



PEOPLE, PLACE AND ENVIRONMENT SERIES:

Social impact guide

This guide describes the processes to be used on Transport Agency state highway projects to identify, assess/raise and mitigate social impacts across the life of a project.

OUR PURPOSE

CREATING TRANSPORT SOLUTIONS FOR A THRIVING NEW ZEALAND



NZ Transport Agency

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Foreword

A social impact is a change that is experienced by people as a consequence of a development or intervention. While NZ Transport Agency projects contribute to the economic and social prosperity of New Zealand, they also create positive or negative social impacts.

These impacts might include changes to people's ability to access other people, communities or services. They may also be caused by changes to amenity, facilities, mode of travel, local movement patterns and displacement or arrival of local businesses or residents.

The process of managing social impacts across the life of a project helps the Transport Agency to deliver on this commitment to act in an environmentally and socially responsible manner.

The Transport Agency manages social impacts by implementing a suite of tools across project development and project delivery. These tools manage social impacts by identifying and

mitigating the social issues/risks and benefits/opportunities associated with projects. These tools are specific to each phase in a project's life and are coordinated with other work to be undertaken (eg public engagement).

A nationally consistent approach to managing social impacts of projects across the life of a project will:

- › provide certainty and clarify expectations for our customers
- › establish social impact assessment (SIA) good practice within our project delivery processes.

By giving effect to statutory and policy obligations, the Transport Agency will reduce project risk, deliver on our commitment to social responsibility and social outcomes.



TOMMY PARKER

Group Manager
Highways & Network Operations
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SECTION 1: INTRODUCTION



1.1 CONTEXT

The Transport Agency has a commitment to achieve quality environmental and social outcomes.

Figure 1 illustrates how this commitment reflects the requirements of the Land Transport Management Act 2003 and the Resource Management Act 1991, as well as the commitments made in internal strategy documents, the Environmental and Social Responsibility Policy¹ and the NZ Transport Agency Environmental and Social Responsibility Standard². The State Highway Environmental Plan³ also sets a formal objective regarding social responsibility and the state highway network to enhance and contribute to community cohesion.

1.2 AUDIENCE

This guide is aimed at project managers and their team members responsible for taking a project through the Transport Agency project development and project delivery process. This includes planners, social assessors, social impact specialists and engagement specialists. It will also be useful for other technical specialists (eg urban designers), environmental managers and contract managers, and can be used to guide advice provided to the project team, from the Environmental Urban Design Team and legal counsel.

1.3 PURPOSE OF THIS GUIDE

The purpose of this guide is to achieve a nationally consistent approach to identifying, assessing and managing social impacts of the life of state highway projects – thereby reducing project risk, improving social outcomes and delivering on our commitment to social responsibility.

This guide sets out the requirements to manage social impacts so the Transport Agency’s commitment to social responsibility and the requirements of statutory approval processes under the Resource Management Act are met. This guide forms part of Z19 NZ Transport Agency Environmental and Social Responsibility Standard.

This guide should be read and implemented in conjunction with the ESR Standard. Further information on the ESR standard can be found on the Highways Information Portal (www.nzta.govt.nz/roads-and-rail/highways-information-portal).

1. Environmental and Social Responsibility Policy, NZ Transport Agency, available at www.nzta.govt.nz
2. Z19 NZ Transport Agency Environmental and Social Responsibility Standard, available at hip.nzta.govt.nz
3. State Highway Environmental Plan: improving environmental sustainability and public health in New Zealand, NZ Transport Agency, June 2008, available at www.nzta.govt.nz

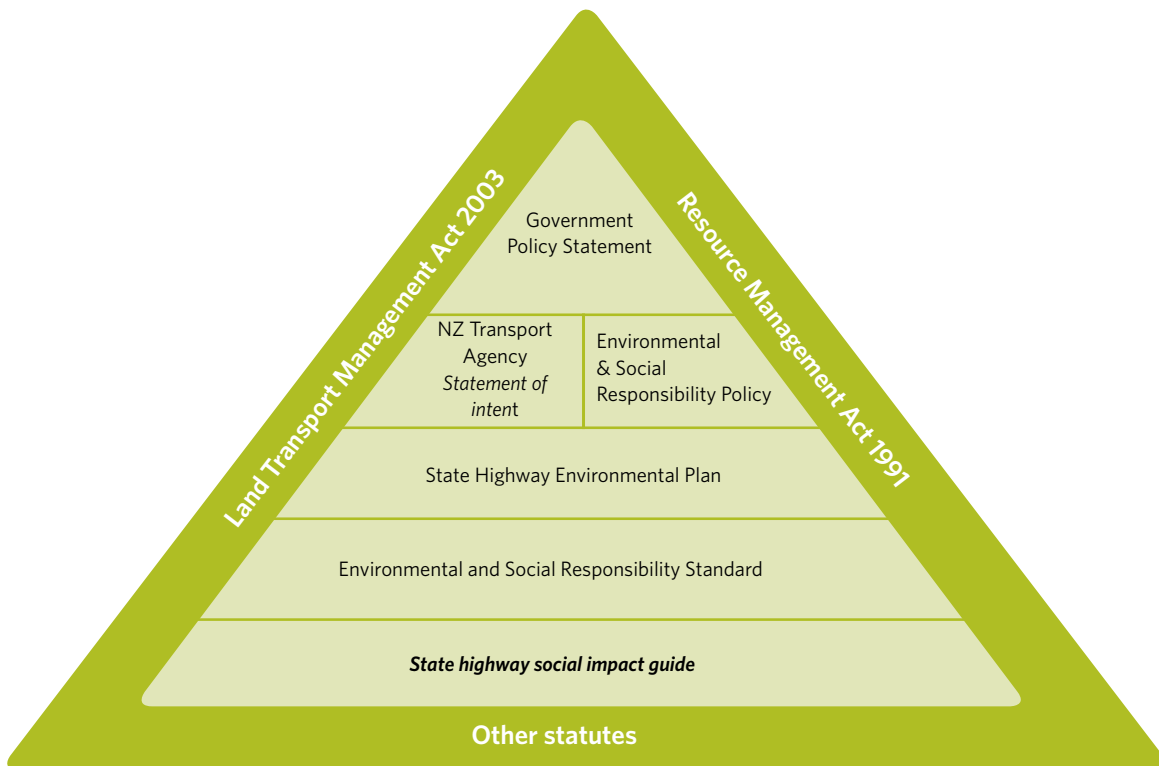


FIGURE 1 Impact assessment statutory and policy context

This guide assists the Transport Agency and its providers to give effect to these statutory and policy obligations and outlines the approach that should be adopted when managing social impacts as they relate across the life of state highway projects.

SECTION 2: SOCIAL IMPACT ASSESSMENT



2.1 DEFINITION

Social impact assessment (SIA) is the most accepted and recognised framework used in New Zealand and internationally to manage social impacts.

The International Association for Impact Assessment defines social impact assessment as:

'...the processes of analysing, 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' (International Association for Impact Assessment, 2003)⁴.

Within this guide, the Transport Agency adopts the position that SIA is a process that project teams (including social assessors) and SIA specialists should follow to adequately:

- › identify and assess/rate social impacts of a proposed state highway project from the perspective of those potentially affected by it
- › develop strategies to mitigate and monitor those impacts as a consequence of the project.

2.2 SOCIAL IMPACTS OF STATE HIGHWAY PROJECTS

State highway projects create positive and negative social impacts. Specifically, a social impact is a change that is experienced in either a perceptual (cognitive) or a corporeal (physical) sense at any level associated with a planned intervention, for example an individual, an economic unit (eg family/household), social group (circle of friends), a workplace (a company or government agency) or by community/society generally. These different levels are affected in different ways by an impact or impact-causing action (Vanclay 2015:2).

A social impact is a (positive or negative) change that can include aspects of people's:

- › way of life
- › cohesion, stability, character, services and facilities in a community
- › biophysical environment and resources
- › quality of the living environment and amenity
- › family, community, and social networks
- › health and wellbeing
- › material wellbeing, personal and property rights
- › fears⁵ and aspirations
- › culture and identity
- › political system (based on Vanclay et al 2015:2).

2.2.1 Impacts on access and accessibility

Changes to access and accessibility from a state highway project may create positive or negative social impacts. The identification of social impacts will consider changes to transport patterns and movements, including changes to how people move about and connect by active transport, public transport and private vehicle⁶.

The identification and management of social impacts will consider how changes to access and accessibility within these categories may create positive or negative social impacts. Consideration of impacts should include improvement of accessibility for those who are currently unable to access key destinations due to lack of transport, physical ability or lack of information.

2.2.2 Other social impacts

The identification and management of social impacts should also consider:

- › any social impacts from changes to air quality, noise, vibration, water quality, access, transport mode, safety, economy or public health during construction or operation, which has not already been addressed in another technical assessment (eg people losing sense of community as no longer meeting in the local park). Care is required to avoid double counting with impacts in other assessments
- › any of the following impacts that aren't already addressed within another section of the environmental and social responsibility screen or technical assessments:
 - a. Social connectedness includes any interactions, relationships and networks that people have with others and the benefits these relationships can bring to the individual as well as to society
 - b. Community severance includes: (1) the separation of people from facilities, services and social networks they wish to use within their community; (2) changes in comfort and attractiveness of areas; and/or (3) people changing travel patterns due to the physical, traffic flow and or psychological barriers created by transport corridors

4. IAIA (2003) Social impact assessment: International principles, International Association of Impact Assessment, Fargo, USA

5. It should be noted that Resource Management Act case law requires that community perceptions, including fear, can only be given weight to if they are reasonably based on a real risk (Shirley Primary School v Telecom, 1998). Where communities are expressing fear of an effect that is not based on a real risk, the Transport Agency's preferred approach is to report on this, note that it is unfounded and will not be considered under the Resource Management Act, but also note what the Transport Agency is doing or proposes to do to address that fear, eg via community engagement.

6. The NZ Household Travel Survey divides travel purposes into the major categories of work, education, shopping, personal services, medical/dental, social visits and recreational.

- c. Changes to facilities such as cemeteries, burial areas, heritage, parks, gardens, waterways, wetlands not already referenced under another technical assessment
- d. Changes to local movement patterns not already referenced under another technical assessment such as detours; local road closures; altered access routes to businesses/residences/facilities etc., changes to road status such as 'downgrading' a road from a state highway to a local road; altered public transport routes, changes to parking availability; timetables and the economic sustainability of services; changes to informal walkways and routes, etc
- e. Changes to mode of transport including active modes
 - › impacts on community aspirations. Many of these may be contained in local government policy and strategic documents, although aspirations of other communities should be considered including non-governmental organisations and business groups
 - › any social impacts arising from:
 - a. uncertainty while awaiting project plans and planning decisions (which in turn may affect household plans and investment decisions, community service investment; a sense of control over one's life)
 - b. in-flow of a construction workforce into an area, and subsequent impacts on services and the community
 - c. displacement of residents with subsequent individual, family and community impacts
 - d. displacement of businesses and community services/facilities.



2.3 DESIRED OUTCOMES

The desired outcome of SIA is to achieve the important features as identified by the International Association for Impact Assessment which include:

- › informing the design and operation of planned interventions
- › building on local knowledge, using participatory methods to involve stakeholders, analyse alternatives and contribute to monitoring
- › understanding that social, economic and biophysical impacts are inherently and explicitly linked, that higher order and secondary impacts and cumulative impacts must be considered
- › proactively developing better outcomes, not just mitigation of negative outcomes.

An SIA and subsequent interventions will be considered successful if they meet the above outcomes. The Transport Agency undertakes lessons learnt reviews (LLR) for projects on a regular basis, please contact the Environment and Urban Design team for further information of LLR relating to social impact.

**SECTION 3:
LEGISLATION**



3.1 LAND TRANSPORT MANAGEMENT ACT 2003

The Land Transport Management Act 2003 (LTMA) provides the legal framework for managing and funding land transport activities. The purpose of the LTMA is to contribute to an effective, efficient and safe land transport system in the public interest.

The LTMA requires that in meeting its objective and undertaking its functions, the Transport Agency must exhibit a sense of social and environmental responsibility.

3.2 RESOURCE MANAGEMENT ACT 1991

The Resource Management Act (RMA) defines environment as including amenity values and social effects, as noted below:

Environment includes:

- a. ecosystems and their constituent parts, including people and communities, and
- b. all natural and physical resources, and
- c. amenity values, and
- d. the social, economic, aesthetic, and cultural conditions which affect the matters stated in paragraphs (a) to (c) or which are affected by those matters.

Part 2, purpose and principles (s5) of the RMA promotes sustainable management by managing the use, development, and protection of natural and physical resources in a way, or at a rate, which enables people and communities to provide for their social, economic, and cultural wellbeing and for their health and safety while sustaining resources, safeguarding the life-supporting capacity of air, water, soil and ecosystems and avoiding, remedying, or mitigating any adverse effects.

Also, in achieving the purpose of the RMA, all persons exercising functions and powers under it are required to have particular regard to the maintenance and enhancement of amenity values (s7(c)) which are defined as the natural and physical qualities and characteristics of an area that contribute to people's appreciation of its pleasantness, aesthetic coherence, and cultural and recreational attributes.

Consideration of social effects is also required in addressing the fourth schedule of the RMA (assessment of effects on the environment) which specifies effects that must be addressed when prepared an assessment of effects on the environment including:

- › any effect on those in the neighbourhood and, where relevant, the wider community including any socio-economic and cultural effects
- › any physical effect on the locality, including any landscape and visual effects
- › any effect on natural and physical resources having aesthetic, recreational, scientific, historical, spiritual, or cultural, or other special value for present or future generations.

Refer to the fourth schedule of the RMA for more detail on the statutory requirements for assessments of environmental effects.

Note: the fourth schedule addresses matters to be assessed when making applications for resource consent. The Transport Agency also generally adopts the fourth schedule approach to assessments of environmental effects when seeking state highway designations. Other documents which may inform the assessment include national and regional policy statements, district, regional, and unitary plans, and relevant industry standards and guidelines.

SECTION 4: ENVIRONMENTAL AND SOCIAL RESPONSIBILITY STANDARD



The NZ Transport Agency's Z19 Environmental and Social Responsibility Standard (the standard) is a process based standard that sets out core requirements for Transport Agency planners and project managers and their teams on how and where to implement the Transport Agency's environmental and social requirements, including urban design, during any highway work.

This is to ensure state highway projects comply with the Transport Agency's environmental and social requirements including legislation, policies, plans, standards, specifications and guidelines. This guide forms part of the standard and management of social impacts for state highway projects are expected to comply with this guide.



**SECTION 5:
OVERVIEW
OF PROJECT
DEVELOPMENT
AND DELIVERY**



5.1 PROJECT DEVELOPMENT AND DELIVERY

Transport Agency projects are progressed via two key stages – project development and project delivery.

The Transport Agency's project development process is guided by the development of a project's business case. The business case is the basis for activity and programme development for investment from the National Land Transport Fund. The business case is built progressively beginning at a strategic level and progressing to a detailed level. There are decision points along the way to determine whether the investment is worthwhile in relation to the desired outcomes.

If a business case for a particular option is confirmed, the project will begin to progress through project delivery. Project delivery is the process by which the aim or goal of a project is achieved. Project delivery includes all of the steps required to facilitate completion of the project, bringing the project to life from pre-implementation (initial design development, consenting and property) through to implementation (final design and construction) and handover of the asset for operation.

For further information on the business case process refer to the Highways Information Portal (www.nzta.govt.nz/roads-and-rail/highways-information-portal/).

5.2 MANAGEMENT OF SOCIAL IMPACTS ACROSS THE LIFE OF A PROJECT

The management of social impacts is carried out across the life of a project, with different tools used at the different phases of project development and project delivery.

It is important that the identification, assessment/rating and mitigation of social impacts is tailored to the phase of the project.

Each phase of the project should focus on providing the information that is needed to inform the decision that is to be taken and on the risks and opportunities associated with the project. Figure 2 illustrates the Transport Agency's project phases and the technical assessment of social impacts required at each phase.

There are three key Transport Agency guidance documents for assessment of social impacts:

- › The environmental and social responsibility screen⁷.
- › This guide to assessing social impacts.
- › The *State highway public engagement guidelines* (formerly the *Public engagement manual*⁸).

The identification, assessment and/or mitigation of social impacts across project development and delivery should be scaled to be proportionate to the project. The results of the environmental and social responsibility screen along with this guide should help determine the level of detail required.

7. Environmental and social responsibility screen, available at nzta.govt.nz/roads-and-rail/highways-information-portal

8. *Public engagement manual*, available at www.nzta.govt.nz

Figure 2: **The steps in a Transport Agency roading project that may involve assessment of social impacts**

		SOCIAL ASSESSMENT REQUIREMENT	RESPONSIBILITY	PUBLIC ENGAGEMENT REQUIREMENTS ⁹
PROJECT DEVELOPMENT	STRATEGIC & PROGRAMME BUSINESS CASE	SBC and PBC Consider how the programme gives effect to the NZ Transport Agency Environmental and Social Responsibility Policy Ensure environmental and social constraints and opportunities are understood and considered when developing and assessing alternatives	NZ Transport Agency Project Manager Social assessor	Strategic business case Identify key stakeholders and decision makers Collaborate Programme business case Prepare Public Engagement Plan (PEP) Inform/consult
	BUSINESS CASE	Indicative Complete environmental & social responsibility screen Incorporate screen results into indicative business case assessment of options Scope preliminary technical assessments	NZ Transport Agency Project Manager Social assessor with the support of a SIA specialist if required	Undertaken engagement as per PEP Consult/involve
		Detailed Update environmental & social responsibility screen Undertake preliminary technical assessment of social impacts (if screen indicates high risk or if further information is required to understand social impacts for one or more of the options). Scope detailed technical assessment of social impacts Prepare consenting strategy using template	NZ Transport Agency Project Manager Social assessor with the support of a SIA specialist if required	Undertaken engagement as per PEP Consult/involve

		SOCIAL ASSESSMENT REQUIREMENT	RESPONSIBILITY	PUBLIC ENGAGEMENT REQUIREMENTS ⁹
PROJECT DELIVERY	PRE-IMPLEMENTATION	<p>Consenting</p> <p>Update consenting strategy and prepare (where necessary):</p> <ul style="list-style-type: none"> a separate technical assessment and report of social impacts to support AEE, addressing the relevant matters in the Fourth Schedule of the RMA in such detail as corresponds with the scale and significance of the effects that the activity may have on the environment draft designations and/or resource consent conditions to address effects that are recommended to be mitigated, use model consent conditions where appropriate social input into environmental and social management plan (or prepare standalone social impact management plan where necessary). 	NZ Transport Agency Project Manager SIA specialist with support from the social assessor	Undertaken engagement as per PEP Inform (during statutory process) Involve/collaborate (affected parties)
		<p>Procurement</p> <p>Integrate social commitments (including statutory requirements and other Transport Agency commitments, such as side agreements with stakeholders where appropriate) (typically via the environmental and social management plan).</p>	NZ Transport Agency Project Manager Social assessor with the support of a SIA specialist if required	Inform (general public) Involve/collaborate (affected parties)
IMPLEMENTATION		<p>Design and construction</p> <p>Undertake social impacts management or monitoring as per environmental and social management plan</p>	NZ Transport Agency Project Manager Social assessor with the support of a SIA specialist if required	Inform (general public) Involve/collaborate (affected parties)
		<p>Maintenance and operation</p> <p>Undertake social impacts management or monitoring as per environmental and social management plan</p>	Network Outcome Contractor Social assessor with the support of a SIA specialist if required	Network Outcomes Contract Contractor Customer and Stakeholder Communications Plan Consult/involve

9. Requirements from DRAFT NZ Transport Agency State highway public engagement guidelines

**SECTION 6:
STRATEGIC AND
PROGRAMME
BUSINESS CASE**



6.1 STRATEGIC BUSINESS CASE

During the strategic business case, preparation for managing social impacts will be undertaken by:

- › considering how the programme gives effect to the Transport Agency's Environmental and Social Responsibility Policy
- › ensuring environmental and social constraints and opportunities are understood and considered when developing and assessing alternatives.

The management of social impacts will be undertaken in collaboration with the community and stakeholder engagement process by the identification of key stakeholders/decision makers and their likely interest in the issue and work at a collaborative level.

6.2 PROGRAMME BUSINESS CASE

During the programme business case, preparation for managing social impacts will be undertaken by:

- › considering how the programme gives effect to the Transport Agency's Environmental and Social Responsibility Policy
- › ensuring environmental and social constraints and opportunities are understood and considered when developing and accessing alternatives.

The management of social impacts will be undertaken in collaboration with the community and stakeholder engagement by preparing a high level Public Engagement Plan and determining the level of influence the public will have throughout the life of the project. In most instances, this will be at inform/consult level.



SECTION 7:
INDICATIVE
BUSINESS CASE



As part of the pre-work before commencing the indicative business case, an exercise is undertaken to confirm the scope for the indicative/detailed business case and confirm the funding required for the upcoming business case. The following steps should be undertaken with regards to social impacts.

7.1 ENVIRONMENTAL AND SOCIAL RESPONSIBILITY SCREEN

The purpose of the screen is to identify opportunities, inform the risk management process and highlight impacts associated with a project. The screen and an explanation on its use can be found at the Highways Information Portal (www.nzta.govt.nz/roads-and-rail/highways-information-portal/).

All the questions in the screen are designed to generate discussion and understanding of social risks and opportunities. These might include changes to connectivity, access to community and recreational facilities, changes to transport modes including active modes, construction impacts and potential to increase or remove social severance. The screen is not intended to capture all social impacts in detail, rather highlight key aspects.

Completing the screen may identify that further information is required to understand social risks or opportunities for one or more of the options considered. Additional information may be required if potentially significant risks or opportunities are identified or if social risks and opportunities are not clearly understood. Collection of this information would be targeted to the particular issue identified in the screen and would comprise a preliminary technical assessment, described in section 8.

Where the screen indicates minimal social impacts or social impacts that can be assessed when the project development stage is progressed further, no further technical assessments are required at this stage.

The screen will generally be completed by the project team (including the social assessor) with assistance. A review from the Environment and Urban Design Team (environment@nzta.govt.nz) will be undertaken as part of the business case project assurance and approval process (www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-assurance-and-approval-process/).

7.2 SCOPE PRELIMINARY TECHNICAL ASSESSMENT OF SOCIAL IMPACTS

If the environmental and social responsibility screen indicates more than minimal social impacts, a scoping exercise for a preliminary technical assessment of social impacts will be undertaken.

The scoping exercise will take into consideration the work undertaken in the indicative business case phase including the information from the community and stakeholder engagement process. The scoping exercise will include (but not limited to):

- › understanding the proposed project, including all ancillary activities necessary to support the project's construction and operation
- › identifying the preliminary 'social area of influence' of the project, likely impacts beneficiary communities (nearby and distant)¹⁰ and stakeholders
- › understanding of who the community/ies in the 'social area of influence'
- › clarifying the roles and responsibilities of those people likely to be involved in the preliminary technical assessment of social impacts. This will include social assessor, public engagement specialist, the level of involvement of the community/ies who maybe impacted by the community, cross over with other technical assessors
- › understanding what project decisions, information is going to be provided and engagement (with who) is going to be undertaken in detailed business case phase of the project.



CASE STUDY 2016

The Māngere Central School Student Project Team

SH20A is the primary route to and from Auckland Airport and forms a strategic link between the Western Ring Route (SH20 and SH16), the Airport Business District and the greater Auckland area. SH20A to Airport project will be part of the gateway welcome to the state highway network, for visitors arriving via Auckland Airport. More importantly, the design of the Kirkbride Road interchange will reconnect a community currently severed by a state highway.

It will provide safer journeys for walkers and cyclists, reduce operational noise impacts on our closest neighbours and narrate the culturally rich stories of Māngere through informed urban design and landscaping.



SH20A Kirkbride Road intersection, May 2015

This case study looks at managing social impacts across the project development and implementation phase (construction). Social impacts (positive and negative) were able to be identified and appropriate management strategies developed and implemented by working with the Māngere Central School.

The Student Project Team is responsible for disseminating project information and sharing their team's experiences with their school community. The students have created their own YouTube channel and create regular videos to report back to their peers at school assemblies <https://www.youtube.com/channel/UckLPWMWAJqTyf-QQOutLOjA> These student videos have also been played to the site crew in the workers' dome and the feedback has been positive.



Some of the student project team

The Student Project Team from Māngere Central School is keeping us connected to our community. This initiative drives the behaviours of our community KRA, demonstrates our innovative approach to maintaining relationships with stakeholders and provides meaningful opportunities for all members of our project team to interact directly with our closest neighbours. The students are exposed to a real engineering project, with inherent social impacts and benefits, right on their doorstep. The students have become advocates for the project in Māngere and we are incredibly proud of their commitment to us - their new neighbours.

IMPACT

Opportunities for career pathways and the desire to ignite the potential in the students for future careers as engineers.

Concern about children hurting themselves on the survey marker pins in the school grounds.

Concerns about construction effects, coupled with some complaints relating to sub-contractors' behaviour during enabling works

MITIGATION

The Student Project Team which mirrors the Alliance Management Team (AMT) with the aim of inspiring students to follow careers in infrastructure and environmental management.

The Student Project Team created a map of all pin locations and foundation bolts in the buildings. They are monitoring potential trip hazards, as well as ensuring the integrity of the pins for our survey team. The team accompany our surveyors during their regular visits and assist in the ongoing ground monitoring.

With 88 per cent of Māngere Central School identifying as Pasifika or Maori, the Student Project Team shares similar cultures and languages as many of our site crew. Their knowledge of the Mangere community provides invaluable insights for our team, particularly in how we shape our communications campaigns. Our developing understanding of the predominantly Pasifika cultures in Māngere is through the lens of our Student Project Team.



H&S manager welcoming our team to the site



Sakimi and Vailea setting eel nets



Surveying at the school



Ground monitoring at Māngere Central School

**SECTION 8:
DETAILED
BUSINESS CASE**



Identification and management of social impacts during the detailed business case will undertaken by:

- › updating the environmental and social responsibility screen
- › undertaking a preliminary technical assessment of social impacts
- › working in collaboration with community and stakeholder engagement process
- › undertaking a scoping exercise for a detailed assessment of social impacts (if required).

The community and stakeholder engagement process undertaken during the detailed business case is at a scale relevant to the size of the project. The level of engagement is focused at the consult/involve level. Important to continue understanding the social issues/risks/benefits/opportunities through the public engagement process during the detailed business case.

8.1 UPDATE ENVIRONMENTAL AND SOCIAL RESPONSIBILITY SCREEN

Update the environmental and social responsibility screen based on the work undertaken in the indicative business case phase including the information from the community and stakeholder engagement process and in any project developments since the indicative business case. All questions in the screen are designed to generate discussion and understanding of social impacts.

8.2 PRELIMINARY TECHNICAL ASSESSMENT OF SOCIAL IMPACTS

Technical assessments are carried out to make decisions about the value of a project, evaluate options, mitigate impacts through design and support statutory approvals.

A preliminary technical assessment may be required where the project team identifies that further information is required to understand social impacts for one or more of the options considered.

The preliminary technical assessment of social impacts should:

- › identify and manage social impacts and benefits of the project
- › assist the Transport Agency in the decision making process
- › inform the broader design process
- › meet the requirements of the appropriate statutory processes where relevant
- › assist in achieving the objectives of the project.

Any preliminary assessment is likely to be completed by a social assessor (Transport Agency team member) although specialist assistance may be sought in some cases, for example major and new corridors and large land takes.

The social assessor will work closely with other technical assessors to understand the social impacts caused by environmental impacts. A review of other technical assessments (eg noise, vibration, air quality, cultural impacts, safety, crime prevention, urban design, landscape and visual impacts) during the detailed business case should be undertaken to identify and social impacts caused by environmental impacts.

Information gathered in the preliminary technical assessment will be targeted on the high level social impact identified eg changes to severance, connectedness or amenity. Examples of information that may be required include data on travel modes and movements across and along the study corridor, identification and patronage of community facilities and other key trip generating destinations that may be impacted, identification of future plans and aspirations within the area and understanding of community views on how the options may create risks or opportunities for them.

This information may be gathered via travel surveys, site walkover, review of local policy documents and targeted engagement with the local community. Targeted engagement with the local community should occur as part of, or in line with, the project's community and stakeholder engagement plan.

The information gathered as part of the community and stakeholder engagement process (in particularly targeted engagement with the local community) should be used to inform the preliminary technical assessment and if a detailed technical assessment needs to be undertaken. If a detailed technical assessment is required, the scope of work should be informed by the findings of the preliminary technical assessment to ensure relevance to the project and the communities to be impacted. The results of the environmental and social responsibility screen and/or any preliminary technical assessment should be used to populate table 1 in section 9.1.4 of this guideline to create an initial rating of the social impacts.

If impacts and benefits are considered to be moderate to significant, a detailed technical assessment will need to be undertaken. This decision should be made by the project team in conjunction with the Transport Agency's Environment and Urban Design Team (environment@nzta.govt.nz). The scope of the detailed technical assessment will be informed by the findings of the preliminary technical assessment.

The preliminary technical assessment must be reviewed by the Transport Agency Environment and Urban Design Team (environment@nzta.govt.nz) as part of the business case project assurance and approval process (www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-assurance-and-approval-process).

The results of the preliminary technical assessment are used to help determine the consenting strategy for the preferred option and the scope for a detailed technical assessment of social impacts if required.

Where no further assessment is recommended the findings of the screen and any preliminary assessment should be explained in some detail in the assessment of environmental effects including any mitigation recommended or opportunities to enhance positive social impacts.

8.3 SCOPE DETAILED TECHNICAL ASSESSMENT OF SOCIAL IMPACTS

Scope the work that needs to be undertaken in a detailed technical assessment of social impacts. This will include (but not limited to):

- › understanding the proposed project, including all ancillary activities necessary to support the project's construction and operation.
- › identifying the 'social area of influence' of the project, likely impacts beneficiary communities (nearby and distant)¹¹ and stakeholders
- › further developing the project team's understanding of who the community/ies in the 'social area of influence'
- › clarifying the roles and responsibilities of those people likely to be involved in the preliminary technical assessment of social impacts. This will include social assessor, public engagement specialist, the level of involvement of the community/ies who maybe impacted by the community, cross over with other technical assessors
- › understanding what project decisions, information consultation is going to be undertaken in this phase of the project
- › providing a preliminary list of social baseline indicators which are relevant to the community and the project. When developing a preliminary list, check whether the data is:
 - » publicly available
 - » how regularly is the information updated and made public
 - » if the information is not publicly available, how much time and budget is required to gather the information and does it fit into the timeframes for the technical assessment/project
 - » available for the geographic area that is applicable for highway projects
 - » does not breach any confidentiality requirements of land acquisition negotiations.

The information gathered in the scoping phase for the detailed technical assessment of social impacts will inform the request for proposal (refer to section 9.1.1) and the project team's expectations of the work (refer to section 9.1.1).

11. Refer to Glossary.

**SECTION 9:
PRE-IMPLEMENTATION
- CONSENTING**



During the pre-implementation phase, the project team is developing the desired option in detail and seeking statutory approvals. Requirements below are our minimum requirements for a technical assessment of social impacts.

Identification and management of social impacts during the consenting will be undertaken by:

- › undertaking a detailed technical assessment of social impacts
- › working in collaboration with community and stakeholder engagement process
- › draft designations and/or resource consent conditions
- › social input into environmental and social management plan.

9.1 DETAILED TECHNICAL ASSESSMENT OF SOCIAL IMPACTS

A detailed technical assessment is undertaken during the pre-implementation phase of a project. The purpose of a detailed technical assessment is to further identify, assess and comprehensively evaluate social impacts arising from the project and the required mitigation. This information feeds into the design process and informs the assessment of environmental effects prepared as part of the RMA process.

The detailed technical assessment of social impacts must be prepared by a suitably qualified and experienced social impact assessment specialist¹² and reviewed by the Transport Agency Environment and Urban Design Team.

Where relevant the detailed assessment should build on any preliminary assessment of social impacts completed for the project, but be appropriately focused on the RMA requirements.

9.1.1 Request for proposal

A request for proposal for preparation of a detailed technical assessment of social impacts should be informed by the ESR screen, preliminary technical assessment, and scoping of the detailed technical assessment of social impacts. The request for proposal will contain:

- › the goal, objectives and timing of the detailed technical assessment
- › the project objectives and what constitutes the project to be assessed
- › the 'area of social influence' and any impacts and potential receptors identified via the environmental and social responsibility screen and any preliminary assessment of social impacts that will form the focus of the detailed technical assessment

- › the requirement to follow this guide
- › an outline of the format of the technical report (if it differs from that outlined in section 9.1.4 of this guide)
- › requirements for peer review of the detailed technical assessment and the requirement to have the assessment reviewed by the Transport Agency's Environment and Urban Design Team (environment@nzta.govt.nz)
- › requirements for integration with other technical areas and integration with community engagement for the identification, assessment and mitigation of social impacts with the community and stakeholder engagement plan for the overall project
- › identification of other technical assessments that might be relevant to the social impacts assessment expectations for how these will be considered including implications on timing and allowance in scope for this to occur
- › clarification on the project timings
- › budget and deliverable timeframe (eg when progress, draft and final reports are due)
- › clarification on the role of the SIA specialist – whether it is to undertake the technical assessment of social impacts and/or provide ongoing support to the project throughout the consenting stage of the project
- › any requirement to participation in any project activities, eg participation in internal project workshops or meetings
- › any limitations and/or assumptions
- › the SIA methodology clearly states what research methods will be used (qualitative and quantitative) and types of data to be utilised and/or collected (primary or secondary).

9.1.2 Expectations

A detailed technical assessment of social impacts should:

- › be appropriately integrated with other technical assessments, in particular to avoid duplication and double counting of impacts
- › identify the social area of influence¹³, taking into consideration communities of place and communities of interest
- › be scaled to be proportionate to the social impacts for the specific project
- › be based on referenced evidence such as community feedback, surveys, literature review, numerical data, other technical assessment and policy documents
- › take into account that the proposed project may extend through very different environments and different populations and be assessed accordingly

12. A suitably qualified and experienced social impact assessment specialist is someone who has received training or accreditation from a recognised impact assessment association; has at least 5 years experience and is a member of recognised associations (IAIA, EIANZ, NZAIA).

13. Refer to Glossary.

- › take into account all relevant project elements as defined by the project team:
 - » new stretches of state highway, new access and egress points, ramp control and other traffic management measures
 - » closure of redundant stretches of state highways or revocation to local control.
 - » staging and construction yards
 - » urban design and landscaping (as outlined in the urban landscape and design framework)
 - » closure or alteration of public transport routes
 - » altered walking and cycling routes
 - » changes in the relative hierarchy of transport modes at certain locations
 - » loss of or temporary or permanent disruption to services, living areas, facilities, and planned/potential development land
 - » mitigation measures.

9.1.3 Relationship of social impact assessment to other technical assessments

Some social impacts from state highways may result from changes to traffic volumes, traffic mode, air quality, noise or vibration levels, safety, landscape and urban design. In most cases, other technical assessments will be completed that are relevant to the social impact assessment. A detailed assessment of social impacts should be complementary to other relevant technical impact assessments and the community and stakeholder engagement plan. This means the social assessor and SIA specialist are required to identify which other assessments are relevant, avoid duplication to those assessments and reference the social findings of other assessments where applicable. In particular:

1. The social assessor and SIA specialist should complete community engagement for the technical assessment of social impacts in alignment with the community and stakeholder engagement plan. Where appropriate, the community and stakeholder engagement plan may deliver some aspects of engagement required for the social assessment. This will require the social assessor, SIA specialist and the community engagement lead to share objectives, engagement audience, actions and outcomes throughout the engagement process. It is recognised that community and stakeholder engagement and social assessment may have the same or different stakeholders and the purpose for engaging with them will be different. It is for this reason that the two processes need to be coordinated and implemented in a cohesive way to ensure maximum opportunity for stakeholders to participate in the project in a meaningful way.
2. *Bridging the gap*¹⁴ contains the Transport Agency's urban design guidelines, including guidance on the preparation of an urban and landscape design framework and the process to complete a technical assessment of urban

design. Urban design is closely connected to social outcomes, and these outcomes can be informed by the technical assessment of social impacts. The purpose of a project urban and landscape design framework (ULDF) is to ensure that the urban and landscape design for the project is appropriately defined, developed, implemented and maintained.

The assessment of social impacts for the project should help shape the ULDF. There will be elements in the ULDF that will impact on the social impacts of the project (e.g. increasing connectivity through multimodal access for pedestrians, cyclists, vehicles and public transport). The social assessor and SIA specialist should complete the assessment of social impacts in communication with the project urban designer and with reference to the content of the project ULDF.

3. Technical assessments including noise, vibration, air quality, cultural impacts, safety, crime prevention, urban design, landscape and visual impacts, traffic and economic impacts may identify impacts that have social aspects. Where another technical assessment has identified impacts (eg changes to noise levels) that may have a social aspect (e.g. people no longer using a local park), the social assessment should reference the technical report and consider any secondary social impacts in their assessment (e.g. people losing sense of community as no longer meeting in the local park).
4. Subject to the requirement to avoid double counting made in point 3 above, the social assessor and SIA specialist should utilise and reference other assessments that provide relevant information on changes to urban design, traffic volumes and transport mode.
5. Social impact assessments are partly reliant on other technical assessments. The social assessor and SIA specialist should aim to work closely with other relevant specialists during a preliminary or detailed technical assessment process to understand what social impacts they have identified, including mitigation measures. In most cases, the technical assessment of social impacts can only be completed following the finalisation of other relevant technical assessments. This will create timing constraints which should be acknowledged in scoping of social assessments, the preliminary technical assessment and identified at the commencement of the assessment process.

In summary, the social assessor and SIA specialist are required to identify which other project assessments are relevant to the social assessment, avoid duplication of those assessments, reference the social findings of other assessments where applicable and demonstrate how mitigation has been integrated where appropriate.

14. *Bridging the gap*, available at www.nzta.govt.nz

9.1.4 Contents of technical assessment report

Detailed technical assessments are technical reports that form part of the assessment of environmental effects for resource consent applications and notices of requirement. Detailed technical assessments are therefore focused on the requirements of the Resource Management Act, 1991. To ensure compliance with the requirements of the Resource Management Act and Transport Agency requirements, the format of the detailed technical assessment shall contain the information outlined in this section.

1. Executive summary

Purpose, scope of study, identification and assessments of social impacts, suggested approach to mitigate these impacts and any residual social impacts.

2. Contents

Table of contents.

3. Introduction

- › A description of the purpose and objectives of the detailed technical assessment of social impacts.
- › A project description describing the key elements of the project (or cross reference to this description in another part of the AEE).
- › A description of any social impacts and benefits to date and how these have been identified and managed.
- › A map showing the project area, route alignment and other key features of the proposal.
- › A reference (as relevant) to the project's community engagement process, urban and landscape design framework and technical assessments considered in the technical assessment of social impacts including where relevant, air quality, noise and vibration and urban design assessments.
- › A description of the project, including relevant supply chains that are being assessed as part of the detailed assessment of social impacts.

4. Regulatory framework

A reference to the project's planning assessment to highlight any legal, strategy, policy and plan documents that contain social aspects relevant to the project.

5. Methodology

Describe:

- › the conceptual model used to identify social impacts
- › the definition of the social area/s of influence
- › the social science methods used to gather, analyse and present social data (baseline, impact identification and rating and mitigation measures), especially any participation of those people already affected by the project and those likely to be affected if the project proceeds

- › any community engagement activities used to understand social impacts (cross reference to the project community and stakeholder engagement plan where relevant) including the information provided and questions asked
- › the method used to identify and assess/rate social impacts, including who have rated the social impacts
- › limitations, exclusions or assumptions in the technical assessment report.

6. Literature review

Describe the literature reviewed and key findings to inform the conceptual model and SIA methodology.

7. Social environment

Provide a detailed description of the social area of influence relevant to the proposed project including:

- › a detailed and project relevant baseline of the social area of influence (this may include a description of each of the potentially affected communities or settlements), based on indicators relevant to the project (it's impact or benefit), such as demographic and socio-economic data on the local and impacted populations, and noting vulnerable groups (including unemployed and sickness beneficiaries) and directly affected people. Such information should be quantified where possible
- › a detailed profile of the existing movement demand/ travel patterns (including walking and cycling) in each of the potentially affected communities or settlements, including transport relevant data about the communities and vulnerable groups from the Census and other surveys¹⁵
- › a full set of key local social facilities and amenities represented on maps of the social area of influence, overlaid with the project. These features may include education facilities, social and health facilities, recreation facilities, walkways, cycleways, public transport hubs, churches, significant shopping areas and businesses, and residential areas. Local government and census area unit and mesh block boundaries (used for the socio-economic profiling) should also be marked. For certain projects where the geographic scope of the project is substantial, multiple maps may be required. In some circumstances where maps may not be appropriate, a narrative description may be more helpful
- › projected future growth planning
- › any other indicators that are specific to a particular impact that was identified after the baseline was originally completed.

15. The NZ Household Travel Survey divides travel purposes into the major categories of work, education, shopping, personal services, medical/dental, social visits and recreational.

8. Social impacts

Identify and describe impacts

Provide a description of the actual social impacts of the proposed project. It is preferred that the identification of social impact is undertaken in consultation with people who are likely to experience social impacts. If the identification of social impacts is undertaken in isolation of those who are likely to be impacted, reasons why must be provided.

The impacts described should be those comparing the trend between 'impacts with the project' against 'impacts without-project/doing nothing'. The differences between the two are the impacts of the project.

Social impacts of state highway projects are described in section 2.2. This should be used as a starting point for consideration of impacts. Identified social impacts should be based on referenced evidence.

Social impacts should be described from the perspective of the stakeholder group using the following¹⁶:

- › Cause of impact.
- › Who is the stakeholder/stakeholder group to be impacted, in particular any potentially vulnerable

groups¹⁷, directly affected¹⁸ people, or indirectly affected people; and their ability to adapt to change.

- › Whether the impact will be positive and negative.
- › The consequence likelihood rating of for negative impacts impact.
- › The severity of the impact.
- › The magnitude of the impact.
- › Timing of the impact.
- › Permanence of impact.
- › Whether the impact is direct or indirect.
- › NZ Transport Agency multi-criteria assessment.

Rate and summarise impacts

For each identified impact, describe and rate the aspects of that impact in accordance with table 1. The impact rating should be considered without mitigation. It is preferred that the rating of social impacts is undertaken in consultation with the project team and the people who participated in the detailed assessment of social impacts. If the rating from the project team and the participants are different then both ratings will be recorded in the report with an explanation of why. Definition of each aspect can be found in the glossary.

TABLE 1: DESCRIPTION OF SOCIAL IMPACT

	EXAMPLE
IMPACT	Community severance
CAUSE OF IMPACT	Road closure
STAKEHOLDERS/STAKEHOLDER GROUPS	People using the road to access family, friends, work and recreation
POSITIVE/NEGATIVE IMPACT	Negative
CONSEQUENCE/LIKELIHOOD RATING	A3
MAGNITUDE	Moderate
TIMING	Construction
PERMANENCE	Temporary (5 business days)
DIRECT/INDIRECT	Direct
IMPACT RATING	Slightly adverse -1

16. Refer to the glossary for definitions.

17. Transport disadvantaged, children, elderly, mobility impaired, low income etc.

18. Directly affected owners, occupiers and users of properties and any consequential social impacts on the local community. This includes households, or groups that could be temporarily displaced from their homes, workplaces, business, meeting places etc. This category of impact is separate to the landowners' rights as dealt with by the compulsory acquisition of land (which deals with 'property' and 'premises'; but not with social impacts).

10. Conclusion

Use a table to summarise the identified impacts, mitigation and residual impacts as outlined in the example below.

SUMMARY OF SOCIAL IMPACTS, MITIGATION AND RESIDUAL IMPACTS FOR PROJECT Y

IMPACTS	IMPACT RATING	KEY MITIGATION PROPOSED	IMPACT RATING	RESIDUAL IMPACTS
Improved pedestrian access to key facilities for community A	Minor +	Provide signage to help realise this benefit.	Minor +	None
Increased walking and cycling travel times for community B	Moderate-	Signage to ensure correct route is taken. Provision of cycling facilities.	Minor -	Yes
Requirement to access new kindergarten location for community C	Minor -	New footpath providing safe access to new kindergarten location.	Neutral	None

9.2 DRAFT DESIGNATIONS AND/OR RESOURCE CONSENT CONDITIONS

Based on the findings of the technical assessment of social impacts, draft designations and/or resource consent conditions to address effects that are recommended to be managed, use model consent conditions where appropriate.

Where social impact management measures are beyond the scope of the RMA²⁰ they should be referenced but addressed through the environmental and social management plan or standalone social impact management plan.

9.3 ENVIRONMENTAL AND SOCIAL MANAGEMENT PLAN

Based on the findings of the technical assessment of social impacts, draft the social section of the environmental and social impact management plan.

The preparation and implementation of an environmental and social management plan (ESMP) assists the Transport Agency in delivering the intended social outcomes of activities undertaken by our contractors.

The Transport Agency specification for environmental, social and cultural management during construction²¹ (NZTA P47: 2015) and *Guideline for preparing an environmental and social management plan* set out the requirements for preparing an ESMP. Component two of this guideline specifies the social impacts that will require a management response and the identification of key actions required to address social impacts. These should include any mitigation or monitoring actions required as identified in section 7.4.

An ESMP for capital works will contain any mitigation or monitoring of social impacts required during construction and an ESMP for network outcome contracts will contain any ongoing social impacts requiring monitoring during operation.

Where the assessment of social impacts identifies social impacts requiring significant mitigation a specific social impact management plan may be required as a supplementary document to the ESMP. Specific management plans will be standalone documents but referenced in the overall ESMP.

If required, develop a standalone social impact management plan where necessary. If a separate social impact management plan is required, it should be developed in consultation with a SIA specialist.

9.4 PROCUREMENT FOR IMPLEMENTATION PHASE

Social impacts during the procurement phase of the project will be managed through the:

- › implementation of the environmental and social management plan
- › continued community and stakeholder engagement process where directly affected parties or stakeholders will continue to be engaged at an appropriate level and the public will continue to be informed
- › integration of the social commitments (including statutory requirements and other Transport Agency commitments such as side agreements with stakeholders, where appropriate) into relevant procurement contracts.

20. Mitigating the impacts on property owners will be addressed through the Public Works Act 1981

21. P47 NZ Transport Agency specification for environmental, social and cultural management during construction available at www.nzta.govt.nz/roads-and-rail/highways-information-portal/

**SECTION 10:
IMPLEMENTATION -
DESIGN, CONSTRUCTION,
OPERATION AND
MAINTENANCE**



Social impacts during the design, construction, operation and maintenance phases of the project will be managed through the:

- › implementation of the environmental and social management plan (including any monitoring and reporting)
- › continued community and stakeholder engagement.

Lessons learnt reviews (LLR) or Project Implementation Reviews (PIR) are often undertaken once Transport Agency projects have been constructed or completed. These should include consideration of how effectively the social impacts have been identified, managed or mitigated.



GLOSSARY

CAUSE OF IMPACT

What feature of the project is causing the impact to occur.

The causes of impacts are usually closely aligned with the timing of the impacts, example provided below.

TIMING	CAUSE	IMPACT
Strategic business case	Public engagement	Stress caused of uncertainty if project will proceed or impact
Construction	Road closure	Decrease in community connectivity
Construction	Noise from construction machinery	Decrease in mental health
Operation	New cycleways and walkways	Increased health and wellbeing

CONSEQUENCE/ LIKELIHOOD RATING

From the perspective of the stakeholder/stakeholder group, identify the likelihood/ consequence rating for negative impacts. This should be undertaken before and after mitigation strategies are applied.

		CONSEQUENCE LEVEL				
		1	2	3	4	5
		Insignificant	Minor	Moderate	Major	Catastrophic
	A	Almost certain	High	High	Extreme	Extreme
	B	Likely	Moderate	High	Extreme	Extreme
	C	Possible	Low	Moderate	High	Extreme
	D	Unlikely	Low	Low	Moderate	High
	E	Rare	Low	Low	Moderate	High

Risk rating

Low	Moderate	High	Extreme
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Source: Vanclay et al 2015: 49

DETAILED BUSINESS CASE

The detailed business case (DBC) confirms an activity that comes from the detailed programme (previously called 'package') of activities and confirms the overall assessment profile. It includes a more detailed reporting of economic, financial and commercial aspects of the activity built upon the indicative business case.

The DBC should be completed before commencing the detailed implementation (including detailed design, property acquisition, consenting or construction) of the activities. It is recognised that whilst activity specific guidance may be used to inform the options considered as part of the DBC, designs should not be progressed past this level until the DBC is complete and decision makers make their informed choice of the option(s) to be taken forward to implementation.

Appraisal of alternatives and options and production of a DBC should precede any commitments to the project. This ensures the proper consideration of the transport issues relative to the proposals being developed and presentation of these aspects in a clear manner.

Detailed assessment of the options which have been taken forward from the indicative business case with specific consideration given to:

- › outcome objectives: a detailed appraisal of options against the transport outcomes using quantitative techniques and analysis
- › assessment of impacts: a detailed appraisal of the impact of options using qualitative and quantitative techniques and analysis
- › cost to government: a detailed analysis of the total public sector cost of options, including investment costs, operating and maintenance costs
- › risk and uncertainty: a detailed analysis of the risk and uncertainty associated with each option.

For further information, refer to <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-development/detailed-business-case/>.

DIRECT OR INDIRECT IMPACT

Direct social impact – an impact which occurs as a direct result of the project. May also be called a primary impact or first order impact. In SIA, it refers to the social changes or social impacts caused directly by the project itself.

Indirect social impact – an impact which occurs as a result of another change which is caused by another project. In SIA, an indirect effect might be caused by a physical change to the environment. May also be called a secondary impact, second or higher order effects.

HEALTH IMPACT ASSESSMENT

Health impact assessment (HIA) has been defined as: ...a combination of procedures, methods and tools by which a policy program or project may be judged as to its potential effects on the health of the population, and the distribution of those effects within the population (European Centre for Health Policy 1999. Gothenburg Consensus Paper). The aim of HIA is to inform decision makers about the likely positive and negative effects of a proposal on public health and inequalities in order to avoid unintended consequences and make informed decisions.

Source: Ball, J., Ward, M., Thornley, L., Quigley, R. *Applying health impact assessment to land transport planning*. NZ Transport Agency Research report 375 p. 13)

Good social impact assessment practice will assist good decision making Health Impact Assessment can be similar in scope to SIA but are not identical.

IMPACT RATING

As per the NZ Transport Agency Multi-Criteria Assessment (MCA) tool.

INDICATIVE BUSINESS CASE

The indicative business case (IBC) further develops specific activities. It provides a long list to short list of options and it recommends a preferred way forward as part of the short-listed alternatives. An indicative business case receives official Transport Agency support, including assessment of strategic fit and effectiveness, with anticipated efficiency assessment.

For each activity, an initial appraisal of options is conducted with specific consideration given to these questions:

- › Is the option going to alleviate the perceived transport problems and/or maximise potential opportunities identified in the programme business case?
- › Is the option consistent with established policy directives?
- › Is the option likely to meet the transport planning outcomes identified in the programme business case?
- › What are the likely scale and significance of any impacts of the activity?
- › Is the option likely to be acceptable to the public, affordable and feasible to construct and operate?

For further information, refer to <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-development/indicative-business-case/>

MAGNITUDE OF IMPACT

Many affected – the wider community.

Moderate number – the local community.

Few affected – Directly affected owners, occupiers and users of properties.

PERMANENCY OF IMPACT

Temporary – the impact is expected to last 3 years or less. Temporary impacts should be described by when will the impacts be experienced, eg day/night, frequency and/or how long (eg days, weeks, months), intensity and

Permanent – the impact is expected to last 3 years or more, or for the life of the project.

POSITIVE OR NEGATIVE IMPACT

Positive or negative from the perspective of the stakeholder or stakeholder group.

PRE-IMPLEMENTATION PHASE

Pre-implementation is customarily associated with the consenting, property and design phases of a project.

For further information, refer to <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-delivery/pre-implementation/>

PROCUREMENT PHASE

For information, refer to <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/technical-disciplines/procurement/>.

PROGRAMME BUSINESS CASE

The programme business case (PBC) phase is where an in depth understanding of the problems, opportunities and constraints that are proposed in the strategic case are developed and presented through evidence based data, information collection and analysis.

It is within this stage where the transport outcomes to be achieved are developed further and refined from the strategic case into SMART (specific, measurable, achievable, relevant and timed) investment objectives. The transport outcomes should express the outcomes sought for the transport appraisal exercise under consideration and be demonstrably related to the specific problems/opportunities at hand, as expressed through the strategic case.

The programme business case identifies an optimal mix of alternatives and options through multi-criteria assessment of the widest practicable set of potential alternatives and options which could alleviate the identified or perceived problems, or address the potential opportunities.

The PBC does not look at detailed solutions at this stage but should consider a broad mix of activities that might be delivered by multiple parties over a period of time. This business case will receive official Transport Agency support, including assessment of strategic fit. An anticipated effectiveness and efficiency assessment is also undertaken at programme level.

For further information, refer to <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-development/programme-business-case/>.

SOCIAL AREA OF INFLUENCE

A 'social area of influence' consists of the people potentially impacted by a project. Affected people include both 'communities of place' and 'communities of interest'. The location of affected people frequently does not align with the geographic boundaries of an area of influence determined by the environmental impact of a project. Social impacts do not necessarily decrease in intensity with distance from the project site. People are connected by a vast array of linkages and networks. Project also can have a wide logistics corridor and complex value chains. Defining a 'social area of influence' does not necessarily require the articulation of a geographic boundary. Instead, the social extent of a project can be determined through a combination of stakeholder analysis and social mapping and through an iterative process of understanding the social, economic, political and environmental changes induced by the project and the livelihoods and networks of potentially impacted people.

Source: Vanclay 2015:35

SOCIAL ASSESSOR

A social assessor is responsible for ensuring the Guide is implemented throughout the life of a project. The role will usually be filled by a NZ Transport Agency team member)

SIA SPECIALIST

A SIA specialist is responsibility for supporting the social assessor (when required) and undertaking a SIA for the consenting stage of a project. This role will usually be filled by a consultant/contractor/subcontractor to the Transport Agency.

A suitably qualified and experienced social impact assessment specialist is someone who has received training or accreditation from a recognised impact assessment association; has at least 5 years experience and is a members of recognised associations (IAIA, EIANZ, NZAIA).

STRATEGIC BUSINESS CASE

The strategic case is the foundation for the whole business case process and ensures that the transport planning element of the business case is based on robust logic. This phase does not involve extensive or costly strategic work and does not explore possible solutions or attempt to formulate an implementation plan. Rather, it focuses on demonstrating that there is a well understood problem (or opportunity) that has a substantial enough consequence to justify investment.

The scale of the problem and consequences identified will dictate whether one workshop with few people or two workshops with a wider group is necessary. The depth of the analysis should be tailored to the relative size, impacts and risks of the problem and consequences.

For further information, refer to <https://www.nzta.govt.nz/roads-and-rail/highways-information-portal/processes/project-development/strategic-case/>

TIMING OF IMPACT

Strategic or programme business case²²

Indicative or detailed business case²³

Detailed business case

Consenting

Procurement

Design and construction

Operation

Maintenance

ULDF

Urban Landscape Design Framework

The integration of large scale and/or complex road infrastructure projects into the surrounding environment involves complex issues that need to be addressed to ensure the 'best fit' and that the best possible project is delivered for the benefit of all users. The purpose of an ULDF is to ensure that the urban and landscape design concepts for these projects are appropriately defined, developed and implemented. It provides a forum to capture and integrate the various elements of a project, and to ensure that the expertise of different members of the project team are working together.

22. There will be impacts if there is any public engagement during this phase.

23. There will be impacts during this phase as public engagement will be undertaken.

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INTERNET RESOURCES

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