Effectiveness criteria for measuring impact assessment tools

SEA Implementation and Practice: Making an Impact?
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BACKGROUND

Impact Assessment Tools

EIA  SEA  SIA  HIA

Sustainable development

Related Sectors
Decision-maker
Stakeholders
We are the world's population ^_^
To conceptualise effectiveness criteria for measuring impact assessment tools
Effectiveness:

'how well something works or whether it works as intended and meets the purposes for which it is designed'  
(Sadler, 1996, p.37)

‘Influence’ on decision-making processes  
(Partidário, 2000, Van Buuren and Nooteboom, 2009)
CONCEPTUALISATION OF EFFECTIVENESS CRITERIA

**Procedural**

- **P1**: Relevant policy framework
- **P2**: Institutional infrastructure
- **P3**: Integrating SEA/IA in planning
- **P4**: Fund/resource availability
- **P5**: Stakeholder involvement
- **P6**: Understandable SEA/IA
- **P7**: Delivering the result of SEA/IA

**Substantive**

- **S1**: Regulatory framework on implementing SEA/IA
- **S2**: Proposed changes
- **S3**: Informed decisions
- **S4**: Close collaboration
- **S5**: Parallel development
- **S6**: Early start
- **S7**: Institutional benefits
- **S8**: Successful statutory consultation
- **S9**: Successful public consultation
- **S10**: Using the comments from SEA/IA in DM

**Normative**

- **N1**: Policy framework adjustment
- **N2**: Perception
- **N3**: Changes in relevant institutions
- **N4**: Quality of life improvement

**Transactive**

- **T1**: Time invested
- **T2**: Sufficient money
- **T3**: SEA/IA practitioners’ skills
- **T4**: Specification of Roles
- **T5**: Availability of human resources

**Impact Assessment effectiveness**

+ **Procedural effectiveness:**
  P4 financial resource

+ **Substantive effectiveness:**
  S10 IA user satisfactions

+ **Transactive effectiveness:**
  T5 Human resource availability and capacity building

+ **Normative Effectiveness**
WHY THIS FRAMEWORK SHOULD BE USED?

- **More application, more complications**
  (Bina, 2007)

- **Awareness, visions, beliefs, and values**
  (Cashmore et al., 2004)

- **Knowledge gap**
  (Nykvist and Nilsson, 2009)

- **Culture and contexts**
  (Stoeglehner et al., 2009, Jha-Thakur et al., 2009, Theophilou et al. (2010).)
WHY THIS FRAMEWORK SHOULD BE USED?

- Influence of the ‘context of understanding and implementing IA legislation and guideline’ (suggested by Stoeglehnner et al., 2009)
- Requirement of more understanding
- Influence of normative components

Normative Effectiveness
APPLICATION OF THE FRAMEWORK TO OTHER IMPACT ASSESSMENT TOOLS

Equal validity to measure effectiveness of other IA tools

Provides additional perspectives to consider in procedural, substantive and transactive categories

Provides normative category

Is broader when applying in different contexts
APPLICATION OF FRAMEWORK TO A CASE STUDY

Potash mine HIA case in Thailand

REFLECTIONS ON THE EFFECTIVENESS CRITERIA

Lack of regulations on HIA (Procedural criteria category)

Interlinks between the effectiveness categories
Procedural effectiveness

Substantive effectiveness

Public demand for HIA process

Political context with lack of legal regulations

Research financial support

Availability of human resource

Spending money on the basis of necessity

Additional criterion: Availability of human resource

HIA facilitator/skill enhancement

Voluntary cooperation

Perception about HIA

Understanding and lessons learnt

Gaining an evidence of the impact

Direct influence

Indirect influence
Lack of regulations on HIA (Procedural criteria category)

Interlinks between the effectiveness categories

Levels of the process involvement and knowledge in considering the effectiveness

Additional criterion: T5 Availability of human resource
* Provides insights of nature and significance of interlinkages and dependencies between the framework criteria

* Normative effectiveness is an essential perspective to consider
* Public participation
* Human resource and capacity building

* More research on applying this framework in IA fields is required as well as longitudinal study for normative change consideration
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