

A Model for Social Impact Assessment in Southern Africa

by

JAMES HAYES

(8924961)

Submitted in part fulfilment of the requirements for the degree

MASTER IN ENVIRONMENT AND SOCIETY

In the Department of Geography

University of Pretoria

Pretoria

February 2002

Study Leader

Professor N.F. Alberts



OPBOUWING: 'N MODEL VIR SOSIALE-IMPAK-ANALISE IN SUIDER-AFRIKA

Die studie stel 'n model vir sosiale-impak-analise voor vir toepassing in die Suid-Afrikaanse konteks. Die voorgestelde model sluit eerste- en derdewêreldse sosiale komponente in, aangesien al twee komponente in Suid-Afrika aangakref word. Die model beskryf die analiese-proses en duiel 'n lys van sosiale veranderlikes wat tydens die proses ondersoek behoort te word.

Terselfde model word ontweel aan die hand van die internasionale proses en duiel 'n verskeide sosiale veranderlikes. Hierdie model van derdewêreldse sosiale veranderlikes is

I would like to express my gratitude to the following people for their valuable contributions to this document:

My study leader, Professor Alberts, for his assistance and encouragement,

My colleagues at the Department of Housing for their support and availability of resources.

My parents for all their love and guidance.

Experts in the field for sharing their knowledge and availability – Dr Dawid de Waal, Dr Sharon Biermann, Ina Stahmer.

And above all to our heavenly Father for his grace.

Die studie duiel 'n goewerter aan die hand van die lys van sosiale veranderlikes. Die studie duiel 'n goewerter aan die hand van die lys van sosiale veranderlikes wat tydens die analiese-proses ondersoek behoort te word. Die studie duiel 'n goewerter aan die hand van die lys van sosiale veranderlikes wat tydens die analiese-proses ondersoek behoort te word.

Terselfde model word ontweel wat in die Suid-Afrikaanse konteks gebruik kan word. Hierdie model van derdewêreldse sosiale veranderlikes is 'n goewerter aan die hand van die lys van sosiale veranderlikes wat tydens die analiese-proses ondersoek behoort te word.

Ten slotte: sosiale-impak-analises word in Suid-Afrika gedoen, hoewel dit nie wettig afdwingbaar is soos die geval is met omgewingsimpak-analises nie. Sosiale-impak-analises is deel van omgewingsimpak-analises en sluit gemeenskapbetrokkeheid voor die aanvang van groot projekte in. 'n Paar addisionele sosiale veranderlikes kan by die bestaande internasionale lys gevoeg word om sosiale aspekte kenmerkend van die Suid-Afrikaanse konteks aan te spreek.

OPSOMMING: 'N MODEL VIR SOSIALE-IMPAK-ANALISE IN SUIDER-AFRIKA

Die studie stel 'n model vir sosiale-impak-analise voor vir toepassing in die Suider-Afrikaanse konteks. Die voorgestelde model sluit eerste- en derdewêreldse sosiale komponente in, aangesien al twee komponente in Suider-Afrika aangetref word. Die model beskryf die analiseproses en bevat 'n lys van sosiale veranderlikes wat tydens die proses ondersoek behoort te word.

'n Teoretiese model word ontwikkel aan die hand van die internasionale proses en sosiale veranderlikes. Hierdie model word dan aangewend om vyf gevallestudies te evalueer in terme van die proses wat hulle gevolg het en die sosiale veranderlikes wat hulle gebruik het. Vier van die gevallestudies hou verband met die vestiging van infrastruktuur, en een met die beëindiging van 'n mynbou-aktiwiteit. Al die gevallestudies het te doen met projekte wat in Suider-Afrika uitgevoer is en almal het 'n streeksimpak.

Tydens die ondersoek is bevind dat die sosiale-impak-analises soos vervat in die gevallestudies deel gevorm het van omgewingsimpak-analises. Die proses wat gevolg is het ooreengestem met die aanvaarde internasionale praktyk. Gemeenskapsdeelname was ook deel van die sosiale-impak-analises.

Die gevallestudies is geëvalueer aan die hand van die lys van sosiale veranderlikes. Die doel daarvan was om te bepaal of daar enige ander sosiale veranderlikes was wat nie deur die bestaande lys gedek word nie, en wat ingesluit kan word by 'n lys vir toekomstige gebruik in sosiale-impak-analise in Suider-Afrika.

'n Model word uiteindelik voorgestel wat in die Suider-Afrikaanse konteks gebruik kan word, asook 'n uitgebreide lys van sosiale veranderlikes wat tydens toekomstige studies ondersoek kan word.

Ten slotte, sosiale-impak-analises word in Suider-Afrika gedoen, hoewel dit nie wetlik afdwingbaar is soos die geval is met omgewingsimpak-analises nie. Sosiale-impak-analises is deel van omgewingsimpak-analises en sluit gemeenskapbetrokkenheid voor die aanvang van groot projekte in. 'n Paar addisionele sosiale veranderlikes kan by die bestaande internasionale lys gevoeg word om sosiale aspekte kenmerkend van die Suider-Afrikaanse konteks aan te spreek.

Kernwoorde: Sosiale-impak-analise, Sosiale veranderlikes, Model vir sosiale-impak-analise.

The study proposes a model for social impact assessment for application in the Southern African context. The proposed model includes first and third world components, as both components are found in Southern Africa. The model prescribes the analysis process and contains a list of social variables that should be examined during the process.

A hierarchical model is developed based on the international process and social variables. This model is then applied to evaluate five case studies in terms of the process they followed and the social variables they utilized. Four of the case studies relate to the establishment of infrastructure and one relates to the commencement of a mining activity. All the case studies deal with projects that have a significant impact on Southern Africa and all have a regional impact.

During the investigation it was established that the social impact assessments as contained in the case studies formed part of environmental impact assessments. The process that was followed corresponded with the accepted view of social practice. Community participation was also part of the social impact assessments.

The case studies were evaluated against the list of social variables. The purpose of the evaluation was to determine if there were social variables that were not contained in the existing list, and could be included in a list for future use in social impact assessment in Southern Africa. A model is eventually prepared for application in Southern Africa, in addition to an extensive list of social variables that can be investigated in future studies.

To conclude, social impact assessments are done in Southern Africa, although they are not enforced by legislation, as is the case with environmental impact assessments. Social impact assessments form part of environmental impact assessments and include community involvement before major projects commence. A number of additional social variables can be added to the existing international list to address social aspects characteristic of the Southern African context.

Key words: Social impact assessment, Social variables, Social impact assessment model

SUMMARY: A MODEL FOR SOCIAL IMPACT ASSESSMENT IN SOUTHERN AFRICA

The study proposes a model for social impact assessment for application in the Southern African context. The proposed model includes first and third world components, as both components are found in Southern Africa. The model describes the analysis process and contains a list of social variables that should be examined during the process.

A theoretical model is developed based on the international process and social variables. This model is then applied to evaluate five case studies in terms of the process they followed and the social variables they utilised. Four of the case studies relate to the establishment of infrastructure and one relates to the termination of a mining activity. All the case studies deal with projects that were conducted in Southern Africa and all have a regional impact.

During the investigation it was established that the social impact assessments as contained in the case studies formed part of environmental impact assessments. The process that was followed corresponded with the accepted international practice. Community participation was also part of the social impact assessments.

The case studies were evaluated against the list of social variables. The purpose of the evaluation was to determine if there were social variables that were not covered in the existing list, and could be included in a list for future use in social impact assessment in Southern Africa. A model is eventually proposed for application in Southern Africa, in addition to an extensive list of social variables that can be investigated in future studies.

To conclude, social impact assessments are done in Southern Africa, although they are not enforced by legislation, as is the case with environmental impact assessments. Social impact assessments form part of environmental impact assessments and include community involvement before major projects commence. A number of additional social variables can be added to the existing international list to address social aspects characteristic of the Southern African context.

Key words: Social impact assessment, Social variables, Social impact assessment model.

ABBREVIATIONS

AID	Agency for International Development	10
AIDS	Acquired Immune Deficiency Syndrome	10
DEA	Department of Environment Affairs (1992)	11
DMEA	Department of Mineral and Energy Affairs	11
DWAF	Department of Water Affairs and Forestry	11
EIA	Environmental Impact Assessment	13
EIR	Environmental Impact Report	13
EIS	Environmental Impact Statement	13
EMP	Environmental Management Plan	13
EMPR	Environmental Management Programme Report	14
FHA	Federal Highway Administration	15
HIV	Human Immuno-Deficiency Virus	15
IAIA	International Association for Impact Assessment	15
IAP	Interested and Affected Parties	15
ICGP	Interorganisational Committee on Guidelines and Principles for Social Impact Assessment	25
IEM	Integrated Environmental Management	26
LHDA	Lesotho Highlands Development Authority	27
LHWP	Lesotho Highlands Water Project	29
LMP	Land Management Plan	30
MEC	Malgas Environmental Consortium	30
NEMA	National Environmental Management Act	30
NEPA	National Environmental Policy Act	30
SIA	Social Impact Assessment	30
SSP	Saldanha Steel Project	48
STD	Sexually Transmitted Disease	48
3.1	BACKGROUND	48
3.1.1	APPROACH AND METHOD	48
3.1.2	IMPACTS IDENTIFIED	49
3.1.3.1	The Impact on Housing Demand and Supply	50
3.1.3.2	The Potential Benefits to the West Coast Economy and Development	51
3.1.3.3	The Impact on Population Growth and Unemployment in the Region	52
3.1.3.4	The Impact on Community Welfare and the Availability of Social Services	53
3.1.3.5	The Impact on the Cultural Characteristics of the Region	54
3.1.3.6	The Impact due to Pollution Risks and Hazards to Local Communities	55
3.1.3.7	The Impact on Archaeological and Palaeontological Resources	54

TABLE OF CONTENTS

1	INTRODUCTION.....	10
1.1	PROBLEM STATEMENT.....	10
1.2	AIM OF THE STUDY.....	11
1.3	OBJECTIVES AND HYPOTHESES OF THE STUDY.....	11
1.4	METHODOLOGY.....	11
2	THE THEORY OF SOCIAL IMPACT ASSESSMENT	13
2.1	INTRODUCTION.....	13
2.2	WHAT IS A SOCIAL IMPACT ASSESSMENT?.....	13
2.3	HISTORICAL DEVELOPMENT OF SOCIAL IMPACT ASSESSMENT	15
2.3.1	<i>SOCIAL IMPACT ASSESSMENT IN OTHER DEVELOPED COUNTRIES</i>	18
2.3.2	<i>SOCIAL IMPACT ASSESSMENT IN DEVELOPING COUNTRIES</i>	19
2.4	LEGISLATION AND GUIDELINES ASSOCIATED WITH SOCIAL IMPACT ASSESSMENTS	20
2.5	FEASIBILITY OF SOCIAL IMPACT ASSESSMENT.....	22
2.6	THE SCOPE OF SOCIAL IMPACT ASSESSMENT.....	25
2.6.1	<i>PRINCIPLES FOR SOCIAL IMPACT ASSESSMENT</i>	25
2.6.2	<i>METHODOLOGY OF SOCIAL IMPACT ASSESSMENT</i>	25
2.6.3	<i>THE SOCIAL IMPACT ASSESSMENT PROCESS</i>	27
2.6.4	<i>CRITICISM ON THE APPLICATION OF SOCIAL IMPACT ASSESSMENT</i> ..	28
2.6.5	<i>DEFINING A SOCIAL VARIABLE</i>	30
2.6.5.1	International Variables	32
2.6.5.2	The South African Case.....	37
2.6.6	<i>COMPARISON BETWEEN VARIOUS VARIABLES</i>	40
2.7	AN EVALUATION MODEL FOR SOCIAL IMPACT ASSESSMENT.....	44
2.8	CONCLUSION	46
3	CASE STUDIES.....	48
3.1	SALDANHA STEEL PROJECT	48
3.1.1	<i>BACKGROUND</i>	48
3.1.2	<i>APPROACH AND METHOD</i>	49
3.1.3	<i>IMPACTS IDENTIFIED</i>	51
3.1.3.1	The Impact on Housing Demand and Supply	51
3.1.3.2	The Potential Benefits to the West Coast Economy and Development.....	51
3.1.3.3	The Impact on Population Growth and Unemployment in the Region.....	52
3.1.3.4	The Impact on Community Welfare and the Availability of Social Services	52
3.1.3.5	The Impact on the Cultural Characteristics of the Region	53
3.1.3.6	The Impact due to Pollution Risks and Hazards to Local Communities	53
3.1.3.7	The Impact on Archaeological and Palaeontological Resources.....	54

3.1.4	CONCLUSION	54
3.2	CORRIDOR SANDS PROJECT: SOCIAL IMPACT ASSESSMENT.....	56
3.2.1	BACKGROUND	56
3.2.1.1	Background to Chibuto.....	56
3.2.1.2	Socio-economic Consequences of the Floods.....	57
3.2.2	APPROACH AND METHOD.....	57
3.2.3	IMPACTS IDENTIFIED	58
3.2.3.1	Loss of Productive Land and Settlement Type	58
3.2.3.2	Resettlement	59
3.2.3.3	Undermining Local and Traditional Authorities	60
3.2.3.4	Changes to Social Systems and Structures and Household Strategies	60
3.2.3.5	Impacts of Relocating Graves	62
3.2.3.6	Changes to the Physical Environment	62
3.2.3.7	Expansion of Economic Opportunities and Extension of Service Provision	63
3.2.3.8	Return to the Land	64
3.2.3.9	Housing	64
3.2.3.10	Smelter and Mineral Processing Site	64
3.2.4	CONCLUSION	64
3.3	LESOTHO HIGHLANDS WATER PROJECT (MOHALE DAM)	67
3.3.1	BACKGROUND	67
3.3.2	APPROACH AND METHOD.....	68
3.3.2.1	Public Participation.....	68
3.3.3	IMPACTS IDENTIFIED	69
3.3.3.1	Housing and Village Infrastructure Relocation.....	69
3.3.3.2	Land Tenure	70
3.3.3.3	Informal Economic Sector and Related Issues	70
3.3.3.4	Short-Term Employment.....	70
3.3.3.5	Food Security	71
3.3.3.6	Cultural Identity	71
3.3.3.7	Community Social Interactions.....	72
3.3.3.8	Family Social Structure	72
3.3.3.9	Traditional Activities	72
3.3.3.10	Gender Issues	72
3.3.3.11	Schools and Clinics.....	73
3.3.3.12	Occupational Health.....	73
3.3.3.13	Nutrition	74
3.3.3.14	Sexually Transmitted Diseases.....	74
3.3.3.15	Substance Abuse	75
3.3.3.16	Other Health Problems.....	75
3.3.3.17	Public Safety	75

3.3.3.18	Access.....	76
3.3.3.19	Archaeological Values.....	76
3.3.4	<i>CONCLUSION</i>	77
3.4	ENVIRONMENTAL STUDY ON THE TRANSMISSION LINE BETWEEN ESTCOURT AND PIETERMARITZBURG.....	79
3.4.1	<i>BACKGROUND</i>	79
3.4.2	<i>APPROACH AND METHOD</i>	79
3.4.2.1	Public Participation.....	81
3.4.3	<i>IMPACTS IDENTIFIED</i>	81
3.4.4	<i>CONCLUSION</i>	83
3.5	DURNACOL COAL MINE: ENVIRONMENTAL MANAGEMENT PROGRAMME... 84	84
3.5.1	<i>BACKGROUND</i>	84
3.5.2	<i>APPROACH AND METHOD</i>	84
3.5.3	<i>IMPACTS IDENTIFIED</i>	85
3.5.4	<i>CONCLUSION</i>	88
3.6	CONCLUSION ON ALL THE CASE STUDIES.....	89
4	EVALUATION OF THE VARIABLES.....	91
4.1	DISCUSSION.....	94
4.2	CONCLUSION.....	96
5	AN SIA MODEL FOR SOUTHERN AFRICA.....	98
5.1	CONCLUSION.....	102
5.2	RECOMMENDATIONS.....	103

LIST OF TABLES

Table 1: Statutes and Regulations that Mandate or Contain Provisions for the Conduct of Social Impact Assessment..... 16

Table 2: Areas of Human Concern (Impact Categories)..... 32

Table 3: The Social Impact Assessment Variables: The Current List of Twenty Eight 33

Table 4: Social Impact Assessment: List of Social Impacts 36

Table 5: Variables used in the South African Checklist..... 38

Table 6: Variables used in an SIA..... 40

Table 7: Categories of Concern in the Transmission Line Development 82

Table 8: Case Study Evaluation: Variables Analysis..... 91

Table 9: List of all Variables..... 99

that is, on "people impacts". Ultimately, as part of an EIA or SIA, provides information to understand the consequences of a proposed activity or action on a specific community.

According to Budge (1995), an SIA has no single universally accepted definition. It is mostly described as the systematic analysis of the likely impacts a development event or project will have on the everyday life of individuals and communities.

Most of the theory, experience and case studies of SIAs available today in South Africa are derived from international practices, applicable to the first world or the third world. However, authors like Taylor et al. (1992) correctly state that a first world focus cannot be applied to third world countries because the environment, environmental problems and social development stages are different.

This study is an attempt to answer the following research questions: What is the current situation in Southern Africa, where a mix of first and third world development problems prevail? What is the extent and nature of SIAs conducted in Southern Africa?

1.1 PROBLEM STATEMENT

The student in Southern Africa is referred to international theory and practice and to case studies of SIAs in first or third world countries. In overseas countries, the procedure is backed by legislation, including a definition of the procedure and a set of social variables for addressing the social issues affecting individuals and the community. But what is the situation and procedure regarding SIAs in Southern Africa?