

96年人文教育革新中綱計畫

子計畫三 人文領域人才培育國際交流計畫

【補助類型-海外專題研習】

計畫名稱：

【質性研究法在人文學科上的應用與發展】

期末成果報告

指導暨補助單位：教育部

指導單位：教育部顧問室人文領域人才培育國際交流計畫辦公室

執行單位：台北市立教育大學

計畫主持人：張政亮

執行日期：96年9月20日至96年12月31日

中華民國97年1月20日

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一、計畫名稱：質性研究法在人文學科上的應用與發展

二、計畫目標

荀子解蔽篇云：「觀於道之一隅而未能識也」。致知不易，真理之探尋尤難，然人類文明之昌盛卻端賴於對知識的解惑、累積與應用。科學進步需要透過許多人類的知識累積來達成，在這個知識求解與醞積的歷程中，研究方法實扮演著舉足輕重的角色，自十八世紀培根（Bacon）、笛卡兒（Descartes）的實證主義和歸納邏輯，提示了科學思維的基本原理和形式，這種探究與思索問題的觀點配合著觀察與實驗技術之進步，使研究方法產生躍進的蛻變，不僅開啟近代的數理計量方法學及系統科學方法論，也助長了現代科技的蓬勃發展與學科知識的推陳出新。

從啟蒙運動以來，理性高揚，許多人認為透過實證、量化等科學探究方式可尋繹並建構出自然法則，以客觀方式解釋自然現象、掌握萬物演變的脈絡進而能對世界作完全的操控，尤其實証研究在經驗主義大師休謨（Hume）和法國思想家孔德（Comte）的倡導下，認為人的行為與社會生活如同自然科學所研究的對象一樣，不僅可以被當成一種客體研究，而且現象之間存在著一定的因果關係，故可建立超越個人主觀經驗及信仰的客觀知識。影響所及，許多學者亦試圖以自然科學的研究方法，建立嚴格的科學法則來進行人文與社會現象之探究，例如伊茲華斯（Edgeworth）、朱利安（Jullien）、克理斯泰勒（Christaller）、邦吉（Bunge）、喬萊伊（Chorley）、貝比（Babbie）、貝克（Becker）、柯爾曼（Coleman）等學者便移植數學計算、物理模式、控制實驗等研究方法和手段，導入於經濟學、心理學、社會學、人文地理學與教育學等各領域並掀起一股研究風潮，甚而在 20 世紀中期時，引爆出許多社會學科領域中所謂「計量革命」的震撼；如社會學大師貝比（Babbie）便言道：“一切皆可測量”（Measuring anything that exists）的觀點，一度成為社會科學量化研究典範奉行者的標誌性口號。

然而實證主義的量化研究路徑，並不能解決人類社會文化與心理行為的所有問題；換言之，社會文化現象與自然現象明顯有別，故是否可以化約為數量，進行因果分析，則有待審慎的推敲。英國人文地理學家史密斯（Smith）和歐格登（Ogden）便指出：「人文、社會與經濟地理之現象十分複雜，不能用簡單的數學方法來解釋，這種所謂的計量革命把現象當作本質來研究，嚴重忽略現象背後之意涵與詮釋角度。」，教育學者狄爾思（Dilthey）亦指出：「教育不可能像

理論的研究過程也相當遵循科學原則，從資料收集、假設驗證到理論建立，都符合科學的邏輯。而與一般的質性研究不同的是，扎根理論強調明確的「社會學需要建構理論」為目標。在紮根理論被提出之前，社會科學研究普遍存在理論性研究與經驗性研究嚴重脫節的現象，紮根理論便是為了填平此理論研究與經驗研究之間尷尬的鴻溝，而提出了一套明確有系統的策略，以幫助研究者思考、分析整理資料，挖掘並建立理論。

方法是用來解決問題並創建系統知識。尤其在地狹人稠的台灣，許多重大環境工程或開發計畫對於生態環境和人類生活空間都有重大的衝擊與破壞，尤其是生存環境一旦被毀，將永無寧日且萬劫不復，因此早期政府研擬所謂「環境影響評估」方法的建置與實施其目的乃在於企望對「重大公共工程」及「重大開發行為」於規劃階段，便能夠對各種環境層面可能產生的影響加以調查、預測、分析、評定及專業審查；並藉著公開說明、公眾參與等方式，使影響環境的問題獲得充分的瞭解，以便思考防範措施及減輕對策而且還需要研擬適切的環境管理與監測計畫，以便政策通過或開發行為獲得許可後，可以有效確保環境的品質。但環境影響評估制度規定過嚴，誠然會扼殺某些產業發展的生機，而有必要經由不斷的檢驗調整使其更具合理性與可操作性。然若無視法令規範擅自違法施工，則這種便宜行事的心態，代表的是對依法行政的挑釁，以及一種可能的自掘墳墓的愚行。因此以樂生療養院事件為例，該檢討的不止是環評法是否合理可行，以及公權力機關執法的權威與能力，同時自也應檢討一般人普遍具有的應付心態，也就是針對法令規定，規劃的一套，實際執行的又是另一套，尤其對於民眾社會的認知與觀感卻絲毫不納入評估考量。這種情況將使得所謂環境影響評估制度的實施，並未能達到預期效果，環境將繼續受到破壞，生態的衝擊也將益甚，對周遭社區民眾的影響與感受更是充滿漠視的不公。

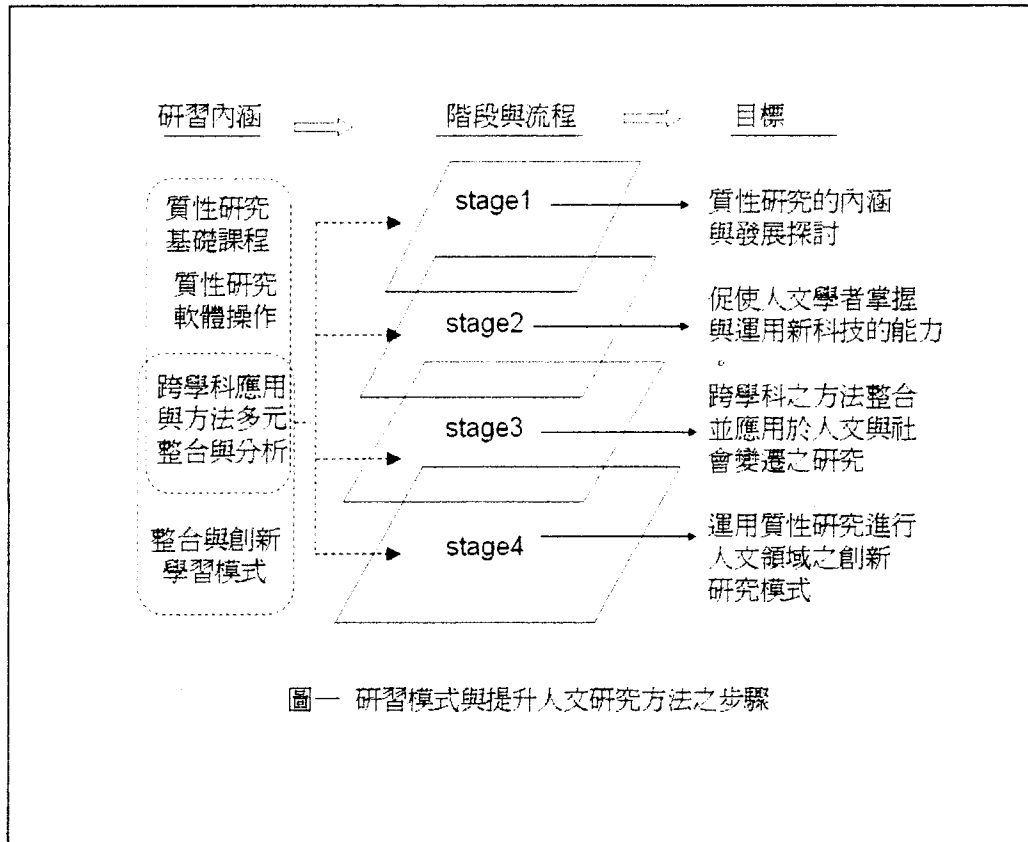
所以近年來社會運動與環境抗爭事件層出不窮，問題的導火線與事件背後的真正原因，也一直是社會學者所關注與研究的焦點，針對環境影響評估的缺失，一種強調人文色彩與質性研究的方法—社會影響評估（Social Impact Assessment）正逐漸在國外運用與推廣。社會影響評估融合了多項質性研究的方法，提供一個兼具理論背景與實際應用的探究步驟，不僅能展現出有效的決策機制，對於相關政策所引發的衝擊，亦能提供相當的評估技術，是一套評估

於計畫執行之前，具有預測性的研究。相對於環境影響評估，社會影響評估更具社會科學素養，並從人文的角度做出對人類社群的貢獻。緣此，本計畫目標主要有下列三點：

1. 探討質性研究方法（如訪談法、觀察法、焦點團體討論、德懷術、歷史研究、紮根理論）在國外的發展與運用情形。
2. 瞭解電腦輔助質性資料分析的方式與功能（如 Expert Choice 決策分析的操作與分析），提升人文學者掌握與運用新科技的能力。
3. 研習質化與量化方法的整合性研究法，並以社會影響評估為實例，進行研究與分析，樹立人文研究的新典範。

三、 執行情形

個人因曾介紹澳洲昆士蘭大學 David 教授來台灣講授社會影響評估 (SIA) 的方法與策略，並以蘇花高速公路的社會影響評估作為研究範例。故獲申請教育部「人文教育革新中綱計畫」的國際交流合作計畫的補助後，即前往昆士蘭大學 (University of Queensland) 與 David 教授進行資料收集與課程研討，此外也獲得澳洲昆士蘭商業科技學院 (Queensland Institute of Commerce and Technology) 副校長 Lawrence 禮聘給與訪問學者 (Visiting Scholar) 的榮譽，至該校進行訪問與交流並學習 AHP (Analytic Hierarchy Process): Methodology and Software Working Example 與 DEPHI 技術，本次研習計畫的內容規劃如圖一所示，並簡要說明如下：第一階段 (96 年 9 月 20 日~10 月 15 日) 主要是基礎課程的學習 (如：DEPHI、扎根理論)，重點在質性研究的內涵與發展探討；第二階段 (96 年 10 月 15 日~10 月 31 日) 為質性研究軟體分享與操作 (如：Atlas.ti, AHP 的 Expert Choice)，目的在掌握與運用新科技的能力；第三階段學習階段 (96 年 11 月 1 日~12 月 23 日)，主要學習 SIA、焦點團體、口述歷史分析等跨學科應用與方法多元整合與分析；第四階段學習為學成回國後 (96 年 12 月 23 日~12 月 31 日)，除將學習心得撰寫及翻譯為專書或報告外，並歸結所學持續推動質性研討會與工作坊，並朝整合與創新的人文領域計畫之品質提升為目標。



研習歷程

日期	階段	研究主題	地點
9月20日~ 10月15日	第一階段	質性研究的內涵與發展研讀	Queensland State Library
10月15日~ 10月31日	第二階段	質性研究軟體分享與操作	QICT
11月1日~ 12月23日	第三階段	多元方法整合之學習與分析 (SIA之研究與實作)	University of Queensland
12月23日~ 12月31日	第四階段	報告撰寫、專書編譯與推廣	TMUE

五、 執行成果分析與檢討

歸結本次研習可以得知，目前質性研究方法的發展有三個趨勢（見 Correll、Denzin、Hine、Donath、Kendall 等人之論著介紹）：一、就先導性而言各種質性研究方法不斷推陳出新，並嘗試運用於各項人文領域，例如：現象學、認識論（epistemology）、批判理論（critical theory）參與觀察法（Participant observation）、視覺分析（visual analysis）、論述分析（discourse analysis）與女性主義等，漸使用在文化人類學、口述歷史訪談、語言文本分析、觀光資源調查與新聞案例等研究，並獲得很大的突破與進展；二、以實驗性來說，分析方法納採一種整合量化、質化、批判、實證之研究途徑，並以「互補性探究資料分析」（Complementary Explorative Data Analysis，簡稱CEDA）模式，如以同步三角檢視（Triangulation），作為結合量化及質性研究，並將之應用在相關人文領域研究的方法論上，已是一種不可逆的潮流趨向；三、至於在創新性上，結合科技與資訊，各項質性研究的工具與軟體也紛紛出籠，如 WinMAX、Atlas.ti（口述歷史或訪談分析使用）、Expert Choice（Analytical Hierarchy Process，AHP；專家系統之層級分析法）等，提供操作與使用的便捷性。質性研究正反合的辯證法思考方式可以協助研究者培養與鍛鍊自己批判式思維與深度的思考力；這種方法不僅可以協助挖掘事實的真相，也能釐清晦澀不明的因果關係。許多人文研究逐漸隨科技與全球化滲透之影響，使「科際整合」（interdisciplinary）研究愈趨必要。正如 Rice（1989：469）所言，「以電腦軟體工具為媒介溝通系統」（computer-mediated communication system，簡稱CMCS）之研究均反映出不同派典、科際界線及評鑑途徑，科際整合使人文、經濟、文化、社會、藝術、教育等不同領域對資訊科技形成之衝擊提供對話與合作空間，科際整合已是時勢所趨；如今科技以其沛然莫能御之之力全面侵入人類生活，除非對人類與科技間之關係有相當理解，否則研究科技之運用常流於「膚淺化」之技術探討。科技運用本質之爭體現在「科技決定論」（technological determinism）與「魯迪主義」（Luddism）之對立中。Karl Marx 聲稱科技均代表兩種對立之可能，一是解放（emancipation）、一是宰制（domination），因之思索人類與科技間關係之

本質，乃探索網路技術應用及正負面影響之基石，對科技本質之掌握須經由科際整合方能獲致，因此如何熟悉科技工具以利人文學科的調查與分析便十分的重要，所謂役物而不役於物的前提便是對研究法本身得洞悉與熟捻。

另外，近年來環境生態的破壞日益嚴峻，社會運動與抗爭事件也層出不窮，問題的導火線與事件背後的真正原因，一直是人文及社會學者所關注與研究的焦點，因為問題的核心最終歸結還是在人的身上，例如蘇花高速公路的興建與否，環境影響評估（Environment Impact Assessment, EIA）的通過與否似乎不是爭議的主軸，社群居民的抗爭、利益團體的交鋒、對人文社經的衝擊才是爭議的焦點而這些非科技的理性決策所能定奪，故晚近以人文角度思考的社會影響評估(Social Impact Assessment, SIA)和社會經濟的影響評價（Social Environment Impact Assessment, SEIA）開始受到國外的重視和引用，社會影響評估(SIA)乃源於 80 年代受自由主義思潮及各種方法論的進展影響，社會影響評估是一套社會評價系統，就組織而言是分析社群中的人們對一外力事件，怎樣達成決定和適應，在架構上，則彰顯所謂權力和不平等、脆弱和公正性等相對的概念。因為社會影響評估的方法，融合了多種質性與量化研究的方法，提供一個兼具理論背景與實際應用的探究步驟，不僅能展現出有效的決策機制，對於相關政策所引發的衝擊，亦能提供相當的評估技術，是一套評估大型開發計畫執行之前，所具有之預測性研究。相對於環境影響評估，社會影響評估更具社會科學素養，並從人文的角度做出對人類社群的貢獻。實施社會影響評估是幫助個體、社區，並且政府和私營部門組織瞭解和能期望可能的社會後果在提出的項目發展或政策變化的人口和社區。社會影響評估配合環境影響評估並與 80 年代稍後提出的「永續發展」概念結合的研究與實踐議題，已漸成為一種風潮，故如何將社會影響評估發展出具體且可操作的影響評估政策，促使人文學者省思科技及全球化所帶來的文化衝擊與社會變遷，是本次赴澳洲研究以整合性之質性研究法進行人文領域相關議題之最大意義與收穫。

具體而言，此次成果有下列幾項：

1. 方法整合研究（以 SIA 為例的質化與量化互補，研習活動參見圖二）
2. 專業軟體學習(AHP、DEPHI 德懷術技術, Expert Choice 決策分析)，提升運用新科技的能力。

3. 跨領域運用（口述歷史、觀察、訪談、賽局理論與問卷設計），樹立人文研究的新典範。

4. SIA 專書出版與推廣，回應全球化衝擊的能力（見附錄 SOCIAL IMPACT ASSESSMENT, International Principles）。



六、 結論與建議

1. 達成人文領域研究法之提升並國際研究水平接軌：透過國際知名大學與權威教授的帶領學習，這些創新的研究理論與方法以深入淺出的方式介紹給相關的研究人員或有興趣的普羅大眾，進而帶動國內人文社會科學研究法

的研究風氣，幫助人文研究學者在科技協助下瞭解結構化的研究方法，並認識與有效運用這些方法在檢測學科理論與解釋人類文化的現象與特徵，不僅有利於國內人文領域研究法之提升，更可掌握質性研究的相關先導型或實驗型的理論進程，便與國際研究水平接軌。

2. 促進學科之整合與人文和科技之對話：以電腦軟體工具為媒介溝通系統，這種操作與應用，能提升人文學者掌握與運用此波新科技的能力，促進科際整合與學科交流；而科際整合進可使人文、經濟、文化、社會、藝術、教育等不同領域對資訊科技形成之衝擊提供對話與合作空間，也使理論概念與實務操作相互配合，利於學習和應用。所以此次鼓勵跨國際與跨領域的研究工作，可以適度打破學科之間的分界，並拆除科技與人文的藩籬，讓人文學者可以擁有新的研究工具、思維和方法，以及新的研究視野，進而可能因而樹立新的研究典範。

3. 積極拓展國際學術合作交流：在全球化下出國學習與交流可增進知識與經驗之累積，更促使人文學者省思科技及全球化所帶來的文化衝擊與社會變遷，及早因應並尋思解決之法，所以此次研習歸國後除知識的分享外，如何持續建構綿密國際學術合作網絡。並藉由至當地的深度參訪交流溝通，建立雙邊長遠深厚的互信基礎，為全球化思考、在地化行動(Think globally, act locally)的理想奠定穩固的合作基礎實屬重要。

七、 附錄 (SIA 之研究成果)

Purpose/Background

This document was prepared over a five year period as an official IAIA Project. Workshops to develop these Principles were held at several IAIA and other conferences across six continents. Several hundred people were consulted in the process of drafting the document and some fifty people made substantial contributions.

The International Principles is a living document that will continue to be modified. This, and all subsequent versions, will be accessible on the IAIA website (www.iaia.org).

This document was prepared for IAIA by Frank Vanclay, to whom feedback should be provided.

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SOCIAL IMPACT ASSESSMENT International Principles

SOCIAL IMPACT ASSESSMENT (SIA) IS ANALYSING, MONITORING AND
MANAGING THE SOCIAL CONSEQUENCES OF DEVELOPMENT.

Why have Principles for Social Impact Assessment?

There has been considerable interest in producing "International Guidelines and Principles for Social Impact Assessment". An international document produced under the auspices of a major organisation such as the International Association for Impact Assessment could:

- Assist in the development of legislation and policy at the national level;
- Provide standards for SIA practice in international contexts (transboundary projects, development cooperation, foreign investments, international banking);
- Increase the appeal of SIA to a wider range of audiences, through increasing its legitimacy/standing;
- Establish minimum standards for SIA practice;
- Provide an articulation of best practice in SIA as a model to aspire to;
- Remove confusion over terminology by establishing a definitive glossary;
- Establish the appropriate scope of the social component of impact assessments;
- Promote the integration of SIA in all impact assessments (especially environmental impact assessment and strategic environmental assessment).

The process of developing international guidelines and principles however has been difficult. In a truly international context, there are many issues to consider and little can be taken for granted. The regulatory context varies, the cultural/religious context varies, and social and economic priorities for development vary. As the process of developing international guidelines and principles progressed, increasing pressure was placed on the conventional understanding of SIA, and a new concept of what SIA was about emerged. This resulted in a revised definition of SIA.

It also became apparent that a definitive document containing the "International Guidelines and Principles" was a flawed concept. Firstly, because most such documents tend to emphasise guidelines rather than principles. They fail to realise that guidelines need to be deduced from principles, and principles need to be derived from core values. Only by first establishing the core values of the community of practice, then deriving the principles, and only then developing guidelines, can truly appropriate guidelines emerge. The second flaw is that guidelines and principles are often developed in non-participatory processes. Even where participatory processes are involved, too often they do not include the people to whom the guidelines are directed. These are the people who ultimately need to develop 'ownership' of the guidelines if they are to be adopted and utilised.

This document serves as a discussion document for the impact assessment community. It promulgates a new understanding of SIA. It is intended that this be available to practitioners around the world. It can provide them with the basis for developing national guidelines in consultation with a range of stakeholders and users in their own countries.

The nature of SIA in an international context

The objective of SIA is to ensure that development maximises its benefits and minimises its costs, especially those costs borne by people (including those in other places and in the future). Costs and benefits may not be measurable or quantifiable and are often not adequately taken into account by decision-makers, regulatory authorities and developers. By identifying impacts in advance: (1) better decisions can be made about which interventions should proceed and how they should proceed; and (2) mitigation measures can be implemented to minimise the harm and maximise the benefits from a specific planned intervention or related activity.

An important feature of SIA is the professional value system held by its practitioners. In addition to a commitment to sustainability and to scientific integrity, such a value system includes an ethic that advocates openness and accountability, fairness and equity, and defends human rights. The role of SIA goes far beyond the ex-ante (in advance) prediction of adverse impacts and the determination of who wins and who loses. SIA also encompasses: empowerment of local people; enhancement of the position of women, minority groups and other disadvantaged or marginalised members of society; development of capacity building; alleviation of all forms of dependency; increase in equity; and a focus on poverty reduction. SIA complements the economic and technical models that characterise the thinking of many development professionals and agencies.

SIA can be undertaken in different contexts and for different purposes. This creates difficulties in defining or evaluating it. The nature of an SIA done on behalf of a multinational corporation as part of that company's internal procedures may be very different to an SIA undertaken by a consultant in compliance with regulatory or funding agency requirements, or an SIA undertaken by a development agency interested in ensuring best value for their country's development assistance. These, in turn, may be very different to an SIA undertaken by staff or students at a local university on behalf of the local community, or an SIA undertaken by the local community itself. Each of these applications of SIA is worthwhile, and none should pretend to be the definitive statement. Evaluation of an SIA needs to consider its intended purpose.

Some conceptualizations of SIA are related to protecting individual property rights, with clear statements of adverse impacts required to ensure that individual rights are not transgressed. Where these rights are violated, SIA could be seen as contributing to mitigation and compensation mechanisms. In these situations, SIA tends to concentrate on the negative impacts. In other contexts, however, particularly in developing countries, there should be less emphasis on the negative impacts on small groups of individuals or on individual property rights. Rather, there should be greater concern with maximising social utility and development potential, while ensuring that such development is generally acceptable to the community, equitable and sustainable. SIA should also focus on reconstruction of livelihoods. The improvement of social wellbeing of the wider community should be explicitly recognized as an objective of planned interventions, and as such should be an indicator considered by any form of assessment. **However, awareness of the differential distribution of impacts among different groups in society, and particularly the impact burden experienced by vulnerable groups in the community should always be of prime concern.**

SIA COMPLEMENTS THE ECONOMIC AND TECHNICAL
MODELS THAT CHARACTERISE THE THINKING OF MANY
DEVELOPMENT PROFESSIONALS AND AGENCIES

Defining and describing Social Impact Assessment

In general terms, SIA is analysing, monitoring and managing the social consequences of development. However, there are different levels by which to understand the term 'SIA'. SIA is a field of research and practice, or a paradigm consisting of a body of knowledge, techniques, and values. Various individuals identify themselves as SIA professionals, or list SIA as one of their disciplines or specialty areas. There is a community of individuals engaged in research and practice of SIA. These people practice the methodology of SIA and undertake associated social and environmental research to inform the practice of SIA. As a methodology or instrument, SIA is the process that SIA professionals follow in order to assess the social impacts of planned interventions or events, and to develop strategies for the ongoing monitoring and management of those impacts. SIA should not be understood only as the task of predicting social impacts in an impact assessment process.

SOCIAL IMPACT ASSESSMENT INCLUDES THE PROCESSES OF ANALYSING, MONITORING AND MANAGING THE INTENDED AND UNINTENDED SOCIAL CONSEQUENCES, BOTH POSITIVE AND NEGATIVE, OF PLANNED INTERVENTIONS (POLICIES, PROGRAMS, PLANS, PROJECTS) AND ANY SOCIAL CHANGE PROCESSES INVOKED BY THOSE INTERVENTIONS. ITS PRIMARY PURPOSE IS TO BRING ABOUT A MORE SUSTAINABLE AND EQUITABLE BIOPHYSICAL AND HUMAN ENVIRONMENT.

The important features of this understanding of SIA are that:

1. The goal of impact assessment is to bring about a more ecologically, socio-culturally and economically sustainable and equitable environment. Impact assessment, therefore, promotes community development and empowerment, builds capacity, and develops social capital (social networks and trust).
2. The focus of concern of SIA is a proactive stance to development and better development outcomes, not just the identification or amelioration of negative or unintended outcomes. Assisting communities and other stakeholders to identify development goals, and ensuring that positive outcomes are maximised, can be more important than minimising harm from negative impacts.
3. The methodology of SIA can be applied to a wide range of planned interventions, and can be undertaken on behalf of a wide range of actors, and not just within a regulatory framework.
4. SIA contributes to the process of adaptive management of policies, programs, plans and projects, and therefore needs to inform the design and operation of the planned intervention.
5. SIA builds on local knowledge and utilises participatory processes to analyse the concerns of interested and affected parties. It involves stakeholders in the assessment of social impacts, the analysis of alternatives, and monitoring of the planned intervention.
6. The good practice of SIA accepts that social, economic and biophysical impacts are inherently and inextricably interconnected. Change in any of these domains will lead to changes in the other domains. SIA must, therefore, develop an understanding of the impact pathways that are created when change in one domain triggers impacts across other domains, as well as the iterative or flow-on consequences within each domain. In other words, there must be consideration of the second and higher order impacts and of cumulative impacts.
7. In order for the discipline of SIA to learn and grow, there must be analysis of the impacts that occurred as a result of past activities. SIA must be reflexive and evaluative of its theoretical bases and of its practice.
8. While SIA is typically applied to planned interventions, the techniques of SIA can also be used to consider the social impacts that derive from other types of events, such as disasters, demographic change and epidemics.

SIA is best understood as an umbrella or overarching framework that embodies the evaluation of all impacts on humans and on all the ways in which people and communities interact with their socio-cultural, economic and biophysical surroundings. SIA thus has strong links with a wide range of specialist sub-fields involved in the assessment of areas such as: aesthetic impacts (landscape analysis), archaeological and cultural heritage impacts (both tangible and non-tangible), community impacts, cultural impacts, demographic impacts, development impacts, economic and fiscal impacts, gender impacts, health and mental health impacts, impacts on indigenous rights, infrastructural impacts, institutional impacts, leisure and tourism impacts, political impacts (human rights, governance, democratisation etc.), poverty, psychological impacts, resource issues (access and ownership of resources), impacts on social and human capital, and other impacts on societies. As such, comprehensive SIA cannot formally be undertaken by a single person, but requires a team approach.

What are social impacts?

SIA is much more than the prediction step within an environmental assessment framework. Social impacts are much broader than the limited issues often considered in EIAs (such as demographic changes, job issues, financial security, and impacts on family life). A limited view of SIA creates demarcation problems about what are the social impacts to be identified by SIA, versus what is considered by related fields such as health impact assessment, cultural impact assessment, heritage impact assessment, aesthetic impact assessment, or gender impact assessment. The SIA community of practitioners considers that all issues that affect people, directly or indirectly, are pertinent to social impact assessment.

A convenient way of conceptualising social impacts is as changes to one or more of the following:

- people's way of life – that is, how they live, work, play and interact with one another on a day-to-day basis;
- their culture – that is, their shared beliefs, customs, values and language or dialect;
- their community – its cohesion, stability, character, services and facilities;
- their political systems – the extent to which people are able to participate in decisions that affect their lives, the level of democratisation that is taking place, and the resources provided for this purpose;
- their environment – the quality of the air and water people use; the availability and quality of the food they eat; the level of hazard or risk, dust and noise they are exposed to; the adequacy of sanitation, their physical safety, and their access to and control over resources;
- their health and wellbeing – health is a state of complete physical, mental, social and spiritual wellbeing and not merely the absence of disease or infirmity;
- their personal and property rights – particularly whether people are economically affected, or experience personal disadvantage which may include a violation of their civil liberties;
- their fears and aspirations – their perceptions about their safety, their fears about the future of their community, and their aspirations for their future and the future of their children.

Activities comprising Social Impact Assessment

SIA comprises most of the following activities. It:

- participates in the environmental design of the planned intervention;
 - identifies interested and affected peoples;
 - facilitates and coordinates the participation of stakeholders;
 - documents and analyses the local historical setting of the planned intervention so as to be able to interpret responses to the intervention, and to assess cumulative impacts;
 - collects baseline data (social profiling) to allow evaluation and audit of the impact assessment process and the planned intervention itself;
 - gives a rich picture of the local cultural context, and develops an understanding of local community values, particularly how they relate to the planned intervention;
 - identifies and describes the activities which are likely to cause impacts (scoping);
 - predicts (or analyses) likely impacts and how different stakeholders are likely to respond;
 - assists evaluating and selecting alternatives (including a no development option);
 - assists in site selection;
 - recommends mitigation measures;
 - assists in the valuation process and provides suggestions about compensation (non-financial as well as financial);
 - describes potential conflicts between stakeholders and advises on resolution processes;
 - develops coping strategies for dealing with residual or non-mitigatable impacts;
 - contributes to skill development and capacity building in the community;
 - advises on appropriate institutional and coordination arrangements for all parties;
 - assists in devising and implementing monitoring and management programs.
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Guidelines, Principles and Core Values

- I. Core Values:** *Fundamental, ideal-typical, enduring, statements of belief that are strongly held and accepted as premises (is-statements).*
- II. Principles:** *General statements of either a common understanding or an indication as to a course of action about what ought to be done (ought statements).*
- III. Guidelines:** *Statements by which to plan a specific course of action and which clarify how it should be done (action statements).*

Guidelines can be described as statements which provide advice or direction by which to plan a specific course of action. They are written as specific statements of instruction about what to do and/or how to do it. Typically they are "action-statements". A principle is a macro statement that provides a general guide to a course of action about what ought to be done. They are written as "ought-statements". Core values are statements about fundamental beliefs that are deeply held. They are typically "is-statements". Values determine principles, from which guidelines can be written.

I. The core values of SIA

The SIA community of practice believes that:

1. There are fundamental human rights that are shared equally across cultures, and by males and females alike.
2. There is a right to have those fundamental human rights protected by the rule of law, with justice applied equally and fairly to all, and available to all.
3. People have a right to live and work in an environment which is conducive to good health and to a good quality of life and which enables the development of human and social potential.
4. Social dimensions of the environment – specifically but not exclusively peace, the quality of social relationships, freedom from fear, and belongingness – are important aspects of people's health and quality of life.
5. People have a right to be involved in the decision making about the planned interventions that will affect their lives.
6. Local knowledge and experience are valuable and can be used to enhance planned interventions.

II(a). Fundamental principles for development

The SIA community of practice considers that:

1. Respect for human rights should underpin all actions.
 2. Promoting equity and democratisation should be the major driver of development planning, and impacts on the worst-off members of society should be a major consideration in all assessment.
 3. The existence of diversity between cultures, within cultures, and the diversity of stakeholder interests need to be recognised and valued.
 4. Decision making should be just, fair and transparent, and decision makers should be accountable for their decisions.
 5. Development projects should be broadly acceptable to the members of those communities likely to benefit from, or be affected by, the planned intervention.
 6. The opinions and views of experts should not be the sole consideration in decisions about planned interventions.
 7. The primary focus of all development should be positive outcomes, such as capacity building, empowerment, and the realization of human and social potential.
 8. The term, 'the environment', should be defined broadly to include social and human dimensions, and in such inclusion, care must be taken to ensure that adequate attention is given to the realm of the social.
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II(b). Principles specific to SIA practice

1. Equity considerations should be a fundamental element of impact assessment and of development planning.
2. Many of the social impacts of planned interventions can be predicted.
3. Planned interventions can be modified to reduce their negative social impacts and enhance their positive impacts.
4. SIA should be an integral part of the development process, involved in all stages from inception to follow-up audit.
5. There should be a focus on socially sustainable development, with SIA contributing to the determination of best development alternative(s) – SIA (and EIA) have more to offer than just being an arbiter between economic benefit and social cost.
6. In all planned interventions and their assessments, avenues should be developed to build the social and human capital of local communities and to strengthen democratic processes.
7. In all planned interventions, but especially where there are unavoidable impacts, ways to turn impacted peoples into beneficiaries should be investigated.
8. The SIA must give due consideration to the alternatives of any planned intervention, but especially in cases when there are likely to be unavoidable impacts.
9. Full consideration should be given to the potential mitigation measures of social and environmental impacts, even where impacted communities may approve the planned intervention and where they may be regarded as beneficiaries.
10. Local knowledge and experience and acknowledgment of different local cultural values should be incorporated in any assessment.
11. There should be no use of violence, harassment, intimidation or undue force in connection with the assessment or implementation of a planned intervention.
12. Developmental processes that infringe the human rights of any section of society should not be accepted.

II(c). Other guiding principles

There are many International Agreements and Declarations that contain notable statements. Principle 1 of the 1992 Rio Declaration on Environment and Development, for example, states that “*Human beings are at the centre of concerns for sustainable development. They are entitled to a healthy and productive life in harmony with nature.*” Principle 17 calls for impact assessment to be undertaken. Article 1 of the 1986 Declaration on the Right to Development states that:

“The right to development is an inalienable human right by virtue of which every human person and all peoples are entitled to participate in, contribute to, and enjoy economic, social, cultural and political development, in which all human rights and fundamental freedoms can be fully realized. The human right to development also implies the full realization of the right of peoples to self-determination, which includes, subject to the relevant provisions of both International Covenants on Human Rights, the exercise of their inalienable right to full sovereignty over all their natural wealth and resources.”

In International Agreements and Declarations social issues are often implied but rarely given adequate emphasis. Nevertheless, the statements that are given in those Declarations can be rewritten to refer to social issues more specifically. The following is a list of international principles in common usage rewritten to apply more directly to social issues.

Precautionary Principle: In order to protect the environment, a concept which includes peoples’ ways of life and the integrity of their communities, the precautionary approach shall be applied. Where there are threats or potential threats of serious social impact, lack of full certainty about those threats should not be used as a reason for approving the planned intervention or not requiring the implementation of mitigation measures and stringent monitoring.

Uncertainty Principle: It must be recognised that our knowledge of the social world and of social processes is incomplete and that social knowledge can never be fully complete because the social environment and the processes affecting it are changing constantly, and vary from place to place and over time.

Intragenerational Equity: The benefits from the range of planned interventions should address the needs of all, and the social impacts should not fall disproportionately on certain groups of the population, in particular children and women, the disabled and the socially excluded, certain generations or certain regions.

Intergenerational Equity: Development activities or planned interventions should be managed so that the needs of the present generation are met without compromising the ability of future generations to meet their own needs.

Recognition and Preservation of Diversity: Communities and societies are not homogenous. They are demographically structured (age and gender), and they comprise different groups with various value systems and different skills. Special attention is needed to appreciate the existence of the social diversity that exists within communities and to understand what the unique requirements of special groups may be. Care must be taken to ensure that planned interventions do not lead to a loss of social diversity in a community or a diminishing of social cohesion.

Internalization of Costs. The full social and ecological costs of a planned intervention should be internalised through the use of economic and other instruments, that is, these costs should be considered as part of the costs of the intervention, and no intervention should be approved or regarded as cost-effective if it achieves this by the creation of hidden costs to current or future generations or the environment.

The Polluter Pays Principle. The full costs of avoiding or compensating for social impacts should be borne by the proponent of the planned intervention.

The Prevention Principle. It is generally preferable and cheaper in the long run to prevent negative social impacts and ecological damage from happening than having to restore or rectify damage after the event.

The Protection and Promotion of Health and Safety. Health and safety are paramount. All planned interventions should be assessed for their health impacts and their accident risks, especially in terms of assessing and managing the risks from hazardous substances, technologies or processes, so that their harmful effects are minimized, including not bringing them into use or phasing them out as soon as possible. Health impacts cover the physical, mental and social wellbeing and safety of all people, paying particular attention to those groups of the population who are more vulnerable and more likely to be harmed, such as the economically deprived, indigenous groups, children and women, the elderly, the disabled, as well as to the population most exposed to risks arising from the planned intervention.

The Principle of Multisectoral Integration. Social development requirements and the need to consider social issues should be properly integrated into all projects, policies, infrastructure programs and other planning activities.

The Principle of Subsidiarity. Decision making power should be decentralised, with accountable decisions being made as close to an individual citizen as possible. In the context of SIA, this means decisions about the approval of planned interventions, or conditions under which they might operate, should be taken as close to the affected people as possible, with local people having an input into the approval and management processes.



III. Developing Guidelines

Because guidelines are specific recommendations for action, they need to be developed in the context in which they are to be applied and they need to be addressed to a specific audience. Therefore, they need to be developed in conjunction with the relevant parties. They need to become accepted as the guidelines of that group rather than being imposed.

There are many different groups who are potentially interested in guidelines for SIA. They include:

- **SIA practitioners** – require guidelines to improve their practice;
- **Regulatory agencies** – require guidelines in order to specify or audit the scope of SIA activities they commission as well as the quality of SIA reports they receive;
- **Policy and program developers** – require guidelines to ensure that policy and program development considers social impacts;
- **Affected peoples and NGOs** – require guidelines to be able to participate effectively in SIA processes. Local action groups (resident action groups) and NGOs often act like a regulatory agency in checking the appropriateness of SIA processes.
- **Developers (proponents) and Financiers** – require guidelines to be committed to good practice in environmental and social impact assessment, to adequately resource such practice, to liaise effectively with practitioners and interested and affected parties, and with regulatory agencies.
- **Development agencies** (multilateral and bilateral aid organisations) – require guidelines to ensure that the most benefit is obtained from their aid projects, that SIA components are adequately resourced, and that the aid projects themselves do not have unintended environmental or social consequences.

In addition, various sectors of the community may have special interests, and it may be appropriate for guidelines to be developed to address those special interests, such as Indigenous Peoples.

IAIA seeks to liaise with the groups listed above to develop SIA Guidelines applicable to their practice.

IAIA VISION

IAIA is the leading global authority on the best practice in the use of impact assessment for informed decision making regarding policies, programmes, plans, and projects.

IAIA MISSION

IAIA provides an international forum for advancing innovation and communication of best practice in all forms of impact assessment to further the development of local, regional and global capacity in impact assessment.

IAIA VALUES

- IAIA promotes the application of integrated and participatory approaches to impact assessment, conducted to the highest professional standards.
- IAIA believes the assessment of the environmental, social, economic, cultural and health implications for proposals to be a critical contribution to sound decision-making processes, and to equitable and sustainable development.