

This module focuses on the second step in the HIA process, scoping.

Introduce the module by stating the goal.

The goal of scoping is to identify issues that should be addressed in the HIA and describe key aspects of the health status and demographics of the population that will serve as a baseline to assess possible health impacts.

Review the module objectives.

- *Define scoping*
- *Identify and describe the scoping steps*
- *Identify the types of information to gather*
- *Assess which impacts are likely to be important and can be addressed*
- *Determine geographical, temporal, and population based parameters*
- *Determine which health indicators will be included in HIA analysis*
- *Determine how community members can contribute*
- *Define the challenges*

Scoping...

- Establishes the foundation for conducting the health impact assessment
- Designs and plans the HIA
- Highlights key issues that will be considered



Refer to the points on the slide.

Scoping establishes the foundation for conducting the health impact assessment, designs and plans the HIA, and highlights key issues that will be considered.

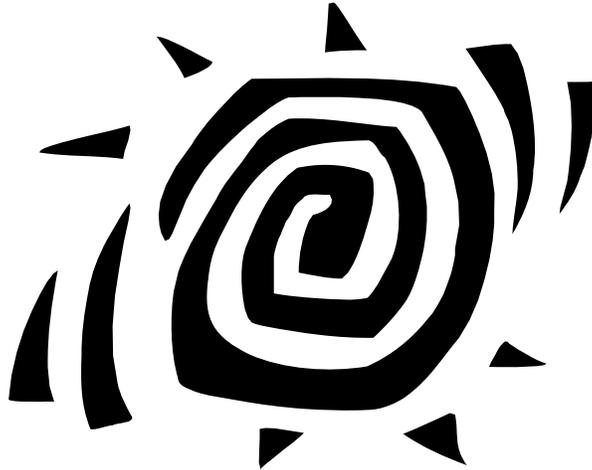
The **purpose** of scoping is to outline the expected impacts, methodological approach, expected challenges, and resources needed to conduct the impact analysis.

Describe the outcome of scoping.

The scoping process should produce a **detailed roadmap for the analysis to follow**. This roadmap should be informed by the literature, local experts in relevant fields and the concerns of the community, policymakers and stakeholders.

The roadmap will include procedures for systematically gathering and evaluating evidence and determining whether impacts will be assessed quantitatively or qualitatively.

Scoping is a Flexible Process



Describe scoping as a flexible or fluid process.

Scoping is flexible or fluid and appears throughout the HIA process. You will find at times that you drop back and reevaluate decisions made in screening or you may have to gather additional information. Maintaining a sense of flexibility is essential to the success of the HIA.

Ask:

What other processes have you encountered that are flexible or fluid and not linear?

Listen for examples such as:

- Stages of the change model
- Evaluation and program planning

Questions to Ask When Scoping a Policy or Project

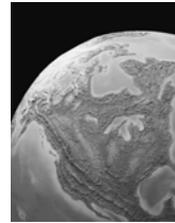
- What are the components of the suggested policy?
- What are the impacts of the policy? Who will be affected and how?
- What information do you need to gather?
- What are the possible health outcomes?
- What are the causal linkages that need to be re-evaluated and refined?

Review these questions that will help participants define their project.

- *What are the components of the suggested policy?*
- *What are the impacts of the policy? Who will be affected and how?*
- *What information do you need to gather?*
- *What are the possible health outcomes?*
- *What are the causal linkages that need to be re-evaluated and refined?*

Steps in the Scoping Process

1. Establish ground rules
2. Define the policy or project
3. Gather preliminary information
4. Specify what impacts to assess
 - Create a logic framework summarizing the relevant causal linkages
 - or
 - Complete a scoping checklist
5. Consider assessment models



Review the steps in the scoping process.

- *Establish ground rules*
- *Define the policy or project*
- *Gather preliminary information*
- *Specify what impacts to assess*
 - *Create a logic framework summarizing the relevant causal linkages*
 - or*
 - *Complete a scoping checklist*
- *Consider assessment models*

1. Establish Ground Rules

- Clarify roles of stakeholders and partners involved in scoping the HIA
- Determine who has final authority to decide the scope of the HIA
- Set timelines
- Establish responsibility for convening meetings and other administrative tasks
- Determine who will pay for the HIA



Describe why it is important to establish ground rules.

Let's begin with the first step in scoping, establishing ground rules. Ground rules are essential to ensure that the process runs smoothly. If you clarify these rules at the beginning of the program, the process will be manageable.

- *Clarify roles of stakeholders and partners involved in scoping the HIA*
- *Determine who has final authority to decide the scope of the HIA*
- *Set timelines*
- *Establish responsibility for convening meetings and other administrative tasks*
- *Determine who will pay for the HIA*

Ask:

How is this process different or similar to other processes that involve cooperation among different stakeholders and community members?

2. Define the Policy or Project

- Describe the policy or project and its likely impacts
- Establish boundaries for the HIA
- Identify needed resources and partners
- Determine geographical, temporal, and population based parameters

Describe how to define the policy and why this is important.

Describe the policy or project and its likely impacts

- An accurate and specific description of the project will make the project manageable and achievable.

Establish boundaries for the HIA

Identify needed resources and partners

- Is there enough information available?
- Is there money to conduct certain analyses?
- Is there enough political will to see the project through?

It is important to identify and include partners in the process. No HIA will be successful without the participation and buy-in of all interested parties. Remember; informal partnerships are just as important as formal partnerships!

The internal team at a minimum consists of public health officials and planners. It is also critical to include community leaders. In many cases it might be feasible to have an advisory committee consisting of stakeholders and community members.

Determine geographical, temporal, and population based parameters

- What is to be included or excluded?
- What are the boundaries in terms of timing and location?
- When will the assessment be done?

Involving the Community

- Identify potential health pathways and equity effects
- Develop research questions
- Identify available research methods and data sources
- Identify mitigation strategies
- Participate in a collaborative scoping exercise
- Determine the highest priority HIA questions and tasks
- Assist project staff to synthesize highest priority community issues

The Program on Health Equity and Sustainability at SFDPH



Review the contributions of community members involved in the HIA.

Community stakeholders can provide much information in the scoping process including:

- *Identify potential health pathways and equity effects*
- *Develop research questions*
- *Identify available research methods and data sources*
- *Identify mitigation strategies*
- *Participate in a collaborative scoping exercise*
- *Determine the highest priority HIA questions and tasks*
- *Assist project staff to synthesize highest priority community issues*

Provide an example:

An example of community collaboration on a project happened when a town council was faced with the closing of their community hospital. The alternative would be to raise taxes to fund some of the basic hospital operations. The community task force helped the town council determine what basic hospital operations were most important to the community. The community task force then went back to the community and advocated for the tax increase. The new tax was then passed by a 2 to 1 vote by the community.

3. Preliminary Information Gathering

- Describe the demographic characteristics of the population
- Identify at-risk groups
- Describe the health status of the population
- Define environmental conditions of the target population
- Identify quality and quantity of affordable housing



Review to the third step in the scoping process, information gathering.

As you begin to gather information, look for ways to:

Describe the characteristics of the population

Size, density, distribution, age, sex, birth rate, ethnicity, socio-economic status

Identify at-risk groups

Health risk behaviors

Locations where at-risk groups may be concentrated such as schools, specific streets, and nursing homes

Levels of employment/unemployment.

Describe the health status of the population

Define environmental conditions of the target population

Air and water quality

Transport issues, if relevant

Identify quality and quantity of affordable housing

Finding the Information

- Gray literature
- Peer reviewed literature
- Key informants or stakeholders who provide local information that may not be available in the public domain
- Experts in relevant fields who can identify the health related outcomes



Describe the different sources of information.

As you gather information, be sure to look to multiple sources. One place to start is with existing HIAs. Some of the work may have been done for you!

Gray Literature

Information available in the HIA process may be gray literature. One popular source of gray literature is search engines such as Google. Use this literature as long as you note it's source and quality.

Peer-reviewed literature

While not always available, peer reviewed literature is known as the crème de la crème of scientific literature and can be found at PubMed or Medline.

Key informants or stakeholders

It is also important to seek out stakeholders and community leaders who can provide information that may not be in the public domain. These people may be on the advisory committee. They can also provide a historical background for the project or policy which may be useful in the analysis or when reporting results.

Experts in relevant fields

There are experts in various fields who can help you identify health related outcomes. Some are in the room today and can help you. Other times you may need to pay a consultant to assist you with your HIA. For the Sunnyvale highway case senior transportation engineers were hired to conduct the injury reduction analysis.

4. Specify What Impacts to Assess

- Identify how the policy or project will affect health
- Identify the health outcomes of interest



Review the importance of determining what impacts to assess

•Identify how the policy or project will affect health

•Identify the health outcomes of interest

As you begin to look at what impacts to assess consider the information you have in relation to qualitative and quantitative assessment.

Bringing health to the table and keeping it on the table as decisions are made is critical to the success of an HIA.

To do this we must identify how the policy or project will affect health and what the health outcomes will be. Typically, a policy or project will impact many different health issues. But, in order to produce an HIA that will influence decision making, the health impacts assessed in the HIA should be of interest to the stakeholders or viewed as the “most important” by stakeholders.

Tools to Help Specify Impacts to Assess

- A logic framework summarizing the relevant causal linkages
or
- A scoping checklist



Introduce the tools that help identify what health impacts to assess.

There are many ways to determine what health impacts to assess. We're going to focus on two tools: a logic framework which summarizes the relevant causal links or a scoping checklist. Both tools accomplish the same thing, but accommodate different types of thinkers: those of us who think visually and those who think systematically.

A Logic Framework...

The purpose of a logic framework is to

- Organize existing knowledge
- Communicate information
- Guide analysis
- Identify how the policy or project will affect health
- Identify the health outcomes of interest
- There are many ways to create a logic framework
 - Determine the health related outcomes or
 - Identify the health outcomes first

Discuss the purpose for a logic framework.

The purpose of a logic framework is to

- *Organize existing knowledge*
- *Communicate information*
- *Guide analysis*
- *Identify how the policy or project will affect health*
- *Identify the health outcomes of interest*
- *There are many ways to create a logic Framework*
 - *Determine the health related outcomes*
 - or*
 - *Identify the health outcomes first*

The logic framework will illustrate how the different policy or project components will lead to health effects through proximal impacts and intermediate outcomes. The diagram of the logic framework shows how the policy, the impacts, and the outcomes relate to each other through a series of arrows.

Remind participants that they will have the opportunity to work through a logic framework.

There are different ways to approach the logic framework. When you create a logic framework you can determine the health related outcomes first or you can begin by identifying the health outcomes. Either way, you'll look for the relationship between the project/policy and health outcomes. The model can be simple or complex. It also best to see if there is an existing logic framework that you can follow.

A Scoping Checklist...

- Is a systematic method for quickly identifying and assessing health impacts in terms of their:
 - Potential significance
 - Measurability
 - Directionality
- Has previously been developed by:
 - UCLA
 - Greater London Authority

**Review the checklist as another tool to determine what impacts to assess.
(Checklist is located in Appendix A)**

•Is a systematic method for quickly identifying and assessing health impacts in terms of their:

Potential significance

Measurability

Directionality

•Has previously been developed by:

UCLA

Greater London Authority

Walk to School HIA: Program and Policy Elements

Comprehensive walk-to-school program includes:

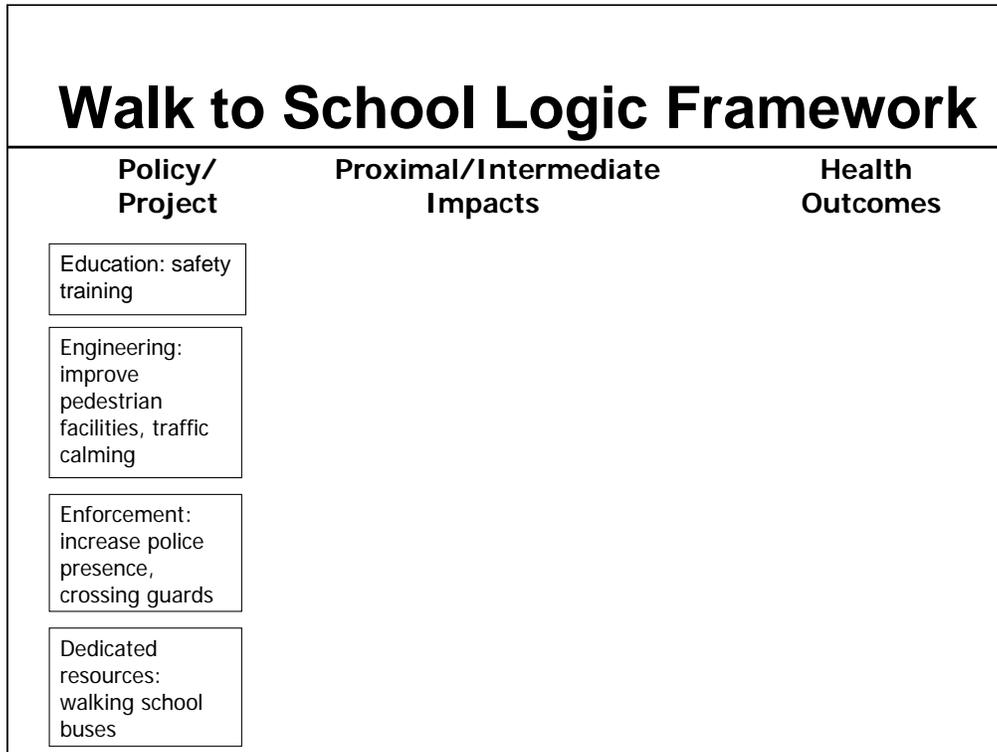
- Encouragement
- Promotion
- Education
- Eliminating safety hazards
- Reducing traffic congestion



Introduce the ‘Walk-to-School’ HIA as an example.

Comprehensive walk-to-school program includes:

- Encouraging** more people, particularly students and parents to walk and bicycle safely, to school and elsewhere.
- Promoting** increased physical activity and improved fitness among students and the school community.
- Educating** both students and parents. Teach pedestrian, bicycling and driver safety skills.
- Eliminating safety hazards** and create a more pedestrian and bicycle -friendly environment around schools and throughout neighborhoods.
- Reducing traffic congestion** and pollution associated with students being driven to school.



Begin a discussion about how to create a logic framework. This example is for a ‘Walk to School’ program.

Let’s create the logic framework for a walk to school program. Notice the components that the program focuses listed on the far left column. It includes both policy and project components: safety training, improved pedestrian facilities and traffic calming, and an increase in police presence and crossing guards. There are also dedicated resources for walking school buses.

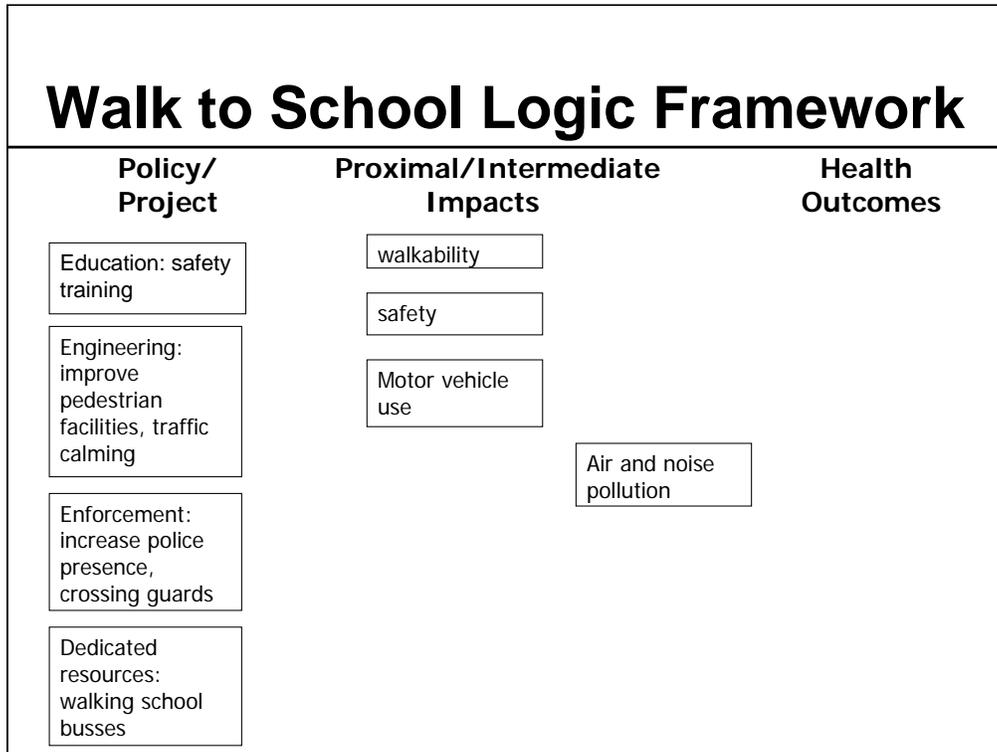
Describe the components of the logic framework.

There can be several layers of a logic framework depending on the complexity of the issues; the policy components, proximal impacts, intermediate outcomes and health outcomes. Proximal impacts are the effects that are most closely linked to the policy or project and intermediate outcomes are often mediary health impacts. In order to simplify this example only three elements are included (the proximal impacts and health intermediate outcomes are combined).

Explore one component, improved pedestrian facilities.

Ask participants to determine the impact of the improved pedestrian facilities and then the health-related outcomes.

Listen for responses such as walkability and motor vehicle use.



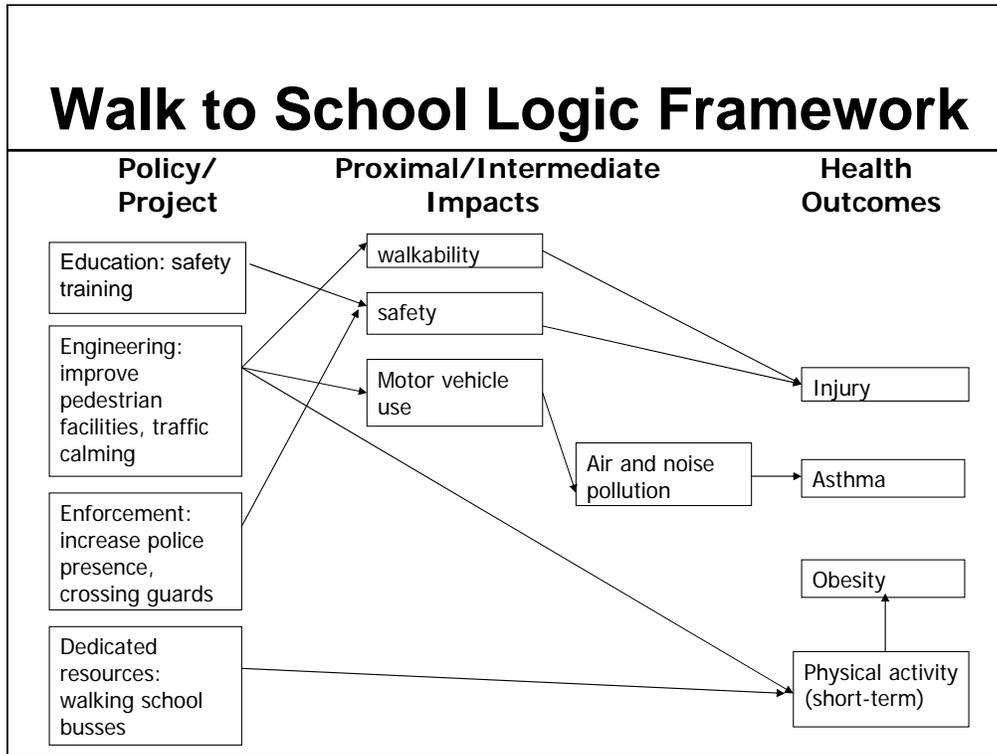
Describe the components of this partially complete logic framework.

The next column lists the Proximal and/or Intermediate impacts. Proximal impacts are the effects that are most closely linked to the policy or project and intermediate outcomes are often mediary health impacts.

Direct: Working with your team go to the partially completed logic model in Appendix A and take each policy component and draw arrows showing the relationship between the components, impacts, and health outcomes.

Give participants 5 minutes to determine where to draw the arrows.

Have each table report back on where they drew arrows. Ask tables not to repeat what has already been reported.



Review the completed logic framework.

Ask: Are there any questions about how the components, impacts and outcomes relate to each other?

Walk to School Checklist

- Which health impacts are potentially significant?
 - Physical activity
 - Social support
 - Air quality
 - Motor vehicle use
 - Pedestrian routes
 - Bicycle traffic routes
- Are these impacts measurable (i.e. could you attach a number to them)?
- Would this be a positive, negative or neutral health impact?

Work through a “Walk to School Checklist” using the checklist in Appendix A.

Which health impacts are potentially significant?

Look for answers such as: physical activity, social support, air quality, motor vehicle use, pedestrian, and bicycle traffic routes.

Are these impact measurable?

Physical activity yes, social support-possibly, air quality – unlikely, motor vehicle use – possibly, pedestrian routes – yes, bicycle traffic routes - yes

Would this be a positive, negative or neutral health impact?

Physical activity-positive, social support – positive, air quality – neutral, motor vehicle use – positive, pedestrian and cycle routes – positive

The scoping checklist is a systematic way for you to quickly identify which health impacts you may choose to assess in your HIA. The checklist presents a laundry list of physical and psychosocial health impacts. The list may be overwhelming at first. Many health impacts listed may not be applicable to your policy or project. Move quickly through the checklist and identify which health impacts may significantly impact your project or policy. Then go through the list a second or third time to determine if you can measure these impacts and speculate on their direction.

Street Lighting



- Wayside has a population of 110,000 with a mixed socio-economic profile. There are some very affluent and other very deprived neighborhoods including two moderately large housing projects.
- Recently, there has been a steep increase in burglaries across the entire community. However, the crime rates are still significantly higher in the lower income areas.
- The need for improved street lighting has been brought to the attention of the Wayside town council following prolonged community action in one of its more affluent neighborhoods. Residents believe improved lighting would reduce the incidence of burglary in their area.



Introduce participants to another example. Ask them to read the background information on the next two slides.

Street Lighting

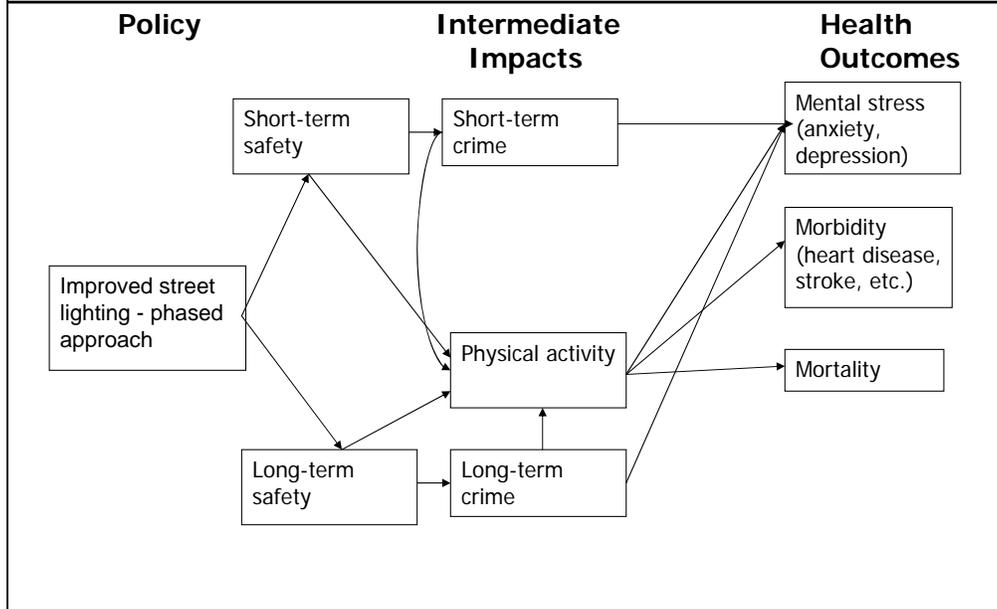
- The residents of the affluent area were able to secure funding by voting on a special improvements ballot. With this funding the city will be able to undertake an up-grading and replacement of all street lighting. The up-grading will be undertaken in a phased manner over three years.
- Since they are funding the improvements the affluent residents demand that the lighting be placed in their community first, and city hall has approved their phased approach.
- Scope this project from the perspective of the residents of the deprived area.



This is the second slide for ‘Street Lighting’.

Once participants have read the case study, have participants work through a *logic framework* or a *checklist*. In the next example have all participants work on a logic framework or vice versa.

Street Lighting Logic Model



Share a complete logic framework for 'Street Lighting'. .

Ask for two teams to share their completed logic model.

Street Lighting Checklist

Possible Health Impacts:

	Significant	Measurable	Direction
Social support	Possible	Difficult	Unclear
Social inclusion	Possible	Difficult	Negative
Physical activity	Likely	Possibly	Positive
Pedestrian routes	Likely	Yes	Positive
Street violence	Likely	Yes	Negative

Share a complete checklist for 'Street Lighting'. .

Ask for two teams to share their completed checklist.

School Fruit



- The school fruit initiative provides children in elementary schools with a free piece of fruit each day. Schools can choose to be part of the initiative and have fruit delivered to them three times a week by local farmers. Schools must make arrangements to receive the fruit, store it, wash it and distribute it to the children and supervise its consumption.



Introduce participants to another example.

Ask participants to read the background information on the next two slides.

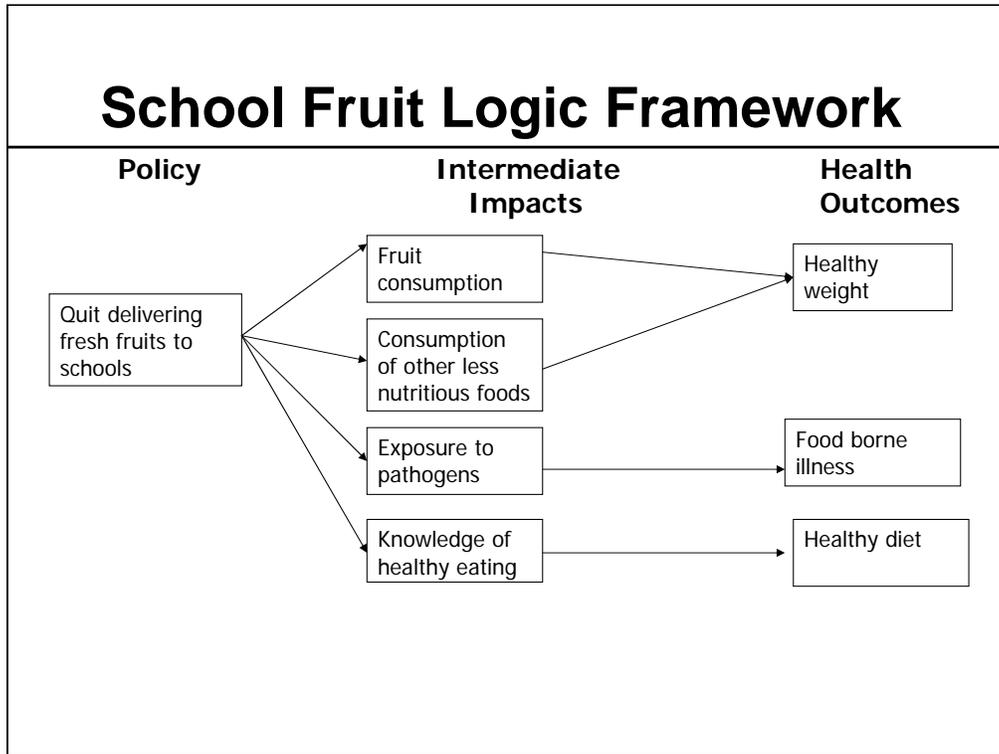
School Fruit

- There was an outbreak of a food borne illness in 3 of the 10 schools that received the free fruit, no illnesses were recorded in schools that did not receive the fresh fruit.
- Parents at the schools where children were ill want to end the program even though it is currently supported by Lottery funds and the schools don't have to pay for the fresh fruit.
- What are the health implications of **discontinuing** this program?



This is the second slide for 'School Fruit'.

Once participants have read the case study, have participants work through a *logic framework* or a *checklist*.



Share a complete logic framework for ‘School Fruit’.

Ask for two teams to share their completed logic framework.

School Fruit Checklist

Possible Health Impacts:

	Significant	Measurable	Direction
Diet	Likely	Possibly	Negative
Food Purity & Contamination	Likely	Yes	Positive
Food security and access	Likely	Yes	Positive
Nutritional quality	Likely	Possibly	Negative
Infectious diseases	Likely	Yes	Positive

Share a complete checklist for ‘School Fruit’.

Ask for two teams to share their completed checklist.

5. Consider Assessment Approach

- Most HIAs will use a combination of quantitative and qualitative data
- Quantitative HIAs should not be seen as superior to qualitative HIAs
- The most important point is that the HIA has an impact on the decision

Introduce the concept of qualitative and quantitative assessment

Determining what type of assessment to conduct is the last step in scoping. Remember, there is no clear line differentiating where screening, scoping an assessment begin and end.

As you begin to look at what impacts to assess consider the information you have in relation to qualitative and/or quantitative assessment.

- *Most HIAs will use a combination of quantitative and qualitative data*
- *Quantitative HIAs should not be seen as superior to qualitative HIAs*
- *The most important point is that the HIA has an impact on the decision*

Challenges to Scoping

- Finding sufficient information to complete the HIA
- Having enough resources like personnel and time to gather needed information
- Choosing a project that is small enough so that there is not a sense of being overwhelmed
- Keeping the feedback channels open throughout the process

Wrap up the module with the challenges that participants may encounter when they scope projects.

There are challenges to this stage of the HIA. These include:

- *Finding sufficient information to complete the HIA*
- *Having enough resources like personnel and time to gather needed information*
- *Choosing a project that is manageable enough so that there is not a sense of being overwhelmed*
- *Keeping the feedback channels open throughout the process*

Ask: Are there additional challenges that you can add to this list?

Record responses on the flip chart.

TABLE ACTIVITY: Scope Sunnyvale Highway



Introduce activity

Materials:

'Case Study' tab of manual

State the purpose:

We're going to return to the case study that you completed a screen on earlier today. We've reviewed how to conduct an HIA scope. Now we'd like you to conduct one.

INSTRUCT: Working with your team, complete the exercises for scoping your case study.

Review responses.

NOTE responses on flip chart. Post results