream participation of social development specialists will ensure minimizing costs later on.”

(Task manager) “If carried out upfront during initial project preparation, the information could help influence quality of design.”

(Task manager) “Too much emphasis on making the perfect plan, rather than on establishing a baseline and adapting implementation as circumstances change.”

(SD specialist) “We need to move more toward upstream analytical work at the country level, and we need to pay more attention to policy dialog.”

Focus more on *development effectiveness*, less on form.

(Task manager) “Focus on impact of projects, rather than on form.”

(Task manager) “Too much advertising on what can be done—just do it.”

(Country director) “In order to mainstream social issues there has to be a shift to demonstrating development effectiveness of SD issues.”

(Country director) “I feel strongly that our social safeguard policies are one-dimensional—applied without intelligent discretion and without sufficiently broad perspective all over the globe. Policies designed to ensure inclusion of S. American indigenous groups are applied by looking for tribal groups to protect non-existent tribes in XX Region. Million-dollar studies are repeated to determine that a protected area project of a few million dollars in a remote area

does not affect a group of 8,000 people many miles away, despite field staff's repeated assurances. Repeater protects that have been financing very benign interventions for decades are held up for several years to wait for the completion of under-supervised social assessments of entire state."

(Country director) "We delude ourselves that our endless action plans can have any significant effect on the societies where we work. Much of the SDV work is a response to special interests (NGOs, etc.) in the north, not a response to needs of our client countries."

SDV should fund what they recommend.

(Task manager) "To begin with, if the Bank thinks that we need to do it, a special budget should be given to social development experts and they should be responsible of the studies/assessments needed in the context of project preparation and/or supervision. Task managers should not be responsible for this task!"

(Country director) "Oblige the safeguards people to go deal with the clients, instead of issuing directives from the comfort and safety of their Washington offices. Subject their work to some sort of cost-benefit analysis."

(Country director) "The most important challenge is to ensure that the SD staff are fully integrated into the process and understand the costs and benefits of their proposals. It works least well when the NW and the staff see themselves as advocates or prophets in the wilderness (although that may not always be their fault!)."

(SD specialist) "The social departments should manage the social staff budgets, instead of the relevant project task managers. Let me ask a question, saying that who are willing to buy criticisms or problems. We can discuss the social development strategies, but do not forget to consider the ways of how to reach the targets."

Tailor work to the specific context.

(Task manager) "[SD input] improves project design and likelihood of success by making projects contextually relevant instead of blueprint."

(Task manager) "Social development issues should be dealt with in a project-specific manner—a project will not be able to solve all social development issues of a country—the

social input should help to strengthen the objective of a project and develop mechanisms to best reach the target community—it should not aim at having all social issues mentioned and included in each and every project."

Work at the country level.

(Country director) "Moving from a project-by-project basis to general agreement on appropriate country policies might reduce cost and help identify home-grown solutions."

(Country director) "Greater reliance on borrower procedures and regulations when they are broadly consistent with our policy principles and objectives."

(Country director) "Disconnect of government and Bank policies and an unclear understanding and commitment by clients to social assessment processes and application of safeguard policies."

(Country director) "There are high transaction costs associated with safeguard compliance. One way to reduce them would be through systematic and thorough country-level social analysis."

(SD specialist) "Mainstream SD staff as country social scientists just like the country economist."

(SD specialist) "To engage effectively in programmatic lending, social scientists need to have equal status to country economists. Their role at the policy level needs to be institutionally recognized and effectively pursued with appropriate financial resources across the Bank."

(SD specialist) "While the participatory process is well understood to be a needed one, it needs to still be institutionalized in the country, and there has been generally little attention paid to the social development issues which underlie the poverty as currently experienced in that country nor have the strategies to alleviate poverty been analyzed from a social development point of view of risks and stakeholders buy-in."

SD staff need experience on the ground.

(Task manager) "Staff in SDV need to get into the trenches and work with staff at the field level."

(Country director) "Social development staff in the Center should more frequently do country work and be closer to where the social

problems are, and to understand the real needs and the difficulties of the client.”

(Country director) “A closer examination of staffing levels needs to be undertaken in the field as well as HQs to ensure that proper mix is available to satisfactorily support social development interventions both at policy and project levels. Much more ‘hands on’ field work and exposure to ground realities needed. SD staff need to ‘own’ the Country Assistance Strategy of countries and search for solutions rather than search for problems. This applies to SD staff at regional and resident missions.”

(Country director) “This area needs to be decentralized as far as possible so that the country context is fully understood.”

(SD specialist) “The most important things I need for my work are extensive local knowledge in countries that I work. It is not a case of adding additional skills, but continuously learning about new developments and experiences so that I can include them if appropriate in my work.”

(SD specialist) “I got here because of my skills and not because I need more and more training. SD staff is always being trained and not given any management responsibilities. No more training, get us more managerial and higher profile tasks.”

SD needs more contact, recognition, mainstreaming.

(Task manager) “Frankly, I do not really know how they are organized now, but think their impact could be increased.”

(Task manager) “Don’t know much about the center’s work as based in field office where there is hardly any interaction with the work of the center.”

(Task manager) “Not even aware that SDV exists!”

(Task manager) “They should be more visible. Sitting in a country office I do not know any SD persons other than the one in our field office.”

(Country director) “[I’m] not very much aware of contributions of the center—too many policy documents?”

(SD specialist) We have in our region not one single social scientist employed by the Bank in a country office. Three social scientists sitting in Washington and visiting the region from time to

time, plus a handful of consultants, can’t help shape the needed transformation. We have neither the detailed in-country knowledge, nor the immediacy, nor the legitimacy.”

(SD specialist) “[I do not feel that my work has had a significant impact on the Bank operations with which I have been involved] because the country team has not taken social development seriously enough. Unfortunately, the needed assistance from Washington has not been forthcoming. It has tended to reinforce the peripheralization of social development by not providing the needed support to staff in the field, opting instead to insist that field staff be proactive. Our work needs to be streamlined and given the same importance that others take for granted.”

(SD specialist) “Unfortunately, because there is no formal requirement for social assessment or social analysis, many TMs really do not take it seriously at all.”

Connect with other networks, the Regions, and operations.

(Task manager) “Devolve more staff to operations, require frequent rotation, focus on principles rather than grand strategies, best practices, guidelines and similar templates . . . Social issues must be dealt with in their specific context; hence, avoid over generalizing in approaches to be used.”

(Task manager) “The center units should support the operational units—experts should be available for a project with a budget if needed, otherwise it is hard to bring in this expertise under the tight project preparation and supervision budgets. The center needs to advertise more what they offer to operations and what they can help to make a project more successful. This does not mean to create a new website, but more practical options that come with a budget.”

(Task manager) “Have the SD staff get their heads out of the clouds and back down to earth.”

(Country director) “More staff, less Washington.”

(SD specialist) “[The least useful aspect of SDV is] mind numbing bureaucracy and discussions/initiatives that go nowhere.”

(Country director) “Resident mission social development staff would need to be much

closer linked to networks. Especially local staff are not properly integrated in network.”

(Country director) “Bank networks need to collaborate AND networks need to be formed with other partners and universities. For Bank to work on social development policies alone has little impact.”

(SD specialist) “More than merging activities, there is a need for a better system of communication between Regions and anchor and of working together.”

(SD specialist) “The SDV anchor should be more in sync with the work of the Regions.”

(SD specialist) “SDV should be more close to the Regions in order to know and understand the conditions of work and the possibilities in each one of them.”

(SD specialist) “Too removed from staff in operations. Need greater engagement with operational staff both on personal and professional levels. Should provide one-stop service for information (best-practice, sample TOR, case studies, application of OPs, etc.) relevant to operations.”

(SD specialist) “Programmatic lending requires a whole different set of skills both in the Bank and in the country, and we are just nibbling at the edges. I think institutes of applied socio-economic research, sufficiently independent of government and sufficiently grounded to be listened to, are needed if not at country level then as hubs—probably 3 (Iran is big enough to support one of its own, but one francophone and one for the arabo-anglophone would be needed in the long-term).”

Move SD specialists to the sectors.

(Task manager) “Social development specialists’ skills should be imbedded in the sectoral department. A generalist social development expert often does not understand sector specific or country specific issues and how to approach issues pragmatically.”

(Task manager) “They should be part of sector units and work with their colleagues as part of interdisciplinary teams.”

(Task manager) “They should be spread across all sector units, not concentrated in a SD

units, the anchor would bring them together professionally, not operations.”

(SD specialist) “An idea to make SD more effective—the SD sector should be dissolved into other sectors. SD staff would become members of sector units as infrastructure, rural, etc. This way SD issues become sector issues and SD problems become sector problems. SD work would then be more focused and SD staff would be specialists in fields as transport or energy. This would also give the opportunity to SD staff to pursue both technical and task manager roles. In effect, the Bank would increase its development impact by many times.”

(SD specialist) “I think it is ill-conceived to have social development staff isolated even in families. It makes the most sense to me for the various technical specialists—rural, environmental, social—to be grouped according to sectors/problem areas. We work on questions and problems in the Bank. Rarely are these main questions social ones exclusively. Rather the main questions might have to do with environment/poverty linkages, or natural resource management and so forth. Rarely are projects focused exclusively on social questions or problems. Hence, social science expertise is more of a means to an end than an end in itself. Hence, in my view it is very important that the Bank social scientists work in interdisciplinary teams, contributing their expertise to larger goals. For example, I primarily work in environment and rural on rural and environmental questions. Hence, I think it does not make sense to group people by a technical discipline in the Bank.”

SD is critical to sustainable development.

(Task manager) “It makes a key contribution to sustainability of operations, and to having projects with positive impact. Without attention to this, projects can become lots of money spent with little impact.”

(Task manager) “It is the very basis of development. If people are not educated, healthy and have access to jobs, services and have political voice, there will be no sustained economic development.”

(Task manager) “If we did not pay attention to social issues projects would be worse, or worse, they could not be implemented.”

(Task manager) “The social theme should be accompanying the hard-core infrastructure investments needed and develop a mutual understandable agenda of the constraints and opportunities of implementing a project—be it road, water supply, or other large-scale investment. This might not be relevant to your survey but when large-scale construction projects are implemented, there are bound to be social issues which need to be taken into account.”

Attention to SD/safeguards reduces poverty.

(Country director) “The application of social safeguards increases the developmental impact of sector reform projects. By taking into account the needs of vulnerable groups, and protecting those categories that are affected by the implementation of specific activities financed under a project, the Bank contributes to improve their living conditions and access to economic opportunities, thus reducing the country’s poverty levels.”

(Country director) “Usually [benefits accrue to projects from the application of the social safeguards], but there is a tendency to think that most Bank investments should have a social component, even if that is not the major objective.”

(SD specialist) “It is difficult to talk about specific impact. However, the inclusion of social development as part of the Bank agenda, which has been dominated by macro-economics and structural adjustments, has certainly increased the focus on poverty reduction.”

Good social development takes time.

(Task manager) “The problems come in terms of timing—both for project preparation and project implementation. The Bank procedures do not seem to recognize that social development takes time, to implement and to get measurable results.”

(Task manager) “Recognize that social development takes time and change the timing of project preparation and implementation and time needed to get measurable results.”

(Task manager) “Be more flexible and take into account the extra time needed to obtain social impacts out of our projects.”

(SD specialist) “Systematizing the Bank’s work on resettlement: We learned from the Upper Krishna Project, which involved resettlement of 40,000 people, that resettlement implementation does not work in sync with the construction of physical structures. Relocating populations is much easier than rebuilding communities. One of the operational implications has been a recognition that supervision of these impacts can extend beyond a project’s closing date. This is now provided for in the new OP on resettlement.”

Disseminate knowledge, lessons.

(Country director) “At institutional level more effort needs to be undertaken to disseminate knowledge on ‘Best Practices’ and effective case studies.”

ANNEX G: SURVEY INSTRUMENTS

OED Social Development Study Social Development Staff Survey

1. How long have you been working as a member of the Social Development Family? _____ years
2. What unique contributions has social development, as a theme of development, made to the work of the Bank? _____
3. What unique contributions has social development, as a theme of development, made to the work of poverty reduction? _____
4. Do you feel that your work has had a significant impact on the Bank operations with which you have been involved?
 Yes
 No
5. Would you be most effective in furthering the SD agenda as a (check one):
 Task Manager
 Technical Specialist
6. What are you currently?
 Task Manager
 Technical Specialist
7. If you could be trained in one additional social development skill, what would it be?

8. Are social development themes more likely to receive appropriate levels of attention now than in the past?
 Yes
 No
9. Which phase/s of the project cycle needs more attention from SD specialists than it is currently receiving?
 Project identification
 Design and appraisal
 Supervision
 Monitoring and evaluation
 Completion reporting
10. Is there one particular topic related to social development that should receive more attention from SD specialists than it is currently receiving?
 Yes
 No

11. Has the work of SD staff to forward the safeguard agenda reduced the willingness of Bank colleagues in Operations to pursue other social development goals?
 Yes
 No
12. Has your work changed (or does it need to change) as a result of the PRSP process?
 Yes
 No
13. Has your work changed (or does it need to change) as a result of the Bank engaging in more programmatic lending?
 Yes
 No
14. Should staff working on related social development topics (currently handled by various Departments) be merged into one unit?
 Yes
 No
15. If, in the previous question, you supported a merging of SD topic areas, should this new arrangement
 Be part of SDV
 Be a new stand-alone unit
 Everything is fine as is. (I answered "No" on question 14.)
 Other
16. What is the most helpful aspect of the social development work of the center (SDV)?

What aspect is least useful (SDV)?

17. Please give any opinions you might have on how the role of the central social development department (SDV) should be changed. _____
18. What should the role of the regional social development units be? _____
19. Would increased decentralization of social development staff (placing them all around the Bank fully integrated into operational units) be an improvement?
 Yes
 No
20. Would relocating some HQ social development staff to country or regional offices impact development outcomes?
 Yes
 No
21. Which topic/s related to social development, if any, should receive more attention from Task Managers than is the case in current practice? _____

If there is anything else that you would like to say about the effectiveness of Bank support for social development, please comment here.

OED Social Development Study Operational Staff Survey

1. Does the nature of your work routinely require attention to social development themes?
 - Yes
 - No
2. In about how many projects have colleagues, specialized in social development, collaborated with you?

If this answer is greater than 0, did you usually find them knowledgeable in the areas you required their assistance?

 - Yes
 - No
3. Do you face any obstacles in incorporating social development inputs and concepts in your work?
 - Yes
 - No
4. Are there social development-related skills that are under-represented in your Region?
 - Yes
 - No
5. Are there social development-related skills that are over-represented in your Region?
 - Yes
 - No
6. In your opinion, does attention to social development issues improve the effectiveness of Bank operations?
 - Yes
 - No
7. Are there ways to apply due diligence on social development with transaction costs that are more appropriate and without compromising project quality?
 - Yes
 - No

Please elaborate: _____
8. Does social development project support need to change as a result of the PRSP process?
 - Yes
 - No
9. How should social development work be applied within the context of Bank support for programmatic lending? _____
10. Should staff working on related social development topics (currently handled by various Departments) be merged into one unit?
 - Yes
 - No
11. If, in the previous question, you supported a merging of SD topic areas, should this new arrangement
 - Be part of SDV
 - Be a new stand-alone unit
 - Everything is fine as is. (I answered "No" on question 10).
 - Other

12. What is the most helpful aspect of the ongoing work of the center (SDV)? _____
What aspect is most in need of improvement? _____
What activity should be dropped, if any? _____
13. Please give any opinions you might have on how the role of SDV and the regional social development units should be changed.
Changes in the role of SDV: _____
Changes in the role of regional social development units: _____
14. Would increased decentralization of social development staff (placing them all around the Bank in operational units) be an improvement?
 Yes
 No
15. Would relocating some HQ social development staff to country or regional offices impact development outcomes
 positively
 negatively
 not significantly
16. Please give your recommendations for increasing the impact of the work done by social development staff on poverty reduction. _____
17. Please give your recommendations for increasing the impact of the work done by social development staff on issues related to vulnerable groups. _____
18. If there is anything else that you would like to say about the effectiveness of Bank support for social development, please comment here. _____

OED Social Development Study Country Unit Survey

To be answered by the Country Director or designated Country Team member.

1. What are the three most important social issues in your country?
1. _____
2. _____
3. _____
2. Do you get the professional assistance that you need from Bank social development staff to deal with these three issues?
 Yes
 No
If anything needs to be done about this situation, please specify:
3. Do you get the support you need from Bank staff to lay out participatory processes?
 Yes
 No

4. Are the governments you work with interested in confronting social problems (in Bank-financed projects)
- more intensively
- less intensively
- than is normal under current Bank practice?
5. Do you perceive that significant benefits accrue to projects from the application of the social safeguards?
- Yes
- No
- Please elaborate: _____
6. Are Bank and Borrower transaction costs associated with safeguard policies appropriate?
- Yes
- No
- Please give any ideas you might have about how to change the process: _____
7. What procedures, if any, associated with social development impede the progress of your work unnecessarily? _____
- How? _____
8. Do any recent experiences in your country suggest innovative ways in which social development themes should be addressed? _____
9. When you have asked social development staff for assistance, in general have you found their performance in the field of their specialization to be adequate?
- Yes
- No
10. Do you find that social development staff have the necessary experience to interact with key borrower institutions?
- Yes
- No
11. Please give your recommendations for increasing the utility of the work of social development staff
- in the Center: _____
- in the Regions: _____
- in the Resident Mission: _____
12. Do you feel that Task Managers are adequately trained to recognize those social development issues that arise during the project cycle that require specialized intervention?
- Yes
- No
13. In your opinion does attention to social development issues improve the development outcome of projects?
- Yes
- No
14. Are there areas where increasing the investment in social development support would yield major benefits?
- Yes
- No
- Please specify: _____

15. Do you find the network system useful with respect to social development?
- Yes
 - No
16. Should staff working on related social development topics (currently handled by various Departments) be merged into one unit?
- Yes
 - No
17. If, in the previous question, you supported a merging of SD topic areas, should this new arrangement
- Be part of SDV
 - Be a new stand-alone unit
 - Everything is fine as is. (I answered "No" on question 16.)
 - Other
18. Would relocating some HQ social development staff to country or regional offices impact development outcomes
- positively
 - negatively
 - not significantly
19. If there is anything else that you would like to say about the effectiveness of Bank support for social development, please comment here. _____
- _____
- _____
20. The above answers reflect the experience in which country or countries? _____
- _____

Introduction

Management welcomes the review by the Operations Evaluation Department (OED), with its overall assessment that social development has a significant impact on the development outcomes of Bank operations. By combining the lessons from past evaluations with additional data generated from surveys and new reviews, the study provides timely evidence of the value of social development, while raising issues and challenges that have informed the preparation of the draft paper, “Social Development in World Bank Operations: Results and Way Forward.” This paper lays out the Bank’s approach to the thematic area of social development, the strategic priorities going forward and discusses how these priorities will be achieved.¹ Management concurs with the findings of the study, while recognizing the limitations of the desk review, and notes that the Social Development Group² has already initiated many of the actions that follow from the recommendations. While we agree with OED on most of its findings, we would like to highlight in this Management Response recent and ongoing actions related to social development that OED could not take into account, given the timing and scope of its study.

OED Findings

The study consists of a meta-evaluation of recent and ongoing OED evaluations of specific social development themes,³ supplemented by analysis of data from a portfolio review; literature review; individual interviews and surveys of country directors, task managers, and social development staff; and a review of Country Assistance Strategies (CASs). Social development themes, especially participation, vulnerability/exclusion, gender, and NGOs/civil society,

are highly relevant to the lending priorities that the Bank and borrowers agree on. Both country directors and task managers find social development issues highly relevant. According to the OED review, 96 percent of country directors said that, in their experience, attention to social development improves the development outcome of Bank operations. Also, 93 percent of task managers said that the nature of their work routinely required attention to social development themes. However, they would like to see more systematic flow of relevant social information to country and task teams. OED finds that among social development themes, greater attention is needed on institutional reform (transparency/accountability and decentralization), anticorruption, and public services for the poor. It also finds that until recently, social analysis has focused on the project level, but priorities emerging from Poverty Reduction Strategy Paper (PRSP) processes indicate that there is a role for country-level analyses, with additional focus on sociopolitical realities.

Conclusions. OED concludes that the Bank has succeeded in drawing borrowers’ attention to a wide array of social development themes. Since 1972, 26 percent of all rated projects have addressed at least one social development theme (1,060 out of 4,123). The range of themes has expanded from the early focus on social safeguards⁴ to broader social development issues, including participation, conflict, gender, community-driven development (CDD) and social capital. Over a 30-year period, projects that address social development issues have consistently been rated 3 to 4 percentage points better than projects that do not address these themes. For example,

across the entire Bank portfolio, 72 percent of those that addressed at least one social development theme were rated satisfactory, compared with 68 percent of all rated projects. Likewise, compared with all rated projects, projects with social development themes were rated by OED to be 3 percentage points more likely to be sustainable (53 vs. 50 percent) and to do better on institutional development impact as defined by OED. Further, the review provides striking evidence that integrating multiple social development themes leads to even better outcomes, sustainability, and institutional development impact. For example, among projects that include two social development themes, 81 percent were rated satisfactory by OED; with three themes, 84 percent; and with four themes, 90 percent satisfactory. The clear implication is that taking on more social development approaches improves project effectiveness. Despite this success, intense attention to social development was exceptional within the portfolio of rated projects: roughly 1 percent or 61 out of 4,123 projects going back to 1972 addressed 4 or more social development themes. The review reports that many aspects of project-level social development work are highly complementary and can be more systematically addressed by Bank operations in an integrated, coordinated fashion. The social impact of development interventions at the community level can be substantially increased by helping borrowers develop a more inclusive, cohesive and accountable institutional framework at the country level. The review also finds that the Bank's human and financial resources for social development are not adequate for the number and scope of the mandates received.

Recommendations. The review recommends the following: (a) the Bank (through the Social Development Sector Board) should identify and promote integration among social themes whose combinations improve outcomes; (b) the Bank's human capital and borrowers' existing institutional capacity need to be deployed to provide task and country teams with relevant social development expertise throughout the project cycle; (c) country teams should have the capacity to identify critically needed social knowledge and to facilitate its flow; and (d) sector staff need to

ensure that stated Bank or policy priorities receive adequate treatment across Regions and countries, and Bank strategic planning needs to address gaps in current skills and in monitoring and evaluation. The attached Management Action Record provides Management's responses to these recommendations, noting that many are followed up in more depth in the context of the discussion draft of the Social Development Strategic Priorities Paper (SPP), "Social Development in World Bank Operations: Results and Way Forward."

Management Comments

Management welcomes the report as an important backdrop for the draft SPP⁵ and ongoing work on planning and implementation of social development activities in the Bank. This paper draws on the OED review to propose strategic actions to integrate social development activities more fully within the Bank's development assistance work. Specifically, three of the four strategic priorities proposed by the draft SPP are: *improve the effectiveness of Bank-supported investment projects, with a more systematic approach to social development and stronger follow-through; strengthen the social development thematic portfolio, enhancing projects and studies that directly address social development principles; and improve the Bank's capacity building, advocacy and research on social development to build a stronger implementation platform.*

Added Dimension in the Draft SPP. However, the OED study acknowledges that it did not cover all aspects of social development in Bank assistance; in particular, it did not examine the significant progress achieved since June 2000 in adapting social development to the macro or country level in the context of Bank support to countries' PRSP processes. The SDG's work in assisting borrowing countries with participation in their PRSPs, their poverty and social impact analysis (PSIA) of policy reforms, and their analysis of social accountability to improve governance—work that addresses some of OED's recommendations—is thus outside the purview of the OED review. The draft SPP, therefore, also draws on this more recent experience to propose strategic

actions to enhance the Bank's development assistance. Specifically, the draft paper's first strategic priority is to *strengthen the Bank's policy dialogue and policy-based lending, by increasing attention to the social dimensions of development.*

Conceptualizing Social Development. The study finds that, although the Bank does not yet have explicit social development objectives and a strategy to achieve them, there is remarkable consistency across a wide range of Bank documents. The study uses an innovative approach, creating an objectives matrix to compare the perspectives on social development in different Bank policy and strategy documents, and it notes that "there is a remarkable interconnectedness between the various documents on nearly every subject." Overall, the picture that emerges is largely consistent with the Copenhagen Declaration issued at the 1995 World Summit for Social Development, which put people at the center of development and pledged to "make the conquest of poverty, the goal of full employment, and the fostering of stable, safe and just societies their overriding objectives." That statement of objectives is still relevant today, particularly for the achievement of the Millennium Development Goals. The draft SPP lays out the Bank's strategic choices and business plan to help borrowers achieve these objectives. The OED review observes that other organizations consistently consider gender as a key part of social development. Recognizing the crosscutting nature of the Bank's work in these areas, Management will seek to strengthen operational collaboration between social development and gender.

The Social Development Portfolio. Social development is not a sector with a large stand-alone portfolio. Indeed, OED finds explicit attention to social development issues to be relatively routine across most sectors and Regions. It cites data showing that since 1990, when attention to social development dramatically increased, some \$15.8 billion in lending include attention to social development (including gender) activities. Other sector units manage most of these

projects, with varying degrees of inputs from social development specialists.⁶ Management appreciates OED's effort to identify and assess the social development component of the Bank's portfolio. SDG's portfolio monitoring system tracks projects with primary or direct funding within six thematic classifications, under the general heading of social development, gender, and inclusion (SDGI)⁷ from the Bankwide database.⁸ Under this classification system, a total of 922 projects with a commitment value of \$54.2 billion and SD allocations of \$14.3 billion have been identified from FY90–03. All CDD projects involve participation, but, as OED notes, it was unable to include this overlap in its analysis because its data for these two themes come from two different time periods. Management notes that social development themes are found less frequently in the Middle East and North Africa Region (MNA) and in the finance, private sector development, and economic policy sectors. The MNA social development strategy, currently being formulated, is expected to draw greater attention to social development themes in the Region. More systematic attention to PSIA since 2001 is helping to demonstrate the relevance of social development issues to private sector development and economic policy reforms.

Customizing Social Analysis. OED's meta-evaluation highlights the significance of knowledge of the country context and local realities. Analysis of sociopolitical realities and local institutions provides a more concrete basis for social development and economic development assistance. Management agrees with the study's conclusions that sound country-level (or subnational and sectorwide) social analysis is important to underpin project-level analytical work. Therefore, the draft SPP emphasizes as part of its first strategic priority that upstream analytical work is more useful for policy dialogue and can reduce project preparation costs. Further, it proposes actions to (1) improve the process of preparing and implementing policy dialogue and lending, and (2) improve the poverty and social impact analysis of reforms. Management agrees that it is important to build on the positive experi-

ence of decentralization of Bank staff to countries such as India, Indonesia, and the Philippines. Further, it highlights the importance of using local expertise to understand and support local institutions in both upstream work and throughout the project cycle.

Policy Guidance. The portfolio review indicates how the Bank's work on social development has evolved from the focus on social safeguards in the late 1980s to a broader menu of social development themes, including attention to conflict and gender.⁹ Management agrees with OED's observation that lack of clear guidance¹⁰ has hampered consistency in application of social analytical tools to Bank projects. As a major step to rectify this problem, the Social Development Sector Board has issued a Social Analysis Sourcebook¹¹ clarifying the difference between the Bank's role in social analysis and the borrower's role in social assessment. The Sector Board has also produced a User's Guide for Poverty and Social Impact Analysis¹² laying out the Bank's advice to countries on tools and techniques for their analysis of poverty and social impacts of policy reforms. Management is working to reorganize its lending policies under a few key themes, limited to core principles, with prescriptive advice moved to guidelines. Revisions to OMS 2.20 on project appraisal, which covers appraisal of social opportunities, constraints and risks of projects, are part of that work.¹³

Due Diligence and Safeguards. While the OED review points out that projects with safeguard policy issues (indigenous peoples, physical cultural heritage, and involuntary resettlement) have higher sustainability ratings than comparable cohorts of Bank projects, it also suggests that the special emphasis on existing safeguard policies may be crowding out other social development issues rather than making them the entry point for good social analysis. Management believes that the issue can be addressed by making better use of the available room for exercising judgment in the application of safeguard policies, making further progress on the work program to improve the country focus of safeguards, and promoting an integrated

treatment of social development issues in country programs and projects. Management believes that social due diligence should be focused on results rather than on policing. Management notes that, apart from the safeguard policies that are designed to mitigate the adverse impacts of economic development, all the remaining social development themes are aimed at improving development outcomes. Social development specialists help borrowers and task teams identify which social development themes from the menu are most relevant and help to ensure that project benefits reduce poverty. By helping to design more responsive projects and more inclusive and accountable institutions, social development assistance helps borrowers broaden the beneficiary base and build support for reforms. The draft SPP builds on an important element of the Bank's pilot program to improve the effectiveness of safeguards in calling for the use of country or sectoral social analysis to scale up safeguard development impact, as well as to capture opportunities for social development, upstream of project work. Further, it proposes having a single focal point for social development knowledge in a country (or a group of smaller countries) to ensure that country teams can exploit synergies across different social dimensions.

Demand for Social Development. OED is concerned about the mismatch between the apparent demand for social development and the resources available for those inputs. The study finds that 96 percent of country directors and 83 percent of task managers rated the importance of social development quite high and said attention to social development improves the development outcome of Bank operations. At the same time, OED notes that country directors control budgets and can affect the allocations for social development work. Management makes note of OED's observation that meeting the apparent demand for social development services would have significant resource allocation implications, and the implementation and business plan (still under preparation) will examine the constraints, gaps, and competing priorities, through extensive

internal consultations and six detailed, costed regional implementation and business plans.

Demonstrating Relevance and Monitoring Outcomes.

The OED review describes the evolution of the Bank's social development work from an initial concern with social safeguards toward concern for transparency, accountability, decentralization, anticorruption, and public services for the poor. The Bank is already responding to these demands through recent work on conflict, PSIA, and social accountability. The Social Development Sector Board has also initiated work on social development indicators and will place much greater emphasis on monitoring and evaluation of social development outcomes in Bank operations. These efforts will be strengthened in the next few years as priority activities identified in the draft SSP are implemented.

Social Development Staff within the Bank. The review attempts to estimate the number of social development professionals who work for the Bank. OED reports that in January 2002, the Bank employed 175 social development professionals, both staff and short-term consultants (box 2.1). This is consistent with Human Resources records that currently list 141 staff with a primary mapping in Social Development.¹⁴ More than 40 percent of these staff are not social scientists, indicating a diversity in the

skills mix. Other networks employ a few staff who, because they work on social development, are included in SDG's roster. An even more important finding is that 249 staff who have professional degrees in noneconomic social sciences are not working on social development, and could be tapped for social development work. The draft SD SPP discusses actions to ensure that responsibility for SD is not concentrated within a small number of specialists, but is the province of Bank staff across all sectors. The internal implementation and business plan will address the issue more concretely.

Conclusions

The Bank is firmly committed to strengthening its focus on social development. Management welcomes this review as a contribution toward this end. Effective development depends on borrowers' ability to provide effective services and development opportunities to all in a transparent and accountable manner, and on the ability of all citizens to build on their assets and exercise voice for a better future. As the OED review indicates, the Bank—through its analytic and development services, and in close coordination with its partners—has made significant gains over the past decade and is deeply engaged in this rapidly evolving agenda. Management will use the OED review in its implementation of strategic priorities in social development work in support of borrowing countries.

Management Action Record

Recommendation	Response
<p>Since the study shows the strong positive interaction of some social themes, the Bank (through the Social Development Sector Board) should identify, and promote integration within, the thematic combinations that improve outcomes.</p>	<p>Management welcomes OED’s documentation of the strong positive interaction of social themes. The OED report supports and substantiates evidence of the findings emerging from the review of poverty and social aspects in QAG reviews. Management agrees with the need to maximize the use of integrated approaches to social development issues, and is taking up this issue in the draft SPP.</p> <p>In addition, the SD Sector Board already has undertaken work, under Management’s direction, to develop policy and guidance to task teams on an integrated approach to social development.</p> <ol style="list-style-type: none"> 1. The Social Analysis Sourcebook, released in August 2002 after Bankwide review, provides explicit guidance on an integrated approach. 2. The work of the SD Sector Board on social analysis issues is an important input into the proposed new effort to clarify and simplify the investment lending process. 3. The ongoing update of the Bank’s operational policy on adjustment lending (OP/BP8.60) proposes an integrated approach to the treatment of social and poverty impact at the country and operational levels, reflecting SD Sector Board advice. <p>Agreed Actions</p> <ol style="list-style-type: none"> 1. Management plans to cover social analysis in its simplified policy framework for investment lending slated for issuance by the end of FY05. 2. Management has recently revamped the processes for systematic sectoral input, including from social development staff, into CASs and operational products. The draft SD SPP discusses tools and practical steps for improvements in the provision of social development inputs. 3. The SD Sector Board will continue its strategic collaboration with QAG to monitor operational quality and document good practices on the poverty and social dimensions of Bank-supported operations. This will be covered in the internal business and implementation plan under development. 4. Management will support a strategic research agenda on the linkages between social development and poverty, as outlined in the draft SPP. The SD Sector Board is extracting further lessons on integrated SD approaches, summarizing the results from Implementation Completion Reports and OED’s evaluation summaries for compilation in FY05.
<p>The Bank’s human capital and the borrowers’ existing institutional capacity need to be employed to provide task and country teams with the relevant social development expertise throughout the project cycle.</p>	<p>Management agrees that effective social development outcomes depend on attention to social development issues throughout the project cycle. To this end, the draft SPP explores the use of SD approaches in upstream ESW to inform the CAS and country programs, and downstream in implementation and M&E. The internal business and implementation plan will explore further the implications for the operational skills of SD staff and the incentives for staff working on SD issues to work across the structural boundaries between PREM, HD and SD. It also addresses the use of local expertise, the demand for investment in client capacity building for social development, and WBI’s role in this regard.</p>

Recommendation	Response
	<p>Agreed Actions</p> <p>Decentralization of SD experts has yielded benefits in terms of more in-depth and relevant knowledge of countries’ social and institutional context, and has also lowered supervision costs. Management will continue to promote decentralization of SD expertise to country offices (or subregions) with significant SD issues where there is a strong business case to do so. In countries with a large portfolio, this may entail placement of international expertise. In others, it may entail deployment of national staff with the skills to provide integrated SD inputs to operations. The internal business plan will address these staff deployment issues and will discuss the use of local expertise to provide SD support to countries, for both upstream work and during the project cycle.</p> <p>Management will help to strengthen country capacity by supporting local networks of social scientists (as in ECA and MNA).</p> <p>The draft SPP explores how best to promote projects and project components to develop the ability of local government and nongovernmental institutions to address SD issues and enhance project sustainability.</p>
<p>Country teams need to have the capacity to identify critically needed social knowledge and to facilitate its flow.</p>	<p>Management agrees with this recommendation. The draft SPP suggests a major strategic shift from individual projects to the country as the most important unit of analysis and action. This shift is fully consistent with the CDF/PRSP framework, and entails a programmatic, long-term approach to country-owned social development at the national (or in large countries, at subnational) and sectoral levels. We have made significant initial strides at the macroeconomic level by helping countries facilitate participation in PRSP processes and conduct their PSIA analysis, social accountability analysis, and conflict analysis. Assistance related to the first three areas is provided in close collaboration with PREM, reflecting increased efforts to work across sectoral boundaries as well as the benefits of a country-driven approach.</p> <p>SDG is developing social development indicators that are being tested and refined through cross-country and in-country research. The indicators will be integrated into the World Development Indicators (WDI), provided as background for Country Policy and Institutional Assessment (CPIA) work, and incorporated into the Country-at-a-Glance data. Finally, several Regions are experimenting with assigning responsibility to staff for integrating social development information and making it available to country teams in a timely manner—similar to the role that country economists play on the economic side. The draft SD SPP takes stock of these experiments; in the next stage, it will examine a generic approach.</p> <p>Agreed Actions</p> <p>Management will strive to integrate social analysis and gender analysis with poverty assessments, and will take stock of progress annually as part of portfolio monitoring.</p> <p>The draft SPP explores how best to: (1) ensure that relevant social development information is made available to country teams in a timely manner; (2) strengthen so-</p>

Recommendation	Response
	<p>cial analysis at the country level; and (3) strengthen, over time, borrowers' capacity to undertake social assessments as routine inputs into project preparation, while retaining Bank responsibility for due diligence on social development issues in Bank-supported operations.</p>
<p>Sector staff need to ensure that stated Bank or policy priorities receive adequate treatment across Regions and countries, and Bank strategic planning needs to address current skills and monitoring and evaluation gaps.</p>	<p>The formulation of Regional strategies and the draft SPP is helping to clarify and build consensus around strategic priorities. Management has increased its attention to high-priority issues for borrower countries through SDG's recent work on conflict, community-driven development, and the development of PSIA and social accountability tools for use by borrowers. Work in each of these areas has involved creating a new knowledge base, broadening the Bank's own skills mix, and developing partnerships with a new series of institutions for effective implementation.</p> <p>Management agrees with the value of increasing the skills of all Bank operational staff to take account of SD issues. This important topic is being addressed in the internal business and implementation plan under preparation.</p> <p>Agreed Actions</p> <ol style="list-style-type: none"> 1. The draft SPP addresses the shift in strategic priorities to the country level in support of country-owned poverty reduction strategies, and the implications of that shift for social development work in the Bank. 2. The SD skills mix is being further diversified by recruiting political scientists, policy analysts, institutional specialists and economists within the SD group. Given the institutional and resource constraints within the SD group, other sectors will be encouraged to recruit SD specialists to provide more specialized knowledge and SD inputs relevant to each of those sectors. The skills mix strategy will be an important element of the internal business and implementation plan under preparation. 3. The internal business and implementation plan under preparation will cover training issues, including the integration of SD in core learning activities for Bank operational staff.

ANNEX I: CHAIRMAN'S SUMMARY: COMMITTEE ON DEVELOPMENT
EFFECTIVENESS (CODE)

On December 17, 2003, the Committee on Development Effectiveness (CODE) met to consider the findings from the report *OED Review of Social Development in Bank Activities* and to provide feedback to Management on the strategic priorities it proposed for Social Development.

Conclusions and next steps. The Committee commended OED for the comprehensiveness of its report on what was a complex area and appreciated the operational focus of the report. Members were supportive of the importance of social development in Bank operations and emphasized that the subject as a strategy was more in the nature of a thematic approach. Members felt that it would be more helpful if management were to focus on thematic aspects of Social Development and on improving the quality of Social Development practices and to mainstream more effectively SD themes into the Bank's work. Accordingly, the Committee suggested that management prepare a paper more along the lines of an implementation plan for mainstreaming of social development in Bank operations.

- As next steps, the OED Report will be disclosed along with a revised management response attached as an annex. Management also indicated that it would simultaneously disclose a strategic priority paper that took account of the comments and suggestions received at the CODE meeting and the recommendations in the OED review.
- Management will then prepare a business action plan highlighting its approach to social development for mainstreaming, detailing organizational and resource implications and

submit it to CODE for review. This paper, while not being a sector strategy per se, will present the Bank's thematic approach to social development and provide useful guidance to staff and would fill the gap noted by OED—the lack of a single document that prescribed the Bank's priorities and goals in this area.

OED Review of Social Development in Bank Activities.

The main purpose of the OED Review was to assess a range of social development activities that the Bank has undertaken, based on past evaluations, with a view to informing the design and review of a Social Development (SD) Thematic Strategy Paper (TSP) and future Bank engagement in SD. The evaluation finds that there is a positive association between greater attention to social development themes and successful project outcomes. The review, however, also finds: a lack of broadly accepted definitions for the term social development; highly uneven treatment of the various social themes during implementation; slow integration of social development practice and scarce quality assurance mechanisms; and that inadequate resources devoted to social development often hampers project implementation. Safeguards also present a number of challenges.

The Review makes four main recommendations to the Bank: It should (a) actively identify and promote consideration of social development themes and thematic combinations that improve outcomes; (b) utilize better the existing institutional capacity of the Bank and borrowers to provide timely and relevant expertise throughout the project cycle; (c) equip country teams with the capacity to identify critical social development issues; and (d) provide adequate attention in the institution's strategic planning

process to such policy priorities across Regions and countries as well as to skills and monitoring and evaluation gaps. There is broad agreement between Management and OED on the findings and the recommendations of the review.

Strategic priorities for social development. In 2002, the CODE Subcommittee endorsed the development of a thematic strategy paper (TSP) for social development (SD) in response to the growing scale and importance of social development work within Bank activities. Management proposed a set of operational strategic priorities for better meeting the existing poverty reduction “vision” of the Bank. Based on the Bank’s history in working on social development, the approach is guided by three operational principles: **inclusion**, **cohesion**, and **accountability**. These principles, which articulate the Bank’s existing broad framework for achieving sustainable poverty reduction, underpin four strategic priorities:

- *Increasing the attention to the social dimensions of development to strengthen the Bank’s policy dialogue and policy-based lending*
- *Improving the effectiveness of Bank-supported investment projects by mainstreaming of social development activities*
- *Strengthening the social development thematic portfolio by enhancing projects and studies that directly address social development impacts*
- *Strengthening implementation by improving the Bank’s capacity building, advocacy, and research on social development.*

These strategic priorities are intended to mainstream and scale up the Bank’s efforts to address the social dimensions of development in its work. They would be accompanied by an implementation plan and a monitoring and evaluation framework to be completed by the Regions.

Main points of discussion

Aim and focus of the strategy. While members broadly agreed with the overall focus, strategic priorities, and the principles (inclusion, cohesion and accountability) that underpin the

strategic priorities, they were unsure about what the aim of a thematic strategy paper would be. First, members raised questions around the definition of social development and the scope and focus of the strategy. They noted that “social development” was not a sector per se and that the strategic priorities did not constitute a sector strategy as was typically understood in the Bank. While some members believed there was a need for a more solid theoretical anchor to ground the strategy, some supported an operational focus and believed that it should go even further to focus the Bank’s efforts in areas where the poor could benefit most in concrete terms, such as health, education, housing, income and employment, gender and core labor standards. Others cautioned that the Bank steer clear of areas that were in the purview of other agencies. Some members felt it was important for the Bank to have a thematic strategy in this area and suggested that it should become part of the regular scrutinizing exercise in the framework of the annual sector strategy implementation update.

The committee noted that current focus of the proposed strategy on how the Bank could improve its work in the area of social development—ensuring consistent quality/treatment of SD topics across Regions, improving operational instruments, deploying resources more effectively—were primarily issues of internal operational management. Accordingly, it was suggested that the aim be consolidating best practice within the Bank and thus disseminating the Bank’s approach to social development.

The committee asked Management to return with a paper, including a business “action plan” that clearly spells out how the Bank will implement a more consistent, systematic approach to social development, including the associated organizational and resources implications. Other suggestions made by different committee members included that: (a) the plan include monitorable indicators building on those discussed; (b) management focus on its five business lines and make clear the concrete ways the kinds of social change the Bank can best assist clients in undertaking; and (c) management simply expand the management

response to the OED report instead of writing a social development strategy.

Management emphasized the need for a Board-reviewed strategy to guide its social development activities so the right message is sent about the relative importance of social development as compared with other thematic and sectoral areas. Similarly, management added that it would be essential for it to consult publicly, especially with clients, on the Bank's approach to social development issues for it to meet the committee request to return to CODE with a realistic implementation and business strategy. Management will report on progress in implementing its approach to social development through the sector strategy implementation update reports.

What is the business case for proposing a social development strategy?

Second, some members raised a question about the additional value of a new strategy paper noting that it would not break new conceptual ground nor propose any new mandates, requirements or policies. They felt that much of what was proposed was already ongoing and appeared to be mainstreamed. They sought clarification on what was new and would be done differently. One speaker noted that treatment of safeguards still posed challenges for staff and for clients and, in his view, it was unrealistic to think that these issues could simply be resolved by attempting to address safeguards more upstream.

Management said that there were still substantial gaps that remained to be filled in order to mainstream social development. Management noted that the OED only found a small proportion of the Bank's total portfolio that addressed several social development issues (of about 4,000 projects reviewed, only about 100 projects had addressed 4 or more social themes). OED also found that the language of social development found in the country assistance strategies (CASSs) had yet to translate into actual Bank operations. Furthermore, other assessments have shown that there was a need to adopt a more wholesale approach to addressing social issues at the macro level and more upstream as opposed to

on a project-by-project basis. Lastly, management noted that there had been gaps in the Bank's success in distilling its knowledge on social development and in documenting best practice consistently. The intent of the proposed strategy was to fill these gaps and therefore, in this regard, not to propose any new policies, but rather, respond to the OED findings and recommendations for the need to identify and make improvements, build on best practices, be more systematic and scale up on implementation, given the demonstrated high rates of return to project outcomes of addressing social issues. Management added that "doing things better, more systematically, and expanding best practice to all aspects of social development" was, in its view, as strategic and as big a challenge as striking out into new areas.

Third, members were concerned about the disconnect between what the Board was given to understand in other contexts, that social development has been internalized within the Bank, or what development partners were hearing in messages from the President in terms of claims of substantial progress made by the Bank in this area since the Copenhagen Summit or World Summit on Social Development (WSSD) and the Beijing Conference on Women, and the messages from the OED findings and the strategy paper showing that much remained to be done. Some noted the importance of the strategy as a signal that the Bank was following up on these major conferences and its commitment to implement the Millennium Development Goals. Management noted that significant changes had occurred in the Bank's thinking on social development since the Summits on Social Development in 1995 and 2000, including the establishment of a Social Development Department and the current focus on the principles of inclusion, cohesion, and accountability. The OED report noted that while there is clarity in the Bank on some policy issues, such as safeguards, there is less clarity on other aspects of social development. It said that the review findings showed uneven treatment of social development issues across countries, indicating that staff could use more guidance and that there was room to

improve what the Bank is currently doing with respect to social development.

Fourth, members also asked how the strategy would differ in its approach from the Comprehensive Development Framework (CDF) and the PRSP approaches. OED clarified that the CDF approach focused on “how to do things” using ownership and partnership modalities and noted that some social development instruments informed the CDF approaches while social development was an instrument and approach to achieve broader development objectives.

Resources, staffing, and strengthening institutional capacity. One member noted that what was proposed appeared in some respects to go in the direction opposite that implied by OED with regard to resource needs and staffing. The OED review recommends increased use of local institutional capacity, yet the proposal includes external recruitment and appears to omit the use of local institutions, including civil society. Management noted that they did include the use of local expertise and underlined that there is total agreement between OED and Management. Some members voiced the view that no significant additional budgetary resources are necessary to implement the proposed actions, since many were ongoing. Management noted that the resource implications would be addressed in the Regional strategies. One member ventured that perhaps instead of more social development specialists, there may be a need to strengthen the social development skills of more professional staff (for example, economists, engineers). Others noted that additional and diverse skills in social development were needed. Others asked for a detailed costing of the strategy when the business plan was submitted as well as the anticipated operational costs to clients. Management confirmed that it would return to CODE with a paper including a business plan for mainstreaming.

Implementation in a matrix organization. Several members drew attention to the serious organizational and managerial issues identified in the OED report and cited the need to break “the silo mentality” and address the fragmentation across

units while dealing with social development. Management noted that they had consulted widely with Regions and sector boards and there had been success in working across various arms of the Bank, for example between PREM and Social Development on developing and implementing support for Poverty and Social Impact Analysis by borrowing countries. Others noted that beyond deeper collaboration with DEC and PREM, management considers improving the alignment of social development activities, including making fundamental changes to the matrix if necessary. Management said it would continue to seek ways to operate more efficiently within a matrix system. Members supported Management’s proposal that the business strategy be bottom-up, building on the Regional business plan, but cautioned that the approach remain flexible to allow for Regional, subregional, and country differences. As regards local institutions, Management said that it did intend to use local institutions to ensure that the Bank’s initiatives were responsive to country and local conditions.

OED Findings. Members were very appreciative of OED’s paper, which they felt was very useful in clarifying the concepts in a complex area and believed that the findings and recommendations laid out a good framework for a strategy. They commended the valuable and practical lessons elicited in OED’s analysis, which had a direct bearing for the Bank going forward. CODE members especially welcomed the OED findings that social development was important for project success, and that “there was a strong positive association between including social development themes and project success.” Some speakers, however, believed that more empirical evidence was required beyond the findings from the OED desk review to demonstrate the impact of social development themes. They also noted the need to improve the low ratings for sustainability and institutional development for projects generally, including those with social development themes, noting that ratings of less than 50 percent of projects having substantial institutional impact was unacceptable. OED clarified that the analyses

carried out by the study were statistically robust. Management agreed with the need for more solid research on the linkages between social and economic development on the macro-level as well as more data at the project level and added that consultation on these issues would contribute toward country ownership.

A holistic approach. Members reiterated the need to take a holistic approach that integrated economic development and social development, which after all had a symbiotic relationship. Some cautioned that pursuit of ambitious social development goals should not be “at the expense of economic growth,” particularly since sustainable achievements as regards the former were predicated on sustained economic progress. Others noted that social development was important in and of itself and believed that areas such as gender and social protection should feature more prominently in

the strategy's goals. Management agreed and noted that the OED findings showed that attention to social development improved economic and development outcomes significantly and that there was no tradeoff between a focus on good social development and a focus on economic development.

IFC and private sector development. Some members noted the importance of private sector development and investment climate for good social development outcomes and suggested management explore possible linkages with IFC programs. Management informed the committee that IFC was in the process of revisiting its own approach to social development and that mutual learning between the two agencies was ongoing.

Chander Mohan Vasudev, Chairman

ENDNOTES

Chapter 1

1. As posted on the Social Development Department's intranet homepage, consulted 13 September 2001.

2. The SSP team notes that the definition below is still a work in progress.

3. All of the documents mention poverty reduction objectives (see table 1.1), and all but one (the Strategic Compact) speak of gender. After that, sustainability, partnership, participation, human development, and indigenous peoples are the most popular categories (mentioned in 7 of the 9 documents). The Issues Paper was the most comprehensive of the documents, covering almost all the categories (16 out of 18), while the Strategic Compact and the MDGs had the least to say about the various areas of social development (4 and 7 categories, respectively). Some of the documents contained concrete objectives, (safeguards, the MDGs). Other documents were less about concrete, measurable objectives, and more about direction and theory—loose objectives (the annual speeches, the *World Development Report*, and the Copenhagen Commitments). Still others provided more on how to reach the objectives and theories expounded in the other documents. (The objectives were implicit in these “how-to” statements.) These included the Participation Sourcebook (how-to), the Task Group Report (recommendations), the Issues paper (strategy), and the Strategic Compact (a plan to improve Bank effectiveness).

4. Germany, Netherlands, Norway, and the United Kingdom.

Chapter 2

1. This total is conservative: projects that involve participation have become so common that since 1999 they are no longer tracked. Also, CDD projects that predate 2000 are not identifiable in the Bank's databases. A forthcoming OED review of CDD will identify this portfolio, however.

2. The OED study, Implementation of Operational Directive 4.20 on Indigenous Peoples (OED 2003a), notes that “countries adopt different approaches to the protection of IP in their countries, not always consistent with the approach adopted by OD 4.20.”

3. See discussion on Nancy Birdsall's findings on synergies between health, education, and community organization activities in the study literature review.

Chapter 3

1. The 10 safeguard policies are Environmental Assessment (OP 4.01), Natural Habitats (OP 4.04), Pest Management (OP 4.09), Forestry (OP 4.36), Safety of Dams (OP 4.37), Cultural Property (OPN 11.03), Indigenous Peoples (OD 4.20), Involuntary Resettlement (OD 4.30), Projects in International Waterways (OP 7.50), and Projects in Disputed Areas (OP 7.60).

2. Documents examined include: World Bank Safeguards, 1984–2002; The Copenhagen Declaration and Program of Action, 1995; The Participation Sourcebook, 1995; The Social Development Task Group Report, 1997; The Strategic Compact, 1997; The World Development Report 2000/2001; The Millennium Development Goals (MDGs), 2001; The Social Development Strategy Issues Paper, 2001; and relevant speeches given by (Bank President) James Wolfensohn. These documents were chosen because they represent prominent statements of the Bank's position with respect to social development and/or goal statements made by the wider development community.

3. Though the CAS is prepared with borrower participation, it is not a negotiated document. For more information on the CAS, see “Country Assistance Strategies,” The World Bank Operational Manual, BP 2.11, January 1995.

4. CASs were not reviewed for mention of social funds, as it is to be expected that countries without social funds would not mention them in their CASs.

5. Each CAS now includes an annex that provides separate ratings of Bank and borrower priorities by sector and subsector.

Chapter 4

1. To explore this in greater depth, OED is considering a major review of the Bank's approach to CDD projects. *Lessons and Practices 12, "Lessons on Community-Driven Development"* (OED 2001), includes a review of the OED ratings for the most recent 10-year period. The projects were rated 12 percent lower than the all-project average in likely sustainability.

Chapter 5

1. Social funds, water resources, resettlement, forestry, cultural heritage, indigenous peoples, ARDE, CDD in the Sahel.

2. The study was not able to do a systematic comparison because of the lack of an adequate comparator.

3. Social Funds Study (OED 2002b), p. 97. "For instance, analysis of the project status reports for a random sample of 25 social fund projects found that, for most, safeguards are not rated, not applicable, or left blank. Only 15 ratings (6 percent) were given in the 25 reports. More than half (9 ratings) of these were for environmental assessment, with two each for indigenous people and involuntary resettlement, and one each for forestry and international waters. This overall coverage is comparable to that found in a random sample of other PTIs (drawn from the same countries), for which 12 (5 percent) of the possible 250 ratings were given. This does not mean that safeguards are being adequately applied, however." "Reporting on safeguard compliance in project status reports (PSRs) for social fund projects appears similar to that in PSRs for PTI projects, but seems low overall, especially since a number of safeguard issues are likely to be relevant for social fund activities." *Social Funds: Assessing Effectiveness*, p. 19.

4. Water resources study (Parker and Skytta 2000, p. 83). Additional note: The resettlement study concludes that the Bank's record with relocation—as it refers to the individual or collective movement of people up and out of reservoir boundaries—was also uneven, but on the whole quite satisfactory across the study's sample of projects.

5. Cultural heritage, ARDE, water resources, resettlement, forestry.

6. NGO, participation, culture, forestry, indigenous peoples, post-conflict, water resources.

7. Interestingly, when social development staff were asked to name the one topic that should receive more attention from social development specialists, the most frequent response was monitoring and evaluation. Furthermore, when they were asked what topic related to social development should receive more attention from task managers, they gave the same answer.

8. Cultural heritage, water resources, NGOs/CBOs, gender, post-conflict, participation, forestry, and indigenous peoples.

9. For specific examples, see the meta-evaluation section on "Country Knowledge."

10. Client stakeholders, including women, are more visible in the preparation of ESW; stand-alone gender assessments have been rated highly satisfactory; CDD projects are noted for being more systematically built on organized social assessment than projects with a more centralized design, having a visibly broader treatment of social development issues and tending to monitor progress with respect to these more often than other projects; and the gender study found, not surprisingly, that an increase in conducting poverty analysis resulted in an enhanced poverty focus. OED 2002c (36 percent pre- to 53 percent post-1993), p. 80 (finding).

11. QAG's annual Quality at Entry Assessments ratings for poverty and social aspects of projects have risen to 80 percent satisfactory in QEA5 (FY02) (up from 70 percent in QEA1 [CY98], but down from 86 percent in QEA4 [Jan 2000-June 2001]).

12. Gender study (OED 2002c, p. 5). Additionally, the water sector study found that those projects have not only a narrow treatment of the behavioral and social structural elements, but provide little evidence that an in-depth knowledge has been acquired. Indeed, only a small percentage of the analyzed projects include social analysis, participation, institutional analysis, and impact monitoring. Rather, projects documents suggest that social assessment is deferred to the implementation stage without specific budget allocation. The findings of the Quality Assurance Group also show that a holistic integration of social development concerns lags behind the performance of other quality concerns (economic, financial, and technical), despite the indication that the water sector performs better than others in its treatment of poverty and social issues (p. 83).

13. See the meta-evaluation section on M&E for more information and examples.

14. Resettlement did not.

15. See the meta-evaluation staffing section for a discussion of several staffing roadblocks.

16. NGO study (Précis, OED 1999e). For more information on this point, see the NGO study (OED 1999a), p. xvii (executive summary).

17. Culture, NGOs, forestry, gender, participation, water resources, post-conflict reconstruction, social funds, ARDE.

18. OED's *2000 Annual Review of Development Effectiveness* (ARDE 2000; OED 2001g) reports that the Bank has initiated a wide range of productive partnerships, but it can only realize their potential by being more businesslike and selective about what they are intended to achieve, what risks they entail, and how they can yield operating economies for the Bank through sharper delineation of its comparative advantage.

19. Participation, forestry, water resources, gender, and resettlement.

Chapter 6

1. A borrower survey envisioned in the Design Paper was dropped in order to avoid survey fatigue (the teams working on the SDV Regional strategies will be surveying borrowing-country project partners). Additionally, Operational staff are better placed to identify which borrower agency is the proper interlocutor with regard to social development.

2. Some have argued that these discrete units have been created as the Bank's response to various U.N. conferences dealing with social development topics.

3. Social Team Web site, consulted 18 September 2001.

4. The Social Analysis Sourcebook, <http://www.worldbank.org/socialanalysissourcebook/socialassess3.htm>

5. "The Geneva Special Session and Beyond," *The Social Development Review*, Sept. 2000, v. 4, no. 3, p. 6. <www.icsw.org/publications/sdr/2000_sept/division.htm> Consulted 10 July 2001.

Chapter 7

1. These figures understate the impact: the large number of social development projects in the all-project average raises that figure.

2. Who reports to the Regional Sector Director and QACU.

Annex B

1. <http://www.worldbank.org/oed/sdstudy/>

2. Germany, Netherlands, Norway, and the United Kingdom.

3. See Barney Glaser and Anselm Strauss' social science classic, *The Discovery of Grounded Theory*, 1967.

Annex E

1. The 10 (highly satisfactory/highly likely sustainability that address at least 4 social development themes) projects given intensive desk review were: Peru Rural Roads and Rehabilitation Project (Loan 3962-PE); Morocco Emergency Drought Project (Loan 3935-0, 3935-1 MOR); Bosnia-Herzegovina Local Initiatives (N002-0 BOS); India Maharashtra Earthquake Recovery (Credit 2594-IN); Kazakhstan Technical Assistance (Loan-36420); Indonesia Village Infrastructure Project (Loan 3888-IND); Indonesia Second Village Infrastructure Project (Loan 4100-IND); China Iodine Deficiency Disorder (Project 39140; 3914A; 27560); Kyrgyz Republic Health Project (IDA-28600); Chile Secondary Education (Loan-38830; Loan-38836).

2. The rural water study found that a particularly effective way to include beneficiaries in project design and implementation is to establish a role for project champions within project-sponsored activities. This can include employment by the project when possible.

Annex H

1. The World Bank Board's Committee on Development Effectiveness reviewed an earlier draft of that paper together with the OED report. The revised draft will be used as a basis for consultations with borrowers, partners and other stakeholders during the first half of 2004.

2. The Social Development Group consists of social development specialists grouped in six Regional social development teams, an anchor department (Social Development Department in the Environmentally and Socially Sustainable Development Vice Presidency), and staff in other Bank units.

3. The evaluations included in the meta-evaluation were Gender (1995, 1997, 2001), Post-Conflict Reconstruction (1998), NGOs (1999), Participation, (2000), Rural Water (2000, 2002), Resettlement (2001), Cultural Heritage (2001), Community-Driven Development in the Sahel (2002), and Forestry (1991, 2000). The team also drew on the *2002 Annual Review of De-*

velopment Effectiveness (ARDE) and the Social Investment Funds review (2002b).

4. The social safeguards arose out of concern for involuntary resettlement, indigenous peoples, and cultural property; they are governed by the procedures laid out in OP/BP4.12, Involuntary Resettlement, OD4.20, Indigenous Peoples Policy, and OPN11.03, Management of Cultural Property in Bank-Financed Projects.

5. The discussion draft is available at the following Web site:

<http://Inweb18.worldbank.org/ESSD/sdvext.nsf/62ByDocName/SocialDevelopmentStrategy>

6. In FY03, there are a total of 20 active stand-alone social development operations with a combined original commitment value of \$1.345 billion.

7. The themes are civic engagement, participation, CDD, conflict prevention and post-conflict reconstruction, gender, indigenous peoples, social analysis and monitoring, and other social development.

8. Portfolio information under this classification scheme is available only from FY90 to FY03. An OPCS

team is currently reclassifying operations dated before FY90 using current thematic and sector definitions.

9. Operational policies have been issued recently for conflict (OP/BP2.30, Development Cooperation and Conflict) and gender (OP4.20, Gender and Development).

10. Current guidance dates back to 1984 when OMS2.20, Project Appraisal, included a section on Sociological Appraisal. The OMS is outdated. The Bank's portfolio has evolved and so has the range of social analysis tools and instruments.

11. See <http://www.worldbank.org/socialanalysis> sourcebook

12. The User's Guide, produced jointly with the PREM Network, is available at <http://www.worldbank.org/psia>

13. See *World Bank Lending Modernization and Simplification: An Update* (CODE 2003-0086), December 24, 2003.

14. SDG's staffing data, from the Human Resources Strategic Staffing Unit database, include IBRD staff at levels GE and above.

BIBLIOGRAPHY

This is the complete bibliography of OED publications dealing with social development themes compiled for this report. The major OED evaluations used in the meta-evaluation and background papers are indicated in **boldface** type.

A full list of all references can be found in the background paper, *Social Development: A Review of the Literature*.

- Cernea, Michael, and Ayse Kudat. 1997. "Social Assessments for Better Development, Case Studies in Russia and Central Asia." *Environmentally Sustainable Development Studies and Monographs Series No. 16*. Washington, D.C.: The World Bank.
- Chen, Lincoln, and Meghnad Desai. 1997. "Paths to Social Development: Lessons from Case Studies." In *Development with a Human Face: Experiences in Social Achievement and Economic Growth*, Santosh Mehrotra and Richard Jolly, eds. Oxford: Clarendon.
- DFID (Department for International Development, U.K.). Various years. "Social Development Factsheet." Can be viewed at: www.dfid.gov.uk/index.html
- Garaycochea, Ignacio. 1990. "The Meaning of Social Development Evaluation: Thematic Paper." *Evaluating Social Development Projects*, David Marsden and Peter Oakley, eds. Oxford: Oxfam.
- Glaser, Barney. 1992. *The Basics of Grounded Theory Analysis*. Mill Valley, CA: Sociology.
- Glaser, Barney, and Anselm Straus. 1967. *The Discovery of Grounded Theory*. New York: Aldine de Gruyter.
- Hanna, Nagy. 2000. "Analytical and Advisory Services for Comprehensive and Participatory Development." OED Working Paper No 12. Washington, D.C.
- Jerve, Alf Morten, and Gunn Helen Softing. 2002. "The Organization of the Social Development Dimension in Major Aid Agencies: Lessons of Relevance for the World Bank." Bergen, Norway: The Christian Michelsen Institute.**
- Little, Kristin S. 2002. *Social Development: A Review of the Literature*. Washington, D.C.: World Bank, Operations Evaluation Department.**
- Lytle, Paula Franklin. 2001. "Preliminary Findings on FY01 Social Assessments." PowerPoint presentation, World Bank Social Development Department Web site.
- OED (Operations Evaluation Department, World Bank). 2003a. *Implementation of Operational Directive 4.20 on Indigenous Peoples: An Evaluation of Results*. Washington, D.C.**
- . 2003b. "OED Surveys of Social Development Staff, Task Managers, and Country Directors: Summary of Results." Washington, D.C.
- . 2002a. *The Meta-Evaluation: An Analysis of OED Study Findings on Social Development*. Washington, D.C.: World Bank.
- . 2002b. *Social Funds: Assessing Effectiveness*. OED Study Series. Washington, D.C.
- . 2002c. *The Gender Dimension of Bank Assistance, An Evaluation of Results*. Washington, D.C.: World Bank.
- . 2002d. "Cultural Properties in Policy and Practice." OED Précis 220. Washington, DC.
- . 2001a. *Recent Experience with Involuntary Resettlement: Brazil—Itaparica*. Washington, D.C.: World Bank.
- . 2001b. *Recent Experience with Involuntary Resettlement: China—Shuikou and Yantan*. Washington, D.C.: World Bank.

- . 2001c. *Recent Experience with Involuntary Resettlement: India—Upper Krishna*. Washington, D.C.: World Bank.
- . 2001d. *Recent Experience with Involuntary Resettlement: Thailand—Pak Mun*. Washington, D.C.: World Bank.
- . 2001e. *Recent Experience with Involuntary Resettlement: Togo—Nangbeto*. Washington, D.C.: World Bank.
- . **2001f. *Protecting and Enhancing Cultural Properties: A Review of World Bank Experience*. Washington, D.C.: World Bank.**
- . 2001g. *2000 Annual Review of Development Effectiveness: From Strategy to Results*. OED Study Series. Washington, D.C.: World Bank.
- . 2000a. “Evaluating Gender and Development at the World Bank.” Précis 200. Washington, D.C.
- . 2000b. “Mainstreaming Participation in Development.” OED Working Paper No 10. Washington, D.C.
- . 2000c. *Financing the Global Benefits of Forests: The Bank’s GEF Portfolio and the 1991 Forest Strategy*. Washington, D.C.: World Bank.
- . 2000d. “The Role of Civil Society in Assessing Public Sector Performance in Ghana.” OED Workshop Proceedings, October 2000. Washington, D.C.
- . **2000e. *The World Bank Forest Strategy: Striking the Right Balance*. Washington, D.C.: World Bank.**
- . 2000f. *Brazil: Forests in the Balance—Challenges of Conservation with Development*. OED Evaluation Country Case Studies. Washington, D.C.: World Bank.
- . 2000g. *Cameroon: Forest Sector Development in a Difficult Political Economy*. OED Evaluation Country Case Studies. Washington, D.C.: World Bank.
- . 2000h. *China: From Afforestation to Poverty Alleviation and Natural Forest Management*. OED Evaluation Country Case Studies. Washington, D.C.: World Bank.
- . 2000i. *Costa Rica: Forest Strategy and the Evolution of Land Use*. OED Evaluation Country Case Studies. Washington, D.C.: World Bank.
- . 2000j. *India: Alleviating Poverty through Forest Development*. OED Evaluation Country Case Studies. Washington, D.C.: World Bank.
- . 2000k. *Indonesia: The Challenges of World Bank Involvement in Forests*. OED Evaluation Country Case Studies. Washington, D.C.: World Bank.
- . 2000l. “Lessons on Community-Driven Development.” Lessons and Practices 12. Washington, DC.
- . **1999a. *NGOs in World Bank-Supported Projects*. Washington, D.C.: World Bank.**
- . 1999b. *Development Effectiveness in Health, Nutrition, and Population: Lessons from World Bank Experience*. Washington, D.C.: World Bank.
- . 1999c. “Grassroots Pastoral Organizations in Mauritania.” Précis 181. Washington, D.C.
- . 1999d. “Aid Coordination and Post-Conflict Reconstruction: The West Bank and Gaza Experience.” Précis 185. Washington, D.C.
- . 1999e. “NGOs in World Bank-Supported Projects: A Review.” Précis 177. Washington, D.C.
- . 1999f. “Bangladesh: Progress Through Partnership.” Précis 191. Washington, D.C.
- . 1998a. *The Dairy Revolution*. Washington, D.C.: World Bank.
- . 1998b. “Post-Conflict Reconstruction: Bosnia & Herzegovina Case Study Summary.” Précis 170. Washington, D.C.
- . 1998c. “Post-Conflict Reconstruction Overview.” Précis 169. Washington, D.C.
- . 1998d. “Post-Conflict Reconstruction: Uganda Case Summary.” Précis 171. Washington, D.C.
- . **1998e. *The World Bank’s Experience with Post-Conflict Reconstruction*. Washington, D.C.: World Bank.**
- . 1997a. “Grassroots Organizations for Resource Management in the Philippines.” Précis 153. Washington, D.C.
- . 1997b. “Participatory Evaluation for Rural Development in Sri Lanka.” Précis 138. Washington, D.C.
- . **1997c. *Integrating Gender in World Bank Assistance*. Washington, D.C.: World Bank.**

- . 1997d. *Mainstreaming Gender in WB Lending: An Update*. Washington, D.C.: World Bank.
- . 1996a. "Paddy Irrigation and Water Management in SE Asia." Précis 126. Washington, D.C.
- . 1996b. "World Bank Lending for Large Dams: A Preliminary Review of Impacts." Précis No 125. Washington, D.C.
- . 1996c. *The World Bank's Experience with Large Dams: A Preliminary Review of Impacts*. Washington, D.C.: World Bank.
- . 1996. *The Social Dimensions of Adjustment: World Bank Experience, 1980–93*. Washington, D.C.: World Bank.
- . 1995. *Gender Issues in World Bank Lending*. Washington, D.C.: World Bank.
- . 1994a. "Community Development in Colombia." Précis 77. Washington, D.C.
- . 1994b. *Conditional Lending Experience in World Bank-Financed Forestry Projects*. Washington, D.C.: World Bank.
- . 1994c. "Gender Issues in World Bank Lending." Précis 79. Washington, D.C.
- . 1994d. "Revitalizing Tree Crops: Rubber in Thailand." Précis 66. Washington, D.C.
- . 1994e. *The World Bank's Role in Human Resource Development in Sub-Saharan Africa: Education, Training, and Technical Assistance*. Washington, D.C.: World Bank.
- . 1994f. *Twenty Years of Lending for Urban Development 1972–92*. Washington, D.C.
- . 1994. "Two Decades of Lending for Urban Development." Précis 81. Washington, D.C.
- . 1993a. "Early Experience with Involuntary Resettlement: Overview." Washington, D.C.
- . 1993b. "Involuntary Resettlement." Précis 52. Washington, D.C.
- . 1993c. "Natural Resource Management in Bolivia." Précis 44. Washington, D.C.
- . 1992. "Natural Resource Management in Nepal." Précis 24. Washington, D.C.
- . 1991a. "Forestry Development: A Review of World Bank Experience." Précis 9. Washington, D.C.
- . 1991b. *Forestry Development: The World Bank Experience*. Washington, D.C.: World Bank.
- Parker, Ronald, and Tauno Skytta. 2000.** *Rural Water Projects: Lessons from OED Evaluations*. OED Working Paper Series No 3. Washington, D.C.
- Picciotto, Robert, Warren Van Wicklin, and Edward Rice. 2001.** *Involuntary Resettlement, Comparative Perspectives*. New Brunswick, NJ: Transaction.
- QAG (Quality Assurance Group), World Bank. 2003. "Quality at Entry in FY02 (QEA5): A QAG Assessment." Washington, D.C.
- Rolland, Gerard. 2000. "Social Development as a Vision of Societies." *Development 2000* 43:2; 94.
- Thin, Neil. 2000. "Characteristics of DFID-Funded Projects." SD SCOPE Paper no. 12, DFID SD SCOPE Project. Bath: Center for Development Studies, University of Bath.
- Thin, Neil, Tony Good, and Rebecca Hodgson. 1997. "Social Development Policies, Results, and Learning: A Multi-Agency Review." London: DFID SD-SCOPE Social Development Systems for Coordinated Poverty Eradication.
- Thin, Neil, Clare Lockhart, and Gil Yaron. 2001. "Conceptualizing Socially Sustainable Development: A Policy Review." Seminar on Institutions for Sustainability. Washington, D.C.: World Bank, December 5, 2001.
- World Bank. 2001. *PRSP Sourcebook*. Washington, D.C.: World Bank.
- . 2001. *World Development Report 2000/2001: Attacking Poverty*. New York: Oxford University Press for the World Bank.
- . 1992. *Advancing Social Development, A World Bank Contribution to the Social Summit*. Washington, D.C.: World Bank.
- World Bank, Social Development Department. 2004. "Social Development in World Bank Operations: Results and Way Forward." Washington, D.C.
- . 2002a. "Issues Paper for a World Bank Social Development Strategy." Washington, D.C.: World Bank.
- . 2002b. "Uncovering the Operational Contribution of Social Analysis: Lessons from Task Teams." Washington, D.C.: World Bank.
- . 1997. "Social Development and Results on the Ground: Task Group Report." Washington, D.C.
- World Bank, Social Development Team ECSSD. 2001. "Social Development in Europe and

Central Asia Region: Issues and Directions.”
Washington, D.C.: World Bank.

World Summit for Social Development. 1995.
*The Copenhagen Declaration and Program
of Action*. Document of the World Summit for
Social Development, March 1995. Copen-
hagen: The United Nations.