

## IAIA10 Training Course #7

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### Course title

Achieving the full potential of SIA

### Level

Basic. This course will appeal to early career SIA practitioners, people who commission SIAs, people who would like to do them, people who are involved in assessing them, and people with a general interest in the field.

### Prerequisites for participants

No specific prerequisite, however, it is presumed that participants will have a general understanding of EIA.

### Language of delivery

English

### Duration

2 days

### Name and contact details of each trainer.

Dr Ana Maria Esteves

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Prof Frank Vanclay

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Website: <http://www.agsci.utas.edu.au/vanclay.htm>

Address: Prof Frank Vanclay, Tasmanian Institute of Agricultural Research, University of Tasmania, Private Bag 98, Hobart, Tas 7001, Australia.

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## **Summary of the purpose(s), content, and anticipated learning outcomes of the course**

The aim of the course is to provide a basic introduction to SIA, based on IAIA's International Principles for Social Impact Assessment and leading practice. The trainers include a person with considerable consulting experience in industry, and a leading academic. The course will go beyond traditional understandings which only saw SIA as occurring in project settings and driven by a legislative framework. In the understanding being advanced, SIA is as much about the processes of managing the social issues as it is about the prediction of social impacts in advance of project development. SIA should be seen to be a tool to ensure positive development outcomes are achieved (a do good approach), rather than traditional SIA oriented to a do no harm approach.

This course will appeal to early career SIA practitioners, people who commission SIAs, people who would like to do them, people who are involved in assessing them, and people with a general interest in the field. Specific course objectives are to:

- Increase awareness of new developments in SIA thinking and practice
- Create awareness of the benefits to proponents of seeing SIA as a process of engagement rather than being limited to a point-in-time assessment;
- Strengthen understandings of the social nature of impacts on communities;
- Build practical knowledge in how to conduct an SIA
- Increase ability to critically evaluate an SIA
- Increase awareness of approaches to ensure SIA commitments are implemented
- Equip with tools to realise the potential of proponents to contribute to longer term sustainability outcomes
- Increase comprehension of the ethical and human rights issues in SIA practice

The course will also provide participants with frameworks and tools to consider issues such as sustainable livelihoods, human rights, gender, agreement-making with Indigenous peoples, closure planning, cumulative impacts, and public-private partnerships.

## Detailed description of the course structure and content.

The primary goal of the course is to impart a detailed understanding of how to conduct a social impact assessment. Specific course objectives include:

- Increase awareness of new developments in SIA thinking and practice
- Create awareness of the benefits to proponents of seeing SIA as a process of engagement rather than being limited to a point-in-time assessment linked to a legislated planning approvals process;
- Strengthen understandings of the social nature of impacts on communities;
- Build practical knowledge in how to conduct a SIA
- Increase ability to critically evaluate an SIA
- Increase awareness of approaches to ensure SIA commitments are implemented
- Equip with tools to realise the potential of proponents to contribute to longer term sustainability outcomes
- Increase comprehension of the ethical and human rights issues in SIA practice

## Day 1

### 1. Welcome

*Duration: 30 mins*

*Activities:*

- Introduction to trainers
- Introduction to other participants
- Housekeeping
- Expectations

### 2. Introduction to SIA

*Duration: 60 mins*

*Learning objectives:*

- What is SIA? – history, definitions, new understandings
- Understanding the business case for SIA
- Looking beyond impact assessment to social sustainability
- The organisational context for SIA (including role playing exercise)
- Theoretical models for SIA
- What is 'good' SIA?
- Introduction to the four case studies to be used in training course
  - a. Conflict environment - Africa
  - b. Resettlement - China

- c. Infrastructure development through public-private partnership – Australia
- d. Agreement making with land connected peoples – Canada

### **Morning tea**

#### **3. A few basics: Understanding how communities work**

*Duration: 90 mins*

*Learning objectives:*

- Sense of Place
- Social change processes
- Who are the project stakeholders?
- Understanding different interests
- What are social impacts?
- Understanding how policies and projects cause impacts
- Methods of community profiling and stakeholder analysis
- Group work using case studies, and reporting back to wider group

### **Lunch**

#### **4. Emerging frameworks in SIA thinking and practice**

*Duration: 60 mins*

*Learning objectives:*

- Human impact assessment
- Sustainable Livelihoods approach
- Agreement-based approaches involving Indigenous peoples
- Gender impact assessment
- Community-owned SIA
- Health and SIA
- Cumulative (social) impact assessment
- Closure planning
- Human Rights impact assessment

### **Afternoon tea**

#### **5. Preliminary scoping of potential impacts and establishing a baseline**

*Duration: 90 mins*

*Learning objectives:*

- Drawing on the range of emerging frameworks, selecting impact variables using case studies, group work and reporting back

## Day 2

### 6. Methods and techniques for involving communities whilst being sensitive to the politics

*Duration: 120 mins*

*Learning objectives:*

- Selecting social research methods
- Selecting methods for community involvement (including group exercise)
- Integrating social and technical data
- Effective facilitation techniques
- Avoiding conflict and managing conflict
- Risk communication (including role playing exercise)

#### **Morning tea**

- Group work using case studies to develop a community involvement plan

### 7. Predicting and managing impacts

*Duration: 90 mins*

*Learning objectives:*

- Techniques for prediction
- Establishing significance and prioritising of impacts
- Group work using case studies to develop strategies to minimise negative impacts and enhance positive impacts

#### **Lunch**

### 8. Ensuring implementation of commitments in SIA and management of unintended consequences

*Duration: 90 mins*

*Learning objectives:*

- Contracts and incentives
- Public-private partnerships
- Monitoring
- Evaluation
- Group work using case studies to develop a monitoring and evaluation plan

#### **Afternoon tea**

## **9. Ethical issues in SIA practice (60 minutes)**

*Duration: 30 mins*

*Learning objectives:*

- Issues specific to consultant-client relationships (including role-playing exercise)
- Issues specific to engaging communities (including role playing exercise)

## **10. Close and course evaluation**

*Duration: 30 mins*

### **Description of the materials participants will receive during the course.**

Participants will receive a dossier containing detailed workshop notes, copies of any PPTs used, and a selection of readings.

### **Provisions for pre-conference and post-conference communication with participants.**

Ana Maria Esteves and Frank Vanclay will attend the full conference (and Vanclay has in fact actually already paid his registration fee). The trainers have an agreement with Rabel Burdge where they will take over ownership of the [www.socialimpactassessment.org](http://www.socialimpactassessment.org) and [www.socialimpactassessment.net](http://www.socialimpactassessment.net) websites. They plan to develop this website into an SIA portal and community of practice for SIA practitioners. Thus course participants will be encouraged to participate in the community of practice as a follow-up resource. On receipt of the list of attendees from the conference organisers, the trainers will send a welcome email out, and will provide a small amount of preliminary reading material (for example, the International Principles for SIA).

## Qualifications of the trainer(s)

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### **Dr Ana Maria Esteves**

Ana Maria is director of the social impact assessment consulting firm, Community Insights Pty Ltd. She is also an academic associate of the Centre for Social Responsibility in Mining at the University of Queensland, and a Research Fellow with the Sustainability Foundation at the University of Melbourne. Ana Maria is currently Section Chair of the Social Impact Assessment Section of the International Association of Impact Assessment.

As a consultant, Ana Maria goes beyond assessment to working with clients predominantly in the mining, oil and gas sector to contribute to social development at the local level. In addition to participatory social impact assessment, her areas of expertise include:

- Corporate-community investment strategy
- Facilitation of multi-sector collaborative projects
- Social development needs analysis
- Local and Indigenous training, employment and enterprise development strategy
- Monitoring and evaluation

Her large corporate clients include Bechtel, British Gas, BHP Billiton, Newmont, Rio Tinto and Santos. She is also a reviewer of SIAs on behalf of State government authorities in Australia.

Ana Maria has developed a strong capacity for working with different cultures. She was born in Mozambique, was previously a resident of South Africa, Zimbabwe and Hong Kong, and holds dual citizenship in Australia and Portugal.

Ana Maria studied for an undergraduate economics degree in South Africa. She holds an MBA from Melbourne Business School and PhD from Melbourne University. Her PhD thesis, '*Evaluating social investments in the mining industry using multi-criteria decision analysis*', examined corporates in both developing and developed contexts as potential agents for social development. Management decision tools were built and adaptations to social impact assessment were recommended in order to ensure value is created for both business and affected communities.

Ana Maria is author of several journal articles on SIA (listed below), as well as many consulting reports. In addition to the paper published listed below, several more journal articles and book chapters are in submission.

Esteves AM & Vanclay F 2009 "Social Development Needs Analysis as a tool for SIA to guide corporate-community investment: Applications in the minerals industry", *Environmental Impact Assessment Review* 29(2): 137-145.

Esteves AM 2008 Evaluating community investments in the mining sector using multi-criteria decision analysis to integrate SIA with business planning. *Environmental Impact Assessment Review* 28(4-5): 338-348.

Esteves AM 2008 Mining and social development: Refocusing community investment using multi-criteria decision analysis. *Resources Policy* 33(1):39-47.

Esteves AM 2008 Evaluating Social Investments in the Mining Industry using Multi-Criteria Decision Analysis. Unpublished PhD thesis, University of Melbourne.

Frank and Ana Maria are contracted with Edward Elgar publishers to edit a book '*New Directions in Social Impact Assessment: Conceptual and Methodological Advances*', to be published by in 2010.

### **Prof Frank Vanclay**

Frank Vanclay is professor of rural and environmental sociology at the Tasmanian Institute of Agricultural Research (TIAR) at the University of Tasmania in Hobart, Australia. Prof Vanclay specialises in the areas of social impact assessment, and social aspects of environmental management and agriculture. He has a BSc(Hon) in environmental studies from Griffith University, a Masters degree in sociology (rural and environmental sociology and research methods) from the University of Queensland, and a PhD in agricultural and environmental sociology from Wageningen University in The Netherlands.

Prof Vanclay was the 2000-2004 President of the International Rural Sociology Association ([www.irsaworld.org](http://www.irsaworld.org)). He is a former member of the Board of Directors of the International Association for Impact Assessment ([www.iaia.org](http://www.iaia.org)) and sometime Chair of its Awards and Publications Committees. He was an international adviser to the Citizen Values Assessment Unit of the Netherlands Ministry of Transport, Public Works and Water Management (Rijkswaterstaat), and to the Conflict Risk and Impact Assessment project of the London-based NGO, International Alert.

On behalf of IAIA, he facilitated the process that led to the drafting of the International Principles for SIA. He was an adviser to the World Commission of Dams about social issues relating to large dams. In 2001, he spent three months working for the World Bank in Washington (USA) developing a framework for assessing the social impacts of macroeconomic reform in developing countries. In Australia, he has been a consultant on SIA for several projects, and has often been on peer review panels of SIAs undertaken by consulting firms, including for the Regional Forestry Agreement process and The Living Murray Initiative. He has also run a number of training workshops on SIA.

An internationally acclaimed expert in the field of SIA, he has given invited keynote addresses on the topic at conferences in the United Kingdom, Finland, The Netherlands and Korea as well as seminars in Norway and the USA.

Prof Vanclay has been interested in SIA for over 25 years. He has written numerous publications on SIA. For example, he co-edited *The International Handbook of Social Impact Assessment* (Cheltenham: Edward Elgar, hbk 2003, pbk 2006), *Environmental and Social Impact Assessment* (Chichester: Wiley, 1995), as well as *Making Sense of Place* (Canberra: National Museum of Australia Press, 2008) and several other books. He has written commissioned chapters on SIA for several books including: *Handbook of Environmental Impact Assessment* (Oxford, UK: Blackwell, 1999); *Environmental Impact Assessment in Developing and Transitional Countries* (Chichester, UK: Wiley, 2000), and the *Encyclopedia of Global Environmental Change* (Chichester, UK: Wiley, 2002). He is also author of many journal articles on SIA, the key ones of which are:

- Vanclay, F. 2006 "Principles for Social Impact Assessment: a critical comparison between the International and US documents", *Environmental Impact Assessment Review* 26(1): 3-14.
- Vanclay 2004 "The Triple Bottom Line and Impact Assessment: How do TBL, EIA, SIA, SEA and EMS relate to each other?", *Journal of Environmental Assessment Policy and Management* 6(3): 265-288.
- Vanclay 2003 'International Principles for SIA', *Impact Assessment and Project Appraisal* 21(1), 5-11.
- Vanclay 2002 "Conceptualising social impacts", *Environmental Impact Assessment Review* 22(3), 183-211.
- Stolp, Groen, van Vliet & Vanclay 2002 "Citizen values assessment: incorporating citizens' value judgements in environmental impact assessment", *Impact Assessment and Project Appraisal* 20(1), 11-23.
- Slotweg, Vanclay and van Schooten 2001 "Function evaluation as a framework for the integration of social and environmental impact assessment", *Impact Assessment and Project Appraisal* 19(1), 19-28.



**History of the course.**

This is a new training course devised specifically to meet the needs of IAIA delegates, and on the basis that Rabel Burdge will no longer be offering courses.

The trainers have experience in running training courses, however, and the course being offered here is a development of a training course Prof Vanclay ran for a consulting firm in Australia (Coakes Consulting).