

## **IAIA10: Training Course #1**

### **THE CULTURAL COMPONENT OF IMPACT ASSESSMENT: A Practical Training Course**

#### **Level: Foundation / Intermediate**

The course begins with fundamentals and proceeds to the intermediate level. Combining the two levels is necessary as instruction on the cultural component of impact assessment is relatively rare in many countries and there is an urgent need to build capacity. This course covers some of the same material as the training at IAIA09, but is different enough to offer new information and insights to repeat participants.

#### **Prerequisites for participants**

This course is open to participants from all regions of the world who have a general knowledge of impact assessment and an interest in the cultural component of EIA and SEA.

#### **Language of delivery: English**

Summaries of the main points and guidance materials in **English** and **French** are provided to enable participants from Anglophone and Francophone countries to brief colleagues in their respective countries on the course content when they return to their work places.

#### **Duration: One (1) day**

#### **Name and contact details of trainers:**

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## **Summary of the purposes, content, and anticipated learning outcomes**

The importance of culture in development, and specifically, as a component of impact assessment, including EIA and SEA, is recognized in the policies of international and regional financial institutions, bilateral aid agencies, and the laws of national governments. However, cultural heritage, as one of three components in EIA - together with biophysical and social - has received the least attention in terms of training, methodology, and quality control. Neglecting cultural aspects can seriously impede development projects; conversely, incorporating, respecting and enhancing cultural features can strengthen projects. Attention to quality improvement and capacity building for the cultural component of impact assessment is increasing, with availability of training, methodologies and tools.

This foundation / intermediate level course is open to participants from all countries who have a general knowledge of the EIA process and an interest in the cultural component. The course is given in English, with a written summary and detailed guidance tools available in both English and French, so that participants can share the content with colleagues in their respective Anglophone or Francophone countries.

An interactive course introduces participants to the various definitions and aspects of culture and cultural heritage, and provides for discussion of the value placed on cultural artifacts and practices by diverse stakeholder groups in the development process. Policies, standards and guidance materials for covering cultural heritage in EIA are presented and discussed, with emphasis on the detailed *World Bank Physical Cultural Resources Safeguard Policy Guidebook* and the *Physical Cultural Resources Country Profiles*. A step-by-step discussion of the EIA process, as well as creation and monitoring of the Environmental Management Plan (EMP), indicates the considerations, actions, and methods required for the cultural component at each step. Participants apply the principles, methods and information in the guidance materials in case study exercises.

The course, together with the guidance materials provided, prepares participants to conduct and review cultural impact assessment in the context of development. A brief presentation on Strategic Environmental Assessment (SEA), highlights the importance and rationale for including culture and cultural institutions in this investigative and planning process, and a discussion of cumulative effects encourages participants to consider long-range impacts of development projects on tangible cultural heritage.

## **Detailed description of the course structure and content**

### **1. Course overview and objectives**

The trainers begin by introducing themselves and presenting an overview of the course including the following points:

- The increasing pace of infrastructure development and search for natural resources throughout the world, and the concomitant need to identify cultural resources and mitigate damage;
- The relationship of culture to the development process, with specific examples;
- The process, methods and tools for identifying cultural features, and for assessing and mitigating project impact; and
- A preview of topics to be covered in the course and the learning objectives.

## **2. Participant introductions and objectives**

The participants introduce themselves, describing their professional interests, experience and responsibilities, and their expectations for the training course.

## **3. Culture: What are ‘culture’ and ‘cultural heritage’? Why are they important?**

### **Definition and examples**

The various aspects of culture are identified and discussed, with examples. These include tangible and intangible culture, as well as cultural and spiritual life patterns, practices and value systems. Terminology is presented and defined.

### **Valuation and stakeholders**

The social and economic value of different aspects of culture for diverse stakeholders are discussed, with examples. Stakeholder groups may include: local communities of indigenous or non-indigenous peoples; ethnic or religious groups; local, provincial, national or international authorities and publics; development financiers and sponsors; scholars and cultural experts; commercial entities; and tourists.

## **4. Summary of Environmental Impact Assessment (EIA)**

EIA is described as an interdisciplinary process for identifying biophysical, social and cultural features and stakeholders, determining their interrelationships, assessing the impact of a development project, examining alternative project designs, and proposing mitigating measures. The origin, purpose and components of EIA, and its dissemination throughout the world, are reviewed. The important concept of cumulative effects is presented, illustrated and discussed.

## **5. Summary of Strategic Environmental Assessment (SEA)**

The rationale, characteristics and evolution of SEA are described, including its differences from EIA. Various types of studies and analyses considered as SEA are mentioned. The discussion highlights the importance and benefits of including culture in

SEA, as a consideration for comprehensive and long-range planning. Actions necessary to ensure inclusion of culture and cultural authorities in SEAs are discussed.

## **6. Summaries by participants of cultural and EIA legislation and requirements in their respective countries**

Prior to attending the training course, participants will have been asked to review the cultural and EIA legislation and regulations of their respective countries and to prepare a three-minute oral summary outlining the main provisions. This may include information on the extent of communication and collaboration between cultural and EIA authorities.

## **7. The Cultural Component of EIA**

The relationship of culture to the biophysical and social components of EIA and the integrated analysis prescribed by EIA are discussed, as are the advantages of viewing culture in this broad context. Examples illustrate the potential for positive impacts of culture on projects.

Requirements for inclusion of culture in EIA by various participants in the development process are mentioned, including:

- Financial institutions: the World Bank; the International Finance Corporation (IFC); Regional development banks; Commercial banks in the Equator Principles group
- Bilateral aid agencies
- Regional governmental entities (e.g., the European Union)
- National governments

A detailed discussion of actions, methods and sources of guidance for identifying and safeguarding culture in each step of the project cycle, with emphasis on the EIA process, includes:

- Early attention to culture in project identification
- Planning the EIA and mobilizing the EIA Team
- Conducting the Baseline
- Conducting the Impact Assessment
- Creating the EMP, including provisions for ‘chance finds’
- Reviewing the EIA
- Monitoring the EMP

Challenges presented by the cultural component of EIA are discussed. These include: designation of the project impact area; spatial and temporal investigation and analysis of the impact area; location, use and integration of existing information with evidence generated by the EIA; and cumulative effects.

## **8. Guidance Materials and Tools for the Cultural Component of EIA**

Guidance materials and tools have existed for years in countries where culture is a well-established component of EIA, but have generally been lacking for developing countries. These countries are often rich in cultural remains and traditional cultural practices, but lacking in systematic investigation, recognition and documentation.

Two tools developed at the World Bank are available in English and French to provide guidance for insuring adequate consideration of culture in development project planning and implementation. These are: the *Physical Cultural Resources Country Profiles*; and the *World Bank Physical Cultural Resources Safeguard Policy Guidebook*. Both tools are useful for any development project, regardless of sponsor. Each are provided to participants, described, and then used in case study exercises during the course.

### **Physical Cultural Resources Country Profiles**

The *Physical Cultural Resources Country Profiles* provide country-specific information on cultural heritage and EIA. Devised to enable improved coverage of cultural heritage in the EIA and SEA, these Country Profiles cover both environment and cultural heritage. Each Country Profile includes the following information: geographical, historical and socio-cultural notes; types of physical cultural resources; internationally-recognized cultural sites; cultural and environmental institutions; national laws and regulations governing cultural heritage, environment and EIA; international and regional conventions on cultural and environment; inventories of physical cultural resources; geospatial data and maps; sources of information and expertise (individuals and firms in the disciplines of cultural heritage); recent developments in cultural heritage management; and notes on capacity for management of physical cultural resources. As an initial step in consolidating information at a national level on cultural heritage resources, management and experts in the component disciplines, the Country Profiles should also be useful in bridging the knowledge gap between the cultural and environmental fields.

### **A Guidebook for conducting cultural component of EIA**

The *World Bank Physical Cultural Resources Safeguard Policy Guidebook* provides detailed and extensive guidance on conducting the cultural component of EIA. This Guidebook fills a widespread need on the part of development project proponents, environmental and cultural authorities, and EIA practitioners. It is useful for training professionals from the cultural heritage and environment fields, in both individual and group settings. The Guidebook contains general advice on safeguarding physical cultural resources in development projects, intended for the various categories of participants in the process, including: financing agencies; national governments; EIA teams; and EIA reviewers. Also included are instructions for conducting cultural heritage impact assessments in cases where there is no EIA, or when the subject has been omitted from a completed EIA. Specific guidance is provided for several types of projects, including:

hydroelectric power; roads; urban development; and cultural heritage conservation; as well as for the management of ‘chance finds’ discovered during the construction phase of a project.

### **Other Materials and Tools**

Several other sources for guidance in completing the cultural component of EIA are referenced and described, including the following.

#### **Directives of the European Union**

#### **Conventions of the Council of Europe**

#### **Conventions and Recommendations of UNESCO**

#### **Charters of ICOMOS (the International Council on Monuments and Sites)**

#### **Draft IAIA Best Practice Principles for Cultural Impact Assessment**

The draft Best Practice Principles for Cultural Impact Assessment are referenced. (This draft is to be presented and discussed during a special session at IAIA10.)

#### **Methods and Tools for landscape survey: Reading a landscape**

There is a growing body of literature on the process of “reading a landscape,” that is, surveying and documenting remains of, and current human habitation from the earliest evidence to the present. Methods are described and discussed.

Techniques for conducting archaeological surface surveys are presented, and references provided. Tools for non-invasive archaeological exploration are described, as well as the use of GPS and GIS.

#### **Methods for consultation with project-affected peoples**

Consultation with project-affected peoples for the cultural component is often conducted in combination with social assessment during an EIA. Various methods for stakeholder determination and consultation are described and discussed. The *Akwe: Kon* Guidelines of the Secretariat on the Convention on Biological Diversity, a resource particularly useful for consulting and working with indigenous peoples and local communities, is referenced and provided to participants.

## **9. Case Studies**

Participants apply the information and use the methods and tools introduced in the course while working in small groups to create the cultural component of an EIA and EMP for a development project. Each group comprises three to eight people, depending

on enrollment, working on a different case study and reporting to the entire group on the requirements, challenges and decisions involved in creating the cultural component of the EIA and EMP. Case studies are drawn from various types of projects including: hydropower; transport; and urban development.

## **10. Summary and participant presentations of main points in the training course**

At the close of the course, the trainers and participants present summaries. Each participant is given a set of materials containing main points of the course content and guidance in English or French, as relevant. On a voluntary basis, several participants outline plans to present this material to colleagues in their workplaces. Participants identify various means of sharing the course content with others in their countries, in the interest of increasing awareness, building capacity and improving the standard of the cultural component of EIA and SEA.

## **Description of materials participants will receive during the course**

Participants receive the following materials:

- An annotated course agenda
- Case study material for use in the course
- A list of participants with contact information
- A copy of the *World Bank Physical Cultural Resources Safeguard Policy Guidebook* (in English or French, as suitable)
- A specimen *Physical Cultural Resources Country Profile* and instructions for completing a profile
- Training modules in the form of PowerPoint presentations to share with Colleagues in the workplace
- A CD-ROM with resource material relating to the course, including international and regional standards for cultural resource protection and management

## **Provisions for pre-conference and post conference communication with participants**

Upon receiving names and e-mail addresses of participants, trainers send a questionnaire to elicit participants' expectations for the course and to indicate their professional experience and responsibilities. This information is considered during final preparation for the course.

Each participant receives the existing draft Physical Cultural Resources Country Profile for his/her respective country.

Participants are requested to obtain, read and prepare a brief oral summary of their country's laws and regulations for EIA and for cultural heritage, and to ascertain if possible, the extent of communication and collaboration between authorities in the two fields.

Participants are given the option of bringing case study material or a sample EIA for an individual counseling session with the trainers during IAIA 10, following the course.

A second questionnaire from the trainers, sent to participants three months after the course, requests information on how participants have been able to apply and share with others what they learned.

## **Qualifications of the trainers**

### **An abridged curriculum vitae**

**Arlene K. Fleming** has advanced degrees in archaeology and telecommunications. For the past 18 years, she has developed and directed projects focused on bringing new financial resources, technologies and approaches to cultural heritage conservation and management for social and economic development.

As a cultural resource and development specialist at the World Bank since 1997, Ms. Fleming has participated in creating investment projects for cultural heritage and development, involving work in Turkey, Lebanon, Tunisia, Morocco, China and Eritrea, where she was team leader for the Cultural Assets Rehabilitation Project. Her primary responsibility is to advise on the policy for safeguarding physical cultural resources in Bank-financed projects through the EIA process. She trains Bank staff and client country officials on compliance with the policy. She also advises the U.S. Government's Millennium Challenge Corporation and conducts training for staff on safeguarding physical cultural resources through the EIA process in its grant compacts with developing countries.

Since 1998, Ms. Fleming has made numerous presentations and published articles on identification, protection and management of cultural resources in the development context. At IAIA 05, IAIA 08, and IAIA 09, Ms. Fleming co-chaired and presented in sessions on cultural heritage and impact assessment, and at IAIA 09, together with Ian Campbell, conducted training. She is currently collaborating on drafting Best Practice Principles for Cultural Impact Assessment, to be presented for consideration and discussion by the IAIA membership.

Ms. Fleming has participated in cultural and natural heritage conservation and training



projects sponsored by the World Monuments Fund, the Getty Conservation Institute, UNESCO, the U.S. Government's Department of Defense, Forest Service, and National Park Service. From 1991 to 1997, she wrote, lectured and advised governments on international standards for protecting cultural property during armed conflict, occupation and reconstruction, and on integrating cultural heritage into national and local disaster planning, mitigation and response

**Ian L. Campbell** is a development economist specializing in environmental and cultural issues, currently as a consultant to the World Bank. During a 44-year career, he has fulfilled numerous international assignments and has held senior advisory positions in governments, international agencies, and non-governmental organizations. He has been a team leader for many Environmental Impact Assessments, and served as Senior Advisor in the U.N. Environment Program on EIA in developing countries. Mr. Campbell has written and lectured on EIA, and has conducted many training courses on EIA, SEA, Cultural Heritage in EIA (including a training course at IAIA 09 with Arlene Fleming), Development and the Environment, and the Cultural History of Ethiopia.

### **History of the course**

This course is a new and expanded version of courses the trainers have conducted at the World Bank during the past decade, and at IAIA 09, where 16 participants provided very favorable evaluations. The trainers conducted a similar course for cultural and EIA authorities in countries of the Nile Basin in 2009, as part of a World Bank initiative to improve compliance in that region with its safeguard policy for physical cultural resources. Experience and observations from this and the IAIA 09 training course have resulted in refinements and improvements in the course proposed for IAIA 10, which will add material and references pertinent to Europe, given the location in Geneva. In addition, during the coming year, pilot projects will be undertaken for training using e-learning techniques and videoconferencing.