



# COMMUNITY PARTICIPATION IN HEALTH IMPACT ASSESSMENTS: A NATIONAL EVALUATION *Report Appendices*

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## APPENDIX A: METHODOLOGY

## NATIONAL SURVEY

In April - June 2014 a web-based survey of both HIA practitioners and their community participant partners was sent via SurveyMonkey to a sample of HIAs. The survey sample included 47 HIAs completed January 2010- September 2013. These are 47 of the 145 HIAs completed during this time period, representing about a third of the work in the field, including HIA team and community member respondents. The HIAs were completed after HIA stakeholder engagement guidelines were released.

Respondents were given three role choices upon entering the survey: HIA team, community participant, or stakeholder. Stakeholder respondents (N=5) – defined as “Someone who is not a community member, but who has an interest in the health impacts of the policy or project under consideration”) were exited from the survey, since the primary focus of the evaluation was the role of community participants, as opposed to other stakeholder groups.

In addition to characteristics about HIA roles, we asked a series of optional demographics questions at the end of the survey. For these questions 80 or 81 of the 93 respondents answered.

**Table 1. Demographic characteristics of survey respondents**

|   | Total (n = 81)   |     |                   |     |
|---|------------------|-----|-------------------|-----|
|   | HIA Team Members |     | Community Members |     |
|   | N                | %   | N                 | %   |
| <b>Age (n = 80)</b>                                 | (n = 59)         |     | (n = 21)          |     |
| 25-34   | 15               | 25% | 3                 | 14% |
| 35 – 44   | 26               | 44% | 5                 | 24% |
| 45 – 54   | 10               | 17% | 7                 | 33% |
| 55-64   | 7                | 12% | 4                 | 19% |
| 65 and up   | 1                | 2%  | 2                 | 10% |
| <b>Education (n = 79)</b>                           | (n = 59)         |     | (n = 20)          |     |
| High school grad/ GED                               | 0                | 0%  | 2                 | 10% |
| 1-3 years of college                                | 2                | 3%  | 2                 | 10% |
| 4+ years of college                                 | 57               | 97% | 16                | 80% |
| <b>Race/ Ethnicity (n = 81)</b>                     | (n = 60)         |     | (n = 21)          |     |
| Non-Hispanic White                                  | 42               | 70% | 10                | 48% |
| Non-Hispanic Black                                  | 6                | 10% | 4                 | 19% |
| Non-Hispanic Asian                                  | 2                | 3%  | 0                 | 0%  |
| Latino/a / Hispanic                                 | 0                | 0%  | 5                 | 24% |
| Non-Hispanic American Indian / Alaska Native        | 0                | 0%  | 1                 | 5%  |
| Multi-ethnic  | 10               | 17% | 1                 | 5%  |
| <b>Gender (n = 81)</b>                              | (n = 60)         |     | (n = 21)          |     |
| Female  | 43               | 72% | 13                | 62% |
| Male  | 17               | 28% | 8                 | 38% |
| <b>Yearly Household Income Per Person* (n = 77)</b> | (n = 57)         |     | (n = 20)          |     |
| Under \$20,000                                      | 8                | 14% | 6                 | 30% |
| \$20,000-\$40,000                                   | 24               | 42% | 11                | 55% |

|  |    |     |   |     |
|--|----|-----|---|-----|
| \$40,000-\$60,000  | 16 | 28% | 2 | 10% |
| Over \$60,000  | 9  | 16% | 1 | 5%  |
| *Note: Yearly household income per person attained by taking mean of yearly household income range divided by number of people in household) |    |     |   |     |

Except for HIA experience, the survey sample was highly representative of where the HIA field was at the time with regard to sector, geography, decision-making level, and type of organization conducting the HIA.

## AGENCY INDEX LOGISTIC REGRESSION

To analyze survey data the team used frequencies, qualitative analysis of open-ended questions, and logistical regression analyses.

Logistic regression allows you to see how much certain variables explain the outcome of another variable. In this case, we looked at the responses of all survey respondents to see:

How much does ...

explain...

HIA experience

Level of community participation

Level of civic agency



the success of an HIA?

More specifically, we assessed whether the number of HIAs a survey respondent had completed (from 1 to 7), the level of community participation they assigned to their HIA (from 1=low to 5=high), and/or the level of civic agency the respondent says the community members achieved as a result of their HIA (see civic agency index description below), explained whether or not the respondent reported that their HIA changed the decision-making for a policy or project.

Logistic regressions can only be used for outcome variables that are binary – or have only two response options, such as “yes/no”. So, in order to test whether the other variables explained if a respondent felt their HIA was a success, we used the following question as the outcome variable:

How much has this HIA changed the decision-making about the policy or project so far?

- ☐ A lot
- ☐ Some
- ☐ A little bit
- ☐ Not at all
- ☐ Too soon to tell
- ☐ We were unable to follow up

and we made it into a binary answer option by eliminating any responses that said it was “too soon to tell” or “we were unable to follow up”, then we combined those who answered “a lot” or “some” into a “yes” category and those who answered “a little bit” or “not at all” into a “no” category.

In order to measure the level of civic agency survey respondents felt the community members in their HIA had achieved, we created a civic agency index. Six questions in the survey asked about concepts related to civic agency:

- During this HIA, voices of individuals in the community were heard.
- During this HIA, at least some individuals in the community had increased contact with decision makers (in terms of either amount, type, or frequency.)
- During this HIA, at least some individuals took action to influence the decision and/or its impacts.
- Because of this HIA, at least some individuals in the community became more aware of how decisions are made.
- Because of this HIA, at least some individuals in the community have acquired or strengthened skills that could help them influence future decisions.
- Because of this HIA, the community has gotten better at organizing to advocate for its interests (as indicated by changes in social norms, common practices, symbols, and/or organized action itself, etc.)

Answer options for all of these questions were: “strongly agree”, “agree”, “disagree”, “strongly disagree”, or “I don’t know”. We assigned numbers to these responses in the following way:

Strongly disagree = 1

Disagree = 2

Agree = 3

Strongly agree = 4

With this scoring mechanism, the higher the score, the higher the level of civic agency. We did not count responses of “I don’t know” or responses that were missing for that question.

We only calculated a civic agency index for survey respondents who answered four or more of the six questions related to civic agency (67% of survey respondents did so). Once we had their scores of 1, 2, 3, or 4 for each individual civic agency question, we created an index by obtaining their average score for the number of questions they answered in this series. So civic agency index values were still in a range from 1 to 4.

Because the distribution of civic agency scores was not equal along the continuum, but more clustered around the higher end of the response range, we separated the civic agency scores into equal quartiles to be better able to compare differences. We then created a new variable called Agency Index quartile, re-assigning the variable a value of 1 through 4 based on its quartile (Table 2). We used the agency index quartile variable in the logistic regression model, so it measures the effect on HIA decision-making of moving from one quartile to the next of the agency index.

**Table 2. Agency index quartile and corresponding values for the agency index**

| Agency index quartile | Percentiles | Agency index values |
|-----------------------|-------------|---------------------|
| 1                     | 1 – 25%     | 1.17 – 2.8          |
| 2                     | 26 – 50%    | 2.9 – 3.25          |
| 3                     | 51 – 75%    | 3.26 – 3.6          |
| 4                     | 76 – 99%    | 3.7 – 4             |

Out of 93 total survey respondents, 60 answered enough of the questions to be included in the model (43 HIA team members and 17 community members).

The results showed that HIA experience and level of community participation did not explain success of the HIA (their effects were not statistically significant). However, the agency index quartile did have a significant odds ratio of 4.12 (P = 0.001, 95% Confidence Interval = 1.8 – 9.5.) The results show that moving from one quartile to the next in the agency index is associated with 4 times the odds of an HIA changing decision-making. This shows that survey respondents who reported that their HIAs helped community members achieve higher levels of civic agency had greater odds of reporting that their HIA changed decision-making.

Table 3. Logistic regression of HIA changing the decision-making about a policy or project (N = 60)

|                       | Odds Ratio | Standard Error | P-value  | 95% Confidence Interval |
|-----------------------|------------|----------------|----------|-------------------------|
| Number of HIAs        | 0.852      | 0.121          | 0.260    | 0.645 - 1.126           |
| Participation Level   | 0.992      | 0.392          | 0.984    | 0.457 - 2.153           |
| Agency Index Quartile | 4.125      | 1.744          | 0.001 ** | 1.801 - 9.448           |
| Constant              | 0.173      | 0.227          | 0.182    | 0.013 - 2.273           |
| **p<.01               |            |                |          |                         |

*A few things to keep in mind about this analysis:*

- *See full report for description of level of community participation variable. Including participation level as a numerical variable makes the assumption that there is an equal “distance” between each level of community participation.*
- *Questions were phrased slightly differently for HIA team members and community members, the questions listed were asked of HIA team members.*
- *The relatively large confidence interval means that the exact value of the odds ratio should be interpreted with caution, but we are confident in the general findings that agency index quartile impacts the odds of changing HIA decision-making.*
- *The respondents included in the logistic regression analysis represent 41 of the 47 HIAs in the total survey sample. Although HIA team members and community members were all included in the analysis, findings represent the responses of each individual and their perceptions about the level of community participation that was achieved in their HIA, the level of civic agency that community members achieved in their HIA, and how much their HIA changed decision-making for the project or policy. Therefore, each respondent could have a different perception of their HIA, and the results of this analysis should not be representative of each HIA, as much as each survey respondent’s perception of their HIA.*

## FOUR SITES DATA COLLECTION

The evaluation design included an in-depth look at four U.S. HIAs.

**Recruitment & Participation:** Project leads were contacted first, and then asked to commit to:

- Identifying a “proxy observer” - who could attend 5-6 meetings or events related to the HIA and observe/record.
- Identifying the time and schedule for one site visit (1-3 hours) in person with an evaluation team representative
- Identifying those meetings or events for the observer to attend - “Observations”
- Identifying potential key informants for post-HIA phone interviews (target = 2 community participants and 2 decision makers)
- Providing the evaluation team with original documents and documents for review along the course of the HIA

**Site Visit:** *A one- or two-day site visit to each site was conducted close to the start of each HIA*

Prior to a site visit, each participating HIA team received a standard email which included confirmations about participation expectations, the observation instrument, and a set of informational materials including:

- Summary of the evaluation and the logic model
- Proxy observer job description and observation instrument
- Best Practices in Stakeholder Participation document :  
<http://www.policylink.org/sites/default/files/stakeholder-participation-in-hia.pdf><sup>8</sup>
- Primer on Equity in HIA  
<http://www.humanimpact.org/component/jdownloads/finish/9/294><sup>9</sup>
- Two examples of community engagement plans and a blank plan form

**Observations:** An observation event needed to include some observable form of community participation. The community participation approaches for the 4 HIAs varied, which resulted in a range of types of observation events.

### The Proxy Observer Role

During the site visit the CCHE evaluation team member trained a proxy observer, who had been recruited by the HIA team but was participating in conducting the HIA. The training involved the use of applied learning methods; together the evaluation team member and the proxy observer trained on the observation protocol and then attended/documentated the same observation, after which they compared data during a training debrief wherein the proxy drafted the observation report. These methods increased reliability and validity of data collected by proxy observers. The CCHE evaluation team member reviewed all observation reports within a week of submission.

A “proxy” needed to meet the following qualifications:

- Could be an intern, grad student, other kind of student, a community member who does not expect to be involved in the HIA, other staff member who is not on the HIA team
- Could have former involvement with the HIA team, but is not considered a stakeholder in the project that the HIA is focusing on



- Must have access to a computer

Proxy observers were paid \$20 for the initial training and \$20 per observation (observation time included attendance/documentation of the meeting and drafting a report), not to exceed \$160 total. Their duties, as outlined in a job description, included the following:

- Be trained in person
- Attend 5 – 6 meetings, identified by the HIA lead and/or the HIA community engagement specialist, to observe and document community participation
- Document all meetings using the “Meeting Observation Form”
- Be available for clarifying questions by phone and/or email

#### Observation Data

An observation event needed to include some form of community participation. There were a total of 19 observation reports submitted across all four HIA studied in-depth. There were 5 or more observations for three of the four HIAs studied in-depth, but for one site the HIA team was only able to identify two – a product of both the study window of time and a lighter-touch community participation approach. As participation methods for the four HIAs studied in-depth ranged, so did observation events. The 19 observations occurred at the following types of events:

- Local government pre-existing meetings
- School district pre-existing meetings
- Coalition/stakeholder interest groups pre-existing meetings
- HIA data collection activities (i.e. intercept survey, focus group, photo-mapping)
- HIA steering/advisory committees
- HIA-led community meetings

***Document review:*** The team and our advisors created a document review guide to provide guidance for the 4 in-depth HIAs about what types of documents we would be interested in reviewing and to guide evaluation analysis. This guide was also provided to the participating HIA teams; they were asked 3-5 times for relevant documents to submit to the evaluation team.

- A total of 181 documents were reviewed. There was a range in the amount of documents from each site: 14, 41, 55, and 71.
- While 3 had a stakeholder engagement plan/analysis, one did not, and one site created one because of their participation in this evaluation.
- The most extensive documents across the HIAs were the recruitment materials and data collection tools. Most often these materials provided a high level overview about what types of data the HIA team was gathering from community participants. These were much less useful for identifying if, for example, a community member actually did the data collection or provided input supporting instrument development or use.
- Steering/advisory committee notes and emails constituted the second largest data source across the 4 HIAs; these were a critical source for process data on how/where community voices were incorporated along the course of an HIA. Key were:
  - Meeting notes where action items were identified and attributed
  - Revisions of HIA reports where community input was identified

- For the 4 HIAs studied in depth, only one provided deeply documented meeting notes detailing what community participants said and what the team would do with/because of that input. Half the set was also provided in Spanish; the only of the four HIAs to do this. Another HIA provided a large set of team meeting notes, and a community person was on that team, but there was no attribution of ideas or speakers so it was not possible to tell when the community participant input was used or if it directed any decisions.
- In HIA reports, the most common form of attribution regarding community input was in acknowledgment sections, in quotations, or in summaries of what was learned overall from community members. It was useful to review draft HIA reports where track changes were used, and where community edits and input was identified and seen reflected in final reports.
- In terms of readability and accessibility of documentation for the 4 HIAs studied in-depth, many of the external documents evaluators reviewed that community participants might be expected to read were 11<sup>th</sup> grade reading level or above.
- Missing documents: This evaluation project is missing the HIA report from 1 of the 4 HIAs studied in-depth; it was still being written at the time of this analysis and report.

**Interviews:** Semi-structured interviews were conducted with 17 key informants. The evaluation team was able to span all three perspectives – HIA team, community participant, and decision maker – for 2 of the 4 HIAs studied in-depth. Interviews occurred after the HIA was completed for 2 HIAs, but for the other 2 the evaluation timeline requirements meant that interviews occurred earlier than is ideal (e.g., for one, interviews were within 2-3 weeks of HIA report completion, and for the other, interviews occurred 2.5 months before the HIA report was complete.) Both of these HIAs are currently missing the decision-maker perspective.

**Additional descriptive information** about community participation in these four HIAs:

*Type of “community participant”* varied across the four HIAs studied in-depth

- In three there was at least one member from the potentially impacted community on the HIA team.
- For two of the HIAs, the ‘community’ was more nebulous to engage with; there were no pre-existing organizations or groups already formed around a topic or in the area to engage with.

*Payment/incentives*

- One HIA paid community participants with Subway gift cards as incentives for focus group participation. Another provided water and soda at community meetings. All four HIAs included unpaid time for community participants.
- The range of unpaid time ranged from exposure to brief surveys or brief meeting presentations per person (about 10-60 min) to 1-4 hours a week over more than half a year.

*Community participation in data collection*

- For two HIAs, multiple community participants were involved in collecting data from others; for all four HIAs, the community participants provided some ‘ground truth’ validity and/or primary data for the HIA itself.

### ***Analysis Approach: 4 HIAs studied in depth***

The evaluation team developed a codebook based on the evaluation questions, looking at both processes and outcomes related to community participation in HIAs. Data was coded for one HIA at a time, in time sequence to the completion of the HIA. The data analysis then looked across the 4 cases using standard qualitative methods to compile data and examples by code, identifying themes that were corroborated with data from the web-based survey and themes that were different. Lastly, all data sources were examined by code to identify key themes from the data.

In order to maintain separation between HIA practitioners and evaluation research and analysis, the Center for Health and Evaluation (CCH) was the primary member of the team responsible for data collection, except for national survey participant recruitment which relied on HIA practitioner relationships. Research design and tool development was iterative between all evaluation team members and guided by the Advisory Committee. CCH conducted all first stage data analysis and drafting of evaluation reports, with the evaluation team in addition to the Advisory Committee weighing in.

## **APPENDIX B: EVALUATION STRENGTHS AND LIMITATIONS**

Evaluation strengths include a survey sample that accounts for a relatively large proportion of the total HIAs of the field for the defined time and is representative of the diversity of the field. The survey garnered both perspectives from highly experienced practitioners and community participants. Non-incentivized HIA practitioners and compensated community members were very generous in cooperating with evaluation project staff for the 4 HIAs studied in-depth.

This report adds to the growing literature on community participation in the field of HIA,<sup>11-17</sup> contributing to a gap in knowledge and practice. The in-depth study of 4 HIAs highlighted, primarily through documents and observation data sources the added value of expertise in communication and facilitation in community-engaged HIAs. For example, some HIA documents identified community participant contributions and ensuing actions from those contributions. This information is often not in HIA reports; it comes out only through process evaluation. The evaluation was also strengthened by the HIA practice and the evaluation expertise of its investigators and advisory committee.

Several limitations are worth mentioning. As is common in community engaged research and evaluation, defining the ‘community’ and defining roles for survey respondents to select was too binary to capture the true complexity that exists. Some respondents who were identified by HIA leads to be community member participants self-identified as HIA team members when they completed the national survey, resulting in reduced capacity for role comparison in the data. Further, roles of those involved in HIAs may change over time or be iterative. For example, in two HIAs, community participant/stakeholders became team members by the end of the HIA. We also asked about the experience level of the HIA practitioners taking the survey with regard to how many HIAs they had completed, but not specifically how many they had completed before the HIA in question, which could have further contextualized their responses. In the process of multiple reviews and revisions of the surveys, the order and wording for some of the survey questions ended up being different for the HIA team member and community member surveys, making any comparisons between answers challenging. We did not ask about timeline for completion of the HIAs or funding level of the HIAs, which also could have further contextualized responses.

The evaluation team was unable to garner the baseline civic agency levels/experience of community participants in survey data. It would have been helpful to more deeply understand if these respondents were regularly civically active, or had never been involved in such types of activities before. And while we feel the survey respondents well-represented the field of HIA at the time, several limitations exist with regard to the survey. We did not ask for information about the timeline or funding constraints of each HIA, factors that our findings show affect HIA practitioners’ ability to incorporate community participation. Additionally, the survey questions for the HIA practitioners and community respondents had slightly different wording and differences in the order answer choices were presented, an added challenge when making comparisons between the two populations.

The HIA field terms *Rapid/Intermediate/Comprehensive* have proven less useful than expected by experienced HIA evaluators, and as such they were not used in this survey, but the lack of a replacement leaves this evaluation unable to comment on the scale of these HIAs in the sample generally. Also in relation to measurement terms for evaluating HIA, the commonly used answer options “Rural/ Suburban/ Urban/Other “ may not be a good fit for HIA research and evaluation - 18 of the 62 respondents chose “other” and entered state, federal or regional as better descriptions. We recommend that future HIA researchers consider this.

For the 4 in-depth HIAs studied there was a greater burden than expected for the HIA teams to recruit the Proxy Observer and to complete the HIA in the time frame predicted; this resulted in one of the four HIA reports not being completed by the time the evaluation data collection ended, and two of the four HIAs being unable to have a decision-maker interview for outcomes, as the report had not been released or released in enough time.

## **APPENDIX C: FURTHER EXAMPLES OF RECOMMENDATIONS**

## PLAN AHEAD

*Develop relationships with community groups before any HIA arises.*

*Choose topics for HIAs based on identified community interest as opposed to deciding on the topic and then trying to recruit community members.*

Example 1: In Wisconsin in an initiative called THRIVE, public health departments and community organizers across the state have been working together to develop relationships, do cross-sector skills and knowledge building, and choose policies and projects to work on together. Some of those projects are HIAs and some are not full HIAs but incorporate Health in All Policies.

Example 2: At HIP we have a *Health Instead of Punishment* program that involves doing HIAs and Healthy Public Policy research projects, convening criminal justice reform advocates and public health experts, creating health frames, and more. We meet with criminal justice reform advocates from around the country to vet policy topics for HIAs instead of deciding on the topic and then recruiting groups, then we seek funding together for the HIAs.

Example 3: In Los Angeles, CA, the Los Angeles Coalition Against Wage Theft had been campaigning for a wage theft ordinance. HIP had existing relationships with coalition members and after discussion about how HIA findings might be valuable to the ongoing discussion about wage theft in the city, they welcomed the use of an HIA. (Los Angeles Wage Theft HIA)

*Create a community engagement plan for each HIA.*

Example 1: Cleveland Healthy Hough Stakeholder Engagement Plan.  
Available at: <http://www.humanimpact.org/wp-content/uploads/Example-Stakeholder-Engagement-Plan.pdf>

Example 2: NCHH, Baltimore-Washington Rail Intermodal Facility Health Impact Assessment, pg. 23. Available at <http://www.pewtrusts.org/~media/Assets/2013/09/01/BaltimoreWashingtonIntermodalHIA.pdf?la=en>

*Establish familiarity with the decision-making process.*

Example 2: In Colorado, the Denver Department of Environmental Health led an HIA on two neighborhood plans being drafted by the Community Planning and Development Department (CPD). In searching for timeline and process information about the neighborhood plan process, the HIA lead established contact early on and maintained contact with the Planning Department. The HIA later was cited in the neighborhood plans as a parallel process to and a component of the neighborhood planning process. HIA recommendations were integrated directly into the plan. ([Denver Neighborhood Planning HIA](#))



## DEVELOP SKILLS

*Invest in facilitation skills training and/or consider hiring or having a specialist on the HIA team.*

Example 1: In an HIA about policing practices that shape community-police relations, HIP consulted a professional focus group facilitator who worked pro bono with a community group to create new facilitation techniques for data collection with very different populations: community members of different races impacted by over-policing and police officers who patrol those communities. (OH Community-Police Relations HIA)

Example 2: In developing a scope for an HIA on proposals related to the Ports of LA and Long Beach, a professional facilitator was hired by the regional office of the Environmental Protection Agency (the agency that hired Human Impact Partners to create the HIA scope) to provide neutrality for getting feedback from a large group of stakeholders with a broad range of perspectives on Port activities, such as community groups, Port of LA and Long Beach representatives, representatives of the major rail companies, and staff from the Los Angeles Department of Health. Having the facilitator reduced the amount of conflict, eased the strain on HIP (who had put together the proposed scope of research), and helped the EPA to get the most out of the feedback session.

Example 3: In many of the HIAs Human Impact Partners does with community organizing partners, we train a community organizer co-facilitator to work with us on focus groups.

*Develop communications and communications planning skills.*

Example 1: In the Wisconsin Treatment Instead of Prison HIA, the funder (Robert Wood Johnson Foundation) provided technical assistance from a communications firm. In collaboration with HIP's communications consultant, HIP, and WISDOM (the community organizing primary partner and co-author of the HIA), the communications TA provider helped with framing, creating a power point for HIA practitioners to present at community meetings, writing a press advisory, coaching researchers about how to respond to press questions, and general strategic dissemination planning. (Wisconsin Treatment Instead of Prison HIA)

Example 2: Human Impact Partners has consulted with a communications expert to read reports, comment on frames that are coming through and suggest new frames based on the findings and recommendations, and to create Executive Summaries that are readable to a layperson and communicate the most powerful findings and frames. (Human Impact Partners)

## SHARE RESPONSIBILITIES

### *Partner with existing community/interest groups and organizers.*

Example 1: In the Healthy Corridor for All HIA, done in St. Paul MN, the congregation-based community organizer ISAIAH had been working on transportation planning issues for many years and was a key player in the city discussions about the expansion of the light rail and where stops would be placed. They partnered with PolicyLink and Human Impact Partners to do an HIA, and found that the HIA process was a natural fit with their organizing, iterative discussions with municipal stakeholders, and dissemination strategies. (Healthy Corridor for All HIA)

Example 2: In an HIA on Paid Sick Days legislation, HIA practitioners sought out labor union groups to get input on the HIA scope and help with data collection from workers. (Paid Sick Days CA HIA)

Example 3: An HIA of a proposed skatepark, in a neighborhood underserved by parks and recreation opportunities, was initiated partly because a local community organization had identified the issue of skateparks as one they wanted to pursue to meet the needs of youth in their community. The youth council from the community organization gathered data and reported out findings of the HIA with City Council and other stakeholders. (Skatepark HIA)

### *Utilize community for data collection efforts.*

Example 1: In an area planning process in a low-income community, a youth group working with a nonprofit organization on an HIA conducted a walkability assessment. In one day, the youth were trained and collected data on one-fourth of the sidewalks and intersections in the town. The youth group also helped to design and administered a community survey. Ultimately, the city's redevelopment agency contracted with the youth group to gather data and advise on other planning efforts. (East Palo Alto Ravenswood Area Existing Conditions Report)

### *Establish community roles for disseminating HIA findings.*

Example 1: In the Tuition Assistance Program (TAP) HIA in New York state, HIA practitioners partnered with organizers and advocates to look at the health impact of reinstating the use of TAP, a state fund for any low-income student in New York to access for assistance with college costs, for people in prison. HIA practitioners co-created a communications plan to release the HIA findings with their Advisory Committee, composed of groups representing incarcerated individuals seeking to use TAP for college courses. A large portion of the dissemination was implemented by the advocates on the Advisory Committee who were working on the policy. During the press conference, HIA authors, legislators, advocates, and people who got their college education while in prison presented. Of note, the press requested post-conference interviews with the college graduates who were former prisoners. (Tuition Assistance Program HIA)

Example 2: In the course of the Family Unity, Family Health HIA, people who experienced deportation or threat of deportation due to federal immigration policies spoke of the impacts on their health and the health of their families in focus groups and interviews. These stories were used, with permission, in dissemination activities, and the individuals also shared their stories by speaking out in front of Congress and with the press after the HIA. (Family Unity, Family Health HIA)

*Identify community members as key monitoring partners.*

## **REDUCE BARRIERS TO COMMUNITY PARTICIPATION**

*Do not rely solely on email or the internet for communications.*

Example 1: In the Ohio Community-Police Relations HIA, the project manager kept track of how community Advisory Committee members preferred to be contacted (email, phone, text, Skype / videoconference), including if they liked a text reminder before calls, and used the preferred method. (OH Community-Police Relations HIA)

*Offer meetings at accessible times and locations.*

Example 1: In a process evaluation of a transportation corridor plan HIA in Vermont, a community center representative mentioned how glad they were that the HIA practitioner had come to a regularly scheduled meeting of a women's group at the center in order to collect data on their thoughts about the transportation corridor plan. "It was important that they come to us, as getting to a meeting at the health department is an obstacle for some of the women." (Milton Rt. 7 Corridor Planning HIA)

Example 2: A project in New Mexico held a focus group on a Saturday in the middle of the day, because that's when most of their members could make it. (Santa Fe [Equitable Development and Risk of Displacement](#) Report)

*Provide transportation, translation, childcare, etc. as needed.*

Example 1: Many community organizers know that driving people to meetings is an expected part of their job. Keep in mind that if you are working with a low-income population, access to a car is less likely and you may need to plan to arrange rides for people, or pick them up yourself. When recruiting, make sure to ask if they need help getting to the meeting. This will ensure that people show up, it will help your meetings start on time, and help to decrease interruptions from people coming in late.

Example 2: In Cleveland at a community charrette for an HIA, the Planning Department (the HIA lead) arranged to have teenage youth watch over younger children at their own Youth Table. The Planning Department provided coloring materials and a topic for the youth and children to create pictures about. Just like all the other adult tables, the children reported out and shared their results. (Cleveland Healthy Hough HIA)

*Be mindful of the time commitment for community representatives.*

Example 1: Many HIA practitioners provide Advisory Committee members a schedule of the meetings they will attend and the expectations for participation, including an estimate of how much time it will require over the span of the HIA. This information is best offered when recruiting Advisory Committee members. Results from multiple process evaluations show that HIA Advisory Committee members tend to put between 10 – 25 hours into an HIA over the course of 6 - 12 months.

Example 2: Similarly, estimate and let people know about any activity you are requesting community help in. Are you asking them to be deeply involved in creating and administering a survey? If so, how much time will that take? Are you asking them to just give one day door-knocking to administer a survey, plus an hour beforehand to be trained? Are you asking them to take a 20-minute survey?

*Create and share interim work products with community participants.*

Example 1: At regular intervals in the Wisconsin Treatment Instead of Prison HIA, HIA researchers shared and sought feedback from the stakeholder/community Advisory Committee on the scope, interim literature review findings, the secondary statistics from state agencies, the draft HIA, the predictions of the HIA, the recommendations, and the monitoring plan. With the stakeholder who were interested, more in depth discussions resulted, specifically about the predictions. (Wisconsin Treatment Instead of Prison HIA)

Example 2: The Health Impact Project, a major funder of HIAs in the United States, requires interim work products throughout the course of HIAs. These interim work products are good opportunities for the practitioner to share and get feedback from the community. (The Health Impact Project)

## **MAKE PARTICIPATION MEANINGFUL FOR COMMUNITY REPRESENTATIVES**

*Invite community members to be on the HIA Steering/Advisory Committee. Share decision-making authority, and make sure the community role is clearly defined and communicated.*

Example 1: It is important to have people who would potentially be impacted by a policy or plan helping make decisions about the direction and findings of an HIA. Over the last several years, HIP has made it general practice to have a community member and/or community representative on every HIA Advisory Committee.

Example 2: The Wage theft Coalition agreed to partner on the HIA only if all members of the coalition found it beneficial and feasible and were involved in steering committee conversations. Leaders from each organization encouraged members to ask questions and valued their input, especially in the scoping and recommendations part of the HIA.

Example 3: In an HIA on a gang injunction and policing practices in Santa Ana, California, an Advisory Committee made up of majority community and advocacy organizations made decisions on the research scope of the HIA based on on-the-ground knowledge of the impacts of overpolicing. They then prioritized recommendations and decided on dissemination strategies, in collaboration with a Human Impact Partners HIA practitioner. (Fair and Just Policing HIA)

Example 4: In the St. Paul Light Rail Corridor HIA, the HIA practitioners created two Advisory Committees. The Community Advisory Committee was made up of people who represented different community constituencies and that committee had the final say over the HIA products: what would go in the scope, how the findings would be framed, etc. The Technical Advisory Committee gave input on data and methods, and advised the CAC, but did not have final decision-making power. This was clearly documented and identified to everyone, as all committee members had to sign a Memo of Understanding. (Healthy Corridors for All HIA)

Example 5: In an HIA about a proposed Skatepark, HIA practitioners had a description of the HIA practitioner's and the community organization's roles. They also had the workplan that all parties agreed to at the start of the process. Of note, having a written contract - because the community organization was funded to partner with the HIA practitioner - made the agreements explicit. (Skatepark HIA)

*Pay community organizations and members for their expertise.*

Example 1: In an HIA on a ballot initiative in California about sentencing reform, three community groups organized focus groups. Community groups were given \$1,000 per focus group, and agreed that all their costs would come out of that money (incentives, food, transportation, etc). They could divide the funding however they wanted to cover their costs for staffing and recruiting as well. In two of the three cases, the community group gave \$30 grocery store cards and provided food and in some cases transportation. The rest of the funding went to support the community group. In the third case, the

community group donated their time and gave all the funding to the participants in the focus groups as thank you incentives. (Proposition 47 HIA)

Example 2: The wage theft HIA, the Steering Committee were financially compensated for their time. Funding primarily covered focus group costs (transportation, child care, food, and participant incentives) and report and communications costs. Steering Committee members were able to procure additional funding for an info graphic after the report was finished, and they ultimately used the info graphic heavily throughout their campaign and with decision makers.

*Create skills and knowledge development opportunities for community members.*

Example 1: In one project, the Alameda County Public Health Department built in time and planned for and trained a group of youth participants to create a survey, administer it, and analyze the data together. This led to a high rate of ownership of the data and ability to talk about it in detail when presenting with city council and at public events.

*Solicit and incorporate feedback from the community. Utilize community representatives as key data sources.*

Example 1: Whether or not the HIA is even a success at getting recommendations incorporated, people who have offered their time and input like to know if their input made it into the report. Make sure to get the names of everyone in focus groups, surveyed, interviewed as a key informant, on Advisory Committees, at community scoping meetings, solicited for feedback on Recommendations – if they identify themselves as wanting to hear back, and send the HIA out to them with a thank you. In the case of data collection activities where keeping anonymity is required, gather contact information separately.

Example 2: In the Wage Theft HIA, key informant interviews were held with employment/labor and public health experts for the wage theft HIA. This included people who had authored reports on wage theft and labor violations as well as individuals working at labor centers who were not part of the LA Coalition. They were all acknowledged in the final report. (LA Wage Theft HIA)

Example 3: In an HIA on farmland preservation in Kane County, Illinois, the County Planning and Economic Development Agency went multiple times to farmers to solicit feedback on how proposed changes to the current Farmland Preservation ordinance might be received by new farmers. (Growing for Kane HIA)

## **BUILD THE FIELD FOR BETTER COMMUNITY PARTICIPATION**

*HIAs should include the outcome of community participation in process evaluations.*

Example 1: In a recent process evaluation of their HIA program done by an outside evaluator, the Vermont Department of Health included a question in its key informant interview guide using the Spectrum of Public Participation to

ask interviewees what level they thought their HIA teams had engaged the impacted public at.

*Plan for community members as key monitoring agents.*

Example 1: The Farmers Field HIA focused on a proposed professional football stadium locating in a primarily Latino, low-income neighborhood in Los Angeles. HIA recommendations included that the developer should provide funding for dedicated personnel within the Los Angeles Housing Department to work with residents within the “Impact Zone” to support issues related to housing and displacement, including monitoring and enforcing violations of Rent Control Laws. (Farmers Field HIA)

### **ENHANCE CIVIC AGENCY**

First, based on the findings of this evaluation that increased civic agency can lead to more successful HIAs, HIAs should have an explicit goal at the outside of increasing civic agency of community members. We believe all of our recommendations are geared toward enhancing civic agency. For more detail, see the inset in the Summary table in the Full Evaluation Report.

## **APPENDIX D: DATA COLLECTION TOOLS**

## **NATIONAL SURVEY – HIA TEAM MEMBER**



# **Community Participation in Health Impact Assessments, A National Survey Welcome!**

Thank you for taking this brief survey about community participation in Health Impact Assessment (HIA.) Your knowledge, opinions, and experiences are critical to understanding the range of activities occurring across the United States. Your answers are confidential.

The survey should only take about 10-15 minutes.

Using this web survey, and four in depth case studies, we're hoping to gain an understanding of current best practices, barriers, and successes in implementation and outcomes related to community participation in HIA in the US.

Human Impact Partners is collaborating with an evaluation firm, the Center for Community Health and Evaluation, to conduct this evaluation. We will hope to share results in mid-2015.

Any questions? Contact Diana from the Center for Community Health and Evaluation at [charbonneau.d@ghc.org](mailto:charbonneau.d@ghc.org) or (206) 287-2932

Thank you for your time!

## **Background**

- 1) How many Health Impact Assessments (HIAs) have you been involved in to date? Please estimate the total number.
  - ☐ 0
  - ☐ 1
  - ☐ 2
  - ☐ 3
  - ☐ 4-7
  - ☐ 7+
  
- 2) What role did you typically have in the HIA(s) you participated in?
  - ☐ Community member (Someone with an interest in the health impacts of the policy or project under consideration because they are affected by the prospective change, e.g. a resident or representative from a community organization).
  - ☐ HIA team member
  - ☐ Other Stakeholder (Someone who is not a community member, but who has an interest in the health impacts of the policy or project under consideration).

- 3) You have been contacted for this survey through one HIA in particular. Please select that HIA from the drop down menu.  
*[Answer options deleted to protect confidentiality of respondents.]*
- 4) What type of area did this HIA focus on?
- ☐ Rural
  - ☐ Suburban
  - ☐ Urban
  - ☐ Other (federal, etc.), please describe: \_\_\_\_\_
- 5) How would you describe the lead organization that completed this HIA?
- ☐ Academic institution
  - ☐ Community organization
  - ☐ Planning agency
  - ☐ Public health department
  - ☐ Other: \_\_\_\_\_
- 6) Keeping that HIA in mind, how would you describe the community you worked with? What common factor(s) or characteristic(s) brought them together around the topic of the HIA? (E.g. were they residents of a neighborhood affected by the decision, a specific political demographic, a network of organizations, etc.)
- ☐ Members of a particular racial/ethnic group
  - ☐ Particular age groups (e.g., youth, seniors)
  - ☐ People living in a particular geographic area/in proximity to something related to the HIA focus (e.g., a transit line or alcohol outlet)
  - ☐ People of a certain gender/gender identity
  - ☐ People of a certain SES category (low income, homeless)
  - ☐ Other, please describe: \_\_\_\_\_

## Working on the HIA

- 7) How did the HIA team IDENTIFY who to engage to represent the impacted community? We want to know what strategies you tried and how well they worked. Please note all methods used by indicating their effectiveness.

|  | Worked<br>Very<br>Well | Worked<br>Ok | Did Not<br>Work | HIA Team Did<br>Not Try This<br>Method |
|--|------------------------|--------------|-----------------|--|
| By collaborating with a community development worker/engagement specialist |                        |              |                 |  |
| By collaborating with an interest group affected by a policy               |                        |              |                 |  |
| By communicating with individuals  |                        |              |                 |  |
| By communicating with individuals  |                        |              |                 |  |
| By using a geographic definition of community                              |                        |              |                 |  |
| By utilizing social networks   |                        |              |                 |  |
| Other _____  |                        |              |                 |  |

- 8) How did your HIA team REACH OUT to that community? Again, we want to know what strategies you tried and how well they worked. Please note all methods used by indicating their effectiveness.

|  | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA Team Did<br>Not Try This<br>Method |
|--|------------------------|--------------|--------------------|--|
| At public meetings   |                        |              |                    |  |
| Through a community organization(s)                          |                        |              |                    |  |
| Through a community development worker/engagement specialist |                        |              |                    |  |
| Through media campaigns                                      |                        |              |                    |  |
| Through networked/mutual contacts                            |                        |              |                    |  |
| Using flyers/posters   |                        |              |                    |  |
| Using online newsletters/email updates                       |                        |              |                    |  |
| Via cold calls/emails (making new contacts)                  |                        |              |                    |  |
| Other: _____   |                        |              |                    |  |

- 9) Keeping the same HIA in mind, how did the community PARTICIPATE in the process?  
We want to know what strategies were tried and how well they worked. Please note all methods used by indicating their effectiveness in obtaining community input.

|   | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA Team Did<br>Not Try This<br>Method |
|---|------------------------|--------------|--------------------|--|
| Data Collection/Analysis  |                        |              |                    |  |
| Focus Groups  |                        |              |                    |  |
| Inclusion on a steering committee   |                        |              |                    |  |
| Key informant interviews  |                        |              |                    |  |
| Online, written, or oral response to a draft of the HIA                   |                        |              |                    |  |
| Public meetings   |                        |              |                    |  |
| Questionnaires  |                        |              |                    |  |
| Workshops (including techniques such as photovoice and critical dialogue) |                        |              |                    |  |
| Written responses   |                        |              |                    |  |
| Other: _____  |                        |              |                    |  |

- 10) What percent of the total time you spent on that one HIA was dedicated to community engagement?

- ☐ 0-10%  
☐ 11-20%  
☐ 21-30%  
☐ 31-40%  
☐ 41-50%  
☐ 51-60%  
☐ 61-70%  
☐ 71-80%  
☐ 81-90%  
☐ 91-100%

11) Keeping the same HIA in mind, overall, what level of community participation occurred?

- ☐ The community was informed about the HIA process; no other community participation.
- ☐ The HIA team solicited feedback from the community through a few opportunities with limited participation; community input may or may not have been incorporated; the community's role in the HIA was not defined.
- ☐ The HIA team offered opportunities for feedback and got feedback from the community; community input was included in the HIA; and the community's role in the HIA was made clear to all stakeholders and decision-makers.
- ☐ All of the community input and participation outlined above in the "involved" choice, PLUS decision-making authority was shared between HIA team and community.
- ☐ All of the community input and participation outlined above in the "involved" choice, PLUS opportunities for feedback were frequent and participatory and the community had final decision-making authority on HIA decisions.

## Skills and Resources

12) Which RESOURCES did your HIA team find helpful in facilitating community participation? Please note all resources used by indicating their effectiveness.

|   | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA Team Did<br>Not Try This<br>Method |
|---|------------------------|--------------|--------------------|--|
| A community development worker or community engagement specialist, a portion of whose time was designated for the HIA |                        |              |                    |  |
| The <u>community</u> was familiar with the decision-making process the HIA was focused on                             |                        |              |                    |  |
| Familiarity with the community's history of activism  |                        |              |                    |  |
| Financial resources budgeted for community participation  |                        |              |                    |  |
| Financial resources for the HIA (in general)  |                        |              |                    |  |
| The HIA team was familiar with the decision-making process the HIA was focused on                                     |                        |              |                    |  |
| Information systems (e.g. access to databases, GIS technology, software and tools for data analysis/research etc.)    |                        |              |                    |  |
| Participation of government bodies (e.g. planning or public health departments)                                       |                        |              |                    |  |
| A political window of opportunity   |                        |              |                    |  |
| Pre-existing relationships with key community members or organizations (networks)                                     |                        |              |                    |  |
| Space in which to hold community meetings   |                        |              |                    |  |
| Staff time put in by the HIA team   |                        |              |                    |  |
| Technical assistance from another organization(s)   |                        |              |                    |  |
| Other:  |                        |              |                    |  |

13) What SKILLS AND AREAS OF EXPERTISE did your HIA team find to be most valuable in facilitating community participation? Please note all skills and/or areas of expertise used by indicating their effectiveness.

|   | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA Team Did<br>Not Try to Use<br>this Skill/Area<br>of Expertise |
|---|------------------------|--------------|--------------------|---|
| Ability to offer translation services                             |                        |              |                    |   |
| Ability to provide advocacy support and training to the community |                        |              |                    |   |
| Communications expertise (outreach etc.)                          |                        |              |                    |   |
| Community organizing expertise                                    |                        |              |                    |   |
| Cultural competency expertise                                     |                        |              |                    |   |
| Facilitation expertise (for workshops etc.)                       |                        |              |                    |   |
| Prior experience with community participation in HIA              |                        |              |                    |   |
| Social Media  |                        |              |                    |   |
| Other: _____  |                        |              |                    |   |

### Civic Agency

14) During this HIA, voices of individuals in the community were heard.  
Strongly agree      Agree      Disagree      Strongly disagree      I don't know

15) During this HIA, at least some individuals in the community had increased contact with decision makers (in terms of either amount, type, or frequency.)  
Strongly agree      Agree      Disagree      Strongly disagree      I don't know

16) During this HIA, at least some individuals took action to influence the decision and/or its impacts.  
Strongly agree      Agree      Disagree      Strongly disagree      I don't know

17) Because of this HIA, at least some individuals in the community became more aware of how decisions are made.  
Strongly agree      Agree      Disagree      Strongly disagree      I don't know

18) Because of this HIA, at least some individuals in the community have acquired or strengthened skills that could help them influence future decisions.  
Strongly agree      Agree      Disagree      Strongly disagree      I don't know

- 19) Because of this HIA, the community has gotten better at organizing to advocate for its interests (as indicated by changes in social norms, common practices, symbols, and/or organized action itself, etc.)  
 Strongly agree      Agree      Disagree      Strongly disagree      I don't know
- 20) Because of this HIA, does the community now have a formal role in participating in future decisions? (e.g. a new policy that requires decision-makers to consult community members.)  
 Yes      No
- 21) Keeping the same HIA in mind, has the presence of community participation in this HIA caused the HIA team and/or decision-makers to develop or improve any skills or abilities?  
 Yes      No
- 22) How has this HIA affected the receptivity of decision-makers and powerful stakeholders to community participation, if at all?  
 Much more      More      No      Less      Much less      I don't  
 receptive      receptive      change      receptive      receptive      know

### **Benefits and Barriers**

- 23) Keeping the same HIA in mind, what positive things happened because the community was involved? Please check all that apply.
- ☐ Community members became more informed about the effects of HIA on the decision
  - ☐ Community members became more involved in monitoring the decision
  - ☐ Elevated community issues into the decision-making process
  - ☐ Enhanced opportunities for receiving feedback on the recommendations
  - ☐ Established new ongoing partnerships and/or relationships
  - ☐ Increased knowledge and/or skills among decision makers
  - ☐ Increased knowledge and/or skills among the HIA team
  - ☐ Greater acceptance of the recommendations by decision-makers
  - ☐ Positive impact on the decision making process
  - ☐ Positive impact on the implementation of recommendations
  - ☐ Provided a unique perspective that would have been missed
  - ☐ No Specific Benefit
  - ☐ Other, please describe: \_\_\_\_\_



24) What challenges did incorporating community participation into the HIA lead to, if any?

Please check all that apply.

- ☐ Challenges with time and/or resources
- ☐ Challenges with the scope of the research
- ☐ Decreased influence over decision
- ☐ Reduced capacity for other parts of HIA
- ☐ Weakened or damaged relationships
- ☐ Other, please describe \_\_\_\_\_
- ☐ None of the above, there were no negative things that happened as a result of community participation.

### Decision Outcome

25) How much has this HIA changed the decision-making about the policy or project so far?

- ☐ A lot
- ☐ Some
- ☐ A little bit
- ☐ Not at all
- ☐ Too soon to tell
- ☐ We were unable to follow up

26) How would you describe the response of the primary decision maker(s) to the HIA?

Please mark the category that best describes their response overall.

- ☐ Decision makers were supportive of the HIA
- ☐ Decision makers were receptive to the HIA
- ☐ Decision makers were neutral to the HIA
- ☐ Decision makers pushed back about the HIA
- ☐ Decision makers had mixed responses to the HIA
- ☐ Decision makers did not know about the HIA
- ☐ I don't know

27) At this point, this HIA has contributed to positive detectable changes in the community.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

Please explain: \_\_\_\_\_

28) What impact did community participation have on the success of the HIA?

Very positive    Positive      No impact      Negative      Very negative  
Impact          impact                                  impact          impact

### What worked?

29) What do you feel was helpful about your approach to community participation?

\_\_\_\_\_

30) What would you like to do differently in the future?

\_\_\_\_\_

## Optional Demographic Questions

31) How old are you?

- ☐ 15-19
- ☐ 20-24
- ☐ 25-29
- ☐ 30-34
- ☐ 35-39
- ☐ 40 – 44
- ☐ 45 – 49
- ☐ 50 – 54
- ☐ 55-59
- ☐ 60-64
- ☐ 65 +

32) What is the highest grade or year of school that you completed?

- ☐ Never attended/kindergarten only
- ☐ Grade 1-8 (elementary/junior high school)
- ☐ Grade 9-11 (some high school)
- ☐ High school graduate or GED
- ☐ 1-3 years of college
- ☐ 4 or more years of college

33) How would you describe your race or ethnicity? Please check all that apply.

- ☐ African American/Black
- ☐ Asian
- ☐ American Indian or Alaska Native
- ☐ Native Hawaiian or Other Pacific Islander
- ☐ Latino/a
- ☐ White
- ☐ Multi-ethnic

34) How would you describe your ethnicity?

- ☐ Hispanic/Latino
- ☐ Non-Hispanic/Latino
- ☐ Multi-ethnic
- ☐ Other, please specify: \_\_\_\_\_

35) What is your gender? Please check one that best describes your current gender identity.

- ☐ Female
- ☐ Male
- ☐ Trans Female
- ☐ Trans Male
- ☐ Genderqueer/gender non-conforming
- ☐ Not listed, please specify \_\_\_\_\_

36) How many people lived in your home in 2013? (including you)

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4
- ☐ 5
- ☐ 6
- ☐ 7+

37) What is your yearly household income?

- ☐ Less than \$20,000/year
- ☐ Between \$20,000/year and \$40,000/year
- ☐ Between \$40,000/year and \$65,000/year
- ☐ Between \$65,000/year and \$100,000/year
- ☐ Greater than \$100,000/year

**Community Participation in HIA, a national survey**  
**Thank you for taking the time to complete this survey!**

**Your answers are confidential.**

**Thank you for completing this survey.**

**Information from this survey is contributing to a broader understanding of community participation in HIA in the United States.**

**Human Impact Partners is collaborating with an evaluation firm, the Center for Community Health and Evaluation, to conduct this project. We will hope to share results in mid-2015.**

**Any questions?**

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Thank you for your time!

## **Background**

- 1) How many Health Impact Assessments (HIAs) have you been involved in to date? Please estimate the total number.

- ☐ 0
- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4-7
- ☐ 7+

- 2) What role did you typically have in the HIA(s) you participated in?

- ☐ Community member (Someone with an interest in the health impacts of the policy or project under consideration because they are affected by the prospective change, e.g. a resident or representative from a community organization).
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- 2) You have been contacted for this survey through one HIA in particular. Please select that HIA from the drop down menu.

*[Answer options deleted to protect confidentiality of respondents.]*

- 3) What type of area did this HIA focus on?

- ☐ Rural
- ☐ Suburban
- ☐ Urban
- ☐ Other (federal, etc.), please describe: \_\_\_\_\_

- 4) What are some roles that you play within the community? Please check all that apply:

- ☐ Advocate
- ☐ Artist
- ☐ Caretaker
- ☐ Educator
- ☐ Entrepreneur
- ☐ Healer
- ☐ Leader of a community organization
- ☐ Member of a community organization
- ☐ Mentor
- ☐ Parent
- ☐ Other (please name other roles that are important to you): \_\_\_\_\_

- 5) Did you get any type of payment for your role in that HIA?

- ☐ Yes, I got money, a gift card, or some other payment from the HIA organizers.
- ☐ Yes, my organization got funding for our participation.
- ☐ No, I did not receive any payment.

### **Working on the HIA**

- 6) Do you feel that the HIA team successfully identified the community and/or community members who will be impacted by the decision?

- ☐ Yes
- ☐ No

Further comments (Optional): \_\_\_\_\_

- 7) How did the HIA team reach out to your community? We want to know what strategies they tried and how well they worked. Please check the box for how well the methods worked.

|   | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA Team<br>Did Not<br>Try This<br>Method | I don't<br>know |
|---|------------------------|--------------|--------------------|---|-----------------|
| Flyers/posters                              |                        |              |                    |   |                 |
| Media campaigns                             |                        |              |                    |   |                 |
| Public meetings                             |                        |              |                    |   |                 |
| Online newsletters/email updates            |                        |              |                    |   |                 |
| Through a community organization            |                        |              |                    |   |                 |
| Through a community engagement worker       |                        |              |                    |   |                 |
| Through mutual contacts                     |                        |              |                    |   |                 |
| Through new contacts made by phone or email |                        |              |                    |   |                 |
| Other: _____                                |                        |              |                    |   |                 |

- 8) Keeping the same HIA in mind, how did the community participate in the process? Again, we want to know what the strategies were and how well they worked. Please check the box for how well the methods worked to get your input.

|  | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA Team Did<br>Not Try This<br>Method |
|--|------------------------|--------------|--------------------|--|
| Collecting data or looking through the results |                        |              |                    |  |
| Focus groups                                   |                        |              |                    |  |
| Giving feedback on a draft of the HIA          |                        |              |                    |  |
| Interviews with key people                     |                        |              |                    |  |
| Participated on a steering committee           |                        |              |                    |  |
| Public meetings                                |                        |              |                    |  |
| Questionnaires                                 |                        |              |                    |  |
| Workshops about the topic of the HIA           |                        |              |                    |  |
| Written responses                              |                        |              |                    |  |
| Other: _____                                   |                        |              |                    |  |

9) Please estimate the total number of hours you think the community spent on that one HIA project overall:

- ☐ 0-5
- ☐ 6-10
- ☐ 11-15
- ☐ 16-20
- ☐ 21-25
- ☐ 26-30
- ☐ 31-35
- ☐ 36+

10) Keeping the same HIA in mind, overall, what level of community participation occurred?

- ☐ The community was informed about the HIA process; there was no other community participation.
- ☐ The HIA team got feedback from the community on a few occasions with a little bit of participation; the community's input may or may not have been included in the HIA; the community's role in the HIA was not made clear.
- ☐ The HIA team offered opportunities for feedback and got feedback from the community; community input was included in the HIA; and the community's role in the HIA was made clear to all stakeholders and decision-makers.
- ☐ All of the community input and participation outlined above in Choice (C), PLUS the HIA team and the community shared the power over the final decisions about the HIA.
- ☐ All of the community input and participation outlined above in Choice (C), PLUS the community was able to give feedback often AND the community made the final decisions on the HIA.



## Skills and Resources

11) Which RESOURCES did you find helped the community participate in the HIA? Please check the box to say how well these resources worked.

|  | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | Did not try<br>to use this<br>resource |
|--|------------------------|--------------|--------------------|--|
| The amount of money put toward community participation   |                        |              |                    |  |
| The amount of money put toward the HIA (in general)  |                        |              |                    |  |
| The <u>community</u> was familiar with the decision-making process the HIA was focused on  |                        |              |                    |  |
| Contact time with the HIA team   |                        |              |                    |  |
| Established relationships with key community members or organizations (networks)   |                        |              |                    |  |
| Government agencies participated (e.g. planning departments, public health departments, other types of city, county or state agencies) |                        |              |                    |  |
| Guidance from another organization(s) outside of the HIA team  |                        |              |                    |  |
| The <u>HIA team</u> was familiar with the decision-making process the HIA was focused on   |                        |              |                    |  |
| Past community activism about the topic of the HIA and other topics  |                        |              |                    |  |
| A person who was specifically hired to reach out to the community  |                        |              |                    |  |
| Politicians were interested in the topic   |                        |              |                    |  |
| Space to hold community meetings   |                        |              |                    |  |
| Technology (like using databases, making computer maps, computer tools for research, automatic reminders through the cell phone, etc.) |                        |              |                    |  |
| Other:   |                        |              |                    |  |

12) What SKILLS AND AREAS OF EXPERTISE did the HIA team have that helped the community participate in the HIA? Please also check the box to say how effective these skills were.

|  | Worked<br>Very<br>Well | Worked<br>Ok | Did<br>Not<br>Work | HIA team<br>did not try<br>to use this |
|--|------------------------|--------------|--------------------|--|
| Being able to train the community in being able to talk to decision-makers                             |                        |              |                    |  |
| Having done an HIA before this one with community participation  |                        |              |                    |  |
| Having language translation or interpretation  |                        |              |                    |  |
| Skill and experience in relating to the particular race, income level, age, or gender of the community |                        |              |                    |  |
| Skill in leading meetings and getting everyone to talk   |                        |              |                    |  |
| Skill in doing outreach and getting the word out   |                        |              |                    |  |
| Skill in representing the community or training the community  |                        |              |                    |  |
| Skill or experience in community organizing  |                        |              |                    |  |
| Using Facebook, Twitter, and other social internet sites   |                        |              |                    |  |
| Other: _____   |                        |              |                    |  |

### Impacts of community participation

13) During this HIA, voices of people in the community were heard.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

14) During this HIA, at least some people in the community had contact with decision makers.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

15) During this HIA, at least some people in the community took action to affect the decision that the HIA was about.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

16) Because of this HIA, at least some people in the community became more aware of how decisions are made.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

17) Because of this HIA, at least some people in the community now have skills that could help them affect future decisions like the one that the HIA was about.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

18) Because of this HIA, the community is better at organizing to push for what it wants.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

19) Because of the HIA, have decision-makers agreed to ask community opinions in the future?

Yes

No

20) Has community participation in this HIA helped any HIA team members or decision-makers improve their skills?

Yes

No

21) How do you think this HIA changed the opinions of decision-makers about community participation?

Much more

More

No

Less

Much less

I don't

open to  
community  
participation

open to

change  
community  
participation

open to

community  
participation

open to know

community  
participation

### Benefits and Barriers

22) Keeping the same HIA in mind, what positive things happened because the community was involved? Please check all that apply.

- ☐ Community issues are now a part of the decision-making for the policy or project
- ☐ Community members are now keeping track of what happens with the policy or project
- ☐ Community members brought a unique viewpoint to the HIA, such as suggestions that would have been missed
- ☐ Community members had their feedback included in the HIA
- ☐ Community members learned how an HIA could affect a decision
- ☐ Involving community members helped make the decision-making process smoother
- ☐ Involving community members helped get the HIA suggestions included in the policy or project
- ☐ More skills and learning among decision makers
- ☐ More skills and learning among the HIA team
- ☐ Nothing specific has really happened
- ☐ New partnerships, please describe: \_\_\_\_\_
- ☐ Other, please describe: \_\_\_\_\_

23) Was there anything that made it hard for the community to participate in the HIA that the HIA team did not address? Please check all that apply.

- ☐ Being able to get to meeting spaces
- ☐ Being able to use the internet, or not having email
- ☐ Challenges the HIA team had in relating to people of color, people with lower-incomes, youth, people who are not from the United States, or other cultural differences
- ☐ Challenges with transportation
- ☐ Language problems
- ☐ Needing help with money in order to participate
- ☐ The time constraints of community members
- ☐ Other, please describe \_\_\_\_\_
- ☐ None of the above, the community had no problems being able to participate

### Decision Outcome

24) How much has this HIA changed the decision-making about the policy or project so far?

- ☐ A lot
- ☐ Some
- ☐ A little bit
- ☐ Not at all
- ☐ Too soon to tell
- ☐ We were unable to follow up

25) How would you describe the response of the primary decision maker to the HIA?

- ☐ The decision maker was thrilled to have the HIA
- ☐ The decision maker was not quite thrilled, but receptive to the HIA
- ☐ The decision maker was neutral to the HIA
- ☐ The decision maker pushed back about the HIA
- ☐ There were mixed responses to the HIA from the decision maker
- ☐ The decision maker did not know about the HIA
- ☐ I don't know

26) At this point, this HIA has made positive changes in the community that I can see.

Strongly agree      Agree      Disagree      Strongly disagree      I don't know

Please explain: \_\_\_\_\_

27) Did community participation have a positive impact on the success of the HIA?

Very positive    Positive      No impact      Negative      Very negative  
Impact          impact                                  impact          impact

### What worked?

28) What was helpful about the way the HIA team reached out to the community and created opportunities to participate in the process?

\_\_\_\_\_

29) Is there anything they should have done differently? Please explain.

---

### Optional Demographic Questions

30) Would you be willing to answer a few optional demographic questions? We are interested in understanding who is answering this survey and who is participating in HIA across the U.S. Your answers are confidential- we will only report out in high level categories.

Yes                      No

31) How old are you?

- ☐ 15-19
- ☐ 20-24
- ☐ 25-29
- ☐ 30-34
- ☐ 35-39
- ☐ 40 – 44
- ☐ 45 – 49
- ☐ 50 – 54
- ☐ 55-59
- ☐ 60-64
- ☐ 65 +

32) What is the highest grade or year of school that you completed?

- ☐ Never attended/kindergarten only
- ☐ Grade 1-8 (elementary/junior high school)
- ☐ Grade 9-11 (some high school)
- ☐ High school graduate or GED
- ☐ 1-3 years of college
- ☐ 4 or more years of college

33) How would you describe your race or ethnicity? Please check all that apply.

- ☐ African American/Black
- ☐ Asian
- ☐ American Indian or Alaska Native
- ☐ Native Hawaiian or Other Pacific Islander
- ☐ Latino/a
- ☐ White
- ☐ Multi-ethnic

34) How would you describe your ethnicity?

- ☐ Hispanic/Latino
- ☐ Non-Hispanic/Latino
- ☐ Multi-ethnic
- ☐ Other, please specify: \_\_\_\_\_

35) What is your gender? Please check one that best describes your current gender identity.

- ☐ Female
- ☐ Male
- ☐ Trans Female
- ☐ Trans Male
- ☐ Genderqueer/gender non-conforming
- ☐ Not listed, please specify \_\_\_\_\_

36) How many people lived in your home in 2013? (including you)

- ☐ 1
- ☐ 2
- ☐ 3
- ☐ 4
- ☐ 5
- ☐ 6
- ☐ 7+

37) What is your yearly household income?

- ☐ Less than \$20,000/year
- ☐ Between \$20,000/year and \$40,000/year
- ☐ Between \$40,000/year and \$65,000/year
- ☐ Between \$65,000/year and \$100,000/year
- ☐ Greater than \$100,000/year

**Community Participation in HIA, a national survey**  
**Thank you for taking the time to complete this survey!**

**Your answers are confidential.**

**Thank you for completing this survey.**

**Information from this survey is contributing to a broader understanding of community participation in HIA in the United States.**

**Human Impact Partners is collaborating with an evaluation firm, the Center for Community Health and Evaluation, to conduct this project. We will hope to share results in mid-2015.**

**Any questions?**

**Contact Diana from the Center for Community Health and Evaluation at [charbonneau.d@ghc.org](mailto:charbonneau.d@ghc.org) or (206) 287-2932**

# **HIA MEETING OBSERVATION FORM**

## **Notes for observers**

1. Arrive a few minutes early. Sketch the room, start to fill in the form. *Example room layout drawing at end of this document.*
2. Re-read these notes before each observation
3. Keep the primary topics in mind as you record
4. Take note of things you may need to follow up on/clarify with HIA leads

## **Guidance for data collection**

Expectations. This is a long form and there is a lot to capture. Don't worry if you are not able to answer every single question on this form. However, the top things for you to capture – *that you should always make sure you document* – are highlighted in yellow in the form. They are:

1. What groups are in attendance (who has participated)
2. Amount of time individuals (representing groups or not) spoke about different topics (who has participated)
3. Benefits and barriers of CP in HIA: (by barriers we mean things like tensions and how they were resolved; by benefits we mean things like breakthroughs and collaboration). (benefits and barriers; what worked)

Introductions. Have a discussion with the HIA lead and Diana Charbonneau of CCHE during your training about how you would like to handle introducing yourself at meetings/events. See the options below and decide, for your situation, what would work the best.

1. Tell the meeting facilitator in advance who you are and why you are there, but do not announce yourself. If asked, the facilitator can introduce you and give your presence there legitimacy, and you can offer to answer any questions about the evaluation.
2. As a matter of course, have the meeting facilitator introduce you and your purpose for being there. If questions arise about the evaluation, respond.
3. Introduce yourself at the beginning and give your purpose for being there, offer to answer any questions about the evaluation.

The choice of what you do about introductions may vary depending on the type of meeting or event you go to. Be in touch with the HIA lead about preference.

Observe all, be open to writing notes later. You may not have time to take notes on all of the topics identified above while the meeting is going on, but try to be aware of these concepts so that you can write notes about them after the meeting is over. It may help you to write down words or pictures to remind you of your observation on a blank piece of paper or on a blank Meeting Observation Form, and after the meeting is over you can document it more clearly on a "clean" Meeting Observation Form. If you prefer taking notes on a computer, use your best judgment; it is likely that taking notes on a computer may be slightly conspicuous. As much as possible, try to decrease your profile at the meeting/event.

Schedule a 1-hour block of time immediately after the meeting to write up your notes on this observation. Write up your observations as soon as possible! Make sure you have a place to write where you will not be disturbed.



Find a good place to observe. Get to the meeting early so you can identify a location in the room that will afford you the best place to observe everyone (including observing people as they come in and leave, observing people speaking, etc.). If possible, find a location that does not make you and your note-taking too high profile in the room.

Note body language and actions instead of making judgments. When taking notes and writing them up, avoid making judgments with the observations you make. For example, instead of saying, “X attendee was bored”, describe the body language and/or actions that led you to that conclusion by stating something like, “X attendee sat slumped in chair with chin in hand, looking around the room, then started checking phone.” Similarly, instead of saying, “X facilitator manipulated the conversation and X community member got mad,” say, “X facilitator directed the conversation and spoke for X minutes. X community member raised hand/stood up at microphone to say something but facilitator redirected conversation. X community member returned to seat quickly, did not make eye contact, and showed signs of tension in the jaw.”

Another example of a way to describe if those in power in the room are valuing the comments of others: Describe the body language of the speaker/facilitator while community member is speaking – is the facilitator leaning forward, making eye contact, allowing time for the community member to complete comments, remarking in a substantive way to the content of the community members’ comments? Or is the facilitator leaning back/away, checking agenda/phone/notes, not making eye contact, rushing/cutting off the community member before the comments are complete, moving on to the next topic without acknowledging what was just said, not allowing an opportunity for others to speak, etc. Is someone taking notes or recording things on a flip chart? That would indicate that they intend to use the information later.

Again, use your judgment. We don’t want you to write down every single gesture – this is not a body language study – but do try to support your observations with “evidence”.

Identify “who” is in the room. When trying to record/list attendees, speakers and stakeholder organizations/groups in attendance (for example, organizations representing community interests, city planners, health department representatives, developers, policymakers, etc.) you will likely be making these identifications based on introductions that are made, if people introduce themselves before speaking, if they are listed on the agenda, etc.). Get a copy of the sign-in sheet, if possible. Also, if you hear a comment that identifies someone as personally impacted by the topic of the HIA, please note that in the section: “List the stakeholder organizations/groups in attendance.

Follow up with the meeting facilitator. In order to make sure that you have a good sense of who came to the meeting, follow up either right after the meeting (if possible) or by phone to make sure you know: what role attendees were playing in the HIA; what organizations they represent; how they were invited/recruited to the meeting/event; and if the facilitator had content knowledge or was an outside facilitator.

|   |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
|---|--|-------------------------------|---|--|--|--|--|----------------------|--|-------------------------|--|---------------------------------|--|-------------------------|--|
| <b>Observer:</b>  | <b>Date:</b>   | <b>Mtg time &amp; length:</b> | <b>Did the meeting go over it's expected length? If yes, by how long?</b> |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| <b>Location of the meeting:</b>   |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| <b>Title/purpose of the meeting &amp; topic of the meeting</b>  |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| <b>Who is hosting the meeting?</b>  |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| <b>How was the meeting advertised? To whom was it advertised?</b><br>Ask the facilitator or the HIA lead practitioner, if possible. If there is time and you feel comfortable, you could ask community members how they heard about the meeting.  |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| <b>Agenda - is there one</b> <input type="checkbox"/> <b>yes</b> <input type="checkbox"/> <b>no</b> <input type="checkbox"/><br>Please pick up an agenda if there is a printed one.   |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| Briefly sketch out the layout of the room for the meeting ( <i>on a separate piece of paper</i> ): the tables and chairs, entrances/exits to the room, where the speakers are located in the room, where others on the agenda are located, where participants/observers are located.  |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| <b>Are/were the following offered?</b> <table border="0" style="width: 100%;"> <tr> <td style="width: 60%;">a. Meeting located in an area accessible by public transit</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>b. Parking available near meeting location</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>c. Childcare offered</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>d. Refreshments offered</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>e. Translation services offered</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td>f. Materials translated</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> </table> Other offerings to note? |  |                               |   | a. Meeting located in an area accessible by public transit | <input type="checkbox"/> Yes <input type="checkbox"/> No | b. Parking available near meeting location | <input type="checkbox"/> Yes <input type="checkbox"/> No | c. Childcare offered | <input type="checkbox"/> Yes <input type="checkbox"/> No | d. Refreshments offered | <input type="checkbox"/> Yes <input type="checkbox"/> No | e. Translation services offered | <input type="checkbox"/> Yes <input type="checkbox"/> No | f. Materials translated | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| a. Meeting located in an area accessible by public transit  | <input type="checkbox"/> Yes <input type="checkbox"/> No |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| b. Parking available near meeting location  | <input type="checkbox"/> Yes <input type="checkbox"/> No |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| c. Childcare offered  | <input type="checkbox"/> Yes <input type="checkbox"/> No |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| d. Refreshments offered   | <input type="checkbox"/> Yes <input type="checkbox"/> No |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| e. Translation services offered   | <input type="checkbox"/> Yes <input type="checkbox"/> No |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| f. Materials translated   | <input type="checkbox"/> Yes <input type="checkbox"/> No |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |
| Is there sufficient seating for everyone in the room? <span style="float: right;"><input type="checkbox"/> Yes <input type="checkbox"/> No</span>   |  |                               |   |  |  |  |  |                      |  |                         |  |                                 |  |                         |  |

|   |                             |
|---|-----------------------------|
| How many people are at the meeting?   |                             |
| List the stakeholder organizations/groups in attendance:  |                             |
| Group Name  | # of people from that group |
| 1.  |                             |
| 2.  |                             |
| 3.  |                             |
| 4.  |                             |
| 5.  |                             |
| 6.  |                             |
| <b>To the proxy: When following up with the facilitator or planner of the meeting, also ask them about this question in case you were not able to identify the organizational representation.</b>                           |                             |
| Is there a place of authority in the room (a podium, a table for the speakers, someone sitting at the head of a table)? <input type="checkbox"/> Yes <input type="checkbox"/> No<br>If yes, say what it is or how you know: |                             |
| Who is facilitating the meeting / deciding when/how long others can speak? What organization are they from?   |                             |

## MEETING NOTES

Are different groups clustering in different parts of the room or interspersed throughout? This could mean either by the way they choose to sit or when there are formal or informal times to break out. Please identify the groups and at what times they interact or don't.

Are different groups interacting with each other, or are they remaining separated? Please identify which groups you are commenting on. Also, if groups are interacting, are these interactions during formal times to mingle or more during informal times?

List the topics discussed (build off of agenda), who spoke about them (including people who respond/ask questions), how many minutes each person spoke

*Direction: Don't list every single topic, but this should be more detailed than the agenda. The point of this is twofold. First, what percentage of time community is speaking? Second, what ideas and opinions are being raised?*

| Topic discussed | Speaker | # minutes |
|-----------------|---------|-----------|
|                 |         |           |
|                 |         |           |
|                 |         |           |
|                 |         |           |
|                 |         |           |
|                 |         |           |
|                 |         |           |

*If you need more space, feel free to write on the back or on another sheet of paper (electronic or paper).*

Were there any key topics discussed that were not on the agenda, and if so, what?

Were there any key topics that seemed like they should have been brought up?

Please list the types of materials that were used and their accessibility for the population, as far as you can tell.

|   |  |
|---|--|
| Materials<br><br><i>EX: power point slides, maps, handouts, etc</i> | Accessibility<br><br><i>EX: had pictures to describe concepts</i><br><br><i>Had maps to illustrate locations</i><br><br><i>Words required a high school education</i><br><i>Words were understandable to 5<sup>th</sup> grader</i> |
|   |  |
|   |  |
|   |  |
|   |  |
|   |  |

Please indicate which stakeholders seem to be engaged in the meeting, and what you observed to indicate whether they are engaged or not. Please also identify at what points different stakeholders are not engaged (see examples).

| Engaged  | Not engaged  |
|--|--|
| <p>Did you observe: taking notes; nodding in agreement or disagreement; asking questions; side conversations that seemed related to speaker; other indicators of engagement.</p> <p>EX: person from Community Action for Housing took notes and asked twice about inclusionary zoning.</p> | <p>Did you observe: side conversations that seemed unrelated to speaker; texting or emailing; leaving early (how early); other indicators of non-engagement.</p> <p>EX: person from Sunrise Nonprofit texted during presentation from community group.</p> |

Did any tensions arise during the meeting?

☐ Yes ☐ No

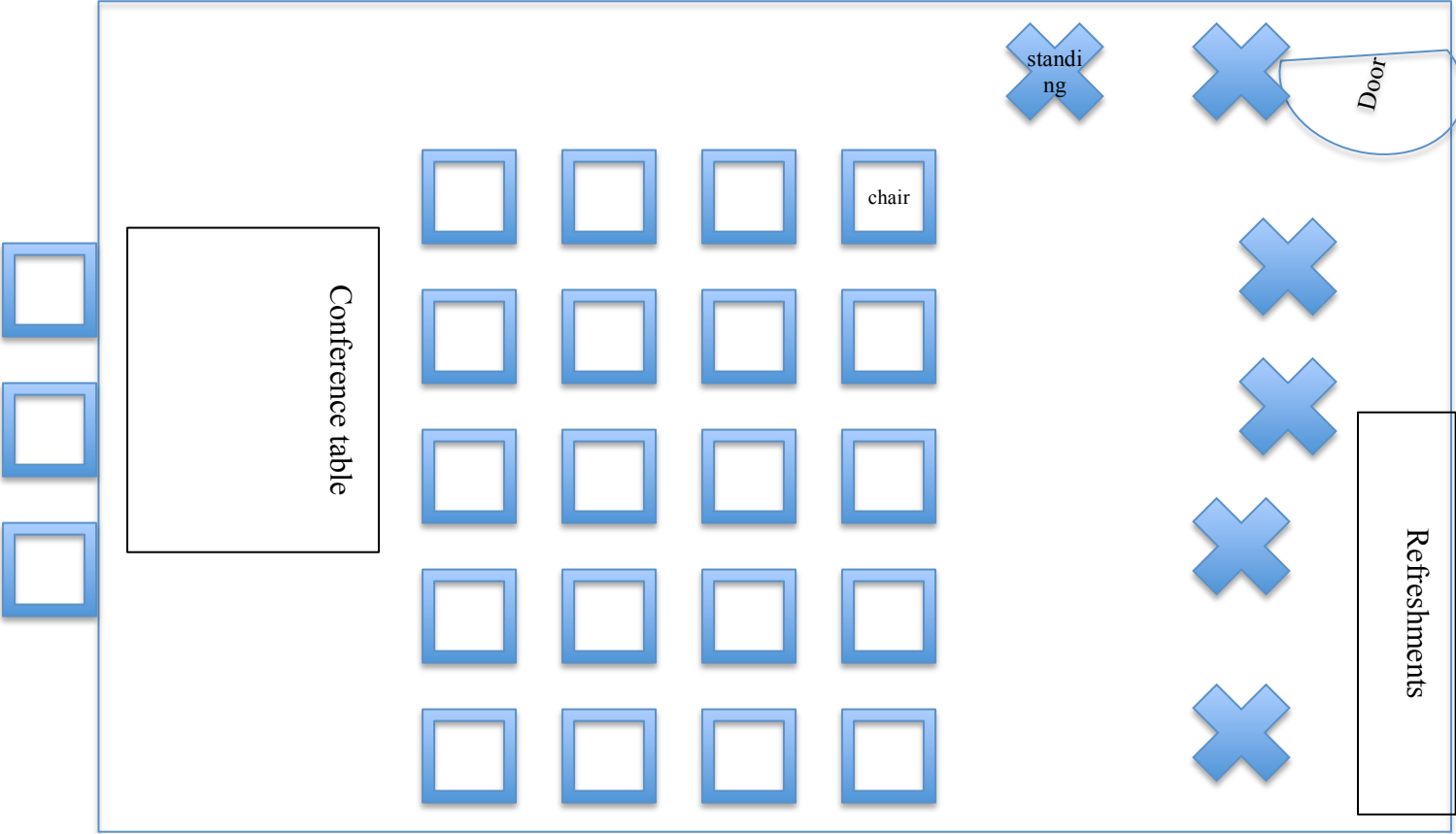
If tensions arose during the meeting, what were they about?

How were the tensions resolved (if they were)?

Describe any remarks or nonverbal cues offered by those “in power” in the room to indicate if comments from others are valued (see observer guidelines).

Is there anything else you observed of note about community participation that is not on this form?

Sample sketch of room layout



## DOCUMENT REVIEW GUIDE



**Background/notes**

- CP= Community Participants
- All guided by [IAP2 Spectrum of Participation](#) framework. Ordered by highest (top) to lowest priority (bottom.)

*CP in HIA Evaluation Research Questions – short form*

## Implementation:

1. what have people tried,
2. who has participated,
3. what worked,
4. skills & resources needed,
5. benefits & barriers

## Outcome:

6. impact on development of civic agency &
7. decision outcome

**Framework for document review**

| <b>Type of Document</b>   | <b>Evaluation question</b>  | <b>Additional description of the analysis framework</b>   |
|---|---|---|
| Grant proposal  | 1. what have people tried,<br>2. who has participated,<br>4. skills & resources needed,   | What community members or orgs do HIA practitioners want to engage and why<br>Scope of efforts: # & format<br>Nature of effort<br>Demography of individuals involved  |
| Stakeholder analysis & engagement plan  | 1. what have people tried,<br>2. who has participated,<br>4. skills & resources needed,   | What community members or orgs do HIA practitioners want to engage and why<br>Scope of efforts: # & format<br>Nature of effort<br>Demography of individuals involved  |
| MOUs or Principals of Collaboration w/ community orgs (signed or unsigned)                  | 1. what have people tried,<br>2. who has participated,<br>4. skills & resources needed,<br>5. benefits & barriers<br>6. impact on development of civic agency | What community members or orgs do HIA practitioners want to engage and why<br>Scope of efforts: # & format<br>Nature of effort<br>Demography of individuals involved<br><br>Authorship, ownership of data, decision-making agreements, distribution of workload, responsibilities |
| Recruitment materials   | 1. what have people tried,<br>2. who has participated,<br>4. skills & resources needed,<br>5. benefits & barriers   | Outreach and retention methods<br>Addressing barriers to participation<br>Demonstrations of cultural sensitivity  |
| Notes and agendas* from meetings with decision-makers or other (non-community) stakeholders | Implementation:<br>1. what have people tried,<br>2. who has participated,<br>3. what worked,<br>4. skills & resources needed,<br>5. benefits & barriers       | What community members or orgs do HIA practitioner want to engage/ succeed in engaging<br>Scope of efforts<br>Format of engagement<br>Nature of effort<br>Demography of individuals involved<br>Demonstrations of cultural sensitivity<br>Evidence of community input             |

|   |   |   |
|---|---|---|
|   | <p>Outcome:</p> <p>6. impact on development of civic agency &amp;</p> <p>7. decision outcome</p>  | <p>Time investment for CP, amount of CP time used</p> <p><u>Look for:</u> What is intended to be discussed and what was; Where are meetings being held; Who are the speakers; How much time are different speakers/ participants scheduled to participate, and how much do they participate; To what extent was community input &amp; participation discussed, was there any resistance; any history between stakeholder groups? Where are stakeholder - community meetings located? Is public transit, parking, childcare, food available?</p>   |
| Notes and agendas* from HIA core project team meeting minutes | <p>Implementation:</p> <p>1. what have people tried,</p> <p>2. who has participated,</p> <p>3. what worked,</p> <p>4. skills &amp; resources needed,</p> <p>5. benefits &amp; barriers</p> <p>Outcome:</p> <p>6. impact on development of civic agency &amp;</p> <p>7. decision outcome</p> | <p>What community members or orgs do HIA practitioner want to engage/ succeed in engaging</p> <p>Scope of efforts</p> <p>Format of engagement</p> <p>Nature of effort</p> <p>Demography of individuals involved</p> <p>Demonstrations of cultural sensitivity</p> <p>Things to look for: Planned outreach and retention methods (who and how); What is intended to be discussed and what was; Where are meetings being held; Who are the speakers; How much time are different speakers/ participants scheduled to participate, how much do they participate; challenges experienced; lessons learned; workload responsibilities</p>  |
| Notes and agendas* from HIA steering committee meetings       | <p>Implementation:</p> <p>1. what have people tried,</p> <p>2. who has participated,</p> <p>3. what worked,</p> <p>4. skills &amp; resources needed,</p> <p>5. benefits &amp; barriers</p> <p>Outcome:</p> <p>6. impact on development of civic agency &amp;</p> <p>7. decision outcome</p> | <p>What community members or orgs do HIA practitioner want to engage/ succeed in engaging</p> <p>Scope of efforts</p> <p>Format of engagement</p> <p>Nature of effort</p> <p>Demography of individuals involved</p> <p>Demonstrations of cultural sensitivity</p> <p>Time investment for CP, amount of CP time used and if they were given funding or not</p> <p>Evidence of community input</p> <p><u>Things to look for:</u> Planned outreach and retention methods (who and how); Attendance (who); ability to provide input; how decisions are made [who votes]; how CP input is used; who is hosting the meeting/where it is held can indicate cmty involvement (church, for ex); what topics were discussed, what decisions were made, were there any disagreements; who are the speakers</p> <p>Demonstrations of cultural sensitivity</p> <p><u>Indicators:</u> use of potentially alienating jargon; presence of translators if necessary; methods of communication that may favor one group or another (PPT versus storytelling etc.); ultimately indicators should reflect welcome/comfort or discomfort that community could feel</p> |

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| HIA data collection tools<br>Copies of blank surveys, focus group guides, key informant interview guides, charette guides | 1. what have people tried,<br>2. who has participated,<br>4. skills & resources needed,<br>5. benefits & barriers   | Demonstrations of cultural sensitivity<br>Evidence of community input and participation<br>Addressing barriers to participation<br>Civic agency  |
| Emails  | 1. what have people tried,<br>2. who has participated,<br>4. skills & resources needed,<br>5. benefits & barriers<br>6. impact on development of civic agency | What community members or orgs do HIA practitioner want to engage/ succeed in engaging<br>Scope of efforts<br>Format of engagement<br>Nature of effort<br>Demography of individuals involved<br>Demonstrations of cultural sensitivity<br><br>Time investment for CP, amount of CP time used   |
| News coverage   | 2. who has participated,<br>6. impact on development of civic agency<br>7. decision outcome   | Evidence of community participation in HIA<br>Evidence of community input and participation in HIA and in public decision making<br>Outcomes of HIA  |
| Newsletter  | 2. who has participated,<br>6. impact on development of civic agency  | Ownership by community: Authors? Voice?<br>Demonstrations of cultural sensitivity<br>Evidence of community input<br><br><u>Look for:</u> Who are the communications materials going to? How is any shared work being described/attributed?<br>Are materials available in other languages, if applicable?<br>Are materials tailored for different audiences/uses by different stakeholder groups? |
| Report/executive summary  |   |  |
| Email updates (blog? Website for HIA project?)  |   |  |
| Press release   |   |  |

\* Note-taking template for meeting notes can be provided

## HIA TEAM LEAD INTERVIEW GUIDE

## **Community Participation in HIA Evaluation Interview Guide: HIA Team Lead**

### **Interview Questions**

1. Tell me about the number of HIAs you've done. Is this the first HIA you've worked on? If not, how many others have you done?
2. How would you describe your role on this HIA project? Were you an HIA team member? A Stakeholder? A Community member? More than one?
3. Describe the process you used to identify who to engage to represent the impacted community for this HIA.
  - a. What kinds of strategies did you try? (examples, if needed: collaborating with a community development worker/engagement specialist, with an interest group affected by a policy, with local organizations, communicating with individuals, using a geographic definition of community, utilizing social networks, etc.)
  - b. Did these strategies change over time?
  - c. Were there any challenges you experienced in this process? Anything that worked particularly well? Please describe.
4. What outreach strategies did you use to engage this group?
  - a. Examples, if needed: public meetings, community organization(s), community development worker/engagement specialist, media campaigns, networked/mutual contacts, flyers/posters, online newsletters/email updates, cold calls/emails (making new contacts), etc.
  - b. Were there any challenges you experienced in this process? Anything that worked particularly well? Please describe.
5. In what ways did the impacted community members participate in the HIA process?
  - a. Examples, if needed: data collection/analysis; focus groups; inclusion on a steering committee; key informant interviews; online, written, or oral response to a draft of the HIA; public meetings; questionnaires; workshops (including techniques such as photovoice and critical dialogue); written responses
6. How would you describe the level of community participation that occurred, based on the following scale: (and please explain your response, give examples)
  - a. The community was informed about the HIA process; no other community participation.
  - b. The HIA team solicited feedback from the community through a few opportunities with limited participation; community input may or may not have been incorporated; the community's role in the HIA was not defined.
  - c. The HIA team offered opportunities for feedback and got feedback from the community; community input was included in the HIA; and

the community's role in the HIA was made clear to all stakeholders and decision-makers.

- d. All of the community input and participation outlined above in the “involved” choice, PLUS decision-making authority was shared between HIA team and community.
  - e. All of the community input and participation outlined above in the “involved” choice, PLUS opportunities for feedback were frequent and participatory and the community had final decision-making authority on HIA decisions.
7. What kinds of resources, skills, or areas of expertise did you find helpful in facilitating community participation, and why?
- a. Examples of resources, if needed: dedicated time of a community development worker or community engagement specialist; the community was familiar with the decision-making process; familiarity with the community's history of activism; financial resources budgeted for community participation; financial resources for the HIA (in general); the HIA team was familiar with the decision-making process; information systems (e.g. access to databases, GIS etc.); participation of government agencies; a political window of opportunity; pre-existing relationships with key community members or organizations (networks); space in which to hold community meetings; staff time put in by the HIA team; technical assistance from another organization(s)
  - b. Examples of skills and areas of expertise, if needed: ability to offer translation services; ability to provide advocacy support and training to the community; communications expertise (for outreach etc.); community organizing expertise; cultural competency expertise; facilitation expertise (for workshops etc.); prior experience with community participation in HIA; social media
  - c. What kinds of resources, skills, or areas of expertise did the community members have that helped them participate in the HIA, and why?
8. To what extent do you feel community members enhanced their level of civic agency (their ability to engage in collective action to address common issues) through participation in this HIA? i.e., think about what their level of civic agency was before the HIA and now after.
- a. Examples, if needed: community voices were heard; community members had increased contact with decision-makers; community members took action to influence the decision and/or its impacts; community members became more aware of how decisions are made; community members acquired or strengthened skills that could help them influence future decisions; the community has gotten better at organizing to advocate for its interests; community has a formal role in participating in future decisions

9. Describe any outcomes of community participation in this HIA.
  - a. Examples, of positive outcomes, if needed: community members became more informed about the effects of HIA on the decision, community members became more involved in monitoring, elevated community issues into the decision-making process, enhanced opportunities for receiving feedback on the recommendations, established new ongoing partnerships and/or relationships, increased knowledge and/or skills among decision makers, increased knowledge and/or skills among the HIA team, greater acceptance of the recommendations by decision-makers, positive impact on the decision making process, positive impact on the implementation of recommendations, provided a unique perspective that would have been missed
  - b. Examples of challenges, if needed: challenges with time and/or resources, challenges with the scope of the research, decreased influence over decision, reduced capacity for other parts of HIA, weakened or damaged relationships
  - c. To what extent have any recommendations from the HIA been incorporated into the/your decision about the topic of the HIA?
10. What lessons did you learn about community participation in HIA? Is there anything that you would do differently next time?
11. If this was not your first HIA, how did the community participation in this HIA differ from previous HIAs you've conducted? Why?
12. As far as you can tell, did community participation in the HIA influence the extent to which the recommendations from the HIA were/will be incorporated into the decision?
13. Is there anything else you think we should know or that you'd like to comment on?

# COMMUNITY MEMBER INTERVIEW GUIDE



## **Community Participation in HIA Evaluation Interview Guide: Community Member**

### **Interview Questions**

1. Tell me about the number of HIAs you've done. Is this the first HIA you've worked on? If not, how many others have you done?
2. How would you describe your role on this HIA project? Were you an HIA team member? A Stakeholder? A Community member? More than one?
3. Do you feel that the HIA team successfully figured out who the community is that will be impacted by the decision?
  - a. Did they get the right people at the table?
  - b. If not, who are the people they should have included, but did not?
4. How did the HIA team reach out to your community?
  - a. Examples, if needed: public meetings, community organization(s), community development worker/engagement specialist, media campaigns, networked/mutual contacts, flyers/posters, online newsletters/email updates, cold calls/emails (making new contacts), etc.
  - b. How well do you think these strategies worked? Tell me more about why you think that.
5. How did the community participate in the HIA process?
  - a. What strategies did they try? Examples, if needed: data collection/analysis; focus groups; inclusion on a steering committee; key informant interviews; online, written, or oral response to a draft of the HIA; public meetings; questionnaires; workshops (including techniques such as photovoice and critical dialogue); written responses
  - b. Is there anything that worked particularly well, or that they should've done differently? Please describe.
6. How would you describe the level of community participation that occurred, based on the following scale\*: (and please explain your response, give examples)
  - a. The community was informed about the HIA process; no other community participation.
  - b. The HIA team solicited feedback from the community through a few opportunities with limited participation; community input may or may not have been incorporated; the community's role in the HIA was not defined.
  - c. The HIA team offered opportunities for feedback and got feedback from the community; community input was included in the HIA; and the community's role in the HIA was made clear to all stakeholders and decision-makers.
  - d. All of the community input and participation outlined above in the "involved" choice, PLUS decision-making authority was shared between HIA team and community.

- e. All of the community input and participation outlined above in the “involved” choice, PLUS opportunities for feedback were frequent and participatory and the community had final decision-making authority on HIA decisions.
7. What kinds of resources, skills, or areas of expertise did the community members have that helped the community participate in the HIA, and why?
- a. Examples of resources, if needed: dedicated time of a community development worker or community engagement specialist; the community was familiar with the decision-making process; familiarity with the community’s history of activism; financial resources budgeted for community participation; financial resources for the HIA (in general); the HIA team was familiar with the decision-making process; information systems (e.g. access to databases, GIS etc.); participation of government agencies; a political window of opportunity; pre-existing relationships with key community members or organizations (networks); space in which to hold community meetings; staff time put in by the HIA team; technical assistance from another organization(s)
  - b. Examples of skills and areas of expertise, if needed: ability to offer translation services; ability to provide advocacy support and training to the community; communications expertise (for outreach etc.); community organizing expertise; cultural competency expertise; facilitation expertise (for workshops etc.); prior experience with community participation in HIA; social media
  - c. What kinds of resources, skills, or areas of expertise did the HIA team members have that helped the community participate in the HIA, and why?
8. To what extent do you feel you and other community members enhanced your level of civic agency (the ability to engage in collective action to address common issues) through participation in this HIA? i.e., think about what your level of civic agency was before the HIA and now after.
- a. Examples, if needed: community voices were heard; community members had increased contact with decision-makers; community members took action to influence the decision and/or its impacts; community members became more aware of how decisions are made; community members acquired or strengthened skills that could help them influence future decisions; the community has gotten better at organizing to advocate for its interests; community has a formal role in participating in future decisions

9. Describe any outcomes of community participation in this HIA.
  - a. Examples, of positive outcomes, if needed: community members became more informed about the effects of HIA on the decision, community members became more involved in monitoring, elevated community issues into the decision-making process, enhanced opportunities for receiving feedback on the recommendations, established new ongoing partnerships and/or relationships, increased knowledge and/or skills among decision makers, increased knowledge and/or skills among the HIA team, greater acceptance of the recommendations by decision-makers, positive impact on the decision making process, positive impact on the implementation of recommendations, provided a unique perspective that would have been missed
  - b. Examples of challenges, if needed: challenges with time and/or resources, challenges with the scope of the research, decreased influence over decision, reduced capacity for other parts of HIA, weakened or damaged relationships
  - c. To what extent have any recommendations from the HIA been incorporated into the/your decision about the topic of the HIA?
10. What lessons did you learn about community participation in HIA? Is there anything that you would do differently next time? Is there anything the HIA team should do differently next time?
11. As far as you can tell, did community participation in the HIA influence the extent to which the recommendations from the HIA were/will be incorporated into the decision?
12. Is there anything else you think we should know or that you'd like to comment on?

## DECISION-MAKER INTERVIEW GUIDE

## **Community Participation in HIA Evaluation Interview Guide: Decision Maker**

### **Interview Questions**

1. Tell me about the number of HIAs you've participated in. Is this the first HIA you've experienced? If not, how many others have you participated in?
2. How would you describe your involvement in the HIA project or with those involved in the HIA?
3. Please describe, if you are aware, how the impacted community members participated in the HIA process.
  - a. Examples, if needed: data collection/analysis; focus groups; inclusion on a steering committee; key informant interviews; online, written, or oral response to a draft of the HIA; public meetings; questionnaires; workshops (including techniques such as photovoice and critical dialogue); written responses
  - b. Is there anything that worked particularly well, or that they should've done differently? Please describe.
4. Please describe the level of community participation that occurred, if you are aware, based on the following scale: (and please explain your response, give examples)
  - a. The community was informed about the HIA process; no other community participation.
  - b. The HIA team solicited feedback from the community through a few opportunities with limited participation; community input may or may not have been incorporated; the community's role in the HIA was not defined.
  - c. The HIA team offered opportunities for feedback and got feedback from the community; community input was included in the HIA; and the community's role in the HIA was made clear to all stakeholders and decision-makers.
  - d. All of the community input and participation outlined above in the "involved" choice, PLUS decision-making authority was shared between HIA team and community.
  - e. All of the community input and participation outlined above in the "involved" choice, PLUS opportunities for feedback were frequent and participatory and the community had final decision-making authority on HIA decisions.
5. To what extent do you feel any of the community members may have enhanced their level of civic agency (the ability to engage in collective action to address common issues) through participation in this HIA? i.e., think about what their level of civic agency was before the HIA and now after.
  - a. Examples, if needed: community voices were heard; community members had increased contact with decision-makers; community members took

action to influence the decision and/or its impacts; community members became more aware of how decisions are made; community members acquired or strengthened skills that could help them influence future decisions; the community has gotten better at organizing to advocate for its interests; community has a formal role in participating in future decisions

6. Describe any outcomes of community participation in this HIA.
  - a. Examples, of positive outcomes, if needed: community members became more informed about the effects of HIA on the decision, community members became more involved in monitoring, elevated community issues into the decision-making process, enhanced opportunities for receiving feedback on the recommendations, established new ongoing partnerships and/or relationships, increased knowledge and/or skills among decision makers, increased knowledge and/or skills among the HIA team, greater acceptance of the recommendations by decision-makers, positive impact on the decision making process, positive impact on the implementation of recommendations, provided a unique perspective that would have been missed
  - b. Examples of challenges, if needed: challenges with time and/or resources, challenges with the scope of the research, decreased influence over decision, reduced capacity for other parts of HIA, weakened or damaged relationships
  - c. To what extent have any recommendations from the HIA been incorporated into the/your decision about the topic of the HIA?
7. What lessons did you learn about community participation in a decision-making process from this HIA? Is there anything that you would suggest the HIA team or the community members involved do differently next time?
8. As far as you can tell, did community participation in the HIA influence the extent to which the recommendations from the HIA were/will be incorporated into the decision?
9. Is there anything else you think we should know or that you'd like to comment on?