

Integrated Impact Assessment

UK Mapping Project

Report

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INTEGRATED IMPACT ASSESSMENT



Integrated Impact Assessment UK Mapping Project

Report

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Acknowledgements

Northumbria University was commissioned by the Department of Health, acting on behalf of the Whitehall Inter-Departmental group on Health Impact Assessment, to undertake a project to map out examples of where organisations have attempted to integrate different forms of assessment into a single assessment process.

From the Department of Health, we would like to thank Paul Marshall for his helpful comments and also Clive Blair-Stevens for his advice on data protection and copyright issues. We would also like to thank Rob Quigley and Lorraine Taylor from the Health Development Agency, for their advice and support, particularly with the project's methodology. Finally we would like to thank all our contributors for their time and valuable input to this project.

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Executive Summary

There are many forms of impact assessment, which may be used at regional and local level to assess the possible impact of proposed policies, programmes and projects. These may cover a range of issues, for example, economic, environmental, sustainability, equal opportunities, human health, quality of life and public expenditure. These different forms of impact assessment often seek to address overlapping areas of concern and frequently ask the same questions.

The Department of Health, acting on behalf of the Whitehall Inter-Departmental group on Health Impact Assessment, commissioned Northumbria University to undertake a project to map out examples of where organisations have attempted to integrate these different forms of assessment into a single assessment process. Integrating different forms of impact assessment may reduce duplication of effort and make such assessments more user-friendly. This project defines integrated impact assessment as a form of assessment that covers a range of domains that may have previously been assessed separately (or not at all).

The overall aim of the integrated impact assessment (IIA) mapping project was to identify examples of integrated impact assessment (IIA) activity, mainly within the United Kingdom. Initial contact with organisations was made by a widely distributed e-mail, outlining the project and inviting participation. Approximately 350 organisations were contacted (by email) and 250 telephone calls were subsequently made to determine which organisations or individuals were involved in developing or using IIA.

From these initial telephone calls 76 telephone interviews were undertaken. These telephone interviews revealed 21 examples of IIA being used or developed within an organisation or by an individual (e.g. as an independent consultant or academic).

These findings suggest that as yet there is little IIA activity in the UK. However there is growing receptivity to integration of different forms of impact assessment. In part this may be driven by sustainable development objectives. At a strategic level, the main impetus seems to be a need for cross-sector partnership to provide both the structure of 'regional sustainable development frameworks' and the criteria for sustainable development appraisal tools. At a local level, there are several sustainable development drivers, including local strategic partnerships, amalgamation of sustainability and 'best value' issues, and global issues such as 'Local Agenda 21'. Currently most IIA activity seems to be at the strategic level of policy decision making.

Receptivity to IIA may also be driven by a growing interest in health impact assessment (HIA). There are advocates of the continued need to integrate health criteria and health professionals into the IIA process. It has been suggested that a way of achieving this is to incorporate health impact assessment (HIA), with its emphasis on a broad socio-economic model of health and well-being, into the IIA process.

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1. Project Aims

The overall aim of this mapping project is to identify examples of integrated impact assessment (IIA) activity, mainly in the UK.

There are many forms of impact assessment, which may be used at regional and local level to assess the possible impact of proposed policies, programmes and projects. These may cover a range of issues, for example, economic, environmental, sustainability, equal opportunities, human health, quality of life and public expenditure. These different forms of impact assessment often seek to address overlapping areas of concern and frequently ask the same questions.

Integrating different forms of impact assessment may reduce duplication of effort and make such assessments more user-friendly. This project seeks to map out where such work is being undertaken. It defines integrated impact assessment as a form of assessment that covers a range of domains that may have previously been assessed separately (or not at all).

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2. Integrated Impact Assessment – The Context

2.1 Origins of Integrated Impact Assessment (IIA)

IIA consists of a diverse collection of methods and practice for which the common goal is to integrate environmental, economic, social and other forms of impact assessment. Bond et al⁽¹⁾ of the Institute for Development and Policy Management, University of Manchester, suggest that this emerging interest can be attributed to a growing acceptance of sustainable development as an overarching policy goal. The United Nations definition⁽²⁾ of sustainable development highlights that sustainability encompasses economic, social and environmental, interdependent and mutually reinforcing dimensions. The Department for International Development (DFID)⁽³⁾ also notes the increasing interest in stakeholder (those who are likely to be affected by a policy, programme or project) involvement in assessment. This allows for transparency in decision making and greater public accountability.

IIA is a term that has been used nationally and internationally from within a number of contexts, for example:

- Development of cross disciplinary insights.
- Methodological guidelines on how to give equal weight to different types of appraisal.
- Consideration of how to undertake a number of appraisals at similar points in time.

(Adapted from Bond et al of the Institute for Development and Policy Management, University of Manchester (1 p.1012))

A useful resource written by Karen Lock, and available at www.hiagateway.org.uk, outlines world-wide case studies that illustrate how IIA is developing. Lock an independent HIA consultant, suggests that there is still much to be done to integrate health criteria and health professionals into the IIA process. For example she contends that whilst Environmental Impact Assessment (EIA) or Strategic Environmental Impact Assessment (SEIA) may include the impacts on the biophysical environment (for example air quality status), incorporating an HIA would include the broader socio-economic determinants that impact on individuals' health and well-being. There is thus some concern that an interest in IIA that stems from a growing attention to the need for sustainable development, may focus on a too narrow bio-medical model of health.

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2.2 IIA Activity

A literature search and conversations with our project participants signposted examples of international, European and national IIA case studies. These are briefly described below.

International Context

- **Institute for Development Policy and Management at the University of Manchester (IDPM)** (<http://idpm.man.ac.uk/iasdu>). The Institute primarily focuses on the needs of low and middle income countries (developing countries and countries in transition). Commissioned work has been undertaken in Eastern Europe, Africa and Asia.
- **Mid-Atlantic Integrated Assessment US Environmental Protection Agency (MAIA Programme)** (<http://www.epa.gov/maia/>). This programme is bringing together current and future data about ecological ecosystems in the Mid-Atlantic Region of the US. In particular it is integrating assessments that combine engineering, social sciences, health sciences and ecology.
- **Enterprise Development Impact Assessment Information Services (EDIAS)** (www.enterprise-impact.org.uk) This service is managed on behalf of DFID jointly by the Institute for Development Policy and Management at the University of Manchester, and Women in Sustainable Enterprise (WISE) Development Ltd. Its key aims are to help Enterprise Development Advisors to design and carry out impact assessments (IAs) and to ensure that lessons learned through IAs have an impact on policy development.

As well as these resources and from within the international context, the project accessed the following Integrated Impact Assessment models:

- **Human Impact Assessment models** – In the context of sustainable development, Human Impact Assessment (HuIA) recognises the importance of assessing the consequences of policies, programmes and projects on the health and social well-being of individuals. The aim is to maximise potentially good effects and minimise adverse effects. A useful resource is www.stakes.fi/sva/huia
- **Triple Bottom Line Sustainable Business Practice** – ‘Triple Bottom Line’ captures a world wide business model that urges corporations and companies to give equal consideration to economic viability, social responsibility and environmental quality. This involves being open about the corporate or company’s purpose and considering the needs of all the stakeholders, i.e. governments, business partners, shareholders, local communities, employees, customers and the public. Useful resources are www.sustainability.com/philosophy/triple-bottom John Elkington⁽⁴⁾ provides a useful guide.
- **Ecological Footprint model** – The ecological footprint model is a measure of how sustainable human life-styles are. It is used for measuring and visualising the resources required to sustain households, communities, regions and nations. It considers complex relationships between carrying capacity, sustainability, resources use and waste disposal. Human consumption is translated into areas

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of productive land required to provide resources and assimilate waste products. Key developers of this model are Mathis Wackernagel and William Rees. Useful resources include the following web sites, www.bestfootforward.com and www.rprogress.org.

European Context

- The Commission of the European Communities released a Communication on Impact Assessment in June 2002 (COM (2002) 276 final; Brussels 5.6.2002) (http://europa.eu.int/eur-lex/en/com/cnc/2002/com2002_0276en01.pdf). This outlines how, from 2003, the Commission will gradually introduce an integrated impact assessment in order to improve quality and coherence of policy design. The Communication states that impact assessment will apply to all its major initiatives.
- The Swiss Government's Federal Council has recently issued a revised 'Sustainable Development Strategy for Switzerland'. This is fundamentally a wide ranging strategy with emphasis on giving equal weight to economical, societal and environmental issues. It aims to improve co-ordination and coherence between policy areas including economic and public services, financial, education, research technology, social cohesion, health, environmental and natural resources, spatial and settlement development, and mobility.

Further details can be found in English at the following web site:
<http://www.are.admin.ch/are/en/service/sitemap/index.html>.

National Context

Before embarking on the project, and from within the UK context, we were aware of national policy that stresses the need for integrated approaches to impact assessment. The resource written by Karen Lock and available at www.hiagateway.org.uk, (see section 2.1) suggests that at local government level, The Local Government Act, 2000⁽⁵⁾ is pivotal, as it gives local councils discretionary powers to promote and/or improve environmental, social and economic well-being within their area.

We were also aware that the Department for Transport, (formerly the Department for Transport, Local Government and the Regions {DTLR}) have and are using, an Integrated Policy Appraisal framework (IPA) in order to support policy-makers across Government. The IPA was produced by the Central Economics and Policy division (CEP) of the DTLR in co-operation with the Department of Health, with the assistance of Professor Susan Milner from Northumbria University, Newcastle-upon-Tyne. The framework follows key principles set out in the White Paper, 'Modernising Government' (<http://www.archive.official-documents.co.uk/document/cm43/4310/4310.htm>) and the Cabinet Office report 'Better Policy Making' (http://www.cmps.gov.uk/better_policy_making.pdf). The main aim of the framework is to simplify and unite existing appraisal requirements.

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3. Methodology

The Northumbria project team initiated the project with a 'mapping' day with the Health Development Agency. A brain storming session produced a list of potential project contacts at regional and local level. This was in addition to a list of contacts provided by the Health Development Agency and included the following:

UK IIA Activity

Organisations that have policy and policy implementation roles at a regional strategic level including:

- English Regions
 - Government Offices
 - Regional Assemblies
 - Development Agencies
 - Health Development Agencies
 - Environment Agencies
 - Public Health Observatories
- Scottish Executive
- Welsh Assembly
- The Northern Ireland Assembly

Local

- Local Authorities
- Primary Care Trusts

A number of national and international academics and independent consultants who are actively developing IIA methodology were also identified as potential contacts, as well as those individuals who are more actively involved in HIA, but who have shown an interest in IIA.

Given the project's short time-span of approximately four months, and the large number of potential contacts (well over a thousand), it was decided that a short telephone interview would be the most efficient data collection tool. Initial contact was to be via a widely distributed e-mail, via established key informants and HIA related e-mail discussion groups. This outlined the project and invited participation through a telephone interview (please see Annex A). Others were notified throughout the project as and when contact details were established, for example when leads were identified via key informants.

In relation to notifying the (approximately) 300 Primary Care Trusts (PCTs) and the 450 Local Authorities (LAs) about the proposed research project, a 'one stop shop', e-mail network, would have been ideal. However, as yet PCTs do not have this mechanism; and efforts to post an e-mail alert on appropriate LA web sites, were disappointingly unsuccessful.

In total 350 e-mailed notifications of the project were despatched.

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3.1 Piloting the Telephone Interview

An interview sheet with open questions and interviewer's prompts was devised. Questions sought to collect data under the following headings:

- Types of impact assessment undertaken during the planning of projects, policies or programmes.
- Whether existing assessments overlap.
- Whether the organisation or individual used an IIA toolkit/checklist and if not, whether they thought it would be helpful to do so.
- If they did use an IIA toolkit/checklist, details and use of the kit.
- Details of user training.
- Details of the sorts of appraisal that the toolkit/checklist may be used for.
- A consideration of whether there are forms of assessment that are not included in the IIA.

Some questions mirrored those used in earlier research, carried out by the Health Development Agency (Rob Quigley), in order to launch the Health Impact Assessment (HIA) Gateway website (www.hiagateway.org.uk). Data protection and copyright questions were also included in the interview sheet. Advice on the wording of these sections was sought from copyright personnel (Clive Blair-Stevens) at the Department of Health. Interviewees' permission was also sought for information gathered about IIA toolkits/checklists and/or resources to be transferred to the HIA Gateway website. The final draft of the telephone interview sheet was agreed with the Health Development Agency (Rob Quigley).

A pilot use of the telephone interview with personnel from a Local Authority and a Strategic Health Authority highlighted some problems with language. For example it was suggested that 'toolkit' may imply the use of a fully developed model whereas some organisations may be using a more pragmatic 'checklist' with a view to future development. 'Checklist' was thus included in the relevant questions. Furthermore, a short introductory text was refined to emphasise the project's definition of integrated impact assessment (please see Section 2 above).

A copy of the telephone interview sheet and introductory text is given in Annex B. Details of the organisations involved in the pilot phase are given in Annex C, along with all organisations and individuals who participated in the interviews.

3.2 Data Collection

Initially, approximately 20 replies to the research project e-mail alert were received by return of e-mail. Thereafter the research team progressed through the list of potential contacts as identified in section 3.1 above, cold-calling those who had not replied and who were considered to have some knowledge of existing or developing IIA activity.

Approximately 350 organisations were contacted and 250 telephone calls were made. 76 interviews were carried out. Arranging the telephone interview was time consuming. Overall 76 telephone interviews generated 211 telephone calls and 103 e-mails. On average each telephone interview entailed 2 to 3 telephone calls and 1 to 2 e-mails. In some instances it was difficult to identify named personnel from

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within an organisation who would be able to supply reliable and knowledgeable detail. In other cases, the most informed person was no longer in post and his or her successor did not feel fully briefed. Every effort has been made to ensure that the information received is an accurate and up to-date reflection of an organisation's IIA activity. However, what is reported is the respondent's knowledge of such activity.

The telephone interviews were carried out by the three Project Officers and each lasted from twenty minutes to just over an hour. The average time to conduct each interview was approximately 33 minutes. Given the protracted nature of some of the contact and the fact that several people were away during August, data collection was carried out over a three month period.

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4. Main Findings

The findings suggest that as yet there is little IIA activity in the UK, although there is growing interest and recognition that best practice encompasses a multi-sectoral, interdisciplinary and integrated approach to impact assessment of proposed projects, policies or programmes. This receptiveness to IIA is discussed in greater detail in Section 5 below.

Out of a total of 76 interviews (with 76 interviewees), 21 interviewees identified examples of IIA being used or developed within an organisation or by an individual (e.g. as an independent consultant or academic). A list of these 21 is given in Table One below, and Annexe D provides detailed information about each toolkit/checklist, as supplied and verified by the 21 interviewees.

TABLE ONE
List of IIA Toolkits / Checklists

Name/Organisation	Title	In Use/Development Stage	See Annex D
Department for Transport (formerly the Department for Transport, Local Government and the Regions)	Integrated Policy Appraisal (IPA)	In House Department Wide Used to assess Policies	D1
Welsh Assembly	The Welsh Assembly Government Integration Tool	In House Department Wide Used To assess Policies	D2
Scottish Executive	Policy Maker's Checklist (working title during development)	At developmental stage (in conjunction with Northumbria University)	D3
North West Regional Assembly	Integrated Appraisal Toolkit IAT	Appraisal of Regional Planning Guidance, Structure, Local, and Unitary Development Plans, SRB6 projects, Community Strategies, Aviation Strategy, scoping level appraisal of the Regional Economic Strategy.	D4
Government Office for the North West	Integrated Appraisal Toolkit IAT (See D4)	Work in progress. Used as a standard tool for the North West region in order to build upon sustainability appraisal (See D4)	D5
North West Regional Development Agency	Integrated Appraisal Toolkit (IAT) (See D4)	Work in Progress. Used as a standard tool for the North West region in order to build upon sustainability appraisal (See D4)	D6
Sue Kidd Liverpool University	Integrated Appraisal Toolkit (IAT) (See D4)	Work in Progress. Used as a standard tool for the North West region in order to build upon sustainability appraisal (See D4)	D7

TABLE ONE
List of IIA Toolkits / Checklists cont.

Name/Organisation	Title	In Use/Development Stage	See Annex D
Kate Ardern South Liverpool PCT	IIA Toolkit /Checklist for Rapid Appraisal	Used across major projects in Liverpool area	D8
Yorkshire and Humberside Regional Development Agency	Sustainable Development Appraisal, incorporating HIA	Used to assess impacts of projects, programmes, and policies at a regional and sub-regional level	D9
Government Office for Yorkshire and the Humber	Sustainable Development Appraisal, incorporating HIA (See D9)	Used to assess impacts of projects, programmes, and policies at a regional and sub-regional level (See D9)	D10
Yorkshire and Humberside Assembly	Sustainable Development Appraisal, incorporating HIA (See D9)	Used to assess impacts of projects, programmes and policies at regional and sub-regional level (See D9)	D11
North East Lincolnshire PCT	Sustainable Development incorporating HIA Appraisal, (See D9)	Adapted from D9 for use at local level (see D9)	D12
One NorthEast	Regional Economic Strategy – IIA	Developing an IIA for all formal assessment	D13
South West Health Development Agency	Somerset Health and Social Needs Analysis Group (HSNAG)	A multi-agency information set for Somerset that is used by a wide number of agencies to assess levels of health and social need, identify priority areas for investment, allocate resources, plan services and provide profiling for funding applications	D14
Jayne Parry University of Birmingham Health Impact Assessment Research Unit (HIARU)	Work in Progress – HIARU does not have a fixed toolkit as each project is treated on its own merits	To identify how a proposed intervention might directly change population (and sub-population) health and indirectly, through changes in the determinants of health.	D15

TABLE ONE
List of IIA Toolkits / Checklists cont.

Name/Organisation	Title	In Use/Development Stage	See Annex D
Susan Greig Sheffield Hallam University	HIA of the Rotherham Sheffield M1 Corridor Planning Study	Participatory decision making.	D16
Health Development Service, Sedgefield PCT and Easington PCT	Wellbeing Integrated Toolkit	Developing. In the process of being piloted on both Neighbourhood Renewal projects and as part of a mental health promotion strategy.	D17
Cambridge and Peterborough Public Health Network	Health Impact Review Screening Tool	Applied across a range of projects and programmes within the Trust and with partner organisations.	D18
North Tyneside Metropolitan Borough Council	Integrated Wellbeing Impact Assessment Toolkit	Screening and rapid appraisal levels of assessment	D19
Calderdale Metropolitan Borough Council	Health Impact Assessment Tool	Work in progress – within the last year, has been developing an HIA tool drawn from toolkits and processes developed in the UK and abroad. Working in partnership with Calderdale Primary Care Trust.	D20
Chelmsford Borough Council	The Local Authority Toolkit adapted to include HIA	Developing as part of the Borough Council's '10-year Local Plans' Strategy. The aim is to achieve 'planning gain' across all sectors of the Council.	D21

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4.1 National Activity

The following provides a brief overview of UK IIA activity, as identified by this project.

The Department for Transport, (formerly the Department for Transport, Local Government and the Regions {DTLR}), provided detailed documentation of their 'Integrated Policy Appraisal', toolkit. This was introduced in section 2.2 above.

The Scottish Executive are in the process of developing and piloting a within-organisation IIA checklist, which may be used as a standardised rapid appraisal of proposed policies and which may identify a need for further in-depth appraisal.

The Welsh Assembly uses an IIA toolkit (The Welsh Assembly Government Integration Toolkit) that covers a broad range of policy areas. From within the Welsh Assembly and across departments, principle use is to develop policies and to evaluate projects and policies during development and delivery. The toolkit is described as a screening tool that would highlight whether other assessments such as HIA are needed.

Northern Ireland's health strategy 'Investing for Health' <http://www.investingforhealth.com/>, outlines an inter-departmental framework for action to improve health and well being and reduce health inequalities. Partnership between government departments, district councils, voluntary bodies, local communities and public bodies, is advocated. Whilst IIA is not explicitly referred to, the strategy is committed to, and outlines, a comprehensive programme for HIA that will address issues of co-ordination, capacity building, tool development, quality assurance, pilot programme and a network of HIA practitioners.

4.2 Regional Activity

The map of the government regions (see Annex E) shows the geographical location of the following:

Clusters

It became apparent that there are clusters of IIA activity within regions and that these clusters are discussing development, use and evaluation of shared IIA toolkits/checklists. These are then adapted to each organisation's or individual's needs. Two clusters were identified:

- Within the **North West Region** – In response to sustainability appraisal, in particular 'Regional Planning Guidance', and 'Regional Economic Strategy', academics, independent consultants, government and non-government specialists in the region, have formed an IIA appraisal group with the aim of jointly developing IIA in the region. The region's Government Office, Development Agency and Health Development Agency submitted copies of their IIA toolkits/checklists.
- Within **Yorkshire and Humberside Region** – During 2000, fifteen sustainable development aims backed by four cross cutting themes, provided both the structure for the 'Regional Sustainable Development Framework' and the criteria for the region's sustainable development appraisal tool that supports it.

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These aims were endorsed subsequently by the Regional Assembly and its Sustainability Commission. A sub-group considered the potential of integrating health impact appraisal and sustainable development appraisal in the region. This led to a revised tool that fully incorporates health. The region's Development Agency, Government Office and Regional Assembly submitted copies of their IIA toolkits/checklists, all of which use the 'Regional Sustainable Development Framework' as a starting point. This regional work has also been refined by the North East Lincolnshire PCT for local use.

Other regional and local IIA activity:

- **North West** – South Liverpool PCT has developed a rapid appraisal toolkit/checklist that has been adapted from the 'The Merseyside Guidelines for Health Impact Assessment' (see <http://www.ihia.org.uk/document/merseyguide3.pdf>).
- **North East** – The North East Regional Development Agency (One Northeast) is in the process of developing its 'Regional Economic Strategy' in order to integrate a series of assessments across a range of domains. North Tyneside Metropolitan Borough Council and Sedgfield PCT, have both developed individual 'Integrated Wellbeing Assessment' toolkits to use at screening and rapid appraisal levels of assessment.
- **East of England** – Integrated impact assessment is beginning to develop within the region via cross-sector, regional discussions about an agreed approach to, and future application of, sustainability appraisal. The starting point is the East of England Sustainable Framework (East of England Regional Assembly). This proposes a series of objectives that are recommended to inform the preparation of Regional Planning Guidance, other strategic documents, local plans and development projects.
- **South West** – In 1998, the South West Health Development Agency (SWHDA) established the Somerset Health and Social Needs Analysis Group (HSNAG) to develop a multi-agency information set for Somerset. This is used by a wide number of agencies to assess levels of health and social need, identify priority areas for investment, allocate resources, plan services and provide profiling for funding applications.
- **London** – The 'London Health Strategy' was launched in March 2000 to create a partnership of London-wide bodies to deliver its aims to improve the health of Londoners and reduce health inequalities in the capital. The 'London Health Strategy' identifies four key areas to improve health: regeneration, inequalities, transport and black and minority ethnic health; and four priorities to achieve health improvement: community development, the London Health Observatory, communications and health impact assessment (HIA). In October 2000, the Mayor of London set up an independent London Health Commission that has been working in these priority areas. The London Health Commission has expressed an interest in developing an IIA toolkit/checklist.

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- **Chelmsford Borough Council** – As well as a working interest in HIA, this Borough Council is in the process of developing an integrated impact assessment toolkit. This is being developed as part of the Borough Council's '10-year Local Plans' strategy, in partnership with a local Strategic Health Authority and the University of Essex. The aim of the toolkit is to achieve 'planning gain' across all sectors of the Council. The toolkit is based on the 'Local Authority Toolkit' which in partnership with other agencies, was devised by the Borough Council a few years ago. This captures the principles of 'Local Agenda 21' and at the level of every building and site operated by a local authority, its aim is to reduce environmental impacts and related costs. Chelmsford Borough Council is developing this tool to include HIA.
- **Cambridge City Primary Care Trust** – submitted a Health Impact Assessment Screening Tool that is used across a range of projects and programmes within the Trust. The screening tool uses a social model of health and considers differential impacts of proposed projects and programmes across a range of social groups e.g. how will this project affect older persons?
- **Calderdale Metropolitan Borough Council** – is using a Health Impact Assessment toolkit that has been piloted within the Council's Transport Department. The MBC would like to build on this assessment and develop an integrated toolkit to be used by partners attached to Local Strategic Partnerships (LSPs)

Academics and Independent Consultants

As the detailed descriptions of the submitted toolkits/checklists illustrate (see Annex D), there are also a number of academics and independent consultants who are developing IIA toolkits/checklists, in collaboration with regional and local organisations.

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5. Supplementary Findings

Overall the 76 interviews generated a rich discussion about the use, efficacy and future development of IIA. In particular six broad themes emerged, each with points of consensus and concern:

(i) IIA Principles/Methodology

Consensus

Whilst tools, models and/or applications may differ, core values of IIA should include:

- Working across disciplines, sectors and departments to consider full spectrum of potential impacts of proposed projects, policies or programmes, in order to achieve 'best practice'.
- Consideration of potential impacts across environmental, economic and social domains so that IIA is rooted in the principles of sustainable development.
- IIA tools should test or audit plans as they develop, so that they are not so much prospective, concurrent or retrospective, but rather, developmental.
- On-going quality control including critical internal evaluation.

Concerns

- A generic IIA toolkit may prove too unwieldy.
- It may be difficult to agree on overarching methodologies.
- How do we consolidate existing assessments such as environmental impact assessment and health impact assessment with integrated impact assessment?

(ii) Accessibility

Consensus

- IIA toolkits need to be simple, user-friendly and flexible in order to be adaptable to the needs of local policy making, for many different user groups and to the individual circumstances of each project, programme or policy.

Concerns

- Lack of resources.
- A generic toolkit may have problems with transferability.
- One toolkit may not meet the needs of many different projects, programmes and policies.

(iii) Co-operation

Consensus

There is a need to build strong working relationships in order to:

- Bring people together from different disciplines and backgrounds so that they may consider the complexity of potential impacts of projects, programmes or policies without giving precedence to one over the other.

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- Start from common ground, that is, starting from common understanding of individual components (e.g. bio-physical determinants; social determinants).

Concerns

These centre on:

- Interpretation – e.g. policies are made centrally and acted upon locally. Thus there may be very different interpretations.
- Scale – e.g. dealing with policy at a regional and therefore strategic level, involving for example, a population of 3 million, is very different to dealing with such policy at local authority level involving for example, a population of 500,000.
- Level – e.g. regional versus sub-regional funding streams.

(iv) Ownership

Consensus

- IIA needs to be inclusive with transparent decision making processes.
- Public consultation should be embedded in the IIA process and this should include face-to-face contact/involvement with those likely to be affected by the proposed intervention.
- Potential users need to be involved in the development of IIA toolkits.
- Ownership process should be internal, for example within-organisation staff (as opposed to external consultants) should instigate operational changes.

Concerns

- Legal issues and costs may form barriers to inclusive ownership.
- There may be resistance to 'yet another toolkit'.
- It may be difficult to foster a culture of openness around sensitive issues, e.g. sensitive planning decisions.

(v) Resources and Training

Consensus

- In the long term, avoiding duplicating assessments will lead to 'cost effective' and 'best value' practice.
- In the short term, there needs to be initial investment in training. In particular the expertise of independent consultants may provide within-organisation personnel with the skills needed to carry out an IIA. Such skills should in turn nurture local expertise and foster professional development.

Concerns

- Training is a resource intensive exercise. It may be difficult to secure time and funding.
- An all encompassing IIA toolkit may require a huge amount of skill that is not achievable.

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(vi) Sustainability

Consensus

- The goal of integration is to achieve sustainable development objectives. Receptivity to this goal has been driven by the need to plan and implement the following:
 - *At regional level* – Regional Development Sustainable Frameworks
 - *At local level* – local strategic partnerships; the amalgamation of sustainability and ‘best value’ issues; global issues such as Local Agenda 21.
 - Health Impact Assessment needs to be integrated with sustainability assessment.

Concerns

- Sustainability has strong roots in environmental impact assessment. There is a need to guard against one domain (environmental) dominating the others (social and economic, including health).
- Related to the above point, exclusive language such as ‘screening’ and ‘scoping’, that has emerged from sustainable development, needs to be addressed if IIA is going to progress.

Overall, the research team’s discussion with project interviewees suggests that the design and content of IIA toolkits/checklists need to be adaptable, flexible and tailored to the needs of different levels of policy making, potentially many different user groups and to the individual circumstances of each project, programme or policy.

Integrated Impact Assessment

UK Mapping Project

6. Limitations of the Project

Resource constraints, in particular time and money meant that there were times when the research team needed to 'cold call' potential contributors. In many cases this led to a 'there and then' telephone interview. Contributors were required to 'think on their feet' with little space for reflection. The snapshot of the telephone interview may thus not provide the same context as a 'postal' survey that offers more scope for deliberation.

The research team made every effort to avoid specialist language (e.g. stakeholder; transferability) and most contributors were familiar with the concept of 'impact assessment'. However the complexity of 'integrated impact assessment' meant that it was not always easy to verbally convey that which may be easier to describe visually. For example some contributors spoke of imagining a 'spider or flow diagram' to convey a web of connections. Again postal or face-to-face contact may have facilitated such communication.

Finally during face-to-face interviewing there are a plethora of non-verbal cues (e.g. facial expressions) that may guide the interviewer through the interviewing process. A telephone interview meant that the interviewer had to rely on 'voice cues' (e.g. pause, lower tone) to pace and moderate the interview.

Integrated Impact Assessment

UK Mapping Project

7. Conclusions

This Department of Health funded project has mapped out current examples of IIA activity in the UK. From initial contact with approximately 350 organisations, 76 individual telephone interviews were carried out. These telephone interviews revealed 21 examples of IIA being used or developed within an organisation or by an individual (e.g. as an independent consultant or academic).

The findings suggest that as yet there is little IIA activity in the UK. However discussions with project interviewees suggest that there is growing receptiveness to integration. In part this appears to be driven by sustainable development objectives. At a strategic level, the need for cross-sector partnerships to provide both the structure of sustainable development frameworks and the criteria for sustainable development appraisal tools seems to be the main impetus. At a local level, there are several sustainable development drivers, including local strategic partnerships, amalgamation of sustainability and 'best value' issues, and global issues such as 'Local Agenda 21'. Currently most IIA activity seems to be at the strategic level of policy decision making.

Receptivity to IIA may also be driven by a growing interest in health impact assessment (HIA). There are advocates of the continued need to integrate health criteria and health professionals into the IIA process. It has been suggested that a way of achieving this is to incorporate health impact assessment (HIA), with its emphasis on a broad socio-economic model of health and well-being, into the IIA process.

IIA methodology is still in its infancy. Amongst project interviewees there was strong consensus that the design and content of IIA toolkits/checklists need to be adaptable, flexible and tailored to the needs of different levels of policy making, to potentially many different user groups and to the individual circumstances of each project, programme or policy. Concerns were also voiced as to how best to achieve these goals. However there is growing interest and recognition that 'best practice' at all levels of policy, programme and project design, implementation and evaluation, encompasses a multi-sectoral, interdisciplinary and integrated approach to impact assessment.

Annex A Project Notification

Project Outline By E-mail

Dear All

Integrated Impact Assessment: UK Mapping Project

The Health Impact Assessment (HIA) Team at Northumbria University has been commissioned by the Department of Health (on behalf of the Whitehall Inter-departmental group on HIA) to undertake a short mapping project. There are many forms of impact assessment, which are used at regional and local level to assess the possible impact of proposed policies, programmes and projects on, for example, economic issues, environmental issues, sustainability, equal opportunities, human health, quality of life, etc. These different forms of impact assessment often seek to address overlapping areas of concern and frequently ask the same questions.

There has been a growing tendency for people to try to integrate these forms of impact assessment. This reduces duplication of effort and makes such assessments more user-friendly. The Department of Health would like to know more about this type of work particularly at local level. So, this project will map out where such work is being undertaken. We are mainly interested in UK-based work, but do have named contacts from other countries and will be searching the relevant literature for similar work outside the UK.

We wish to contact anyone involved in developing or using any form of prospective integrated impact assessment. This could be at the level of simple screening checklists or rapid appraisal techniques or tools for more in-depth assessments. The key point is that the form of assessment being used or developed covers a range of domains that may have previously been assessed separately (or possibly not at all).

We will be collecting information about local integrated impact assessment tools via a short telephone interview. The information we collect will be presented to the Department of Health in the form of a short report, which will be made available to all project participants. The information we obtain will also be used by the Health Development Agency to supplement their current HIA database.

This e-mail is being sent to a number of individuals from a broad range of backgrounds. Anyone receiving this e-mail, who is involved in, or knows of, such work should contact us (preferably by return of e-mail and **no later than 30 September 2002**) to provide a telephone number and if possible the name of the contact person so that we can find out more.

This is an opportunity for you to showcase your work and we hope you feel able to co-operate with us. We will be conducting telephone interviews during August and September 2002 and we hope to present our map of local work to the Interdepartmental Group on HIA in November 2002.

I apologise in advance for any cross postings.

The project is being overseen by Professor Susan Milner, Head of the HIA R&D Programme at Northumbria University. She is willing to discuss the project with anyone who would like more information. She can be contacted by telephone on 0191 215 6632 but will not be available during August. Otherwise please feel free to contact me for more information. My contact details are below.

Julia Deans
Senior Research Assistant
Northumbria University
HIA Research & Development Programme
Coach Lane Campus (East) (Room H019)
Newcastle upon Tyne NE7 7XA Email: J.Deans@unn.ac.uk Tel: 0191 215 6063

Annex B

Telephone Interview Sheet

Telephone Interview Sheet

Introductions

The research team devised the following text as a way of setting the context for the telephone interview. However it was very much adapted by each Project Officer and modified to be relevant to each interviewee.

Here – the researcher verifies the right contact person

Hello this is [Project Officer] from the Health Impact Assessment (HIA) Team at Northumbria University. We have been commissioned by the Department of Health to undertake a short mapping project about integrated impact assessment.

The UK Government is very interested in **your** methods/processes for assessing the impacts of local policies, projects, programmes on your – local communities/population etc. We would like to identify how organisations/individuals are doing this in order to promote best practice, by sharing ideas and avoiding re-inventing the wheel.

We're aware that a variety of impact assessments are used at regional and local level and that important local work is being done. We think it's critical to map local work and to have this credited. We also know that different forms of impact assessment often seek to address overlapping areas of concern and frequently ask the same questions. We are particularly interested in how **your organisation/policy team(s)** integrate assessment of potential impacts across a range of issues e.g.

Sustainability Development

Public Expenditure

Regulatory Impact Assessment

Rural Issues

HIA

Environmental Impact Assessment

Race Equality

Gender

Disability

Children and Young People

Economic issues

Your integrated impact assessment might be at the level of simple screening check-lists or rapid appraisal techniques or tools for more in-depth assessments. The key point is that your assessment straddles a range of issues. We would now like to ask a few questions, which should take about 20 minutes of your time.

Interviewer guides interviewee through telephone interview survey – see below.

IIA Mapping Exercise Contact/Action Record

Org ID No:	Total Call Time:	IIA? Yes <input type="checkbox"/> No <input type="checkbox"/>
------------	------------------	---

Name: _____

Title: _____

Job Title: _____

Organisation: _____

Address: _____

Post Code: _____

Country Code: _____

Tel: _____

Fax: _____

Email: _____

Web Site: _____

Key Contact: *Contact details if different from above*

Contact Information

Call - Outward / Inward	Name	Date	Time	Duration

Action: _____

(Appointment, Bring Forward etc)

Outcome: _____

Interview Sheet

The following are open questions to guide the telephone interview. Following each question there are possible prompts to help the interviewer 'talk around' the subject. Closed responses may be supplemented by the Interviewer's notes recorded in space provided.

Q.1 Do you undertake any forms of impact assessment during your planning of projects, policies or programmes?

Prompts

Range of issues e.g.

- | | |
|---------------------------------|--------------------------|
| Sustainability Development | <input type="checkbox"/> |
| Public Expenditure | <input type="checkbox"/> |
| Regulatory Impact Assessment | <input type="checkbox"/> |
| Rural Issues | <input type="checkbox"/> |
| HIA | <input type="checkbox"/> |
| Environmental Impact Assessment | <input type="checkbox"/> |
| Race Equality | <input type="checkbox"/> |
| Gender | <input type="checkbox"/> |
| Disability | <input type="checkbox"/> |
| Children and Young People | <input type="checkbox"/> |

Other, please specify

If interviewee says *No* - Ask the Following Question:

Q. Would it be helpful to have an integrated impact assessment tool/checklist?

Prompts

- Future plans?
- Receptiveness to IIA?

Interviewer's notes:

Q.2 What types of impact assessment are they?

Prompts

For example:

- | | |
|---|---|
| <input type="checkbox"/> Housing | <input type="checkbox"/> Environment |
| <input type="checkbox"/> Employment | <input type="checkbox"/> Sustainability |
| <input type="checkbox"/> Health | <input type="checkbox"/> Race / Gender |
| <input type="checkbox"/> Transport | <input type="checkbox"/> Community development/regeneration |
| <input type="checkbox"/> Other Please Specify | |

Interviewer's notes:

Q.3 Do some of your assessments overlap?

Prompts

Many common concerns

One issue may feed into another e.g. employment and health

Yes No

Interviewer's notes:

Q.4 Do you/your organisation use an integrated impact assessment toolkit /checklist?

Prompts

Ways of appraising?

Across a range of issues?

These overlap?

Yes No

Interviewer's notes:

Q.5 If No to Q4, would it be helpful to have an integrated impact assessment tool/checklist?

Prompts

Future plans?

Receptiveness to IIA?

Yes No

Interviewer's notes:

Q.6 If Yes to Q4, have you designed a checklist or toolkit to carry out an integrated assessment?

Prompts

Is this for policy, programme or project?

What does this consist of?

Can you BRIEFLY describe it?

Has it been piloted/evaluated?

Are there reports for above?

Yes No

Interviewer's notes:

Q.7 If you do have a checklist/toolkit, is it available in:

Paper format

Electronic format

Other

Interviewer's notes:

Q.8 Who carries out an integrated impact assessment in your organisation? Is it:

- In-house Staff?
- Independent Consultants?
- Or both of the above?

Interviewer's notes:

Q.9 Within your organisation, do you know if checklists/toolkits for integrated impact assessments are used by:

- All sections / departments
- Some sections / departments
- How many? - specify number

Interviewer's notes:

Q.10 Do you use your checklist/toolkit for the following sorts of appraisal:

- Rapid
- Screening
- In depth
- Across spectrum?

Interviewer's notes:

Q.11 Do you use any other forms of assessment that are not included in your integrated impact assessment toolkit/checklist?

Yes No

If Yes – what for?

Interviewer's notes:

Q.12 For anyone wanting to know more about this, are you the main contact?

Yes No

Interviewer's notes:

Q.13 If yes to Q12 is it possible to provide us with a copy of the checklist / toolkit?

Prompts

If No, can other organisations such as the HDA contact author for copy?

Yes No

Interviewer's notes:

Q.14 If no to Q12 do you know who I need to contact please?

Yes No

Interviewer's notes:

Data Protection and Copyright

Q15 The intention is that the information collated from this exercise will be used in a number of contexts in relation to government funded web sites. Are you happy for this data to be used in this way?

Prompts

Examples - IF asked for:

Our Web Site

DH and HDA's Web Sites

Yes No

Interviewer's notes:

Q16 If you submit examples of your work are you happy for this to be made available within a similar range of contexts? Your work would be clearly referenced and full acknowledgement would be given.

Prompts

Examples - IF asked for:

Our DH funded, Report

Our electronic Database

Our Web Site

The HDA's Database

DH and HDA's Web Sites

Yes No

Interviewer's notes:

Thank you for your time and contribution to this project.

Annex C

List of Interviewees

Organisations/Individuals Interviewed

Academics & Consultants

Debbie Abrahams – Liverpool University

Dr Ruth Barnes – Independent Public Health Consultant

Martin Birley – University of Liverpool

Ben Cave – Independent HIA Consultant

Susan Greig – Sheffield Hallam University

Erica Ison – Independent Consultant

Professor David Kay – University of Wales

Sue Kidd – University of Liverpool

Dr Karen Lock – London School of Hygiene and Tropical Medicine

Professor Mark McCarthy – University College London

Dr Moira Maconachie – University of Plymouth

Professor Sue Milner – Northumbria University

Dr Jayne Parry – Health Impact Assessment Research Unit, University of Birmingham

Ben Rolfe – University of Wales College of Medicine

Environment Agency

Environment Agency

Health Development Agencies

Health Development Agency – East of England

Health Development Agency – North West

Health Development Agency – Northern & Yorkshire

Health Development Agency – South East

Health Development Agency – South West

Health Development Agency – West Midlands

Local Authorities

Calderdale Metropolitan Borough Council

Carlisle City Council (*Pilot*)

Chelmsford Borough Council

Chesterfield Borough Council

Doncaster Metropolitan Borough Council

London Borough of Hammersmith and Fulham

Horsham District Council

Royal Borough of Kingston upon Thames

Kirklees Metropolitan Council
Luton Borough Council
North Tyneside Metropolitan Borough Council
St Edmundsbury Borough Council
Tameside Metropolitan Borough Council
Wealden District Council
Westminster City Council

National Government

Department for Transport
Scottish Executive
Welsh Assembly

Primary Care Trusts

Bradford and District Care Trust
Cambridge City Primary Care Trust
Easington and Sedgfield Primary Care Trust (Annie Wallace)
Easington and Sedgfield Primary Care Trust (Tony Walsh)
Mid-Devon Primary Care Trust
North East Lincolnshire Primary Care Trust
Liverpool Partnership Group (*Pilot*)
North Stoke Primary Care Trust
Rotherham Primary Care Trust
South Liverpool Primary Care Trust
South West Kent Primary Care Trust
Centre for Health Promotion – Stockport
Sussex Downs and Weald Primary Care Trust

Public Health Observatories

Eastern Region Public Health Observatory
London Health Observatory
Northern and Yorkshire Public Health Observatory
South East Public Health Observatory
South West Public Health Observatory
Trent Public Health Observatory

Regional Assemblies

East Midlands Regional Assembly

Greater London Authority

North East Regional Assembly

North West Regional Assembly (and the Health Development Agency – North West)

South East England Regional Assembly

South West Regional Assembly

Yorkshire and Humberside Assembly

Regional Development Agencies

East Midlands Regional Development Agency

North West Regional Development Agency

North East Regional Development Agency – One NorthEast

Yorkshire and Humberside Regional Development Agency – Yorkshire Forward

Regional Government Offices

Government Office for the North West (GO-NW)

Government Office for the West Midlands (GO-WM)

Government Office for the South East (GO-SE)

Government Office for Yorkshire and the Humber (GO-YH)

Overseas

Deakin University (Australia)

Institute of Public Health In Ireland

Other

Cheshire and Merseyside Workforce Development Confederation

Annex D

Details of Toolkits/Checklists

Integrated Impact Assessment

UK Mapping Project

Department for Transport

(Formerly the Department for Transport, Local Government and the Regions)

Description of Toolkit / Checklist

Title: Integrated Policy Appraisal (IPA)

Use: In-house; department wide; used to assess policies. Developing.

Core Components:

- **Economic impacts** – Public accounts and public services; consumers; business
- **Social impacts** – Public health and safety; crime social capital; community and education
- **Environmental impacts** – Climate change; land use, waste and water; air quality; biodiversity; landscape; noise; other
- **Distributional impacts** – Deprivation and income groups; age; gender; disability; race; regions and localities; rural areas; small firms; other affects that vary across different groups

Principles and Development:

- Best practice tool
- Developed as part of the Department's commitment to better policy making.
- Provision for users to draw attention to 'other' impacts
- In depth assessment to be carried out if the outcome of the IIA suggests one might be appropriate in relation to specific aspect of the policy/proposal being considered, e.g. full HIA; RIA etc
- Has been piloted/evaluated using focus groups – next stage is to pilot across 6 departments

Contact:

John Nicholls

Sustainable Development Team
Corporate Policy and Secretariat Division
Department for Transport
Zone 4/14, Great Minster House
76 Marsham Street
London SW1P 4DR

Tel: 020 7944 3238
Fax: 020 7944 2664
E-mail: John.Nicholls@odpm-dft.gsi.gov.uk
Web Site: <http://www.dft.gov.uk>

UK Mapping Project

Welsh Assembly

Description of Toolkit / Checklist

Title: The Welsh Assembly Government Integration Tool

Use: In-house; department wide; used to develop policies and to evaluate projects and policies during development and delivery.

Core Components:

- The tool is underpinned by the three guiding themes of sustainable development, equality and social inclusion
- Key Objectives are:
 1. Developing the learning country
 2. Improving health and care services
 3. Creating a modern economy
 4. Fostering a sense of identity
 5. Supporting a rural Wales
 6. Creating strong communities
 7. Enhancing where we live
 8. Promoting ICT
 9. Making it happen

Principles and Development:

- Based on organisation's corporate objectives
- Strategic appraisal tool
- A screening tool that identifies if other assessments such as HIA, are needed
- Developed jointly by the 'Forum for the Future' and members of the Welsh Assembly staff
- External expertise may be sought, but essentially an in-house policy mechanism

Contact:

Matthew Quinn

Head of Policy
Welsh Assembly Government
Policy Unit
Crickhowell House
Cardiff Bay
Cardiff
CF99 1NA

Tel: 02920898740
E-mail: matthew.quinn@wales.gsi.gov.uk
Web site: <http://www.wales.gov.uk>

Integrated Impact Assessment

UK Mapping Project

Scottish Executive

Description of Toolkit / Checklist

Title: Policy Maker's Checklist (working title during development)

Use: At developmental stage (in conjunction with Northumbria University)

Core Components:

A composite, the sum of which, will produce a standardised checklist or a rapid appraisal mechanism that could lead policy makers into in-depth appraisals of key domains such as sustainability, health, equal opportunities, etc

Principles and Development:

- A checklist that is being developed as part of the organisation's mechanisms for better and joined up policy making.
- To be used internally and as widely as possible, by policy makers.
- External expertise may be sought but essentially, an in-house policy mechanism.
- The checklist will be piloted before being widely publicised in the Executive.

Contacts:

Professor Susan Milner

School of Health, Community and
Education Studies
Northumbria University
Coach Lane Campus
Newcastle upon Tyne NE7 7XA

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Fax: 0191215 6605
E-mail: sue.milner@unn.ac.uk
Web Site: <http://www.northumbria.ac.uk>

Kirstie Campbell

Delivering Professional Policy Unit
Scottish Executive
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Edinburgh
EH6 6QQ

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E-mail: kirstie.campbell@scotland.gsi.gov.uk

UK Mapping Project

North West Regional Assembly

Description of Toolkit / Checklist

Title: Integrated Appraisal Toolkit (IAT)

Use: Appraisal of Regional Planning Guidance, Structure, Local, and Unitary Development Plans, SRB6 projects, Community Strategies, Aviation Strategy, scoping level appraisal of the Regional Economic Strategy.

Proposed as standard tool for the North West region in order to build upon the sustainable development objectives contained in the regional sustainable development framework 'Action for Sustainability' (AfS). It will then be possible to measure the contribution of individual policies, plans, and projects to the sustainable development of the North West.

Core Components:

- A checklist of core questions, which consider broad themes:
 - Economic prosperity
 - Health, well-being and community involvement
 - Environmental protection and improvement
- and cross cutting themes:
- Baseline indicators; monitoring impacts; management system; life cycle and opportunity costs of the project

Principles and Development:

Developed through inclusive workshops and wide ranging consultation in response to a need for a single universal integrated tool to join up the more specialised/complex tools and hence increase use of sustainable criteria

- Enables links between AfS objectives-led appraisal and other appraisal methods
- Can be used at all levels from regional to neighbourhood level, for plans, policies, projects and programmes.
- Development managed through a cross-sectoral group comprising: North West Regional Assembly, Environment Agency (North West Region), Health Development Agency (North West) North West Development Agency, Warrington Borough Council, Cheshire County Council, Government Office North West.
- Simple and easy to use, with the potential for user adaptations to the toolkit ensures ownership and relevance for individual appraisals.
- Used early on in policy or project development it can help improve the outcomes for integration of social, economic, and environmental needs.

Contact:

Amanda Richardson

Sustainable Development Policy Officer (Appraisal)
North West Regional Assembly
Coops Building, Dorning Street
Wigan
WN1 1HJ

Tel: 01942 776 725

Email: Amanda.Richardson@nwra.gov.uk

Website: <http://www.nwra.gov.uk/afs>

Integrated Impact Assessment

UK Mapping Project

Government Office for the North West Region

Description of Toolkit / Checklist

Title: Integrated Appraisal Toolkit (IAT) (see Annex D/4)

Use: Work in progress. Piloted during approval of 'Local Agenda 21'

Core Components: Two parts: scoping and in-depth appraisal

Policies include:

- Quality of Life (QOL)
- Sustainable, competitive and inclusive economic growth
- Coastal development / coastal defence
- Rural housing
- Management of natural built and historic environment
- Landscape character
- Biodiversity and nature conservation
- Development and flood-risk
- Waste management
- Transport

Principles and Development:

- An holistic appraisal mechanism that is part of the regional sustainability framework
- GO-NW mainly concerned with getting others to use it (e.g. Local Authorities)
- Sustainability is a key
- Across all policy decision making, there is a need to consider the following sustainable development themes:
 - protection of the environment and use of natural resources
 - economic growth
 - inclusive social progress

Contact:

Stuart Donaldson

Sustainability Development Officer
 Government Office for the North West Region
 Cunard Building
 Pier Head
 Water Street
 Liverpool
 L3 1QB

Tel: 01511 224 6300

E-mail: sdonaldson.gonw@go-regions.gsi.gov.uk

Web Site: <http://www.go-nw.gov.uk>

Integrated Impact Assessment

UK Mapping Project

North West Development Agency

Description of Toolkit / Checklist

Title: Integrated Appraisal Toolkit (IAT) (See Annex D/4, D/5, D/7)

Use: Work in progress.

Core Components:

Toolkit considers a number of themes including:

- Sustainability
- Environment
- Economic
- Social
- Race equality
- Gender
- Disability

Principles and Development:

Work in progress

Contact:

Sue Henry

Head of Health Policy
North West Development Agency
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Web Site: <http://www.nwda.co.uk/>

Integrated Impact Assessment

UK Mapping Project

Sue Kidd
Liverpool University

Description of Toolkit / Checklist

Title: Sue Kidd helped to develop the 'Integrated Appraisal Toolkit' (See Annex D/4, D/5 and D6)

Use: As a standard tool for the North West region in order to build upon sustainability appraisal

Core Components:

See Annex D/4, D/5 and D/6

Principles and Development:

- IIA toolkits/checklists should be inclusive although legal frameworks may present a challenge
- IIA toolkits/checklists coming from central government, may be too political and thus too structured towards central government
- It is vital to work with others in the field
- There needs to be flexibility – questions may be added and taken away
- IIA needs to be inclusive but not unwieldy or too complicated
- Action is crucial – there is a danger of thinking too deeply about what questions to ask
- There needs to be an in-house 'hands on' approach but an independent outside perspective, can provide training and expertise (e.g. details of policies)

Contact:

Sue Kidd

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University of Liverpool
74 Bedford Street South
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L69 7QZ

Tel: 0151 794 3111

Fax: 0151 794 3125

E-mail: Suekidd@liverpool.ac.uk

Web Site: <http://www.liv.ac.uk/civdes/staff/kidd.htm>

UK Mapping Project

South Liverpool PCT

Description of Toolkit / Checklist

Title: IIA Toolkit/Checklist for Rapid Appraisal

Use: IIA is a natural progression from HIA – used across major projects in Liverpool

Core Components: This toolkit/checklist has been designed for rapid appraisal and adapted from the 'Merseyside Guidelines'. There are 2 phases: 'broad sieve' and 'fine sieve'.

'Broad Sieve' - This phase has 3 stages:

- Screening
- Brainstorming
- Evaluation
- These activities are followed by a 'HIA' cable – a mapping exercise that considers the potential impacts of the proposed project, programme or policy under 3 sets of headings (Biology, Physical, Social)

'Fine Sieve' - This phase outlines a set of resources known as 'capitals':

- Human impact
- Natural resources
- Environmental protection
- Economic
- Social progress

These resources are considered in a set of matrices which includes issues to do with sustainability and 'best value'

- Potential impacts are identified as short, medium or long OR developmental, operational, decommissioning (depending on user)
- Broad to fine sieving will tease out type of impact needed

Principles and Development:

Assessment needs to be based on:

- Rationalising; Participatory approach; Commonality; Validity
- Ownership process should be internal and recommendations for action should come from within. There may be individual cases that require external expertise, in particular utilising those who have had a lot of 'hands on' experience
- Need to foster multi-agency and multi-disciplinary ways of working
- Need broad organisational cross-overs to build effective partnerships

Contact:

Dr Kate Ardern

Public Health Consultant

South Liverpool PCT

Pavilion Six

The Matchworks

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E-mail: kate.ardern@southliverpoolpct.nhs.uk

Integrated Impact Assessment

UK Mapping Project

Yorkshire and Humberside Regional Development Agency

Description of Toolkit / Checklist

Title: Sustainable Development Appraisal, incorporating HIA

Use: To assess impacts of projects, programmes and policies at regional and sub-regional level

Core Components:

A set of 15 sustainable development aims that provide both the structure for the regional sustainable development framework, and the criteria for the region's sustainable development appraisal tool, that supports it. These aims are:

- Good quality employment opportunities
- Business success and economic growth
- Education, training and skills
- Conditions and services leading to good health
- Safety and security (people/property)
- Vibrant communities
- Culture/leisure/recreation
- Local needs met locally
- Transport, which maximises access and minimises negative impacts
- Quality Built environment and efficient land use
- Quality housing available to everyone
- Bio-diverse and attractive natural environment
- Minimal pollution
- Minimal greenhouse gas emissions and manage climate change
- Efficient use of energy and natural resources with minimal waste

Principles and Development:

Four cross-cutting themes encompass the following:

- Social inclusion and equity
- Partnership/participative approach
- Considering needs of urban and rural communities
- Creativity, innovation and appropriate use of technology

Contact:

Les Newby

Strategy Manager

Yorkshire Forward

Yorkshire and Humber Regional Development Agency

Victoria House

2 Victoria Place

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LS11 5AE

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Fax: 0113 394 9796

E-mail: Les.Newby@Yorkshire-Forward.com

Web site: <http://www.yorkshire-forward.com>

UK Mapping Project

Government Office for Yorkshire and the Humber

Description of Toolkit / Checklist

Title: Sustainable Development Appraisal, incorporating HIA

Use: To assess impacts of projects, programmes and policies at regional and sub-regional level

Core Components:

See Annex D / 9

Principles and Development:

See Annex D / 9

Contact:

Will Fieldhouse

Government Office for Yorkshire and the Humber (GO-YH)

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Leeds

LS1 4US

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E-mail: wfieldhouse.goyh@go-regions.gov.uk

Web Site: <http://www.goyh.gov.uk/>

Integrated Impact Assessment

UK Mapping Project

Yorkshire and Humberside Regional Assembly

Description of Toolkit / Checklist

Title: Sustainable Development Appraisal, incorporating HIA

Use: To assess impacts of projects, programmes and policies at regional and sub-regional level

Core Components:

See Annex D / 9

Principles and Development:

See Annex D / 9

Contact:

Sian Ferguson

Environment Policy Manager
Yorkshire and Humberside Regional Assembly
18 King Street
Wakefield
WF1 2SQ

Tel: 01924 331563

Fax: 01924 331559

E-mail: sian.ferguson@yhassembly.gov.uk

Web Site: <http://www.rayh.gov.uk/>

UK Mapping Project

North East Lincolnshire Primary Care Trust

Description of Toolkit / Checklist

Title: Sustainable Development Appraisal, incorporating HIA

Use: To assess impacts of projects, programmes and policies at regional and sub-regional level

Core Components:

Considers sustainable development under a number of headings:

- Employment / economic growth / education and training
- Conditions and services leading to good health
- Safety and security (people / property)
- Vibrant communities
- Culture / leisure / recreation
- Local needs met locally
- Efficient use of energy and natural resources
- Built environment/natural environment
- Transport
- Housing
- Decreasing pollution/greenhouse gases / response to climate change

These headings were refined from the Yorkshire and Humberside Regional set of 15 sustainable development aims (please see Annex D / 9, above)

Principles and Development

Four cross-cutting themes encompass the following:

- Social inclusion and equity
- Partnership/participative approach
- Considering needs of urban and rural communities
- Creativity, innovation and appropriate use of technology

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Integrated Impact Assessment

UK Mapping Project

One NorthEast

Description of Toolkit / Checklist

Title: Regional Economic Strategy – IIA

Use: Developing an IIA for all formal assessment

Core Components:

All proposals forwarded to One NorthEast are formally assessed in terms of their suitability for the region's 'Regional Economic Strategy' and undergo the following:

- Risk Analysis
- Sustainability Appraisal, including Health Impact Assessment
- Financial Assessment
- Statutory requirement (e.g. Environmental Impact Assessment) if appropriate

Principles and Development:

- This is a developing IIA, in response to implementing the Revised Regional Economic Strategy and funded by the North East Regional Development Agency
- An IIA should assess the sustainability and strategic 'fit' of proposed regional policies
- In-house staff need some external expertise in order to use IIA effectively

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UK Mapping Project

South West Health Development Agency (SWHDA)

Description of Toolkit / Checklist

Title: Somerset Health and Social Needs Analysis Group (HSNAG)

Use: A multi-agency information set for Somerset that is used by a wide number of agencies to assess levels of health and social need, identify priority areas for investment, allocate resources, plan services and provide profiling for funding applications.

Core Components:

A multi-agency data set that provides information on the following variables:

- Accidents
- Hospital Admissions
- Benefits
- Crime
- Demography
- Deprivation
- Education
- Health
- Housing
- Social Services
- Unemployment

Three deprivation measures are also developed for Somerset. These are:

- UnemploymentAll ages
- UnemploymentChildren
- UnemploymentOlder Age

References and websites that support the data presented are also given and uses of and associations within the data, are discussed.

Principles and Development:

- HSNAG was established in 1998 to develop multi-agency and holistic picture of patterns of poverty and deprivation in Somerset
- Two reports, presenting data on a wide range of issues (see above) have been produced. See - www.swpho.org.uk/hsnag/index.htm
- Fosters multi-agency partnerships and SWHDA would like to devise development toolkit for Local Strategic Partnerships
- Needs community / user involvement
- A generic toolkit may have transferability problems

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Integrated Impact Assessment

UK Mapping Project

Jayne Parry

Description of Toolkit / Checklist

As a Health Impact Assessment Research Unit (HIARU), the following is derived from the Unit's health impact assessment experience. However, guidelines, principles and practice outlined here, are also relevant to integrated impact assessment.

Title: Work in Progress – HIARU does not have a fixed toolkit as each project is treated on its own merits.

Use: To identify how a proposed intervention might directly change population (and sub-population) health and indirectly, through changes in the determinants of health.

Cre Components:

- A number of methods are used to identify how a proposed intervention might change population health, e.g. literature reviews, discussions with experts, focus groups and 'stakeholder' (a person who may be affected by the proposal) and 'key informant' interviews.
- 'Theories of Change', model provides a theoretical framework and this is described as being similar to tools that are being advocated in the development and implementation of regeneration strategies (please contact the Unit for further details).

Principles and Development:

- A set of guidelines that aim for consistency of approach and for a clear objective (each unique – what is the purpose / value of doing it?).
- Where possible existing knowledge should be used to inform the assessment.
- There needs to be a lot of determinants to map out potential parameters of project, policy or programme's impacts on various groups of people
- Across spectrum because appraisal needs to fit purpose of HIA
- As a policy tool HIA needs to develop both methodologically and conceptually in a way that fits the requirements of decision-making bodies. Thus development cannot take place in a vacuum

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UK Mapping Project

Susan Greig

Sheffield Hallam University/South East Sheffield Primary Care Trust

Description of Toolkit / Checklist

Title: HIA of the Rotherham Sheffield MI Corridor Planning Study

Use: Participatory decision making

Core Components:

Focus on upstream social, economic and environmental key determinants of health/well being and sustainable development

Principles and Development:

- Involve marginalised communities
- Draw on professional expertise but in service of priorities determined by local communities
- Strengthen partnerships
- Nurture participatory process
- Focus on equity – ie unjust and avoidable inequalities
- Involve all stakeholder interests
- The principle of 'added value' should be adhered to
- Should be as widely available as possible and used as guidance – tool less important than who is using it

The model that is included is described as an HIA but was submitted by contributor since it embraces the principles of IIA.

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Integrated Impact Assessment

UK Mapping Project

Health Development Service, Sedgefield PCT and Easington PCT

Description of Toolkit / Checklist

Title: Wellbeing Integrated Toolkit

Use: Developing. In the process of being piloted on both Neighbourhood Renewal projects and as part of a mental health promotion strategy.

Core Components:

Encompasses issues to do with:

- Community
- People
- Structural facets

For example, as part of developing/piloting stage, the toolkit is being used to develop a schizophrenia care register and pathway in order to co-ordinate and manage a sensitive and complex area.

Principles and Development:

- Integrated Impact assessment can provide a broad systems framework that links diverse services (e.g. police, housing agency, local authority etc)
- Dedicated resources need to be found for internal staff training
- External expertise may be useful at the evaluation phase
- Public consultation must be part of the appraisal process

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UK Mapping Project

Cambridge and Peterborough Public Health Network

Description of Toolkit / Checklist

Title: Health Impact Review Screening Tool

Use: Across a range of projects and programmes within the Trust and with Partner organisations

Core Components:

The screening tool uses a socio-model of health to consider the following issues:

- Biological factors
- Person/family circumstances and lifestyle
- Social environment
- Physical environment
- Public services
- Public policy

Differential impacts of these issues are also considered across a range of social groups e.g. how will this project affect older persons? Consideration was given to who will be affected (geographically and/or sector of community).

Principles and Development:

Completing a health impact review on a policy can be difficult. It is good to have ownership across organisations. Useful if this work is a core part of an individual/organisations work plan with dedicated resources and time.

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Please note this work is part of the Cambridgeshire & Peterborough Public Health Network. Due to change in staff, the above person has agreed to stay as the named person until further arrangements are made.

Integrated Impact Assessment

UK Mapping Project

North Tyneside Metropolitan Borough Council

Description of Toolkit / Checklist

Title: Integrated Wellbeing Impact Assessment Toolkit

Use: Screening and rapid appraisal levels of assessment

Core Components:

Based on broad range of social determinants of 'Well-Being' (contributing to quality of life), the toolkit covers 16 domains, which include:

- Wealth creation
- Employment
- Learning Opportunities
- Family influence on early life
- Social support / networks
- Personal control re life circumstances
- Personal safety / security
- Impact of natural environment on health
- Built environment and health
- Housing
- Transport
- Access to non-health public services / resources

Principles and Development:

- Consultation with HIA specialist, Professor Sue Milner, produced integrated tool to use at screening and rapid appraisal levels of assessment. This is under development and in process of being piloted in electronic format
- Existing tools are able to give a 'best value' picture, but not a wider one of impact on community or environment

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UK Mapping Project

Calderdale Metropolitan Borough Council

Description of Toolkit / Checklist

Title: Health Impact Assessment Tool

Use: Work in progress – within the last year, has been developing, in partnership with Calderdale Primary Care Trust, a HIA tool drawn from toolkits and processes developed in the UK and abroad. This has involved discussions with officers and a piloting process within Transportation Services which is being evaluated. The Health and Social Care Strategy Group support dissemination plans to roll this out across organisations.

Core Components:

- Socio-economic objectives
- Environmental Objectives
- Living and working conditions
- Social/community/cultural objectives
- Individual lifestyle factors
- Health inequalities

Principles and Development:

- An IIA toolkit needs to be simple and 'user friendly' to encourage routine use
- To raise awareness of health issues is to achieve success
- Dedicated resources may need to be found for staff training
- Local service providers need to recognise that everything they do has a potential health impact
- Calderdale Metropolitan Borough Council would like to develop an integrated toolkit to be used by partners attached to the Local Strategic Partnership (LSP)

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Integrated Impact Assessment

UK Mapping Project

Chelmsford Borough Council

Description of Toolkit / Checklist

Title: The Local Authority Toolkit adapted to include HIA

Use: Developing as part of the Borough Council's '10-year Local Plans' Strategy. The aim is to achieve 'planning gain' across all sectors of the Council.

Core Components:

- Assesses and measures a range of environmental impacts using the 'ecopoint'¹
- In some instances, experts have compared different types of impact and determined new ecopoint values
- The ecopoint scores are used to highlight priorities; they do not provide a rigorous quantification of environmental impacts.
- There is a six stage approach to using the Toolkit:
 - Establish commitment
 - Conduct an initial review, highlighting environmental impacts and related costs
 - Identify actions to tackle the worst areas
 - Assess targets which need to identify how environmental impacts and costs will improve
 - Complete the identified actions
 - Review, monitor and start the next improvement cycle
- Chelmsford Borough Council is adapting this toolkit to include HIA

Principles and Development:

- Based on the principles of 'Local Agenda 21'
- Considers environmental impacts in tandem with investment and running costs
- Encourages active participation of staff
- Aims to raise awareness of environmental impacts of lifestyles both within and outside of, the workplace
- Considers impacts across a range of issues, e.g. energy, water, paper usage and waste management
- Adopts an holistic approach to measuring environmental impacts of each building or site, e.g. grounds outside of the site are included in the assessment, as well as impacts on local community and all forms of transport
- HIA needs to be part of impact assessment

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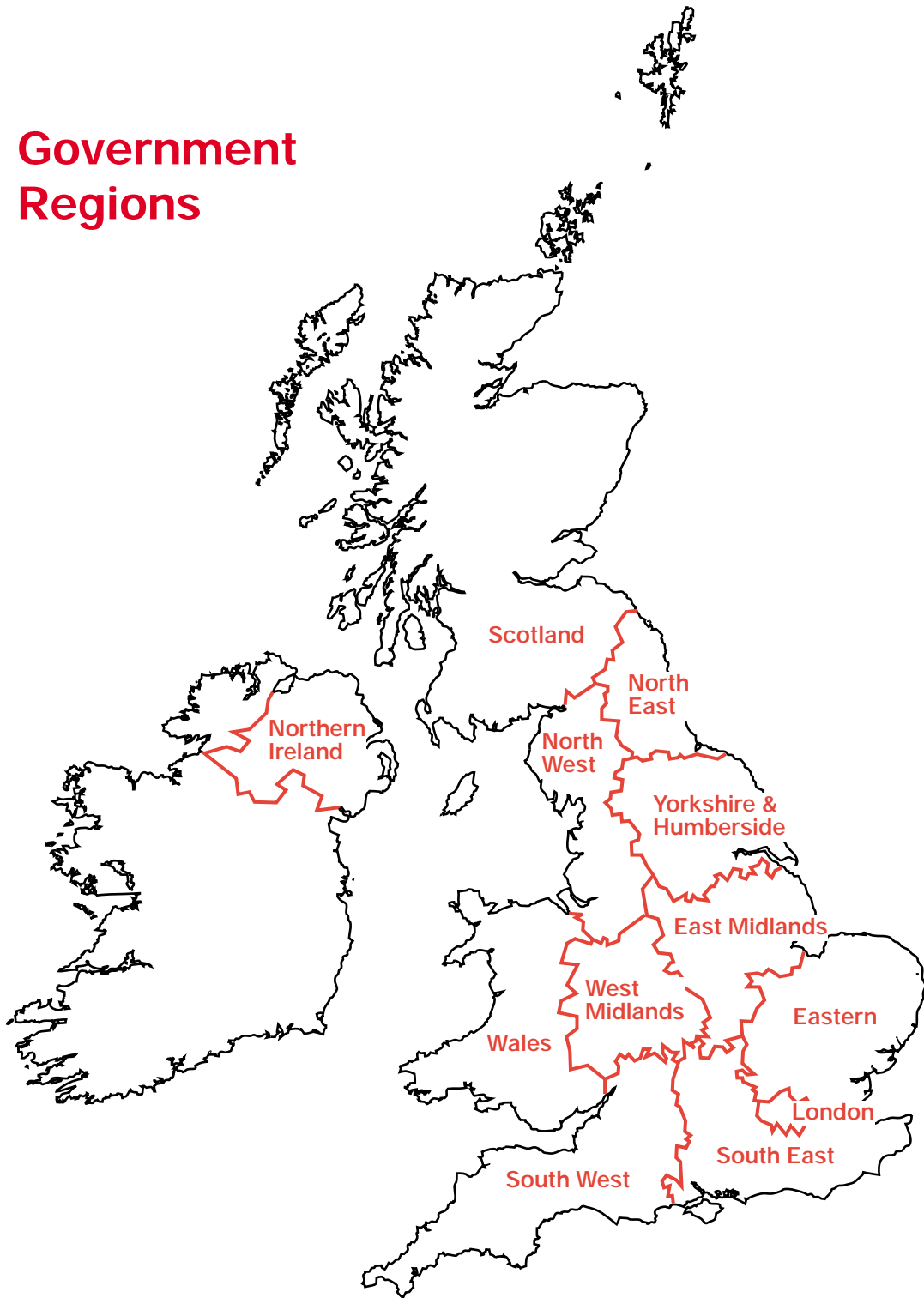
¹ The 'ecopoint' was developed in Switzerland, further developed by Pre Consultants in Holland and used for evaluating impact of products and processes. It is estimated by considering contribution of a substance to each class of environmental impact, and the existing level of damage in each class. An estimate of additional damage, if more of the substance is released, can then be calculated.

Annex E

Map of Government Regions

UK Mapping Project

Government Regions




Map based upon the Ordnance Survey map.
Data supplied by the Government Office for the North East (2003)

Integrated Impact Assessment

UK Mapping Project

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