**Glasgow City Region**

**HIA Commissioning Guide and Templates**

**CHIA Online resources**

1. **Introduction**

This guide was written for local authorities in Glasgow City Region, but it can also be used more widely in Scotland and the UK.

Its primary audience are Economic Development project managers within Glasgow City Region leading capital infrastructure projects and using the Capital Investment Health Impact Assessment (CHIA) process.

The guide is based on HIA resources produced by the Health Impacts Assessment Support Unit (HIASU), Scottish Health and Inequality Impact Assessment Network[[1]](#footnote-2),[[2]](#footnote-3) (SHIIAN) at Public Health Scotland, Wales Health Impact Assessment Support Unit[[3]](#footnote-4) (WHIASU) at Public Health Wales[[4]](#footnote-5) and the Institute of Environmental Management and Assessment[[5]](#footnote-6) (IEMA).

Its key aim is to support project managers and economic development teams using the CHIA to commission a Health Impact Assessment (HIA), particularly steps 3-4 outlined in the CHIA process, following the CHIA screening workshop.

The guide is set out to support project teams to commission out and assess HIA reports, particularly by helping to inform the HIA procurement process.

This document includes two key sections:

Section 2, includes a series of questions to help inform the HIA commissioning process, guiding the procurement process, but also the governance and appraisal of the HIA report. Working through the checklist will help project teams to then complete the tender brief template with the key requirements of their project and HIA.

Section 3, is more specifically focussed on the procurement process, including a tender brief template to help with the procurement of an HIA appraisal and report.

1. **GCR Commissioning guide for HIA**

This commissioning guide includes a set of questions to support consideration and clear understanding of:

* Procurement - issues to consider preparing a tender for an HIA
* HIA boundaries
* Consultant’s approach to Health and Wellbeing
* Consultants HIA competencies and experience - skills and experience of the lead consultant undertaking the HIA
* HIA process and methods
* Approach to evidence and participation
* HIA governance
* Criteria used in the appraisal of HIA reports

Information collated using the checklist below can then help inform the tender brief set out in section 3 and subsequently support the HIA development and appraisal.

|  |
| --- |
| GCR HIA COMMISSIONING CHECKLIST |
| Project Name: |
| Lead Officer: |
| Checklist Completed by: |
| Lead Organisation: |
| Key questions to consider | **Comment** |
| PROCUREMENT  |
| 1. Why is the HIA being commissioned?

*(i.e. what is the purpose of the HIA?)* |  |
| 1. What is the decision-making framework that the HIA seeks to influence? (i.e*. who will make the decision(s) and when)*.
 |  |
| 1. What are the HIA outcomes and how will they be measured? *(i.e. what does the HIA aim to achieve? And what will be the measures of success for the HIA?)*
 |  |
| 1. What budget and resources are available for the HIA?

(i.e*. what is project budget? What budget is available for the HIA?)* |  |
| 1. What will be provided within the HIA?

*(i.e. Is dissemination included?)* |  |
| 1. What is the timeframe to complete the HIA? Any other key deadlines?

(i.e. *is this aligned with business case development stages and key decision-making points that the consultants need to be aware of?*) |  |
| HIA BOUNDARIES |
| 1. What will the key outputs from HIA be?

*(i.e. what do you expect consultants to produce in addition to (and in support of) the HIA report? Does this include an evidence review? Does it include a dissemination plan?)* |  |  |
| 1. What is the geographical area of the impacts being assessed?

*(i.e. what area do you want the consultants to focus their analysis and evidence review on?)* |  |
| 1. What is the timescale over which to try to predict impacts?

*(i.e. Is the analysis to focus specifically on design, build or operate impacts? Is decommissioning included or considered?)* |  |
| 1. What are the different population groups that need to be considered?

(i.e*. at the CHIA workshop what key groups were identified as potentially being significantly impacted or excluded by the proposals?)* |  |
| APPROACH TO HEALTH AND WELLBEING |
| 1. Is the consultant’s approach to HIA a narrow, environmental/technical one based on statistics and baseline data? Or is it a more holistic sociological one that encompasses the World Health Organisation’s definition of health and wellbeing?

*(e.g. Generally, it should be a more holistic/ sociological approach, but depending on the project and HIA aims, a narrower approach might be appropriate or sufficient.)* |  |
| COMPETENCIES & EXPERIENCE |
| 1. What previous experience should the lead HIA consultant, or the consultancy company have in HIA?

*(i.e. generally having experience of contributing to or participating in five or more desk based HIAs in past/ in similar projects and following guidance - please consult to* [*IEMA HIA expert competencies*](https://truud.ac.uk/wp-content/uploads/2024/09/IEMA-Competent-Expert-for-Health-Sept-24.pdf)*)* |  |  |
| 1. What skills and qualifications should the lead HIA consultants have in conducting HIA?

*(i.e. generally, the lead consultant should have a relevant qualification on: Public Health, Town Planning or Environmental Management. Please* *consult IEMA HIA expert competencies)* |  |
| 1. Can the consultant demonstrate if and how outputs and findings from previous HIAs influenced decision makers?

*(i.e. can they share examples and evidence of HIAs impacting on project decision making: design, build or operation?)* |  |
| 1. What skills and experience should the consultant have in engaging with key stakeholders including community organisations?

(i.e. can they demonstrate *experience of participatory engagement and provide case examples.)*  |  |
| 1. Will any of the work be outsourced to a third party? If so, which of the components and when?

(*i.e. Will the evidence review, or stakeholder engagement be subcontracted?* *Do they have the required skills and experience?)* |  |
| HIA PROCESS & METHODS |
| 1. What methods and evidence are required for this HIA?

*(i.e. how will this HIA be undertaken? What evidence is required to influence project decision making? HIA evidence can include reviews of published evidence, local data, stakeholder experience.)* |  |
| 1. Which stakeholders and participants will be involved and how?

*(i.e. Who is to be involved and when? How will they be engaged with? To what end?)* |  |
| 1. What types of evidence is the HIA consultant expected or required to gather? Can the consultant obtain and provide this information?

(i.e. what type of evidence is required to inform project decision making – quantitative local data, peer reviews, stakeholder experience? |  |
| 1. Does your organisation (procuring organisation) have any requirements (legal or otherwise) to consult with communities impacted by the proposal?

*(i.e. Commitments made to the community, partners, legal duties associated with national legislation or local strategic priorities?)* |  |
| 1. What approach to community consultation is required to inform the HIA and project?

*(i.e. does this include active community participation?)* |  |
| 1. How will the HIA be reported and disseminated?

*(i.e. How will the recommendations be captured and shared? How will findings and learning be shared? Who will they be shared with and when?)* |  |
| HIA GOVERNANCE  |
| 1. Will the HIA be standalone or integrated, for example with an equality impact assessment or environmental impact assessment?
 |  |
| 1. Is there an HIA steering group? What are its roles and responsibilities? Who are the members?
 |  |
| 1. Have the parameters for the HIA been agreed - timeframes, breakdowns and non-negotiables?
 |  |
| 1. Who has overall responsibility for the HIA?

*(i.e. who is accountable for the HIA? Is it the Senior Responsible Officer? Project Manager?)* |  |
| 1. Who is responsible for conflict resolution within the steering group or the HIA?
 |  |
| 1. Is there knowledge or someone experienced enough (within the project team or key partners) to be able to recognise a good quality finished HIA, reporting and/or challenging the consultants if required?

*(i.e. does the project team have the knowledge and experience to review quality of the HIA report and ask for relevant changes to be made?)* |  |

1. **HIA Tender Brief Template**

***Project name:***

***Project lead:***

***This brief was completed by:***

***Lead department****:*

***Lead Organisation:***

1. **Introduction**

*Summary of what is in the brief (main aim of the HIA, proposed methods, timescale)*

*To assist consultants in tendering for this work, this HIA brief outlines the aims and specific objectives of the proposed HIA, the HIA methods, timetable and outputs required.*

1. **Background**

*Background to the project (e.g. policy context, relevant needs assessment, population health data, why project/ proposal is being undertaken, previous CHIA screening workshop findings, relevant activities in the area.*

1. *Broad aim of project or proposal*
2. *Main activities and outputs - What is being done and when*
3. *Provisional timescales for the project and what/when HIA outputs are needed*
4. **HIA aims & objectives**
5. *Broad aim and purpose of HIA*
6. *Specific objectives of the HIA*
7. *What decisions is the HIA intended to influence*
8. *Specific timescales of the HIA*
9. *Specific outcomes and outputs of the HIA*
10. **HIA methods**
11. *Suggested HIA approach – e.g. appraisal of impacts identified during CHIA screening, review of existing literature/ evidence, primary research (qualitative, quantitative), evidence review, secondary analysis of data, stakeholder engagement and participation*
12. *Suggested HIA methods (e.g. focus groups, in-depth interviews, survey, mixed methods), including area to be covered in the search, number and composition of any focus groups or workshops, resources available to focus groups, key topics/questions for discussion,*

Consultants should describe in detail the methods that they propose to use to address all aspects of the HIA appraisal process, including a discussion of the rationale for choosing each method and demonstrating how they will ensure that the aims and objectives of the HIA are met.

1. **Tendering process and timetable**

|  |  |
| --- | --- |
| Submission of tenders |  |
| Contract awarded | *This should be a minimum of xx days after the consideration of tenders meeting and successful and unsuccessful consultants have been notified* |
| Briefing meeting |  |
| Verbal de-brief meeting |  |
| Draft report |  |
| Final report |  |

HIA report and recommendations

1. **Budget**

Maximum available for the HIA is £XXX (*A budget range can be indicated rather than a specific value if necessary*) (excluding VAT).

A clear breakdown of all HIA costs and overheads should be presented, considering the full economic cost of the work.

This should include all costs including staff costs, attendance at meetings, equipment, access to data, any reimbursement for HIA participants, travel and subsistence, overheads and participation in any dissemination of the HIA that is envisaged in the specification.

The budget stated above is the maximum that the Member Authority has available for this work.

Contractors should state clearly what they can do for this amount.

1. **Payment Schedule**

Our standard payment schedule is to link payments to key study milestones/outputs as outlined below. Variations on this payment schedule are at the discretion of the member authority.

|  |  |  |
| --- | --- | --- |
| **Milestone/key output** | **Expected date** | **% Budget payable** |
| Award of contract |  | *e.g. 20%* |
| *Key outcome* |  |  |
| *Key outcome* |  |  |
| Submission of final report |  | *e.g. 40%* |

1. **Expected outputs**
* Tender document
* Briefing meeting with member authority on commissioning
1. Presentations at verbal de-briefing meetings with member authority
* A final HIA report written in a clear, accessible and concise manner with descriptive analysis findings and recommendations. This should be submitted in a publishable standard and include a stand-alone summary of the HIA approach. Consultants should be aware that one or more drafts may be required before a final draft is agreed, and this should be allowed for in the timetable and costs proposed.
1. **Commissioning support**

During commissioning, the main contacts for further information within the member authority will be…

Name, email address, telephone number

1. **Tender specification**

In responding to this brief, tender documents should include the following information:

* A brief statement detailing an understanding and interpretation of the purpose, specific objectives and scope of the HIA
* A detailed plan of how the HIA will be carried out, the data collection methods proposed, evidence reviews and your recommended strategies.
* An outline of what experience and skills are necessary to carry out the methods proposed and to demonstrate that these skills are available for this contract, including CVs of the proposed HIA lead and support team, as well as details of previous relevant work undertaken with dates.
* An indication of any contact information, materials, data or other resources that will be needed from the member authority.
* Your timescales for the HIA and a commitment to meeting the deadlines outlined in this brief, with number of days work required (if appropriate).
* Description of quality control mechanisms, with details of how quality will be established, monitored and maintained during the duration of the contract to ensure the successful completion of the HIA within timescales and budget.
* A firm estimate of costs (excluding VAT) to complete the work outlined in the brief, giving a separate breakdown of costs for each round/stage of fieldwork and day rates for members of the HIA team where appropriate.
* A demonstration of the agencies staffing capacity to successfully hold the contract and details of all previous or current contracts held with the member authority, with expected completion dates.
* Details and costs of any work to be sub-contracted, including information on how quality will be monitored and whether the same sub-contract has been used previously.
* A commitment to disseminating the HIA findings on the basis of a plan agreed with the member authority, indicating whether any additional costs will be charged for dissemination activities. We expect the costs of the verbal presentation and the full final written report to be included in your costings for the HIA.
* A risk assessment for the study detailing potential risks, likelihood of risk, measures to reduce their likelihood and plans to deal with risk that do materialise. Assessment of risk may be detailed in a table similar to the one below:

|  |  |  |  |
| --- | --- | --- | --- |
| **Issue** | **Likelihood of Risk (low/medium/high)** | **Mitigating Action(s)** | **Recovery Plan** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

1. **Assessment of tender**

Overall assessment of tenders will be concerned with value for money, taking account of the cost and quality of each HIA proposal. In particular assessment will focus on (listed in order of relative weighting):

* the consultants understanding of the issues being addressed (including policy context) and the HIA requirements being addressed in this work
* the appropriateness of the proposed methods
* the availability and capacity of the necessary experience, knowledge and skills within the HIA team, including management and reporting arrangements
* quality control mechanisms and approach to risk management
* quality of previous HIAs undertaken
* familiarity with Health in All Policies approach and previous relevant HIAs
* commitment to good client relations and active liaison
* the acceptability of the proposed timetable
* the proposed costs compared to the budget available
1. **HIA Contract**

On commissioning the HIA contract will be drawn up between the consultant and the member authority and mutually agreed. The contract sets out the terms and conditions of the HIA and covers the following areas:

* the scope of the HIA
* HIA governance
* HIA timetable and payment schedule timetable
* copyright and ownership of the HIA data and outputs
* sub-contracting arrangements
* which country’s law applies

The ownership of the HIA material including the final report and any data produced as a result of the HIA lies with the member authority/ consultant

1. **HIA governance**

The key contact at member authority for HIA management during the duration of this contract will be:

* Name (Remit), telephone, email

A key role of the HIA management process is to work to ensure that good communication and liaison is established and maintained between the member authority and the consultant team during the contract duration with a view to ensuring a high quality HIA report and process is delivered in terms of HIA standards and best practice. Management of the contract will also include:

* Monitoring the HIA progress in meeting the agreed timetable
* Monitoring HIA quality assurance
* Problem-solving or conflict resolution when difficulties arise in or during the HIA process
* Organising and managing the initial briefing meeting and subsequent de-brief sessions
* Agreeing the dissemination plan and procedures for risk management
1. **Dissemination**

Dissemination of the HIA is essential to effectively inform and influence key project decisions.

By considering the following questions you should include a short overview of the planned dissemination for the HIA in the brief:

* What format(s) do you require HIA outputs to take e.g. standard final report, practitioner summaries, database of findings?
* Are there planned dissemination event(s) for the HIA? Do you require the consultants support in these initiatives?
* Is further evidence review or analysis likely to be undertaken on completion of this contract and if so, do you need access/contact details to the original HIA participants?
* Are you expecting the findings to be published in other media resources other than just on the member authority’s website?
* Will the findings and recommendations of the HIA inform the development of the project? what specific aspects is it expected to influence?
1. **Feedback, Reporting and Dissemination**

Regular feedback and progress updates are required during the HIA process from the consultant.

On completion of the HIA, a draft written report should be submitted in the first instance for discussion with the commissioning team.

A final report will then be submitted incorporating discussion and comments prior to the signing off of the HIA contract. On completion of the HIA the final written report will be published on the member authority’s website. Where appropriate member authority may also publish hard copies of the HIA report.

Subject to the successful completion of the HIA, the HIA lead, and the member authority will mutually agree an appropriate plan for disseminating the HIA, including for example a verbal presentation to the project’s steering group or board, and written papers for the project team and governance groups.

1. Douglas, M. (2016) *Health Impact Assessment Guidance for Practitioners*. rep. SHIIAN, pp. 1–39. (<https://www.scotphn.net/wp-content/uploads/2015/11/Health-Impact-Assessment-Guidance-for-Practitioners-SHIIAN-updated-2019.pdf>) [↑](#footnote-ref-2)
2. Douglas, M. (2024) *Scoping tool - HIA governance and process*. [↑](#footnote-ref-3)
3. Green, L. (2018) *Commissioning a HIA and appointing a HIA specialist or consultant. WHIASU*

*[*[*https://phwwhocc.co.uk/whiasu/wpcontent/uploads/sites/3/2021/05/Appointing\_a\_HIA\_specialist\_or\_consultant.pdf/*](https://phwwhocc.co.uk/whiasu/wpcontent/uploads/sites/3/2021/05/Appointing_a_HIA_specialist_or_consultant.pdf/) *Website accessed 1/10/24]* [↑](#footnote-ref-4)
4. [↑](#footnote-ref-5)
5. Pyper, R., Birley, M., Buroni, A., Gibson, G., Day, L., Waples, H., Beard, C., Dellafiora, S., Salder, J., Netherton, A., Green, L., Purdy, J., Douglas, M. (2024) IEMA Guide: Competent Expert for Health Impact Assessment including Health in Environmental Assessments.<https://truud.ac.uk/wp-content/uploads/2024/09/IEMA-Competent-Expert-for-Health-Sept-24.pdf> [↑](#footnote-ref-6)