SOCIAL IMPACT ASSESSMENT

SIA
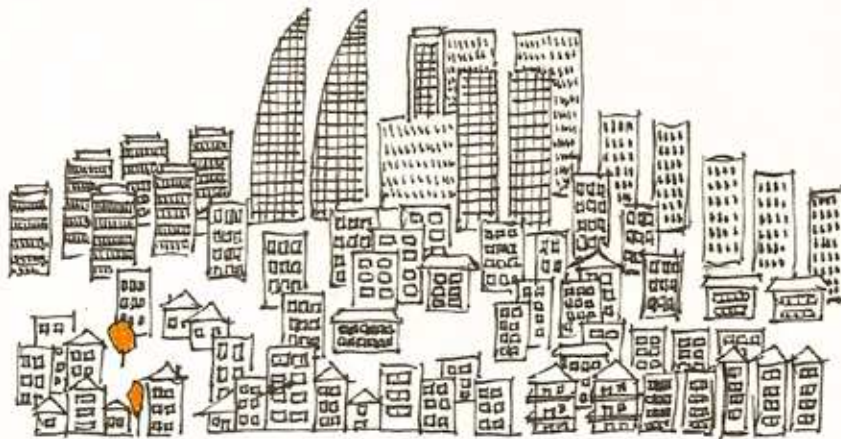
in 10 Questions

?

URBAN VISION
PLATFORM

1960-1980

1980-1990

1990-20??

Preface

Large-scale urban regeneration projects that have been developing within the 3rd regeneration period started causing traumatic effects.

The lack of interaction between the "affecting" and "affected" parties and the lack of a competent act of participation during the process of project development, bring about negative impacts and reactions.

From now on, it is crucial to underline the fact that urban regeneration is not solely a real estate development. Therefore, its social and economical dimensions should come to the fore in order to develop an approach that is responsive to social impact. The impacts should be well defined and thoroughly analyzed via systematic research and mitigation strategies and innovative tools should be proposed.

During the "Ten Projects, Tens of Impacts" Program, volunteers of the Urban Vision Platform assessed the impacts on:
- Project Affected People (PAP) and
- Project Affected Assets (PAA).

Following steps were carried throughout the program;
• Selection of 10 project areas that are going through different project stages and subject to different project development approaches,
• In-depth research on the project processes and present state of affairs,
• Examination of national and international cases of Social Impact Assessment (SIA),
• In-depth interviews with the Project Affected People (PAP), field observations on various impacts and the reactions,
• Evaluation of the impacts on people and places.

The objectives of this program are;

• to bring out a contextually sound approach for a Social Impact Assessment Guide for the urban regeneration projects in Turkey, by taking the current national urban regeneration projects and the international cases into account
• to bring into question SIA approach as an obligatory task for urban regeneration processes.

In order to minimize the negative impacts of large scale urban projects on "life" and "place", and in order to develop cooperation mechanisms between public, private and civil parties, Social Impact Assessment (SIA) reports should be prepared.

The steps of preparing SIA reports should involve;
1. Profiling; Due Diligence
2. Scanning; Early Intervention
3. Analysis; Impact Assessment
4. Planning; Mitigation Management
5. Follow-up; Monitoring and Evaluation

"Social Impact Assessment in 10 Questions" booklet intends to bring the issue to the agenda of various parties, such as politicians, public officers, private sector executives, local initiatives and inhabitants. In addition to that, Social Impact Assessment (SIA) Guidebook, aims to highlight the fact that the urban regeneration projects should not be only considered by their physical interventions but their social and economic dimensions should be taken into account through Social Impact Assessment reports.

A. Faruk Göksu, Sıla Akalp
Urban Vision Platform

SOCIAL IMPACT ASSESSMENT

SIA

in 10 Questions

1 What is SIA?

2 Why should SIA reports be prepared?

3 What are the impacts on "life" and "place"?

4 What are the main principles?

5 What is the approach?

6 What are the main preparation steps?

7 What is "Social Interaction Matrix "?

8 What is "Negotiation Management Process"?

9 What is "Social Impact Responsive Design"?

10 What are the components of a SIA report?

1 What is SIA?

Social Impact Assessment (SIA) is an impact evaluation and management process that elaborates on the relationships between the "Affecting" and the "Affected" parties. In order to coordinate the interaction process between the "Affecting" and the "Affected" parties in a more inclusive and responsive way, SIA, especially, attempts to guide decision makers whose decisions have direct impact on "life" and "place". (Göksu, F. 2013).

SIA includes analysis, monitoring and planning studies to understand the positive and negative impacts of the plans, projects, programs and policies of social change and to mitigate the negative impacts. SIA studies aims to contribute for the production of egalitarian and accessible urban spaces that meets individual and social needs. In this respect, SIA can be considered as a practical impact management tool for aiming for a life oriented approach.

What are the differences between the SIA and EIA?

Environmental Impact Assessment (EIA) focuses on the large scale infrastructure and construction investments causing change mainly on the bio-physical environment; focusing on themes such as environmental pollution, bio-diversity, natural resources, climate change etc. Social Impact Assessment (SIA), on the other hand, concentrates on the social, economic and environmental issues in a more holistic way, anticipating participatory project design and management processes.

Since 1993, in Turkey, large scale infrastructure projects have been obliged to being subject to the EIA before they were implemented.

Other definitions for SIA

In general terms, SIA is analyzing, monitoring and managing the social consequences of development. (Vanclay, 2012).

Social impact assessment can be defined as the process of assessing or estimating, in advance, the social consequences that are likely to follow from specific policy actions or project development, particularly in the context of appropriate national, state, or provincial environmental policy legislation. (Burdge, Vanclay, 1996)

Impact assessment is a set of logical steps to be followed when you prepare policy proposals. It is a process that prepares evidence for political decision-makers on the advantages and disadvantages of possible policy options by assessing their potential impacts. (EU, 2009)

Social Impact Assessment includes the processes of analyzing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programs, plans, projects) and any social change processes invoked by those interventions. (Vanclay, 2003)

Social impact assessment (SIA) is a process for understanding and responding to the social issues associated with development. (Franks, 2012)
Social impact assessments (SIA) are studies and resulting documentation that review the social implications of the planning, design, decision making, management, operation and termination of a proposed activity. (Rio Tinto, 2011)

The purpose of an environmental impact statement (EIS) (consequently of a social impact assessment) is to assess and report on a project's social, economic and environmental impacts and the measures proposed to avoid, manage, mitigate or offset the predicted impacts of the project. Impacts can be either positive (i.e. benefits and opportunities to capitalize on) or negative (i.e. adverse impacts to be managed). (Queensland, 2013)

2 **Why** should SIA
reports be prepared?

In order to minimize the negative impacts of urban regeneration projects of the third regeneration period on life and place, and in order to develop negotiation mechanisms, Social Impact Assessment (SIA) reports should be prepared.

In order to assume the minimization of the tensions between parties in urban regeneration projects, SIA reports should be prepared through well-functioning interaction platforms, which may serve as a means for minimizing negative effects, developing empathy, compromising valid expectations of the involved parties from each other. In other words, SIA reports should be brought in the agenda of Turkey in order to minimize the negative impacts on project affected people (PAP) and project affected assets (PAA).

In order to deal with the social dimension of urban regeneration, especially the impacts of current projects on life and place should be examined. For this reason, through "Ten Projects, Tens of Impacts" program performed by Urban Vision Platform, ten project areas are studied to define the perception of communities about urban regeneration and negative and positive impacts of the projects.

"You wouldn't fix the houses, before you fix the mentality."

"I will miss everything."

"Everywhere is urban regeneration project. Where will the people go, in case of an earthquake?!"

"This place is both my village and my city. I can neither go back to the village nor stay here."

"More buildings, more people..."

"I can't imagine myself in a 28 floor building."

"They say, there will be urban regeneration in 5 years, in this neighborhood too."

"What about tenants' conditions?"

"There is no choice!"

"Regeneration, together with people!"

"I was born in here, I grew up here."

"When we hear funeral prayer, we hope that he is not from our block."

"Is it urban regeneration or real estate redevelopment?"

"We thought about what the contractors going to give us, not the other way around."

"Skyscrapers in urban blocks!"

"One is rich, the other one is poor; one is happy, the other one is unhappy."

"Our tenants have gone; it used to be a contribution to the family budget."

"Back to the village project."

"Come come rich!"

"We were waiting, we are waiting, we will be waiting."

3 What are the impacts on "place" and "life"?

CHANGE OF;
FUNCTIONS
RESIDENTIAL-MIXED

New usages
Infrastructre
Construction duration

CHANGE OF;
PATTERNS
NEIGHBORHOOD-GATED COMMUNITY

Development
Public spaces
Historical patterns

CHANGE OF;
TYPOLOGY
APARTMENT-BLOCK

Housing diversity
Housing structure
Housing quality

CHANGE OF;
WORKPLACE
SHOP-SHOPPING CENTER

Shop
Workshop
Shopping places

Life

CHANGE OF;
SOCIAL PROFILE

POPULATION

Social profile
Change of population
Increasing displacement
Situation of tenants

CHANGE OF;
RELATIONSHIPS

NEIGHBORHOOD-GATED COMMUNITY DWELLER

Neighborhood identity
Relationship among neighbors
Solidarity and organizing
Apartment and street culture

CHANGE OF;
EXPECTATIONS

PERCEPTIONS-WORRIES

Project process
Anxiety and isolation
Perception of security

CHANGE OF;
ECONOMY

LOSSES-GAINS

Property and shares
Loss of income due to the dislocation
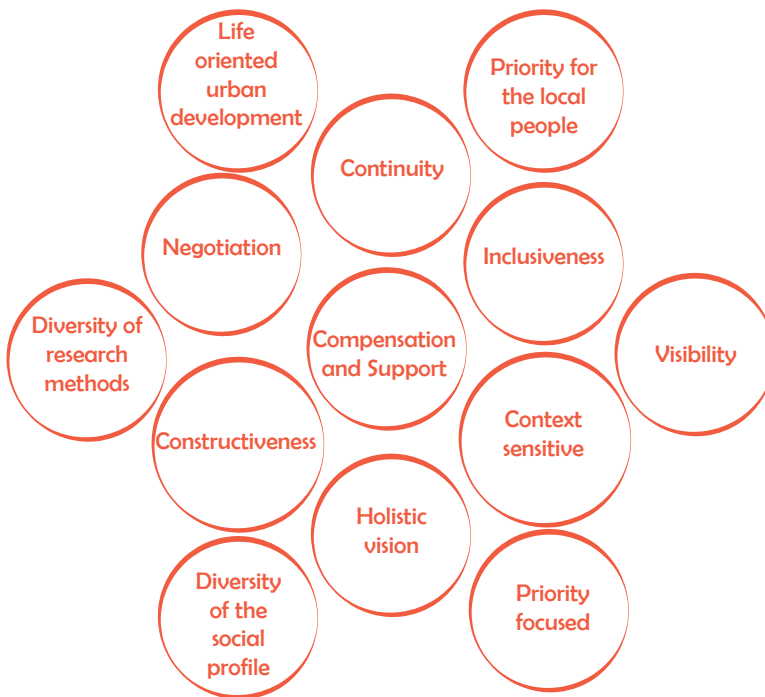Situation of local shopkeepers
Other economic activities

4 What are the main principles?

According to the international approaches following principles should be followed in the preparation process of SIA:

- Life oriented urban development
- Priority for the local people
- Continuity
- Negotiation
- Inclusiveness
- Diversity of research methods
- Compensation and Support
- Visibility
- Constructiveness
- Context sensitive
- Holistic vision
- Diversity of the social profile
- Priority focused

World Bank criteria and international experiences show the need to handle the reactions to the negative impacts of current projects in interactive environments where each individual can be part of the solution.

For the preparation of SIA reports, the World Bank's O.P.4.03 and O.P.4.12 code would be taken into account and following criteria should be met:

1. Minimization of (involuntary) resettlement,
2. Income restoration,
3. Compensation of losses,
4. Participation and consultation.

5 What is the approach?

In Turkey there is an urgent need for Social Impact Assessment to come to the agenda while also taking the current EIA practices into account.

The approach to prepare SIA reports would be as follows:

INTERACTION

Providing interaction platforms for affecting and affected groups

EMPATHY

Providing negotiation platforms to enable understanding of different expectations
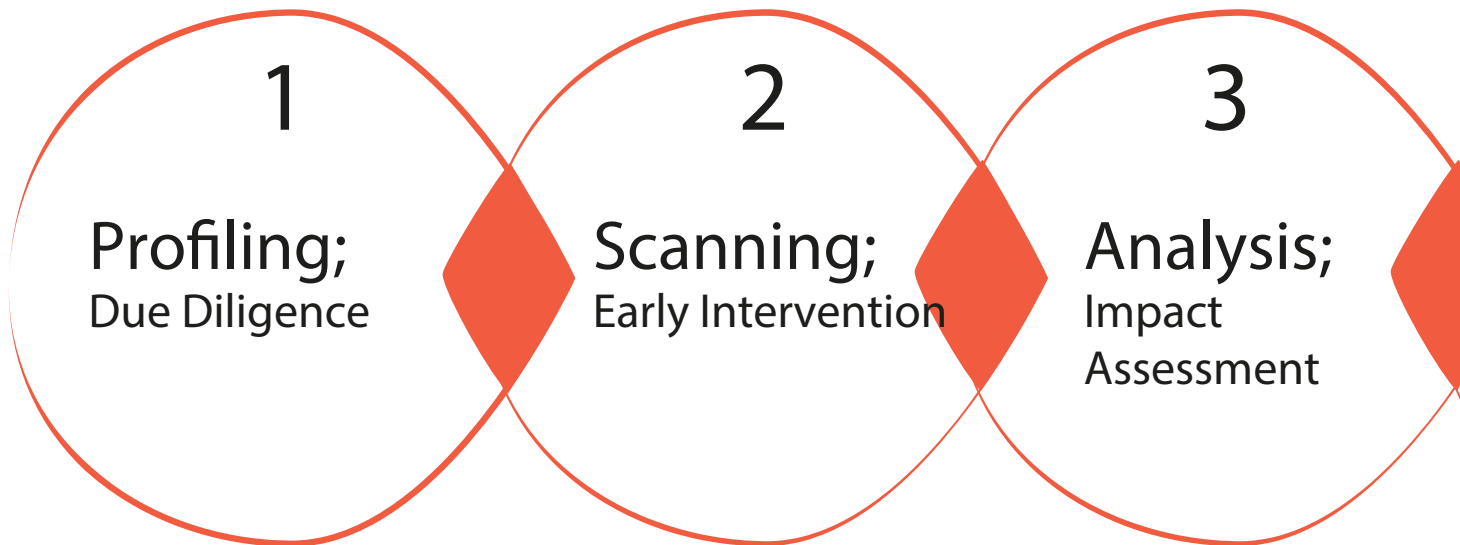
BALANCE

Providing balance between social and individual expectations

6 What are the main preparation **steps**?

The methodology for preparing a SIA report involves 5 main steps:

1
Profiling;
Due Diligence

2
Scanning;
Early Intervention

3
Analysis;
Impact Assessment

Deciding upon the main objectives of impact assessment process
Identifying the extent of the research
Defining and introducing the project;
Collecting data on the socio-economic indicators of the project area
Performing a Capacity Analysis on the social and physical features of the project area
Determining the actors and the groups of the project

Differentiating immitigable impacts from other impacts
Detecting the impacts which require precautionary measures
Identifying the main interventions (Alternatives, Revisions)
Incubating solution-oriented tools for precautions

Defining the scope of impacts on life (Project Affected People-PAP) and place (Project Affected Assets-PAA)
Identifying and evaluating the expectations of different parties
Assigning the likely impacts and their responses via "Empathy Mapping" technique
Analyzing the secondary and cumulative effects
Setting up the project's negotiation provisions

4

Planning;
Mitigation Management

Formulating a Social Impact Management Plan in accordance with the "Social Interaction Matrix"
Scheduling a program for the impact mitigation which the project is in need of
Appointing a time-plan for the project implementation
Operating

5

Follow-up;
Monitoring and Evaluation

Creating a check-list for the follow-up during the project process
Determining a time-schedule for the evaluation of the project process
Designating a committee to the identification of losses during the project processes and afterwards
Preparing a performance check system for impact mitigation through periodical meetings
Writing reports on the progress of the project
Revising the programs when necessary

1. Profiling: Defining the physical, social and institutional conditions of the project area.

2. Scanning: Searching for the possibilities of precautionary measures in order to eliminate the negative impacts which are immitigable.

3. Analysis: Evaluating the impacts and the responses.

4. Planning: Designing the process management plan for Impact Mitigation.

5. Follow-up: Monitoring and evaluating the impacts and the project processes.

Source: Kentsel Strateji

7 What is "Social Interaction Matrix "?

Social Interaction Matrix searches for the answers to the question of "by whom and how the process should be handled?" within the interaction platform of project affected parties and offers alternative solutions to the problems. The aim is to develop common strategies, actions, program and projects in order to minimize negative social and economic impacts.

Social Interaction Matrix

PROJECT DEVELOPERS

a. Empathy with the PAP
b. Diversification of design
c. Minimization of losses
d. Creation of job opportunities

WHAT TO DO?

INHABITANTS and EMPLOYEES

a. Being active
b. Getting involved in the design process
c. Capacity building
d. Balancing the needs

AFFECTing

AFFECTed

WHY TO DO?

interACT

impACT

HOW TO DO?
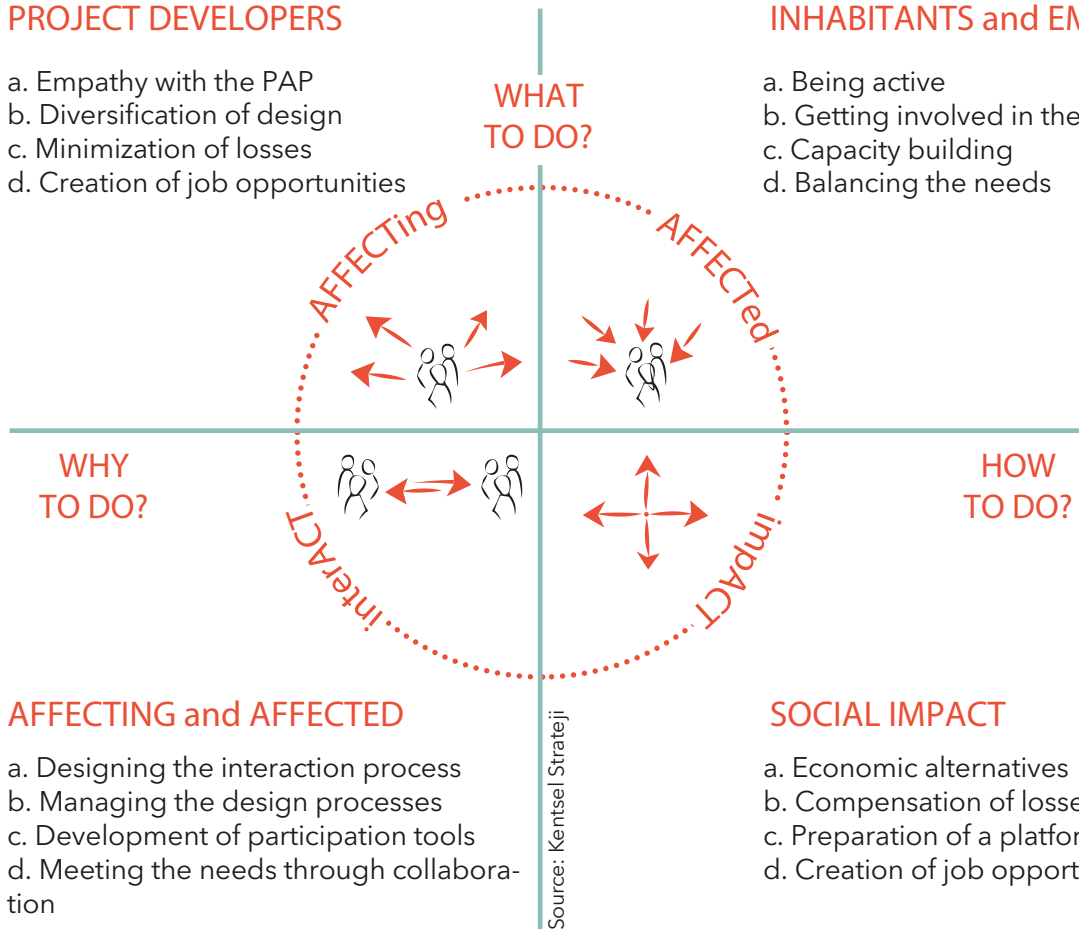
AFFECTING and AFFECTED

a. Designing the interaction process
b. Managing the design processes
c. Development of participation tools
d. Meeting the needs through collaboration

Source: Kentsel Strateji

SOCIAL IMPACT

a. Economic alternatives
b. Compensation of losses
c. Preparation of a platform for participation
d. Creation of job opportunities

AFFECTing;
Sharing the Power
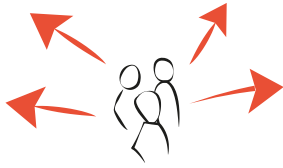**PROJECT DEVELOPERS (Public-Private)**

Empathy with the PAP
Prepare social and economic inventory
Prepare social integration projects
Propose project development alternatives
Prepare empathy platforms

Diversification of design
Define social design principles
Research innovative methodologies
Strategic design charrette
Prepare design guideline

Minimization of losses
Determine possible losses
Examine the precautions for minimum relocation
Prepare pre-feasibility study
Determine the resources

Creation of job opportunities
Propose mixed-use alternatives
Define job potential
Prepare regional information systems
Priority job creation program for inhabitants
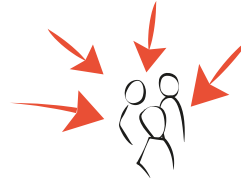
AFFECTed;
Local Power
INHABITANTS and EMPLOYEES

Being active
Form neighborhood organizations
Demand information
Develop communication possibilities
Set Project Monitoring Committee

Getting involved in the design
Define demands
Balance expectations
Set the boundaries for development and
conservation
Work with the community designer

Capacity building
Activate social capital
Get professional support
Demand capacity building programs
Choose local leaders

Balancing the needs
Define individual and social needs
Define uncertainties and priorities
Search for the resources
Prepare Common Needs Program

InterACT;
Affecting and Affected

Designing the interaction process
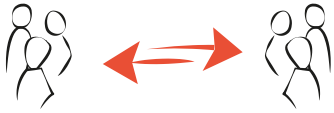Define the responsibilities of the parties
Set a budget
Set Project Coordination Committee
Prepare interaction plan

Managing the design processes
Define the spatial integration strategies
Develop disaster-risk oriented design approach
Define public uses
Set Design Monitoring Committee

Development of participation tools
Establish information offices
Prepare information documents
Set e-communication infrastructure
Develop capacity building programs

Meeting the needs through collaboration
Define common needs
Prioritize public investments
Encourage social entrepreneurship
Establish living labs
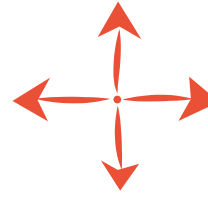
ImpACT;
**Managing Power
Social Impact**

Economic alternatives
Transfer of development rights
Affordable housing program
Relocation program
Tenant protection program

Compensation of losses
Loss Ascertainment and Monitoring Committee
Loss Ascertainment
Social aid funds
Resource development

Preparation of a platform for participation
Project Decision Committee
Social Impact Responsive Design
Social Projects Committee
Request and complaint mechanism

Creation of job opportunities
Income improvement plan
Added-value programs
Job switches program
Training programs

8 What is "Negotiation Management Process"?

Within the interaction platform; negotiation management process that includes informing, awareness-raising, engagement, expectation, ambiguity and adoption steps will offer important opportunities for the minimization of negative impacts.

The Negotiation Management Process is comprised of six steps for negotiation:
1. Honest and transparent informing,
2. Awareness-raising considering project details and legal rights,
3. Meetings between parties affected from the project,
4. Expectation management of interested parties,
5. Removal of uncertainties by determination of problems and opportunities,
6. Adoption of the project and SIA report by interested parties.

Negotiation Manegement Steps

Project
Legal procedure
Project develop-
ment
Rationale
Parties
Legal Rights
Shares
Laws
Bidding conditions
Documents
Cancellation
Amendments
Alternatives

Institutions
Contractor
Private companies
Associations
NGOs
Neighborhood
representatives
Respondents
Transparency
Accuracy

Institutions
Contractor
Private companies
Associations
NGOs
Neighborhood
representatives
Respondents
Transparency
Accuracy

Informing

Participation/
Collaboration
Decision process
Shared decision
Solution partner
Democratic rights
Organization

Value share
Business develop-
ment
Capacity develop-
ment
New opportunities

Project description
Rent subsidy
Income loss
Other losses

Relocation
Temporary
settlement
Reserve area
Historical and
cultural heritage

Awareness

Disaster law
Risk
Program and project
development

General meetings
Association
meetings
Collective meetings
Block based
meetings
Committee
meetings
Project information
meetings
Ascertainment
meetings
Projects sharehold-
er meetings

Conferences
Seminars

Meeting

Coffee house
Wedding saloon
Garden
Street

Problems
Expectations

Alternatives
Will to stay in the
area

Regeneration in-situ
Solution partner
Expectations of
small shop owners
Tenants
Vulnerable groups
Lower income
groups

Expectation

Social housing
Affordable housing
Support

Just ownership
allocation
Demand for jobs
Rent subsidy
Moving costs
Additional costs
Legal security

Needs
Capacity
Social-cultural
values

Ownership right
Loss of rights
Tenants
Low income groups
Considering
vulnerable groups

Uncertainties

Legal processes
Court cases
Revision
Participation Level

Project processes
Project start and
completion date

Shares
Agreements
Alternative
resources

Waiting process
Alternative
housing/ work
space

Old/new life
Urban integration

New inhabitants
Relocated inhabitants
Staying inhabitants

Adoption

Municipality's
approach
Developer'
approach

Project develop-
ment method

Alternative projects
Preliminary
Architectural
Projects

Affordable
housing/work place
Allocation shares
Value based
allocation

Direct impacts
Indirect impacts

Vision
Strategic social plan
Participation plan

Source: Kentsel Strateji

9 What is "Social Impact Responsive Design"?

In order to minimize design related social impacts, human centered design approach processes must be managed by broad participation of affecting people.

'Social Impact Responsive Design' Process must consider local dynamics and differences, design principles and projects shoul be prepared, considering the current needs and future expectations of affected people.

Social Impact Assessment and Management processes should include bottom-up approach for the neighborhood design. From that perspective, "Social Impact Responsive Design" contains 4 main parts:

1. Understand: Inhabitants and the Neighborhood
2. Perceive: Dynamics of Life and Place
3. Empathy: Inhabitants
4. Sharing: among all the Actors

01 Understand
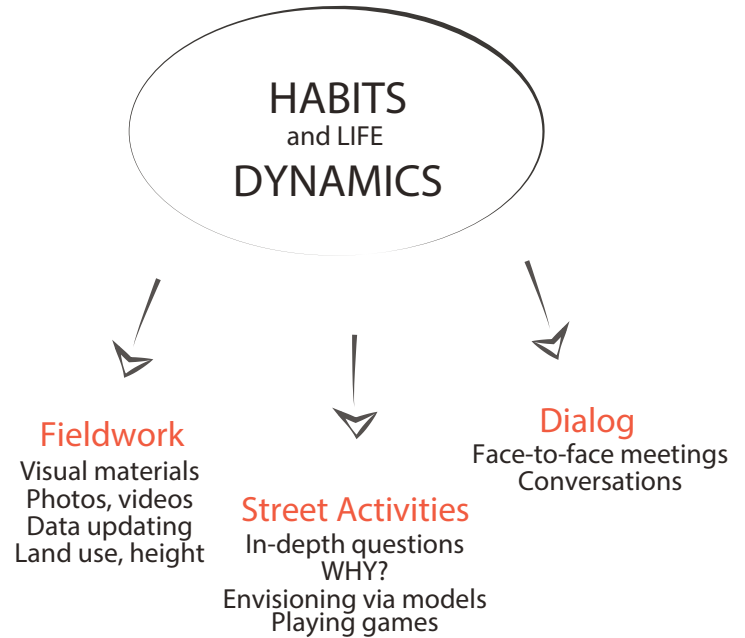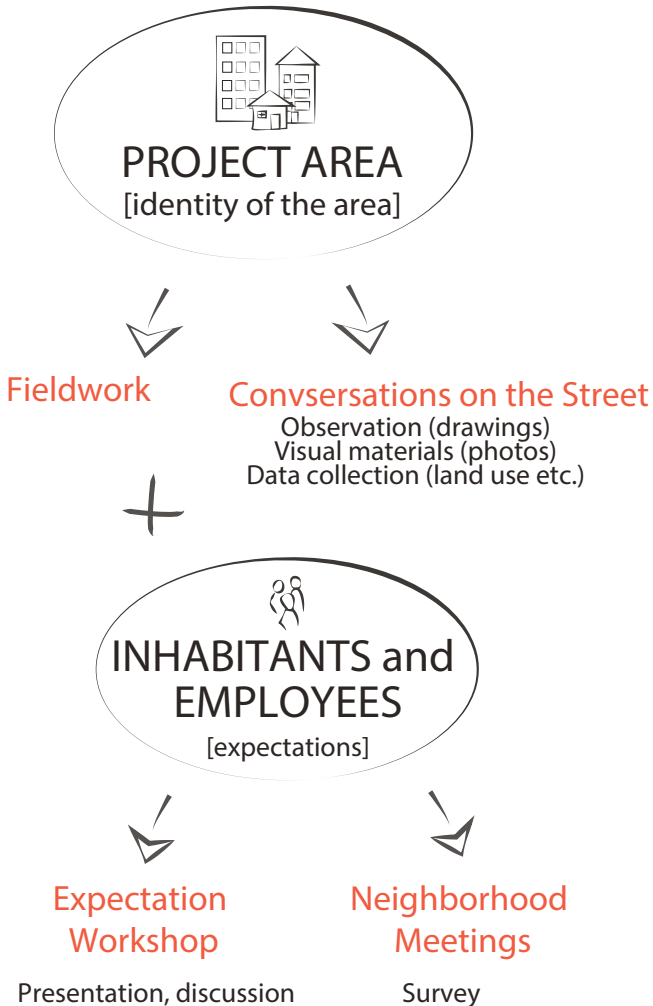the Inhabitants and the Neighborhood

02 Perceive
the Dynamics of Life and Place

PROJECT AREA
[identity of the area]

Fieldwork

Convsersations on the Street
Observation (drawings)
Visual materials (photos)
Data collection (land use etc.)

+

INHABITANTS and EMPLOYEES
[expectations]

Expectation Workshop

Presentation, discussion

Neighborhood Meetings

Survey

HABITS and LIFE DYNAMICS

Fieldwork
Visual materials
Photos, videos
Data updating
Land use, height

Street Activities
In-depth questions
WHY?
Envisioning via models
Playing games

Dialog
Face-to-face meetings
Conversations

03 Empathy
with the Inhabitants

Testing the design principles,
SOLUTION
oriented thinking,
developing empathy

InterACTION
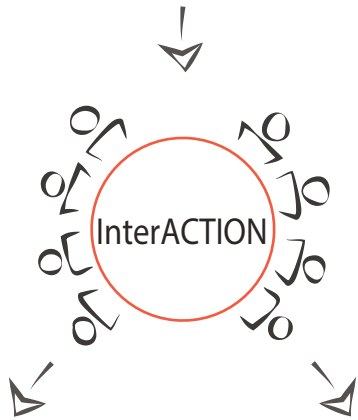
Design Principles   **Design Solutions**

04 Share
among all the Actors

Recommendations for
Design Solutions
Handbooks, informing, models

Feedback

Meetings
Social media
Press

10 What are the components of a SIA report?

1 Profiling;
Transformation Area

1.1. Project Background
1.1.1. Legal processes: Restrictions and Definers
1.2. Neighborhood Background
1.2.1. Social and Spatial Analysis Map
1.2.2. Problems and Opportunities
1.3. Yesterday/Today/Tomorrow Matrix
1.4. Capacity Analysis
1.5. Interaction Plan

2 Scanning;
The Alternatives

2.1. Impacts to be mitigated
2.2. Immitigable impacts
2.3. Alternative approaches

3 Analysis;
Impact

3.1. Expectation Matrix
3.2. Negotiation Steps
3.3. Potential Impacts of the Project
3.3.1. Project Affected People – Life
3.3.2. Project Affected Assets – Place
3.3.3. Secondary and Cumulative Impacts
3.4. Common Needs Program

4 Planning;
SIA Process Management Plan

4.1. Social Interaction Matrix
4.2. Social Impact Responsive Design
4.3. Action Plan
4.3.1. Proposals for Minimal Relocation
4.3.2. Mediums of Income Improvement and Job Creation
4.3.3. Options for Participation and Organization
4.3.4. Loss Mitigation Mechanisms

5 Follow-up;
Monitoring and Evaluation

5.1. Performance Criteria for Monitoring
5.2. Process Evaluation Timetable of the Project
5.3. Composition of the Monitoring Committee

Urban Vision Platform
Founder Partners; Erden TİMUR, A.Faruk GÖKSU
Coordinators; Sıla AKALP, Gökçe AKSOYLAR
Team; Aslı ULUBAŞ, Canan CANDAN, Edin ZAİM, Elis MUTLU

SIA Preperation Team
A.Faruk GÖKSU
Sıla AKALP
Miray ÖZKAN
Canan CANDAN
Elis MUTLU
Batuhan AKKAYA
Aslı ULUBAŞ
Edin ZAİM

Ten Projects Tens of Impacts Team
Betül AKAY
Batuhan AKKAYA
Yasemin ALTUNBULAK
Gizem AÇIL
Hasan Serdar BAKIRTAŞ
Yağmur ÇAKIROĞLU
Didem DUMAN
Aslı GÜLER
Seda HAYAL
Zozan KOTAN
Dilara ÖNTAŞ
Emre ÖZCAN
Sunay PAŞAOĞLU
Hande SERDAROĞLU
Ege SEVİNÇLİ
Selim TANRISEVEN
Eyüp TEKE
Nermin ÜNLÜSOY
Demet YEŞİLTEPE
Muhsin Doğu YÜCEİL

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