HIA REPORTING AND EVALUATION WEBINAR

Presented by: Holly Avey, Ph.D., M.P.H.
June 13, 2012
Agenda

- Reporting
- Communications
- Monitoring and Evaluation
REPORTING
Reporting

- Key elements of an HIA report
- What makes a good report?
- Equity considerations in reporting
- Summarizing reports and research findings
Key Elements of an HIA Report

- Executive summary/ key findings
- Introduction and background
- Section for each HIA step
- Stakeholder engagement process
- Conclusion
- References
- Appendices
What Makes a Good Report?

• Executive summary – succinct
• Section for each step – documents the process
  – Assessment section - discusses evidence, data sources and methods used for each health issue analyzed
  – Recommendations – provides specific recommendations for decision alternatives, policy recommendations, mitigations
• Stakeholders – includes their input
• Equity considerations – accessible to multiple audiences
Summarizing Reports and Research Findings

Major Findings

Current Conditions
- Oregon’s unemployment rate was 10.5% in December 2010, higher than the national average of 9%.
- The recession has hurt Oregon’s farms: almost 2/3 of farms reported net losses. Small & mid-sized farms especially are struggling to compete.

Employment Outcomes
- In 2009, Oregon was one of the hungriest states in the nation: 14% of households were food insecure and 6% of them were hungry.
- 19% of Oregon kids live in poverty.
- Kids on free and reduced price meals.

Nutrition Outcomes
- Students who participate in school meal programs learn better and have a better chance of academic achievement.
- HB 2800’s reimbursement and garden grant programs improve the quality and diversity of food offered during school meals.
- Studies of Farm to School initiatives show increases in meal participation (for free, reduced, and full-priced meals) between 1.3% and 16%. This

Impacts
- The meal reimbursement program would create jobs and stimulate economic growth.
  - Employment leads to health: The unemployed are up to twice as likely to die earlier than others of the same age and sex.
- Estimated economic effects of Oregon purchases during the first biennium ($19.8 million in reimbursements)
  - A 2.67 employment multiplier means that for every job created by school districts purchasing local foods, additional economic activity would create another 1.67 jobs.
- Kind of Impact | New Jobs (Full & Part-time)
  - Direct effect | 101
  - Indirect effect | 101
  - Induced Effect | 67
  - Total Effect | 269
  - Multiplier | 2.67

HB 2800 would improve child diet and nutrition.
### Summarizing Reports and Research Findings

#### Health Outcome or Health Determinant

<table>
<thead>
<tr>
<th>Health Outcome or Health Determinant</th>
<th>Magnitude of Impact w/ HIA Recs.</th>
<th>Distribution</th>
<th>Quality of Evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employment Impacts</td>
<td></td>
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</tr>
<tr>
<td>Health &amp; life expectancy</td>
<td>▲▲▲▲</td>
<td>Farm sector and related jobs</td>
<td>****</td>
</tr>
<tr>
<td>Job creation</td>
<td>▲▲▲</td>
<td>~270 new jobs</td>
<td>****</td>
</tr>
<tr>
<td>Oregon product demand</td>
<td>▲▲▲▲</td>
<td>100 – 197 School Districts</td>
<td>****</td>
</tr>
<tr>
<td>Workers’ ability to pay bills</td>
<td>▲▲▲</td>
<td>~270 new jobs</td>
<td>****</td>
</tr>
<tr>
<td>Economic activity</td>
<td>▲▲▲▲</td>
<td>3.16 economic multiplier</td>
<td>****</td>
</tr>
<tr>
<td>Impacts on Child Diet and Nutrition</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Meal program participation</td>
<td>▲▲▲</td>
<td>561,698 public school children</td>
<td>**</td>
</tr>
<tr>
<td>Child learning &amp; academic attainment</td>
<td>▲▲▲</td>
<td>561,698 public school children</td>
<td>*****</td>
</tr>
<tr>
<td>Household food security</td>
<td>▲▲</td>
<td>210,446 households</td>
<td>***</td>
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<tr>
<td>School meal nutrition</td>
<td>▲▲+</td>
<td>561,698 public school children</td>
<td>*</td>
</tr>
<tr>
<td>Child overweight &amp; obesity</td>
<td>▲▲+</td>
<td>1 in 4 children</td>
<td>**</td>
</tr>
<tr>
<td>Farm to School and School Garden Education Impacts</td>
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<tr>
<td>Gardening education</td>
<td>▲▲▲▲▲</td>
<td>~15,000 new children</td>
<td>****</td>
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<tr>
<td>Child fruit &amp; vegetable consumption</td>
<td>▲▲▲▲+</td>
<td>561,698 school children</td>
<td>****</td>
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</table>
Equity Considerations in Reporting and Communications

- Stakeholder engagement
- Communication tools
- Languages
- Dissemination
COMMUNICATIONS
Communications

- Communication plan
- Communication strategies for different stages
- Communication materials
- Stakeholder engagement
- Dissemination plan
- Innovative communication strategies
- Communication tactics
- HIA practitioner perspectives
- Challenges in communicating results
Communication Plan

• Communicate HIA findings and recommendations in ways that will be compelling and effective to decision makers and HIA stakeholders.

• Key elements of a communication plan:
  – Target messages to specific audiences (stakeholder, decision-makers)
  – Develop key messages and frames
  – Develop communication materials (executive summaries, comment letters, fact sheets, testimony, etc.)
  – Identify spokespeople
  – Identify timing and method of communication
  – Develop Dissemination Plan
Communication Strategies for Different HIA Stages

• Beginning – gathering support
• Middle – continual engagement
• End – implementation of findings/recommendations
Communication Materials

- Executive summary
- Fact sheets
- Press release
- Newsletter
- Powerpoint to council
- Op-ed
- Radio interview
- Blog
- Testimony
- Peer-review publication

<table>
<thead>
<tr>
<th>Common Written Forms</th>
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<tbody>
<tr>
<td>Comprehensive HIA report</td>
</tr>
<tr>
<td>Executive summary</td>
</tr>
<tr>
<td>Fact sheets</td>
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<tr>
<td>Press release/Press advisory</td>
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<tr>
<th>Formal Decision-Making Process Forms</th>
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<tbody>
<tr>
<td>Testimony at public hearings</td>
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<tr>
<td>Public comment and response processes</td>
</tr>
<tr>
<td>(in EIA, regulatory standard setting processes, permit approval, etc.)</td>
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<tr>
<td>Legislative briefings</td>
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<thead>
<tr>
<th>Other Media For a Broader Outreach/Dissemination</th>
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<tbody>
<tr>
<td>Op-ed and letters to the editor</td>
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<tr>
<td>Meeting with editorial boards</td>
</tr>
<tr>
<td>Organizational newsletters, emails, outreach materials</td>
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<tr>
<td>Community workshops or panel discussions</td>
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<tr>
<td>Distribution of materials door-to-door</td>
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<tr>
<td>Article in popular magazine</td>
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<td>Article in peer-reviewed journal</td>
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<tr>
<td>Graphic/visual representations</td>
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<tr>
<td>Radio, TV, interviews</td>
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<tr>
<td>Websites/Blogs</td>
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Stakeholder Engagement

• Stakeholders can provide more local knowledge
• Talk with key stakeholders before report comes out
  • Build understanding and buy-in
  • Get quotes
  • Test messages
• Stakeholders can be spokespeople for HIA results and recommendations
  • Will stakeholders create their own materials using HIA results? What messages are appropriate? Inappropriate?
Dissemination Plan

• Who is your audience?
• What key messages will resonate based on audience values/barriers?
• What is the best format for this audience?
• When and how will you provide materials to them?
• Who is the best spokesperson for this audience?
• Who is responsible for this communication?
Innovative Communications Strategies

- Workshop with stakeholders to come to consensus on communications messages and clarify roles of stakeholder groups in disseminating these messages

- Legislators invited to visit community gardens and school cafeterias as part of an HIA on the county agricultural plan

- Community event/celebration designed to get people involved
Communications Tactics

• Written materials — one-pagers, executive summaries, full reports
• Presentations – community and public agency meetings, networking groups, workshops, webinars, conferences
• Earned media — press releases; pitching reporters; participating in editorial board meetings
• Online outreach — websites to post electronic versions of reports; cross-posting content on other websites; blogs
• Social media — Twitter & FaceBook can create a community around an in-progress HIA and create a natural channel for dissemination
• HIA network groups with people from a variety of fields
HIA Practitioner Perspectives on Communications Tactics

<table>
<thead>
<tr>
<th>Tactic</th>
<th>Benefit</th>
<th>Challenge</th>
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<tbody>
<tr>
<td>Executive summary</td>
<td>short, concise</td>
<td>What to include?</td>
</tr>
<tr>
<td>Full report</td>
<td>Room for details for practitioners</td>
<td></td>
</tr>
<tr>
<td>Open comment sessions at meetings</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Testimony</td>
<td>Pair with executive summary</td>
<td>Getting invited?</td>
</tr>
<tr>
<td></td>
<td>Get stakeholder to present</td>
<td></td>
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<tr>
<td>Online outreach &amp; social media</td>
<td></td>
<td>People may not share info in context</td>
</tr>
<tr>
<td>One-on-one meeting with decision-maker</td>
<td>Communicate in manageable chunks</td>
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<tr>
<td></td>
<td>Connect to resources needed</td>
<td></td>
</tr>
<tr>
<td>Op-eds</td>
<td>More room to explain</td>
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</tbody>
</table>
Challenge: How to communicate HIA results accurately and effectively

How to communicate accurately
• Identify and record strength of evidence

How to communicate effectively
• Know audience and what they would understand
• Visualize data
  • GIS
  • Infographics
• Use short/fewer words/blank space/ graphics
• Use analogies
EVALUATION & MONITORING
Evaluation & Monitoring

- Types of evaluation
  - Process
  - Impact
  - Outcome
  - Monitoring
- Developmental
- Timeline
- Self or external evaluation
- Issues for evaluation
  - Stakeholder engagement
  - Equity
  - Communications
- Benefits of evaluation
- Room to grow
Types of Evaluation

- **Process** evaluation: Considers whether the HIA was carried out according to the plan of action and applicable standards.

- **Impact** evaluation: Seeks to understand the impact of the HIA itself on the decision making process or on other factors outside the specific decision being considered.

- **Outcome** evaluation: Focuses on the change in health status or health indicators resulting from implementation of the proposal.

- **Monitoring**: tracks long term outcomes over time and tracks the partners that are responsible for implementation and mitigation efforts.
Process Evaluation

• Can range from a simple self assessment to a more comprehensive case study
• Can describe, track or measure:
  – Achievement of HIA goals
  – Methods used
  – Approaches to addressing analytic challenges
  – Degree of certainty or predictions
  – Approach to stakeholder engagement
  – Methods for interacting with decision makers
• Can seek to evaluate the HIA process holistically
Sample HIA Goals

• To provide the project’s steering committee and other interested stakeholders with information about the health impacts of the project’s proposed alternatives.

• To provide decision-makers with an example of an HIA that will inform their consideration of its utility in aiding decision-making for future plans, policies, and projects.

• To increase understanding among stakeholders about the connections between the topic and health.

• To help organization conducting HIA develop the capacity to conduct more HIAs.

• To conduct an HIA that conforms with the “Practice Standards for Health Impact Assessment”
Sample Process Evaluation Questions

• Steps of HIA
  – Did you follow best practices in each HIA step? Why or why not?
  – How could each step have been improved?

• Screening
  – Looking back, was this an appropriate project or policy for an HIA?

• Scoping
  – Who was involved in scoping? Were relevant stakeholders involved?
    What the final HIA consistent with the scoping plan?
    How did you prioritize health issues during scoping?
Sample Process
Evaluation Questions

• Assessment
  – Did the HIA make judgments about positive and negative health effects of the project, plan or policy?
  – Did the HIA document assumptions and limitations of the assessment?
  – Were recommendations supported by evidence?
  – Did you utilize community experience as evidence?
  – Were potential health impacts of policy alternatives explored?
  – Is new research being conducted on health issues related to the HIA?

• Developing Recommendations
  – How could this step have been improved?
  – How were recommendations formulated, prioritized and delivered?
Sample Process Evaluation Questions

- Reporting & Communications
  - How could this step have been improved?
  - Did the HIA inform a discussion of the tradeoffs involved?
  - Did the HIA include comprehensive documentation of the HIA process, analysis, and findings?
  - How and when were recommendations delivered to relevant decision makers?
  - Did other stakeholders use the HIA findings to develop or communicate their positions on policies/projects?
  - Did you change the frame? How was the frame/message developed?
  - What methods were used effectively to disseminate results?
Sample Process Evaluation Questions

• Stakeholder Engagement
  – What did those involved in the Advisory Committee think about the process and what changes would they make it if they were to do it again?
  – Did the process involve affected population groups, including vulnerable populations?
  – Were stakeholders able to use HIA findings in developing or communicating their position on the issue?
  – Are stakeholders participating in the HIA now working together on other initiatives?
  – Were stakeholders given an opportunity to review at each step of the process?
  – Do stakeholders feel that the HIA was responsive to their interests or concerns?
  – Did the HIA utilize community knowledge and experience as evidence? How? If no, why?
Sample Process Evaluation Questions

• Managing the Process
  – Was the HIA carried out according to a work plan?
  – Did your organization use time and resources well?
  – What is the estimated financial cost to conduct the HIA?
  – Did conducting the HIA build your organization’s capacity to conduct HIAs?
  – How much staff and volunteer time was used to conduct the HIA?
  – Did you stay on your timeline? Why or why not?
  – Did you establish formal agreements about involvement of stakeholders?
Impact Evaluation

• Assesses whether and to what degree the recommendations were adopted and implemented and how the HIA influenced that process.

• It can also assess whether the HIA had other effects, such as:
  – Building new collaborations
  – Increasing awareness of previously unrecognized health impacts
  – Identifying data gaps and questions for further research
  – Establishing a foundation for future monitoring
  – Ensuring the public has information about health effects
Sample Impact Evaluation Questions

Impact on the Decision

- Did the HIA lead to changes in the decision of the project or policy?
- Were HIA recommendations included in the final decision?
- Did the HIA inform a discussion of the trade-offs involved with the project or policy?
- Did the HIA help to build consensus and buy in for policy decisions and their implementation?
- Did the HIA prevent project delays by anticipating project concerns?
- Did the project help secure funds for project mitigations?
Sample Impact Evaluation Questions

Impact on the Decision-Making Process
• Did the HIA increase public understanding of the relationships between policy decisions, the built environment, and health?
• Were there any unintended impacts of conducting the HIA?
• Has the HIA changed the way institutions frame and address health issues?
• Was the process useful to decision makers?
• Is research being conducted to better examine health + environment relationships raised in the HIA?
• Are there efforts to institutionalize HIA or other forms of health analysis of public policy?
• Did the HIA lead to policies that were not the subject of the HIA?
Sample Impact Evaluation Questions

Impact on HIA Partners and Stakeholders

• Has the HIA built capacity among partners to conduct HIAs?
• Are new organization and agencies requesting training in HIA?
• Has HIA led to new partnerships and coalitions focused on improving health?
• Did the HIA engage stakeholders in a meaningful way?
• Did the HIA empower engaged parties?
• Did the HIA encourage new cross-sector collaboration?
• Did the HIA lead to policies that were not the subject of the HIA?
Methods to gather process and impact data

• Surveys; Before/after focus groups or other data collection process with HIA participants
• Key informant interviews with HIA partners/stakeholders
• Document review
• Meeting minutes and agendas
• Scoping worksheets and work plans
• Email exchanges
• Media reviews
Outcome Evaluation

• Assesses whether the implementation of a decision has actual effects on health or health determinants

• Outcome evaluation requires:
  – Suitable research design
  – Ideally, an appropriate comparison group
  – Data from the monitoring of health outcomes of changes in health status

• Outcome evaluation considers the effects of the decision as a whole, thus it is generally not possible to attribute outcomes to HIA recommendations.
Sample Outcome Evaluation Questions

• Health Determinants
  – Were there changes in the presence or absence of health determinants after the policy was implemented or the project was built? (Ie: air filtration systems, vegetative buffer)
  – Is there a plan for monitoring changes in health determinants related to this project or policy? (Ie: development of new sidewalks, air emissions from local plan, # of inmates employed with 6 months of their release)

• Health Outcomes
  – Were there changes in residents’ health outcomes after the policy was implemented or the project was built?
  – Is there a plan for monitoring changes in health outcomes related to this project or policy?
## Evaluation Matrix

<table>
<thead>
<tr>
<th>Evaluation Question</th>
<th>Indicator</th>
<th>Data collection method</th>
<th>Who is responsible?</th>
</tr>
</thead>
<tbody>
<tr>
<td>How much staff and volunteer time did you spend on the HIA?</td>
<td># of hours dedicated to HIA</td>
<td>Time tracking worksheet &lt;OR&gt; Your best guess??</td>
<td>Steve</td>
</tr>
<tr>
<td>Did HIA stakeholder involvement impact planning documents related to the policy?</td>
<td>Your edits and suggestions included in revised planning documents</td>
<td>Document review</td>
<td>Steve</td>
</tr>
<tr>
<td>Was the process useful to decision makers?</td>
<td>Decision-maker feedback; decision maker public comments</td>
<td>Interviews with decision makers and staff; review of media and hearing proceedings</td>
<td>Steve</td>
</tr>
</tbody>
</table>
Monitoring

• Provides information that allows one to conduct the evaluations noted above.
## Monitoring Health Determinants & Outcomes

<table>
<thead>
<tr>
<th>Health Determinant or Outcome to Measure</th>
<th>Data Source</th>
<th>Who is responsible for ongoing collecting and reporting of data?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Childhood asthma rates (by race/income)</td>
<td>Local Health Department</td>
<td>Presented in annual health of the county report</td>
</tr>
<tr>
<td>Air emissions (track to n’hood demographics)</td>
<td>Dept Enviro Quality</td>
<td>New Mexico PHI does annual report card</td>
</tr>
<tr>
<td>Social Cohesion</td>
<td>To be developed</td>
<td>University and PHI are piloting research study</td>
</tr>
<tr>
<td>Signalized street crossings</td>
<td>Dept of Transportation</td>
<td>Intern will download DOT data quarterly</td>
</tr>
</tbody>
</table>
## Monitoring Implementation and Mitigation Actions

<table>
<thead>
<tr>
<th>Mitigation/Implementation to monitor</th>
<th>Method for monitoring</th>
<th>Responsible party</th>
<th>Timeline</th>
<th>Action if no compliance</th>
</tr>
</thead>
<tbody>
<tr>
<td>BDS Housing Inspectors to use Enhanced Inspection Model</td>
<td>PHI to check inspection records quarterly</td>
<td>Bureau of Development Services</td>
<td>Begin fiscal year 2012</td>
<td>Health Dept submit formal letter; Community Alliance of Tenants to write op-ed</td>
</tr>
</tbody>
</table>
Developmental Evaluation

- Primary purpose of developmental evaluation is to inform ongoing development
  - Assumes a project, program, policy or other innovative intervention is being implemented in a complex dynamic environment

- Primary specific developmental evaluation uses:
  - Adapt to changing social, political, economic, environmental, technological, and demographic patterns
  - Adapt to emergent developments in populations and groups being worked with
  - Identify key forks in the road and basis for decisions about which direction is taken
  - Create a documentary record of changes made
  - Generate feedback and learnings for ongoing development
  - Contingency planning for the future

Source: Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use by Michael Quinn Patton
Sample Developmental Evaluation Questions

• What is the nature of the innovation [decision]?
• What makes the situation and system complex?
• Contextual factors to consider include:
  – turbulence in the environment (e.g., economic, political, and/or social changes unfolding rapidly)
  – dealing with controversial, contentious, and emotional issues
  – trying out new things and/or targeting new groups with uncertainty about what effects will result
  – likelihood that unpredictable and uncontrollable interactions will lead to emergent and unanticipated responses
  – many actors engaged simultaneously doing both different and sometimes overlapping interventions
  – dynamical interactions such that small actions could ripple quickly to create large-scale (nonlinear) reactions and consequences

Source: Developmental Evaluation: Applying Complexity Concepts to Enhance Innovation and Use by Michael Quinn Patton
Evaluation & Monitoring Timeline

HIA Process Evaluation

During and Immediately Following the HIA

HIA Impact Evaluation

After HIA Completion and ongoing

Monitoring: Health Outcomes, Policy Changes
Self or External Evaluation?

• **Self evaluation**
  – performed by the HIA team
  – serves quality assurance aims
  – can provide valuable insights that help improve the field
  – may lack rigor or objectivity

• **External evaluation**
  – can yield unbiased insights about an HIA from the perspectives of stakeholders and decision makers
  – can contribute more robust external peer review

*The National Research Council Committee on Health Impact Assessments considers self evaluation and independent evaluation to be essential for moving the HIA field ahead.*
Issues for Evaluation: Stakeholder Engagement

• Stakeholder feedback is an important part of ongoing process evaluation and quality improvement. Make time throughout the HIA to ask stakeholders how the process is working for them.
• Monitoring and evaluation methods should be made available to all stakeholders.
• Community stakeholders can play an important role in ongoing monitoring, reporting, and holding decision makers accountable.
• Results of process evaluation and suggestions for future improvements should be communicated to all stakeholders.
Issues for Evaluation: Equity

• Process evaluation should measure if stakeholders included vulnerable populations.

• Outcome evaluation should measure whether the HIA assessed impacts to different populations and impact on health equity.
Issues for Evaluation: Communication

• Communication messages should acknowledge the complexity of measuring the impact of one policy or project on health outcomes

• Implementing your dissemination plan is tied to evaluating your impact on decision makers, stakeholders, and the media.
Benefits of Evaluation

• Improve the HIA process
• Modify future methods and models
• Assess the accuracy of predictions made during appraisal
• Mitigate unintended negative consequences
• Support future HIAs and Health in all Policies
Evaluation in HIAs: Room to Grow

- Few HIA evaluation data have been published in the United States and relatively few elsewhere.
- Although completed HIA reports are readily available, peer reviewed or grey literature that discusses the impacts of specific HIAs is still rare.
- Evaluation is important for the quality of individual HIAs and for the success of the HIA field as a whole.
- Lack of attention to evaluation is a barrier that will need to be overcome if HIA practice is to be advanced in the United States.
- Four macro-level evaluations of multiple HIAs are currently ongoing.
The following organizations contributed to the content of this webinar:

- Health Impact Project
- Centers for Disease Control and Prevention
- Oregon Public Health Institute
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