International Association of Impact Assessment

Social Impact Assessment Training Course Proposal for IAIA 2017, Montreal

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Section 1 – Basic Information

(a) Course title: How to Maximise the Value and Effect of Social Impact Assessment (SIA)

(b) Level: Intermediate

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

This course will appeal to individuals who have some experience in SIA, and are wanting to improve the effectiveness of their current SIA practice including: those that are from another impact assessment discipline and are want to understand or be involved in an SIA; those that are currently carrying out SIAs, but are experiencing frustrations with their current assessment practice; those that commission and manage consultants undertaking an SIA; those that receive and assess SIAs within government or other organisations; and those that have to incorporate SIA within an integrated multi-disciplinary IA process. The key criteria is a desire to want to apply the SIA process in such a way that its value and impact on decision-making and long-term social performance is maximized, and obstacles and challenges are better anticipated and addressed. Given the theme of the conference, the training will also interweave content on climate change vulnerability, and its effects on the SIA process and associated stakeholder engagement.

The course will not be of sufficient value to individuals that have extensive or strong practical experience of SIA (i.e. advanced level practitioners), and who have found ways of overcoming the obstacles related to the assessment process.

(d) Language of delivery: English

(e) Duration (1 or 2 days): 2 days

(f) Maximum number of participants: 30

(g) Is each participant required to bring his/her own laptop? Yes, for the group case study exercise.

(h) Name and contact details of each trainer, including whether each is an IAIA member and has signed IAIA’s Code of Conduct.
Section 2 – Course Description

(a) Summary of the purpose(s), content, and anticipated learning outcomes of the course (maximum 300 words). Please include within the text the level of the course and its prerequisites. An edited version of this text will be published on the IAIA16 website.

The SIA Training Course is tailored for a cross-sector audience who seek to apply the SIA process in such a way that its value and impact on decision-making and long-term social performance is maximized, and obstacles and challenges are better anticipated and addressed.

The training will focus on practical skills, critical thinking, and alternative approaches needed to deliver high quality SIAs, and ensure its relevance beyond the project authorisation and construction phase. The course will be based on real experiences, IAIA’s International Principles for SIA and evolving best practice, and will be facilitated by industry experts. Teaching methods will be highly interactive.

The training is targeted at individuals who have some experience in SIA, and are wanting to improve the effectiveness of their current SIA practice. There will be particular emphasis upon:

- Strengthening understanding of the SIA process;
- Opportunities for enhancing SIA through effective stakeholder engagement;
- Key analytical and practical skills required for a meaningful SIA;
- Understanding and managing the limitations of SIA;
- Emerging trends shaping the requirements of the SIA process with a particular emphasis on climate change implications;
• Maximising the opportunities of SIA, in particular using the process to improve the quality of decisions made, and as a basis for relationship building; and
• The role of SIAs as a foundation for the development of broader social and integrated management systems, suitable for application during subsequent project phases.

Learning outcomes include:

• Deeper awareness of the opportunities and limitations of SIA;
• Improved ability to build a fit for purpose SIA process that delivers the best outcomes especially in complex contexts;
• Improved competency in a number of core skills that directly influence the value of SIA;
• Linking the SIA process to integrated impact management and project decision making; and
• Understanding of the process, methodologies and importance of stakeholder engagement during SIA.

(b) The target audience (who should attend), and potential local participants who may be interested, but not in the circle of the usual IAIA members, (e.g. other professional associations, companies and enterprises etc.)

• Individuals from the Public Sector including from industry managing bodies, relevant ministries and departments and representatives from Regional and Local Authorities, such as Ministries with responsibility for environment, social development, health, land, housing, resettlement, transport, and education. Training will be relevant for technical reviewers within ministries with the responsibility to review SIAs or ESHIAs, in order to familiarise them with the SIA process and support them in evaluating the value of the process and results.

• Professionals from companies with responsibility for impact assessment / management, community relations, public relations, stakeholder engagement, social investment and community development, resettlement, local recruitment and employment, project feasibility and planning.

• Professionals from financing institutions with responsibility for providing project due diligence and advice for proponents on SIA or impact assessment, social issue and impact management (positive and negative) as well as stakeholder engagement.

• Local consultants who form part of local SIA teams or the social part of Environmental Social and Health Impact Assessment (ESHIA) teams with responsibility for social and demographic studies, livelihoods assessment and restoration, resettlement planning and implementation, stakeholder engagement, land use surveys, cultural and archaeological studies, field work, and report writing. This can also include private service providers, academics, independents researchers and experts.

• Representatives of communities or indigenous groups (e.g. First Nations) wishing to better understand and engage in the SIA process to improve outcomes for their constituents.

(c) 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.
The course will run over two days. It will begin with a brief introduction to the objectives and basic process that underlies SIA including a road map setting out the specific process phases and linkages to project management systems. This will be followed by an overview of the international standards and guidelines related to SIA, and the emerging trends and pressures that are shaping the requirements and scope of the SIA process - with a particular emphasis on climate change implications.

The introduction is followed by a series of sessions, each focusing on a specific phase or element of the SIA process (see ‘Key steps in the SIA process’ figure below).

The remainder of the course is broken into sessions that focus on each key element or phase of the SIA process. Each session is designed to build an understanding of the objectives and approach required before leading the participants into a discussion of the strategic opportunities to be leveraged during this phase, the challenges they may experience and ways to overcome these blockages.

The session on stakeholder engagement focuses on its key role in the SIA process and associated decision-making, as well as its implications for company-community relationship building throughout the life cycle of the project. During these sessions, consideration will be given to the impact of climate change on the SIA process, in particular the nature and significance of social impacts on communities affected by climate change, and its implication for the engagement process.

Throughout the training, case studies are used and opportunities provided for application of SIA tools. This is key to demonstrating on-the-ground realities and challenges. Learning is supported and reinforced through individual and small group exercises using a fictional case study with a final team presentation to the entire group of participants.

Each session works to build participant skills in areas that most highly influence the quality of the SIA and its ability to positively influence high quality project decision making including relationship building and advocacy. These areas of focus include internal stakeholder engagement and linkages to the broader ESHIA and project team; how one understands the local context; approaches to impact identification and analysis; and how to develop effective and meaningful management measures and associated Social Impact Management Plans.

IAIA 2016 SIA Training Course Participant Feedback
During the closing session of the IAIA 2016 training, we asked each participant to share one insight or phrase that stands out for them from the training. Here is a sample of what was shared:

“The many perspectives necessary to conduct a good SIA”
“SIA is about people – it’s a people-centered approach”
“The importance of learning the language of business”
“Your data needs to be credible”
“SIA are sometimes the only way that communities are heard”
“You need to be a sales person in client communication”

When asked what worked effectively on the course, here is what some had to say:

“Very professional instructors to run and facilitate the workshop effectively”
“The good materials provided”
“Exchange of experiences between the participants”,
“Group experience and diversity”
“Exercises, activities, role play and breakout groups”
“Easy clear language”
“Frank and clear manner of the presenters”
“[The course] was so much fun. I learned a lot!”

Overview of Course Structure and Content

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<thead>
<tr>
<th>Day</th>
<th>Content Overview</th>
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<tbody>
<tr>
<td>Day 1: Morning</td>
<td>The morning of Day One will cover the objectives and process of SIAs, its role in internal and external decision making and relationship building, and the benefits it offers to both internal and external stakeholders. Clarity will be provided on the relationship to integrated ESHIAs, how it is similar and different to other impact assessment disciplines (e.g. environmental impact assessments, health impact assessments etc), and by way of orientation, an overview of the structure and content of an SIA report. The role of SIAs as a foundation for the development of a broader social management system (suitable for application during subsequent project phases), will also be discussed. From here, the training will provide a review of international standards and guidelines related to SIA, emerging trends and pressures that are shaping the requirements and face of the SIA process, different types of impact assessment processes (legislated and non-legislated), and the key role of stakeholder engagement in the assessment process. The last part of the morning will focus on the different steps in the SIA process, in particular the specific objectives of each step, and the overarching challenges that typically arise for each of the main stakeholder groups associated with the SIA process: project proponent, consultant, government authorities, and</td>
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<td>Day</td>
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<td>interested and affected stakeholders. An overview is also provided of the overarching skills and capabilities needed in order to overcome these challenges, as well as general technical capabilities needed to undertake an SIA.</td>
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<td>Day 1: Afternoon</td>
<td>The afternoon of Day One will begin with a game designed to familiarize the participants with the key terminology used within impact assessment processes, thus readying them for the more detailed SIA training to follow. Thereafter the case study for the two days training is introduced. The case study and associated exercises is designed to allow for practical application of each of the steps in the SIA process. Participants are divided into groups with whom they work for the duration of the training, culminating in a presentation of findings at the end of Day 2. From here we then move to a session on stakeholder engagement. An overview will be provided of the standards and best practice requirements for engagement, key tools, methodologies and skills needed to meet these standards and requirements, and an exploration of approaches to engagement that are required in order to maximise the influence and effect of the SIA process on sustainable decision-making and on the development of healthy, resilient relationships beyond the impact assessment process. A brief overview will also be provided of the practical steps of engagement planning and implementation. The final session of Day 1 is on the role of scoping and defining the project’s Zone of Influence, and its implications for the scope of the SIA, stakeholder engagement, and community development initiatives arising from the SIA process.</td>
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<td>Day 2: Morning</td>
<td>The morning of Day Two will start by looking at key requirements of SIA baseline studies, and an overview of different approaches to data gathering, including the advantages and disadvantages of each. A discussion will also be facilitated around the paradigms and pitfalls that can hinder how we understand the local context. Participants will also be exposed to the importance of understanding both the internal and external context, and associated capacity and assets. From here, the training will shift to impact identification and analysis, with a particular focus on: understanding different categories and types of impacts (e.g. primary, secondary, direct, indirect, in-combination and additive); analysis of causal factors (including introducing a systems thinking approach and Appreciate Inquiry as models of inquiry); links to risk assessment; and identifying affected receptors and stakeholders. This content will be taught with the objective of enhancing how we traditionally explore cause and effect, impact versus risk, and vulnerability and “affected parties” — again, from both an internal and external perspective.</td>
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<td>Day 2: Afternoon</td>
<td>The afternoon of Day Two will focus on impact assessment methodologies, and assessing significance. Key questions discussed include: How do we understand significance? Who defines it? How do communicate our significance such that it...</td>
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Day | Content Overview
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influences wise and sustainable decision-making?

From here the training will shift its focus to the development of meaningful mitigation measures and their formulation into management plans, including targets, monitoring measures and key performance indicators. This will include an outline of general principles; concepts and standards in impact mitigation and monitoring; the role of engagement (internal and external) in the development of mitigation measures; and the process for developing Social Impact Management Plans, and discussion on approaches to ensuring the buy-in required for resourcing and effective implementation.

The final session of the day will be the group presentations on the SIA case study. Participants will be required to respond to a series of key questions about the SIA process, with reference to the results of the case study SIA exercises carried out over the last two days.

**Educational Philosophy of Synergy’s Training**

The main educational philosophies that inform the proposed training are the following:

- **Adults learn best through application**: for this reason, the training will provide numerous opportunities to practice and apply what is being learnt in the ‘classroom’ setting. This will be done through case study analysis - both those formally presented on in the training, as well as providing participants with frequent opportunity to share their own experiences, and to seek feedback and insight from fellow participants.

  In-class application will also be facilitated through exercises and practice sessions on key material being taught. This will be supported by templates specifically designed for use on the course.

  Participants will also be provided with a questionnaire/template at the outset of the training, which will be designed to capture key insights and learnings from each session, with prompts for how these insights can practically be applied in their own work. This will form the basis of the close out presentation at the end of Day Two.

- **The importance of self-reflection**: providing opportunities for self-reflection and consideration of personal responsibility and effect are key to one’s success as an SIA practitioner. For this reason, a personal reflective element will be interwoven throughout the training, in ways that are appropriate to the participants. Participants will be repeatedly asked to reflect on their strengths and areas for improvement, and how this could/does impact on their effectiveness as SIA practitioners. This will be done with a view to identify the skills and capabilities that are needed, both technically, and on an interpersonal level.

- **Cerebral learning is only one way in which people learn**: there are many other senses and faculties which, if included, are key to embedding learning. Creative teaching and learning methodologies are thus included as part of the training approach. In our current training programmes, Synergy adopts a variety of methodologies, including movement, art, role play, and learning games. Varying the approaches used helps to keep the participants energized and engaged, and thus able to learn. The photo below is taken from the recent IAIA 2016 training – here you see participants using movement to explore impact complexity and inter-connectedness of issues and impacts.
• **Using case study material:** wherever possible, the training will facilitate the presentation and analysis of selected case study material that explores the benefits, complexities and challenges of the SIA process. Emphasis will be on SIAs carried out in complex environments, where the theory of SIA roll-out is not as easily applied in practice. With all case study analysis, participants will be required to apply their key learnings to their own working context, and to share this in various formats with their fellow learners.

(d) **Description of the materials participants will receive prior to or during the course.**

Prior to the course, the participants will receive a course programme/agenda with a list of reference materials that they will be expected to familiarise themselves with (if they are not already familiar with these materials). Reference materials will include the IFC Performance Standards, the IAIA International Principles for SIA, some seminal academic papers on SIA, and case study material integral to the training.

During the course participants will receive a binder of course materials including presentation material, case studies, reference guidance, and exercise templates. At the end of the course, the participants receive an electronic version of the slides including images of any team work outputs developed during the course e.g. identified challenges to the SIA process and approaches to manage the challenges.

(e) **Description of any technology/equipment required to facilitate this course beyond the usual flip charts and PowerPoint projectors.**
Internet connectivity. Laser pointer for pointing at projected slides. Ability to put flip charts on the wall for working group sessions.

(f) Provisions for pre-conference and post-conference communication with participants.

Alison McCallum and Katharine Gotto Walton 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.

Pre-conference communication will involve a welcome email including the course agenda and a small amount of preliminary reading material (see point [d]), which will be sent out once the final list of participants has been received from the conference organisers. Participants will also be asked to complete a short questionnaire (e.g. what would you like to achieve from the course, background in SIA to date) prior to the course which will help Alison and Katharine tailor the course to fit the profile and motivation of the participants wherever possible.

Post-conference communication will focus on follow up with participants with any materials and resources that come to attention during the course that were not provided within the workshop materials (shared electronically). Post-conference follow-up will also encourage participation in the IAIA SIA section and the SIAhub and other relevant SIA forums.

Section 3 – Qualifications of the Trainer(s)

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

Alison McCallum
As a social scientist, the focus of Alison’s work experience over the past 20 years has been in the general field of ‘social performance’, predominantly in the extractives industry, but also in forestry and infrastructure projects. During this time Alison has focussed on working with corporate clients to improve their social performance at both the corporate and operational level. This has entailed a shift from legislative driven processes (such as social impact assessments), to work that is aimed at improving the ability and capacity of clients to deliver on their social performance mandates. Currently, a significant focus of this capacity building is as a key content developer and facilitator/trainer for the Certificate Programme in Community Relations Practice, a four-module course designed to build the capacity of community relations personnel in the extractive industry. This is done as part of a partnership with Synergy, the University of the Witwatersrand, and the Centre for Sustainability in Mining and Industry. Alison also has extensive experience in the provision of in-house training programmes for community practitioners within South Africa’s mining operations.

Other key work experience includes: the development of guidelines and methodologies for improved social performance within the mining and forestry sectors; on-site work with community relations staff to ensure implementation of corporate policies; conflict mediation; development and assessment of corporate social investment strategies and programmes; resettlement planning; social performance assurance at operation’s level; due diligence and IFC compliance assurance; social risk assessment processes; social impact assessments; development of stakeholder engagement strategies; and the design and facilitation of custom-made social performance training workshops. These areas of experience range from early in the project lifecycle (exploration phase in the context of mining), through to construction, operation, and moving towards closure.

The nature of this work has given Alison on-the-ground experience in understanding and transforming management objectives and company policies into workable solutions that address social performance challenges.
Alison is an accredited mediator with the African Centre for Dispute Settlement and CEDR, and has coaching accreditation with the Centre for Coaching at the University of Cape Town’s Graduate School of Business.

Synergy Global Consulting – Selected Training Experience

2008 to present  Technical Director, Synergy Global Consulting Ltd
- Content developer and co-facilitator of the IAIA SIA training course held in Japan (2016)
- Content developer and trainer/facilitator for the certificate programme in Community Relations Practice within the Extractive Industry (2012-ongoing).
- Development and delivery of two 3 day training courses aimed at building the capacity of First Quantum Minerals’ (FQM) social and community practitioners in Zambia (2014).
- SIA Training for social performance practitioners within a major multi-national oil and gas company (2012-2013).
- Training of Anglo American staff in the application of their SEAT methodology and associated tools/guidelines (2004-2016).
- Training of De Beers staff on the inclusion of environmental and social considerations in project development planning, South Africa (2008).

Katharine Gotto Walton
Katharine has 20 years’ international experience focussed on helping organisations understand and manage their interactions with society and the environment. Her key competency is in managing the socio-economic impacts and issues surrounding large-scale development projects, in particular oil and gas joint venture projects working across corporate, government, non-government and academic sectors. As a Director at Synergy for the past 14 years, Katharine has played a critical role in the success of numerous sensitive projects alongside building a global consulting company and team of expert social performance specialists.

Katharine is a strong project manager with extensive experience on the ground including work with Shell, BG Group, BP, Tullow Oil, Putu Iron Ore and AGIP KCO and more than four years in Latin America for Shell. Her key skills include social audit, social, human rights and integrated impact assessments; project planning, implementation and assessment; stakeholder engagement and communication; social investment; wider social issue management; strategy and policy development; training; and, team building and management. Katharine co-designed and is currently facilitating internal SIA training for a multinational oil and gas company. Katharine is an ISO14001 lead auditor and has led and participated in numerous external and internal audits including for the IFC Office of the Compliance Advisor Ombudsman.

Katharine previously worked for an NGO-corporate partnership (BP, BirdLife International, Fauna and Flora International) leading a global grant and training biodiversity conservation programme.

Synergy Global Consulting – Selected Training Experience

2000 to present  Director, Synergy Global Consulting Ltd
Executive management of Synergy and specific consultancy including:
- Content developer and co-facilitator of the IAIA SIA training course held in Japan 2016
- Designed and ongoing facilitation of SIA Training for social performance practitioners
within a major multi-national oil and gas company

- Social Director for the BG Tanzania LNG site selection study and subsequent ESHIA process.
- Social Performance specialist for Tullow Kenya providing in-country advice and support on social investment, community benefit management and community water policy and procedure.
- Social advisor for Tullow Group oil exploration ESIA in southern Ethiopia (under the RSK Group).
- Social advisor for the Al Karaana Petroleum Project ESHIA in Qatar.
- Project Director for social issue management support to an iron ore exploration project in Liberia including social team capacity building alongside internal management system development.
- Advisory, review, strategy development, implementation and training activities for Shell International at the corporate and country level including Alaska and Canada.
- Advisory and training activities with OMV Exploration and Production.
- Social performance reviews, self-assessments and assessment training for Shell International including corporate and country level activities including Bolivia, Germany and Venezuela.
- Review of SIA baseline studies best practice for Shell International.

(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 course was run for the first time during the IAIA 2016 conference held in Nagoya, Japan. The course was fully booked, with 30 participants attending from a wide variety of different countries. The table in Section 2 (c) provides examples of the positive feedback received from participants.

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

Not Applicable – this is not a new course

Section 4 – Commitment of the trainer(s)

(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.

As highlighted in the table above, the Certificate Programme in Community Relations Practice has been run a total of fourteen times between May 2013 and June 2016 – two of the courses 3 times, and the other two, twice. Alison has co-facilitated twelve of these five-day training courses. Due to the complexity of managing social and community issues on the African content, and the resultant need for this training, attendance has always been high, and none of the courses have ever been cancelled. Alison co-led the IAIA’16 SIA Training course in Japan as planned.
Since 2013 Katharine has been asked to facilitate eight internal company SIA training courses with Shell International. None of the course offerings were cancelled and Katharine facilitated each of the eight courses without fail. Katharine co-led the IAIA’16 SIA Training course in Japan as planned.

(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.

In all the training that Alison is involved in, including the Certificate Programme in Community Relations Practice mentioned above, the training content is constantly under-going amendments and revision. This includes changes in content and delivery/teaching techniques. Sometimes this is to ensure that content is country-specific (e.g. when we deliver the training in new countries with different local contexts); other times it is to accommodate evolving best practice, new thinking on particular topics, and/or world events that have relevance for our training. As a trainer, we are constantly seeking to improve our offering based on participant feedback, and on our own critical eye.

Katharine helped develop the Shell SIA internal training course during 2013. Following the initial pilot course 2013, the course structure and content was adjusted for subsequent courses based on the pilot course feedback. The aim of the adjustments was to ensure optimal training outcome for participants. The course continues to be reviewed and updated based on new SIA guidance, emerging best practice, new relevant case studies and participant feedback.

(c) Indicate the level of commitment to give this course at IAIA17 by noting 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 Montreal to offer the course. Note also that courses that require a minimum of more than 10 participants will be at a disadvantage.

Synergy is highly committed to providing the SIA training course at IAIA17 and see this as part of our remit at Synergy to address the critical need for capacity and professional skills in community relations or social performance management within industry. Conducting the SIA Training at the IAIA16 represented a significant addition to Synergy’s training portfolio and so the commitment within Synergy to provide the SIA training course at IAIA17 cannot be underestimated.

The circumstances that would cause an instructor not be available to offer the course would be extreme in nature including sudden illness of the instructor that prevents them from travelling and facilitating the course, or tragic circumstances involving members of their family. The benefit of Synergy offering this training is that among Synergy Directors and Senior Consultants there are highly qualified and experienced alternative instructors that would be able to undertake the training if one or both of the instructors was unable to attend (http://www.synergy-global.net/a/people.php).

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

In the event that one of the instructors is required to withdraw unexpectedly, in the first instance it is quite feasible for the course to be run by the other instructor, or alternatively (as mentioned above) with one of the other Synergy Directors or Senior Consultants with the relevant depth of SIA and training experience.

(e) Statement agreeing to provide free places to students based on formula described in the “Student participation” paragraph below.
Synergy Global Consulting Ltd recognizes that students are the future of the organization and improved implementation of SIA. Synergy would like to support ways to increase student membership within IAIA and students’ participation in and access to its annual conferences are currently being developed by the IAIA. Within this context, Synergy supports the IAIA Board of Directors requirement that all training course instructors allow one student to participate in the course at no fee for up to 9 paying participants, two students for 10-19 paying participants, and three students for 20 or more paying participants.

Synergy understands that students will apply to IAIA HQ for the waiver by submitting a 300-word statement of interest explaining how the chosen training course could contribute to their research or student career. Eligible applicants will be selected competitively, and the Synergy instructor(s) choose to be involved in the selection process. Synergy trainers agree to waive the students’ fees and provide them with course materials. However, Synergy recognises that the IAIA will pay lunch and coffee break expenses for the selected student(s).