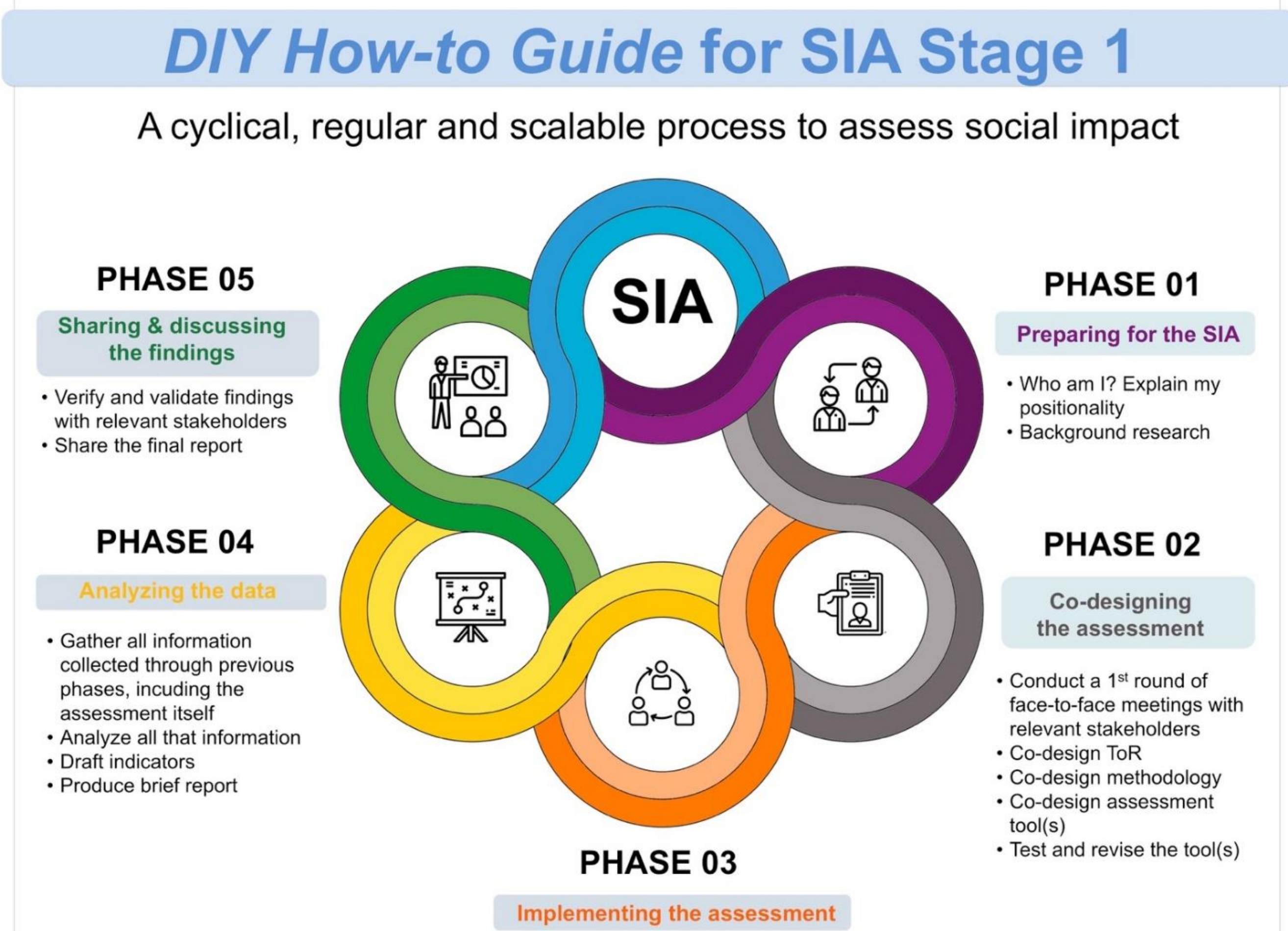
Appendix 4: *Do-It-Yourself (DIY) How-to Guide* for Stage 1 of the Social Impact Assessment (SIA): Developing a detailed understanding of the local context and the diverse communities involved

Proposed Methodological Approach

1.1 At a Glance



1.2 Extended Version

About this DIY Guide

This *Do-It-Yourself (DIY) How-to Guide* is a tool to assist organizations think how they could better gain a detailed understanding of the local context and the diverse communities that live in an area, and their needs, aspirations, priorities, capacities and proposed solutions, as part of Stage 1 of a Social Impact Assessment (SIA).

Whether undertaking this process independently or in collaboration with other organizations, this guide is conceived as part of a **cyclical, regular and scalable process** to strengthen both the production of community knowledge and the interface with formal processes in London planning.

The Guide is meant to be a reference document with important questions to think about, and practical tips on how to practically go about them. It is not meant to be a step-by-step manual or checklist. The ultimate aim is to empower organizations involved in local planning to identify important questions, find answers, innovate, take risks and learn from inevitable failures as they try to understand how the social impacts of local planning change overtime, and how communities can positively influence those processes to produce a more fair and just city.

INTRODUCTION: Working with and for local communities: Co-production of a shared understanding of the city

Building from the SIA Principles defined by Just Space (Participatory; Co-produced; Pluralistic; Independent from developer/private sector interests; Accessible and inclusive; and Potential for longitudinal research), at a practical level, we suggest the following guiding principles to consider during the SIA:

1. **Involve key community groups, individuals and their knowledge in the design, planning, implementation, analysis and sharing of the assessment and its findings.** The SIA is a community-led process - for the people and with the people - that can be supported and facilitated externally. It is, from the beginning, a process and a product owned by community groups themselves that recognizes and places local knowledge at the center.
2. **Co-design and co-produce this process to reflect priorities of the community**, not just of so-called experts, community leaders or local government officials.
3. **Focus on community-level issues to ensure the assessment reflects collective needs.** We can very often focus on our own demands and grievances as individuals. This exercise focuses on the collective.
4. **Avoid building unrealistic expectations** on what the assessment will do and/or lead to.
5. **Manage the expectations of other relevant stakeholders** in the community. Consider joining forces with other local groups who may be interested in the exercise. Consider informing local authorities to build interest in your work and, critically, on your findings as a way to influence their policy and practices.
6. **Engage relevant stakeholders as early as possible**, and communicate with them frequently throughout the process. Within reason, consider meeting/calling them regularly to ask for guidance and technical input, email sample questionnaires, or hold consultation meetings. This engagement may help build interest in the process and the findings. Be also very mindful of not over-loading them with emails, requests for meetings of information, they all have busy lives of their own.
7. As mentioned, **assessments are not just a one-off event,** they are part of a cycle, and can be the foundation for a longitudinal research “in which data is collected from the same sources over an extended period of time in order to track processes of change” (DPU, 2018:20). But remember, multiple visits without visible outcomes and lack of communication create assessment fatigue and generate unnecessary frustrations.
8. **Be sensitive to cultural norms and the individual privacy** of those who take part in the exercise.
9. Last but not least, **share the findings of your assessment** back with the people/groups who made it possible through the most locally relevant channels, both face-to-face and online.
10. **Explain any decisions made** based on the assessment findings to the community using appropriate language.

Step 1: Preparing for the SIA

1.1 Who am I? Explain my positionality

Whether it is, first and foremost, face-to-face and/or supported by a Facebook page, a basic webpage, a flyer, a Twitter or an Instagram account, or all the above, make sure you are able to briefly tell a compelling story about who you are, what you do and why you do it. Trust building is a process that starts by being clear and open about who you are and what your motivations are.

1.2 Background research (i.e. secondary data review)

Identify and review information that already exists on topics of interests. This may be information previously collected by your own organization or by other organizations (see "Potential sources for background research" section) Assessments can be time-consuming and resource-intensive, so always look for existing data before embarking on an assessment. It will save you time, resources and avoid potential "survey fatigue" within communities.

Objectives:

- Improve your understanding on the current situation on the issues of your interest.
- Identify significant information gaps.
- Establish a baseline (i.e. current situation of the issues/topics of concern).
- Identify potential people (and groups of people), organizations and physical places where you would like to conduct your assessment/questionnaire in order to fill the information gaps identified during this process.
- Explore potential scenarios/outcomes.

Outputs: A brief report that "profiles" the community/ies that may be impacted and the actors involved. The brief report should contain the following information:

- Historical background on the area/communities.
- Demographic data (disaggregated socio-economic data such as population, gender, race, income, education and employment).
- Analysis of the legal framework.
- Stakeholder mapping: Identify other actors interested/engaged in the similar area(s) of interest, including local authorities, other networks and existing coordination involved, and answer the following two questions:
    - Can/do I want to join forces with somebody else? Influence other processes /organizations/networks/fora? Yes/No, and why.
    - What's the added value of what I think I want to do?
- "Community assets" mapping: Physical and social infrastructure that may be important for the community, according to the data reviewed (e.g. markets, high streets, community centers, religious temples, parks, transport, restaurants...).

- A first draft of an "engagement strategy" (i.e. what stakeholders you want/need to talk to in order to potentially collaborate/join forces or avoid overlap and duplication).
- A first draft with questions to discuss with whatever stakeholders you may have identified.

Potential sources for background sources: Local authorities (e.g. census data), reports from government ministries, universities, research institutions, reports/assessments done by my/other organizations/networks, reports from local/national media, social media, "Google"…

Considerations when reviewing/using secondary data:

- Credibility of the source
- Reliability of the source
- When was the data collected?
- Is it consistent with other data collected on the same topic?
- Are there any potential biases?

Step 2: Co-designing the assessment

2.1 Conduct a first round of face-to-face meetings with relevant stakeholders involved in the community

Objectives: As part of your initial "engagement strategy", connect with relevant stakeholders (i.e. individuals or local organizations) representing different social classes, "age groups, languages, ethnicities, abilities, sexualities and religions as protected under the Equalities Act 2010" (DPU, 2018:19). This first round of face-to-face meetings has the following objectives:

- Introduce yourself and your initial thoughts with an SIA.
- Listen and learn, beyond what you already know through Step 1, about what they are doing, their plans, the challenges the face, collaborations they have, potential funding they may receive…
- Gauge potential opportunities for collaboration, if any. Chances are that others are already working/thinking along the lines of what you are thinking.
- Consider sharing an abridged version of your output from Stage 1 (i.e. brief background research report) with whoever you meet – they may find it useful and it may help you build credibility and demonstrate commitment.
- In the event there is no interest, or they don't have capacity at the moment, you still may want to build interest in your plans and, critically, on the process and the findings you may bring.

Outputs: After these initial consultations:

- Produce a 1-pager summarizing your understanding of the key priorities within the community.
- Update your stakeholder mapping, including information about existing capacities, processes, initiatives, fora…

- Review your "engagement strategy": Based on your revised stakeholder mapping, you should decide who you may want to work closely with, and who you only need to keep informed. Ultimately, at this stage you need to answer:
    - Am I alone on this process or are other individuals/organizations interested in joining forces?
    - And if so, what could we realistically do and how?

2.2 Co-design Terms of Reference

Objectives: Whether going solo or with other individuals/organizations, based on the priorities and knowledge ascertain in Stage 1, co-produce a brief draft with Terms of Reference (ToR) for an assessment. The ToR should clearly and concisely outline a brief background on the situation (why), the objectives and specific deliverables (what), tentative time frame, including delivery dates (by when), and how the Stage 1 will be implemented and what resources are available (how). This should help you gather your thoughts and draw some initial ideas for discussion in the following steps.

Outputs: An agreed Terms of Reference.

2.3 Co-design a methodology to conduct an assessment

Objective: The process, and the ownership of that process, is as important, if not more, than the outcome. Depending on the context and resources and capacities available, you can consider different types of methodologies for data collection and analysis. A methodology should include, at minimum, a discussion on the following elements:

- **Target:** Which individuals and groups will you consult, and why.
- **Methods and approaches to use** (e.g. structured or unstructured Key Informant Interviews, Focus Group Discussions, direct observations, transect walks, mapping exercises, timelines…). "Methods must be easy to understand, interpret and use by everyone. Wherever possible, SIA tools should be designed to facilitate broad-based community participation in their delivery" (DPU, 2018:21).
- **Type of questions to use** (e.g. open-ended, multiple choice, scaled from 1-10 with respect to the extent of agreement).
- **Sampling:** This includes the selection of a method of sampling (e.g. random sample, target sampling) and the sample size (i.e. how many individuals/groups). A critical consideration here is to decide what is a

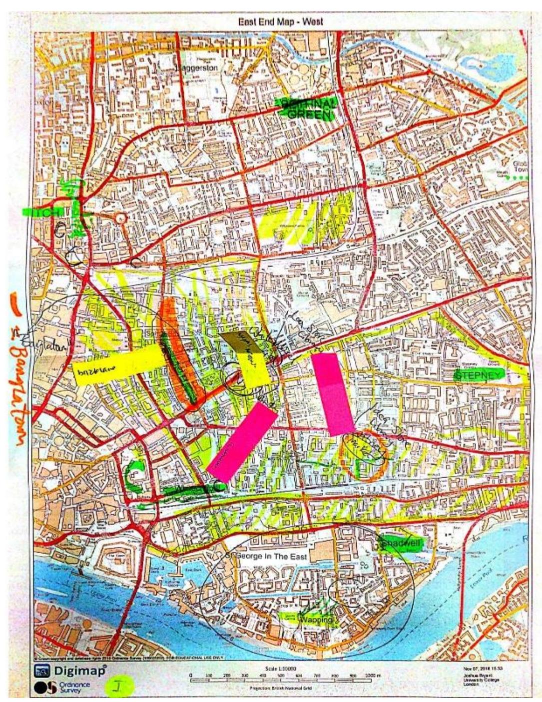


Figure 15: Original hand annotated map from FGD mapping exercise

"representative enough sample" and who that sample potentially represents. Select a method to administer the tool (e.g. face-to-face, email, phone…)

- For face-to-face interviews, select the locations and explain why.
- Assumptions made.
- Biases, caveats and limitations of the assessment.
- Resources to conduct. This includes:
    - An assessment team with the relevant skills and experience required for the context, including e.g. language, communication and interview skills, gender and race.
    - Source of funding: One the SIA principles is that the process is independent from developer/private sector interests.

Outputs: A brief concise methodology, no more than 1.5-2 pages.

2.4 Co-design the assessment tool(s)

Objectives: After collecting general data, produce an assessment tool to gain a more in depth understanding of the social impacts around the priorities identified within the community.

Outputs: For example, a brief questionnaire to collect qualitative and quantitative information both for individual surveys and focus group discussions.

> ***BOX: Be aware of how long it takes***
>
> *The SIA As discussed in the methodology, the assessment tool needs to consider to whom the questionnaire is going to be administered to (i.e. individuals, groups) and how long it would take to complete it. It is not the same and it doesn't take the same amount of time to interview an individual in the street/market with no previous knowledge (or interest) in the assessment, than running a focus group discussion with teenage girls through a youth group interested in the SIA process.*

2.5 Test and revise the tool(s)

Objectives: Be aware of issues that may arise around different interpretations of concepts (i.e. use plain language), language barriers, wording of the questions, number of questions, and the time that it takes to complete the survey. Try out the tool(s) with a small group of individuals and get their feedback on how it can be improved.

Outputs: A revised survey questionnaire.

Step 3: Implementing the assessment

Objectives: Remember, the assessment should try to represent all groups in the community, especially those who may be more vulnerable (see box). Assessments do not have to be perfect to be useful, but you need to make sure you acknowledge potential imperfections, biases and caveats in your methodology and results.

Outputs: Depending on the methods use, for example, a number of surveys, whether individual surveys or focus group discussions, maps…

BOX: The core of the SIA: Understanding people's various identities

The SIA must place gender, age and specific vulnerabilities, such as disability, at the heart of process, from the initial planning of the assessment to the sharing of the results back with the community.

The methods, analysis and selection of members who will participate in the assessment must be aware and take into account the different needs, aspirations, vulnerabilities, capacities and perspectives of women and men, boys and girls, and all their different intersecting identities. The SIA underpins the need to understand the different intersections of various social disadvantages that may result in inequitable access to social services and accumulated vulnerabilities within the target communities/areas for the assessment.

The term "vulnerable groups" has become a blanket definition that puts children, women, people with disabilities, older people, ethnic minorities and other marginalized groups in the same basket. In reality, however, there is no such thing as a "typical" vulnerable group. People have multiple social identities that influence how vulnerable they are at a point in time, when they are most vulnerable, and, critically, in what contexts their vulnerabilities may arise or decrease.

Step 4: Analyzing the data

Objectives: Analysis involves the combination of available information coming out of your research, the interviews you did, your interpretation of all that data coming from different locations in order to identify similarities, differences, trends and "explore the types of indicators that SIA could include" (DPU, 2018:6), and you may want to assess progress against.

Outputs: A brief DRAFT report presenting, in a visually compelling and brief way, your initial findings and recommendations for next steps for discussion. Typically, the report should include the following components:

1. Background
2. Findings
3. Analysis of those findings
4. Methodology used, including limitations and caveats
5. Recommendations, including some preliminary "indicators", and next steps

Step 5: Sharing and discussing the findings

Objectives: Verify and validate findings with relevant stakeholders, including interested members of the public and organizations and groups that made it possible. Consider how to share and discuss the findings, how long you want to leave people to provide you with comments and how you are going to disseminate the final report. Use this step to continue your discussions with key stakeholders.

Outputs: A series of face-to-face meetings, calls, email exchanges to gather feedback on the findings in order to produce a final report. The final report is to be shared with members of your own organization, community partners, other organizations/network, relevant local authorities and members of the public through the most relevant channels. Consider posting it online to reach wider audiences.