

Social Impact Assessment and Management

Training Course Proposal for IAIA'14

Viña del Mar, Chile, 6-7 April 2014

Section 1 – Basic information

(a) Course title:

Social Impact Assessment and Management

(b) Level: (foundation, intermediate or advanced)

Intermediate. 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. It is not intended that people with considerable experience doing SIAs attend this course.

(c) Prerequisites for participants (all proposals for courses at the intermediate and advanced courses must list necessary prerequisites):

There is no specific prerequisite, however it is presumed that participants will have a general understanding of the (environmental) impact assessment process.

(d) Language of delivery:

English

(e) Duration:

2 days

(f) Maximum number of participants:

Maximum 36 (but we note that to some extent this depends on the room configuration and the acoustic quality in the room)

(g) Are participants required to bring anything to the course (e.g., laptop, other technology device, case study)?

The participants are not expected to bring anything other than a willingness to learn, to share experiences and participate in small group work. Preliminary reading will be provided to them in a welcome message and it would be desirable (but not essential) that this be read in advance.

(h) Name and contact details of each trainer, including whether each is an IAIA member and has signed IAIA's Code of Conduct.

Dr Ana Maria Esteves

Email: amesteves@communityinsights.eu

Website: <http://www.communityinsightsgroup.com>

Address: Dr Ana Maria Esteves, Community Insights Pty Ltd, Akerkhof 28, 9711 JC, Groningen, THE NETHERLANDS

Prof Frank Vanclay

Email: Frank.Vanclay@rug.nl

Website: <http://www.rug.nl/staff/frank.vanclay>

Address: Prof Frank Vanclay, Department of Cultural Geography, Faculty of Spatial Sciences, University of Groningen, PO Box 800, 9700 AV Groningen, THE NETHERLANDS.

Both trainers are long term and dedicated IAIA members, and both have signed the Code of Conduct.

Section 2 – Course description

(a) Summary of the purpose(s), content, and anticipated learning outcomes of the course (max 300 words). Please include within the text the level of the course and its prerequisites. This text will be published on the IAIA14 web site.

This intermediate course provides a current overview of leading industry practice related to social impact assessment and management and social performance consistent with IAIA's *International Principles for SIA*. We address current issues relevant to the business of managing the social impacts of planned interventions. The trainers include a person with considerable industry consulting experience in SIA-related activities and another who is a leading academic in SIA. The course goes beyond traditional approaches which saw SIA as only occurring in project settings driven by a legislative framework. In the understanding advanced here, SIA is more than the ex-ante prediction of social impacts, it is the process of managing the social issues and a mechanism to ensure the achievement of social and economic development.

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 an ongoing process of adaptive management and engagement with stakeholders rather than a point-in-time assessment;
- Strengthen understandings of the social nature of impacts on communities;
- Build practical knowledge in conducting SIAs;
- Increase ability to critically evaluate SIAs;
- Increase awareness of approaches to ensure SIA commitments are implemented;
- Provide tools to realise the potential of proponents to contribute to sustainability outcomes;
- Increase comprehension of the ethical, human rights and legal issues in SIA practice.

The course provides frameworks and tools to consider issues such as: social impact management plans; sustainable livelihoods; human rights; gender and vulnerability assessment; free, prior and informed consent; agreement-making with Indigenous peoples; cumulative impacts; social investment partnerships; grievance mechanisms; and emerging trends.

(b) Detailed description of the course structure and content (2-5 pages), including an outline of participatory and/or case-study based exercises. Interactive approaches to courses are strongly encouraged.

Utilisation of participatory methods

The training program is designed to have an effective blend of instruction and participatory process. As facilitators, the trainers establish a friendly supportive environment which enables participation by all, being mindful of cultural background and personal learning styles. The experiences of the participants are utilised by encouraging personal contribution and discussion. Learning is facilitated through the use of break-out groups and structured case-study exercises. A range of resources and learning formats are used.

Details of case study exercise

The training program encourages participants to share their personal experiences and the instructors draw on their vast experiences as consultants in, for example, Australia, Chile, Ghana, Italy, Kazakhstan, Mongolia, Mozambique, Peru, South Africa, Suriname. However, the groupwork is structured around a single case study (a mine in Papua New Guinea). A briefing paper on the case study is given to participants, and an introduction to the case study is provided by the use of a 20 minute documentary video.

Outline of structure and content

An indicative program follows. Timings will be adjusted if necessary to suit the final timetable set by conference organisers taking note of morning and afternoon breaks.

Program topic	Time
Day 1	
1. Welcome, expectations, overview of course, intro to social impacts	9.00-10:30
Morning tea	10:30-11:00
2. Introduction to SIA – Part I (foundations)	11:00-12:00
3. Introduction to SIA – Part II (overview of the process)	12:00-12:15
Lunch	12:30-13:30
4. Human rights	12.15-12.30
5. Understanding how communities work	13:30-14:00
6. Engaging communities	14:00-15:00
Afternoon tea	15:00-15:30
7. Understanding the social issues	15:30-16.45
8. Wrap up	16:45-17:00
Day 2	
9. Predicting and assessing impacts	9:00-9:30
10. Establishing significance	9:30-10:30
Morning tea	10:30-11:00
11. Understanding how organisations work	11:00-11:15
12. Developing mitigation and enhancement strategies	11:15-12.30
Lunch	12:30-13:30
13. Developing a social impact management plan	13:30-14:00
14. Monitoring and adaptive management	14:00-15:00
Afternoon tea	15:00-15:30
15. Emerging issues and open discussion	15.30-16:30
16. Close and course evaluation	16:30-17:00

(c) Description of the materials participants will receive prior to or during the course

As experienced trainers, we believe that participant preparation is important and ideally this would occur. The reality is that there is always last minute adjustments to the class list and many people who are unable (for whatever reason) to do preliminary work. Therefore although we send around a welcome email with preliminary readings, we do not expect that they will all have read it.

(d) Provisions for pre-conference and post-conference communication with participants. Trainers are expected to register for and attend the full conference to allow for maximum face-to-face communication immediately following course delivery.

Ana Maria Esteves and Frank Vanclay will attend the full conference and will make it clear to participants that they are welcome to approach us for further discussion during the conference or afterwards.

As indicated above, pre-conference communication comprises a welcome email and a small amount of preliminary reading material (for example, the International Principles for SIA) which will be distributed on receipt of the list of attendees from conference organisers.

Post-conference communication will comprise any materials and resources that come to attention during the course that were not provided in the workshop materials. Post-conference follow-up will also encourage participation in the SIA section and the SIAhub.

Section 3 – Qualifications of the trainers

(a) An abridged curriculum vitae (maximum 1 page) for each trainer.

Dr Ana Maria Esteves

Ana Maria is director of the social impact assessment consulting firm, Community Insights Group, and is currently based in Groningen, The Netherlands. She is also an associate with the Centre for Social Responsibility in Mining at the University of Queensland (Australia) and a visiting professor with the University of Strathclyde in Glasgow (Scotland). Ana Maria currently serves on the Board of Directors of IAIA and is a past Chair of the Social Impact Assessment Section. She is also a member of an AusAID Panel of Experts on Mining Sector Governance in Africa. As a consultant, Ana Maria goes beyond impact 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; and monitoring and evaluation.

Her large corporate clients include Anglo American, British Gas, BHP Billiton, Newmont, Rio Tinto and Shell, and she works all over the world with regular assignments in Australia, southern Africa and South America. Ana Maria has developed a strong capacity for working with different cultures. Born in Mozambique, she has resided in Australia, South Africa, Zimbabwe and Hong Kong before moving to The Netherlands in 2010. She holds dual citizenship of Australia and Portugal. She is fluent in English, Portuguese, Afrikaans, and has basic Spanish.

Ana Maria completed an economics degree in South Africa. She also holds an MBA from Melbourne Business School and PhD from the University of Melbourne, Australia. She is a graduate of the Company Directors Course of the Australian Institute for Company Directors. 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.

In addition to co-editing *New Directions in Social Impact Assessment* with Frank Vanclay, Ana Maria is author of several journal articles on SIA as well as many consulting reports. Some examples are:

- Esteves, A.M., Franks, D. and Vanclay, F. (2012) 'The state of the art in social impact assessment', *Impact Assessment and Project Appraisal*, 30(1), 35-44.
- Esteves, A.M. and Barclay, M.A. (2011) Enhancing the benefits of local content: integrating social and economic impact assessment into procurement strategies. *Impact Assessment and Project Appraisal* 29(3), 205-215. (Winner IAIA best paper of the year award for 2011)
- Esteves, A.M. and Barclay, M.A. (2011) Evaluating the impact of corporate-community partnerships: lessons from the minerals sector. *Journal of Business Ethics* 103(2), 189-202.
- Esteves, A.M. (2011) Women-owned SMEs in supply chains of the corporate resources sector, in Lahiri-Dutt, K. (ed.) *Gendering the Field: Towards Sustainable Livelihoods for Mining Communities*. Canberra: ANU E-press, pp.133-143.
- Esteves, A.M., Brereton, D., Samson, D. and Barclay, M.A. (2010) *Procuring from SMEs in Local Communities: A Good Practice Guide for the Australian Mining, Oil and Gas Sectors*. Brisbane: Centre for Social Responsibility in Mining, Sustainable Minerals Institute, University of Queensland.
- Esteves, A.M. and Vanclay, F. (2009) Social Development Needs Analysis: Adapting SIA methods to guide corporate-community investment in the minerals industry. *Environmental Impact Assessment Review* 29(2), 137-145.
- Esteves, A.M. (2008) Mining and Social Development: refocusing community investment using multi-criteria decision analysis. *Resources Policy* 33(1), 39-47.
- Esteves, A.M. (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.

Prof Frank Vanclay

Frank Vanclay is professor and Head of the Department of Cultural Geography in the Faculty of Spatial Sciences at the University of Groningen, The Netherlands. He specialises in the areas of social impact assessment, social understandings of place, and social aspects of environmental management and agriculture. He teaches a graduate class on SIA and an undergraduate course on people & place. Frank has an bachelor degree in environmental studies from Griffith University (Australia) (attending the 1988 IAIA conference there), a Masters degree in social research methods from the University of Queensland (Australia), and a PhD in agricultural and environmental sociology from Wageningen University (The Netherlands). He is a past President of the International Rural Sociology Association (www.irsaworld.org) and a former member of the IAIA Board of Directors and sometime Chair of its Awards and Publications Committees. He has done much for IAIA including coordinating the IAIA Key Citations series and leading the Task Force to identify a new publisher for IAIA's journal. He has been guest co-editor of two recent issues of IAPA.

Frank has considerable experience in SIA particularly through being an international adviser to: the European Commission; the Belgian Presidency of the Council of the European Union; the Organization for Economic Cooperation and Development; the Netherlands Ministry of Transport, Public Works and Water Management (Rijkswaterstaat); the French Agency for Radioactive Waste Disposal; the Conflict Risk and Impact Assessment project of the London-based NGO, International Alert; the World Commission of Dams; and the Netherlands Ministry of Foreign Affairs. In 2001, he worked for the World Bank developing a framework for assessing the social impacts of macroeconomic reform. An internationally acclaimed expert in the field of SIA, he has given invited keynote addresses at conferences in Australia, Belgium, Estonia, Finland, Iran, Korea, The Netherlands and the United Kingdom, as well as seminars in Norway and the USA. Of greatest significance is that on behalf of IAIA, he facilitated the process that led to the drafting of the International Principles for SIA, a landmark document that is widely cited by UN agencies, regulatory bodies, consultants, community representatives and academics and students. He is currently working on developing a draft Guidance document.

Frank has been interested in SIA for over 30 years. In addition to editing *New Directions in Social Impact Assessment* with Ana Maria Esteves, he has also co-edited: *The International Handbook of Social Impact Assessment* (Cheltenham: Edward Elgar. hbk 2003, pbk 2006), *Environmental and Social Impact Assessment* (Chichester: Wiley, 1995) and several other books. He has written commissioned chapters on SIA for several books. He is author of many journal articles on SIA, the key ones being listed below. In total he has published over 80 journal articles, 35 book chapters, 7 edited books and 1 coauthored book.

- Vanclay, Baines & Taylor 2013, "Principles of ethical social research: Ethical professional practice Part I", *Impact Assessment & Project Appraisal*, 31(4), in press.
- Franks & Vanclay 2013 "Social Impact Management Plans: Innovation in corporate and public policy", *Environmental Impact Assessment Review*, 43, 40-48.
- Hanna & Vanclay 2013 "Human rights, Indigenous peoples and the concept of Free, Prior and Informed Consent", *Impact Assessment & Project Appraisal*, 31(2), 146-157.
- Kemp & Vanclay 2013 "Human rights and impact assessment: clarifying the connections in practice", *Impact Assessment & Project Appraisal*, 31(2), 86-96.
- Vanclay 2012 "The potential application of Social Impact Assessment in integrated coastal zone management", *Ocean & Coastal Management* 68, 149-156.
- Langbroek & Vanclay 2012 "Learning from the social impacts associated with initiating a windfarm near the former island of Urk, The Netherlands", *Impact Assessment & Project Appraisal* 30(3), 167-178.
- Esteves, Franks & Vanclay 2012 "Social impact assessment: The state of the art", *Impact Assessment & Project Appraisal* 30(1), 35-44.
- João, Vanclay & den Broeder 2011 "Accentuating the positive: Emphasising enhancement in all forms of impact assessment", *Impact Assessment & Project Appraisal* 29(3): 170-180.
- Vanclay 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 & 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.

(b) History of the course: title(s), number of times, where and to whom it has previously been delivered and evidence of its success, number of attendees.

This training course (or rather, since we engage in a process of continuous improvement, earlier versions of it) has been given at the last four IAIA conferences (IAIA'13, IAIA'12, IAIA'11 and IAIA'10). In Calgary (IAIA'13) it was attended by 36 participants (our maximum) and there was a waiting list. The evaluation results indicated a very high level of satisfaction with the course. We have also taught the course outside of IAIA conferences (mostly as an IAIA endorsed course) in Tehran, Iran (October 2010), Helsinki, Finland (April 2012), The Hague, The Netherlands (October 2012), Sao Paulo, Brazil (October 2012), and the University of Strathclyde, Scotland (June 2013). As an IAIA-endorsed course, the evaluation sheets have always been provided to IAIA Headquarters. In all cases, the evaluations indicate a high level of satisfaction with the course.

Each time we run the course, we scrutinise the evaluation sheets for appropriate feedback and reflect on our procedures and processes. We will continue to innovate and adapt our course to emerging issues.

(c) If the course is new, give history of a comparable course, with the same information as in 3b.

Not applicable.

Section 4 – Commitment of the trainers

(a) Identify how many times any course by any of the trainers has been offered. If applicable, explain the reasons why a course offering has been cancelled.

See Section 3 (b) for the number of times the course has been offered. No course offered by the trainers has ever been cancelled.

(b) Similarly, identify earlier approved training courses you were involved in organizing, but where changes in trainers or course structure were amended, and explain the reasons for this.

No course offered by the trainers has resulted in a significant departure from the advertised course.

(c) Indicate the level of commitment to give this course at IAIA14, and indicate any circumstances that would cause the course to be cancelled (other than if the minimum enrolment is not reached) or circumstances that would cause the instructor(s) not to be in Viña del Mar to offer the course. Note also that courses that require a minimum of more than 10 participants will be at a disadvantage.

The trainers have a very high level of commitment to this course and to IAIA in general, and will attend the conference regardless of whether the course proceeds or not as they both have other duties in relation to the conference and IAIA generally. The only foreseeable reason that might lead to a cancellation of the course or the non-attendance of the trainers would be the most tragic of circumstances.

(d) Note backup strategy in the event an instructor must withdraw unexpectedly

In the event that one of the trainers (either Ana Maria Esteves or Frank Vanclay) is required to withdraw unexpectedly, it is quite realistic that the course could be run by the other trainer on their own, or with input from one of the other qualified SIA people who are part of the Community Insights Group (refer to www.communityinsightsgroup.com).

(e) Statement agreeing to provide free places to students based on formula described in the “Student participation” paragraph below.

We agree not only with the IAIA policy on free places, but are happy to accept up to three bone fide students regardless of the number of other participants in the course.