IAIA 15 – TRAINING COURSE PROPOSAL

SECTION 1 – BASIC INFORMATION

(a) Course title

CULTURAL HERITAGE COMPONENT OF IMPACT ASSESSMENT
Methods, issues and application of new technologies

(b) Level: foundation, intermediate or advanced

The classroom training and field trip provide instruction appropriate for both intermediate and advanced levels.

(c) Prerequisites for participants

This course is open to participants from throughout the world who have a general knowledge of impact assessment and an interest in the cultural component of Environmental Impact Assessment (EIA) and Strategic Environmental Assessment (SEA). Participants from cultural heritage institutions are also welcome.

(d) Language of delivery

The course is delivered in English. Some of the course materials are available also in Spanish, French, Arabic, Chinese and Portuguese. Thus participants will be able to brief non-English-speaking colleagues on the course content upon returning to their work places.

(e) Duration

The course takes place over two days, consisting of a first day of classroom instruction and a second day devoted to case study exercises and a field visit.

(f) Number of participants

Minimum: 10   Maximum: 20

Number of students at no charge: 1 if 9 paid; 2 if 10 to 20 paid

(g) Is each participant required to bring his/her own laptop?

Some form of electronic support would be useful for effective participation but it is not an admission requirement.

(h) Name and contact details of each trainer, including whether each is an IAIA
     member and has signed IAIA's Code of Conduct.

Arlene K Fleming	Ishanlosen Odiaua
IAIA member. Has signed IAIA Code of Conduct	*IAIA member. Has signed IAIA Code of Conduct*
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Section 2 – Course description

(a) Summary of the purposes content, and anticipated learning outcomes of the
     course (maximum 300 words).

Cultural heritage is a multifaceted resource which includes material features that reflect the values, customs and practices of a people as they adapt and relate to their natural environment. As such it is recognized as one of the three pillars of Environmental Impact Assessment, along with biophysical and social factors. Cultural heritage has received the least attention in impact assessment, and hence the need for awareness creation and training.

Material cultural heritage may consist of remains from vanished cultures, such as archaeological sites and objects, or of historical buildings, landscapes and cityscapes which are still in use, or features in the natural environment which have been endowed with cultural significance. Technological advances, especially in the past two decades, enable the identification, description and management of cultural heritage with remarkable breadth and precision. These capabilities include GPS, GIS, remote sensing, photogrammetry, and digital documentation, mapping, storage, publication and communication.

This intermediate/advanced level two-day training course focuses on requirements, methods, techniques and tools for treating cultural heritage as an integral component of both EIA and Environmental Management Plans. Participants will have a familiarity with impact assessment and an interest in the cultural heritage component.

The first day, in classroom training, covers requirements and procedures for integrating cultural heritage into impact assessment and project plans, including direct, indirect and cumulative impacts. The presentations and discussion include attention to methods and technological tools that greatly facilitate the identification, documentation and management of cultural heritage in the development context. On the second day, a field trip in the historic centre of Florence provides the opportunity for specific application of the material covered on the previous day. The complexity of a living historical site, with many development issues, is apparent. Participants consider a range of challenges and potential actions to ensure the environmental, social and economic sustainability of historic Florence.

(b) Detailed description of the course structure and content

Pre-course Preparation

As part of preparation for the course, 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. They are required to prepare three-minute oral summaries on the main points of these provisions.

Participants are also asked to share guidance tools and reference materials that they use in their own work for inclusion in the compendium to be shared with all participants.

1.   Course overview and objectives

-       The trainers introduce themselves
-       Self-introduction by participants, describing their professional interests, experience, responsibilities and expectations for the training course.
-       Presentation of course overview:
    - Course learning objectives.

- The increasing pace of infrastructure development and population mobility throughout the world, and the concomitant need to consider the impacts on cultural heritage resources and associated social practices and to mitigate damage
- The role of culture and cultural heritage in social and economic well-being, with specific examples
- The process, methods and tools for identifying tangible and intangible cultural features and for assessing and mitigating impact
- A preview of topics to be covered in the course, including the case study and field trip

2. Definition of culture and cultural heritage

- Identification of various aspects of culture and cultural heritage, with examples
- Tangible and intangible cultural heritage; the role of intangible culture in ascribing values to tangible heritage; cultural and spiritual life patterns, practices and value systems
- Evidence of human development in rural and urban settings: archaeological remains, underwater cultural heritage, cultural landscapes, town- and cityscapes
- Presentation of cultural heritage terminology

3. Ascribing values to cultural heritage: the stakeholders

- Understanding the different values ascribed to cultural heritage by various actors who hold different stakes in a particular cultural environment: including local and/or affected communities; religious groups; local, provincial, national or international authorities and publics; development financiers and sponsors; scholars and cultural experts; commercial entities; and tourists.

4. Brief history of the evolution of EIA practice worldwide

- The origin, purpose and components of EIA, and its dissemination throughout the world, with particular reference to the cultural heritage component
- EIA: an interdisciplinary process for identifying and determining interrelationships between biophysical, social and cultural features and stakeholders
- Assessing the impact of a development project
- Examining alternative project designs, and proposing mitigating measures
- Presentation, illustration and discussion of indirect and cumulative effects
- Impact assessment specializations, with particular reference to the Heritage Impact Assessment that employs EIA terminology and methods to explore and analyze the impact

of development projects on a pre-identified cultural heritage site; discussion of advantages and disadvantages of this approach

5.   SEA as a planning tool for heritage protection and management

- Introduction to SEA: rationale, characteristics and evolution of SEA;
- SEA as distinct from EIA
- Mention of various types of studies and analyses considered as SEA
- Discussion: importance and benefits of including culture and cultural heritage in SEA, for comprehensive and long-range planning; taking necessary action to ensure inclusion of culture and cultural authorities in SEAs

6.   Participants' presentations

Participants are given three minutes each to make oral presentations of the reviews they were requested to prepare prior to the course.

7.   Cultural Heritage component of EIA

- The relationship of culture and cultural heritage to the biophysical and social components of EIA and to economic sustainability, as well as the integrated analysis prescribed by EIA

- Advantages of viewing cultural heritage in this broad context. Examples drawn from actual development projects illustrate the potential for positive results from attention to cultural heritage in projects. The historic centre of Florence amply demonstrates this point.

- Requirements for inclusion of cultural heritage in EIA by various participants in the development process, including:
  - National and sub-national governments
  - 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, including the Council of Europe
  - Cultural heritage organisations

- A detailed discussion of actions, methods and sources of guidance for identifying and safeguarding cultural resources in each step of the EIA process and throughout the project cycle with emphasis on the impact assessment process:
  - The importance of consultations throughout the EIA process
  - Early attention to culture in project identification
  - Creating the Terms of Reference for the EIA
  - 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 heritage component of EIA, including: designation of the project impact area; spatial and temporal investigation and analysis of the impact area; adherence to national and sub-national laws and regulations governing cultural heritage; location, use and integration of existing information with evidence generated by the EIA; identification of stakeholders and consideration of their interests; and cumulative effects.

- EIA as a tool for managing heritage resources and developing national heritage records

8. **Guidance Materials and Tools for the Cultural Heritage component of EIA**

- Presentation of existing guidance materials and tools from various sources, useful for systematic investigation, recognition, documentation and management:
  - Provision and description of World Bank's *Physical Cultural Resources Country Profiles*; and the World Bank *Physical Cultural Resources Safeguard Policy Guidebook,* available in English, Spanish, French, Arabic, Chinese and Portuguese. Both tools are useful for any development project, regardless of sponsor.
- Use of guidance tools in case study exercise

World Bank Guidebook for conducting the cultural heritage component of EIA
The *World Bank Physical Cultural Resources Safeguard Policy Guidebook* provides detailed and extensive guidance on conducting the cultural component of EIA. It fills a widespread need on the part of development project proponents, environmental and cultural authorities, and EIA practitioners and 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, and specific guidance intended for various categories of participants in the process, including: financing agencies; project sponsors; 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 different 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.

Physical Cultural Resources Country Profiles

The *Physical Cultural Resources Country Profiles* provide a structured tool that can be developed to organize country-specific information on cultural heritage and EIA and is devised to enable improved coverage of cultural heritage in the EIA and SEA. The profile format includes fields for the following information, specific to each country: 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 culture and on 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 gap in knowledge and action between the cultural and environmental fields.

Other guidance materials and tools

- UNESCO Conventions and Recommendations
    - 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property
    - 1972 Convention concerning the Protection of the World Cultural and Natural Heritage (World Heritage Convention)
    - 2001 Convention on the Protection of the Underwater Cultural Heritage
    - 1972 Recommendation concerning the Protection, at National Level, of the Cultural and Natural Heritage
    - 2011 Recommendation on the Historic Urban Landscape, including a glossary of definitions

- 2012 Florence Declaration on Landscape
- International Council on Monuments and Sites (ICOMOS) Charters and Guidance
  - 2011 *Guidance on Heritage Impact Assessments for Cultural World Heritage Properties*
- International Committee for Documentation of Cultural Heritage. http://cipa.icomos.org
- National Park Service, 2010. Cultural Resource Spatial Data Transfer Standards
- Getty Conservation Institute and World Monuments Fund. Arches Project. http://archesproject.org
- IAIA, 2012. Key Citations for Cultural Impact Assessment
- Florence Municipality, 2006. *Management Plan 2006-2008 – Historic Centre of Florence – UNESCO World Heritage*
- Secretariat on the Convention on Biodiversity, 2004. *Akwe: Kon Voluntary Guidelines for the Conduct of Cultural, Environmental and Social Impact Assessment regarding Developments Proposed to Take Place on, or which are Likely to Impact on, Sacred Sites and on Lands and Waters Traditionally Occupied or Used by Indigenous and Local Communities*
- Rio Tinto, 2011. *Why cultural heritage matters: A resource guide for integrating cultural heritage into communities work at Rio Tinto*

Methods and tools for heritage documentation and management

There is a rapidly developing body of literature on new processes and techniques for "reading" a landscape or cityscape, i.e., surveying and documenting past and current human habitation from the earliest evidence to the present. Tools for non-invasive archaeological exploration and detailed architectural documentation are described, including digital photogrammetry, 3D laser scanning, GPS, GIS, and remote sensing data from satellites and drones. Methods and tools are discussed, and to the extent possible, demonstrated, with particular reference to the historic cityscape, the case study and field trip in Florence.

Methods for consultation with project-affected peoples

-      Consultation with project-affected peoples for the cultural heritage component is often conducted in combination with social assessment during an EIA.
-      Descriptions and discussions on various methods for stakeholder determination and consultation

9.   **Case Study and field trip to the World Heritage City of Florence**

The classroom session includes a case study providing an opportunity for participants to use the guidance materials introduced and provided to them during the course. Small groups of participants discuss and answer questions relevant to the case and report their findings and decisions to the entire group for further evaluation and discussion.

The full-day field trip, scheduled for the second day of the course, is a more elaborate case study for which background material, questions and issues for discussion are provided to participants in advance of the trip.

The historic centre of Florence is world-renowned, and has been a UNESCO-designated World Heritage Site since 1982, making a training course at IAIA15 on the cultural heritage component of impact assessment in this setting, an especially valuable and relevant experience. Specifically, the issues raised by historic Florence present valuable subject matter for a case study regarding the impact of numerous conditions on the intrinsic character and values of the cultural heritage site. These issues include, among others: unregulated tourist flows; infrastructure development; degradation of the artistic heritage due to pollution and poor conservation; flooding of the Arno River; depopulation and lack of cultural identity; landscape deterioration; and socio-economic effects of international political instability.

A focus on Florence offers the possibility of involving the International Centre for the Study of the Preservation and Restoration of Cultural Property (ICCROM), located in Rome, and discussions are underway.

The cost of transportation and lunch during the field trip is covered by the course fee for each participant with the understanding that fees for a classroom, equipment, lunch and coffee breaks are waived for the second day of the course.

10.   Summary and participant presentations of main points

At the close of the course, the trainers and participants present summaries. Participants are invited to outline plans to present the main points learned in the course to colleagues in their workplaces. They 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 for the cultural component of EIA and SEA.

(c) Description of the materials participants will receive prior to or during the course

- An annotated course agenda
- Material for the historic Florence case study and field trip, including the Management Plan for the Historic Centre
- A list of participants and instructors with contact information
- A copy of the *World Bank Physical Cultural Resources Safeguard Policy Guidebook* (available in English, Spanish, French, Arabic, Chinese or Portuguese)
- A specimen *Physical Cultural Resources Country Profile* and instructions for completing a profile (in English, Spanish or French)
- A USB flash drive containing training modules in the form of PowerPoint presentations to share with colleagues in the workplace, as well as resource material relating to the course, including international and regional standards for cultural heritage protection and management

(d) Description of any technology/equipment required to facilitate this course beyond the usual flip charts and PowerPoint projectors.
None

(e) 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 each participant's expectations for the course and to indicate his/her 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 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 counselling session with the trainers during IAIA15, 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.

Section 3 – Qualifications of the trainers

(a) Abridged curriculum vitae

Arlene K. Fleming has advanced degrees in archaeology and telecommunications. For the past 20 years, she has developed and directed projects focused on bringing new financial resources, technologies and approaches to cultural heritage conservation and management in the context of 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, including serving as team leader for the Cultural Assets Rehabilitation Project in Eritrea. Her primary responsibility has been, and continues to be, advising on the policy for safeguarding physical cultural resources in Bank-financed projects through the EIA process. For more than 20 years, she has trained Bank staff and client country officials on compliance with the policy. Some of this work has been facilitated by grants from the Italian Trust Fund for Culture and Sustainable Development. Ms. Fleming also has advised the U.S. government's Millennium Challenge Corporation on management of cultural resources in development projects and conducted staff training.

Since 1998, Ms. Fleming has made numerous presentations and published articles on identification, protection and management of cultural resources in the development context. At IAIA05, IAIA08, IAIA09, and IAIA11, She organized and co-chaired sessions on cultural heritage and impact assessment, and for IAIA09, IAIA11 and IAIA13, she designed and co-conducted training which was enthusiastically received. She was the co-founder of the Cultural Heritage Section within IAIA and continues as co-chair, and was a compiler of IAIA Key Citations for Cultural Heritage.

Ms. Fleming has participated in cultural and natural heritage conservation and training projects sponsored by UNESCO, ICOMOS, the World Monuments Fund, Preservation Institute: Nantucket, the Getty Conservation Institute, the U.S. government's departments of defense, agriculture (Forest Service), and interior (National Park Service). In addition to her focus on development, Ms. Fleming has written, lectured and advised governments on international standards for protecting cultural property during armed conflict, occupation and reconstruction, and on integrating cultural heritage into disaster planning, mitigation and response.

Ishanlosen Odiaua is an architect and Independent Consultant who has worked for several international organisations, including Centre for Heritage Development in Africa (CHDA) based in Mombasa, Kenya, UNESCO World Heritage Centre, World Monuments Fund and the World Bank. A former university teacher, she has over 15 years experience in heritage conservation and training. She was recently part of a team that carried out a UNESCO-commissioned impact assessment of the multi-billion dollar Lamu Port South Sudan Ethiopia Transport (LAPSSET) Corridor project on the World Heritage Site of Lamu, Kenya.

While at CHDA, where she was the program coordinator for immovable cultural heritage, Dr Odiaua was responsible for numerous training courses, under the auspices of a UNESCO and ICCROM supported regional programme (Africa 2009) aimed at building up the capacity of African heritage specialists in managing and conserving immovable cultural heritage. One of these training courses was a month-long course on impact assessment as a tool for heritage management, held in Sudan in 2008. In 2012 and 2013, working with the World Monuments Fund, she was responsible for designing and implementation of a conservation training programme for artisans, university students and government technicians for the historic churches of Lalibela, Ethiopia. This also included development of a training strategy for economic empowerment of women artisans in the area.

She is familiar with the Environmental Safeguard policies of the World Bank and has provided environmental safeguards support to the Africa and Middle East and North Africa regions of the Bank. She coordinated the preparation of the Africa Periodic Report Action Plan 2012-2017 based on the results of the Second cycle of periodic reporting in Africa to support policy and implementation of the World Heritage Convention in African countries.

She has carried out extensive research on the challenges to architectural conservation in West Africa, in view of the massive challenge of large infrastructural development in this region. Dr Odiaua has co-authored publications on African World Heritage and the use of impact assessment as a heritage management tool in Africa.

(b) History of the course

This course is a new and expanded version of courses conducted at the World Bank during the past decade, and at IAIA09 (conducted by Arlene Fleming and Ian Campbell) and at IAIA11 and IAIA13 (conducted by Arlene Fleming and Juan Quintero), where participants provided highly favourable evaluations. Arlene Fleming conducted an electronic course for IAIA participants in

August and September 2010. Together with Ian Campbell, Ms. Fleming delivered a similar course for cultural and EIA authorities in countries of the Nile Basin during 2009, as part of a World Bank initiative to improve compliance in that region with its safeguard policy for physical cultural resources. With Ishanlosen Odiaua, she provided training in several African countries for cultural heritage and environmental authorities involved in projects financed by the World Bank. The proposed course for IAIA15 covers general material but is tailored specifically for the theme and issues of IAIA15 using historic Florence for study and demonstration, and offers abundant new information for any repeat participants..

Dr Odiaua also conducted a month-long UNESCO-sponsored training – Impact Assessment as a Tool for Heritage Management - for heritage professionals at the Merowe Dam in Sudan, in 2008. There were 18 participants from 10 countries and at least a third of these actively work on impact assessments.

(c) If the course is new, give history of a comparable course, with the same information as in 3b.

As stated above, training courses led by Ms. Fleming and by Dr. Odiaua at the World Bank, in the Bank's client countries, at the U.S. Millennium Challenge Corporation, at IAIA, and on behalf of UNESCO and other organizations, during the past two decades have been successful and favourably evaluated by participants.

Section 4 – Commitment of the trainers

(a) **Number of times a course by the trainers has been offered, then cancelled**

One; the course proposed for IAIA10 could not be given due to a family emergency for one trainer (Arlene Fleming) and unexpected last-minute obligations for the other (Ian Campbell). In place of the training at IAIA10, Ms. Fleming offered an e-course for the registered participants at no cost to them. A one-day classroom course proposed for IAIA 14 did not attract the interest of the two-day training including a field trip, and was not presented.

(b) **Number of approved training courses where changes in trainers or course structure were made: None**

(c) **Level of commitment to give this course: Very high**

(d) **Circumstances that would cause the course to be cancelled: None**

Backup strategy: If one of the trainers for any reason could not be present, the other trainer could conduct the course.

(e) **The trainers welcome the opportunity to provide free places to students based on the IAIA formula.**

Additional Note

From the vantage point of the cultural heritage component in impact assessment, the course content relates to, and touches upon, several other topics listed for IAIA15 training, including: sustainability assessment; stakeholder engagement and public participation; social impact assessment; cumulative effects; tools for impact assessment; environmental management plans and systems; and policy engagement.