

# HSAF Meeting 7 – Iceland

# Mtg 7 Paper 3a

## EVOLUTION OF PROTOCOL ASPECT SCORING TEMPLATE

### EXAMPLE OF ASPECT TEMPLATE - Section II Cultural Heritage Aspect (version 20 March – as agreed at Forum Meeting 6)

**ASPECT NAME: SECTION II CULTURAL HERITAGE**

**DESCRIPTION:** This aspect addresses the level of impact and planning for protection and conservation of tangible and intangible forms cultural heritage. This aspect is important because cultural heritage artefacts can be damaged or lost through the physical landscape changes brought about by hydropower project construction and operation, as well as through associated infrastructure impacts (e.g. new roads, transmission lines). Furthermore, non-physical cultural heritage such as traditions, festivals and rituals can also be impacted through hydropower project impacts to local communities.

**INTENT:** Cultural heritage is identified, recognised and addressed.

**SAMPLE ASSESSMENT QUESTIONS:**

- xxx
- xxx
- xxx
- xxx

**NOTES ON STANDARD ATTRIBUTES:**

xxx

xxx

**ASPECT SPECIFIC SCORING INSTRUCTIONS:**

Attribute	Level 1	Level 2	Level 3	Level 4	Level 5
Level of protection of cultural heritage	xxx	xxx	xxx	xxx	xxx

**EXAMPLES OF OBJECTIVE EVIDENCE:**

- Heritage impact statements
- Conservation plans
- Heritage plans and agreements

**CRITERIA TO BE MET FOR ASPECT TO BE CONSIDERED NOT APPLICABLE:** xxx

(xxx means to be filled in)

**ASPECT NAME: SECTION II CULTURAL HERITAGE**

**AUDITORS COMMENTS ON RELEVANCE OF THE ASPECT TO THE PROJECT BEING ASSESSED:**

**SCORE:**

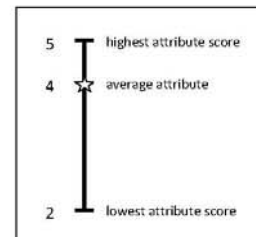
Process Attribute	Level (1-5)	Auditor's Comments
Quality of the Assessment Process <sup>1</sup>		
Quality of the Management Planning <sup>1</sup>		
Appropriateness of the Resource Capacity		
Quality of the Consultative Process <sup>1</sup>		
Performance Attribute	Level (1-5)	Auditor's Comments
Level of Stakeholder Support <sup>1</sup>		
Level of Protection of Cultural Heritage <sup>2</sup>		

<sup>1</sup> Refer to Standard Attribute Scoring Instructions (pages x-x) plus notes opposite page

<sup>2</sup> Refer to aspect-specific scoring instructions opposite page

**OVERALL SCORE:**

(example only)



**EVOLUTION OF PROTOCOL ASPECT SCORING TEMPLATE****ASPECT TEMPLATE AS PRODUCED BY HELEN LOCHER AND KARIN SEELOS –  
14 APRIL 09****ASPECT NAME: SECTION II CULTURAL HERITAGE****DESCRIPTION:** This aspect addresses the level of impact and planning for protection and conservation of cultural heritage.

This aspect is important because cultural heritage artefacts can be damaged or lost through the physical landscape changes brought about by hydropower project construction and operation, as well as through associated infrastructure impacts (e.g. new roads, transmission lines). This aspect relates only to physical cultural heritage. Non-physical cultural heritage such as traditions, festivals and rituals can also be impacted through hydropower project impacts to local communities and should be assessed as part of the social impact assessment aspect.

**INTENT:** Cultural heritage is identified, recorded, and high value artefacts protected.**SAMPLE ASSESSMENT QUESTIONS:**

- How and to what extent have cultural heritage artefact inventories and values been established in the project-affected area?
- Has a cultural heritage management plan been developed, and where is it found?
- What consultation processes have been utilised in relation to cultural heritage artefacts and values, and what difference have these made?
- What expertise or sources of knowledge have been used in the cultural heritage assessment and planning?
- What resources have been allocated to assessment and planning for cultural heritage?
- Who are the key stakeholders with respect to cultural heritage, and do they agree with the assessment and planning?
- Do the plans ensure that all high value cultural heritage artefacts will be recorded, protected and conserved?

**EXAMPLES OF OBJECTIVE EVIDENCE:**

- Cultural heritage assessment report
- Physical site inspections
- Cultural heritage impact statements
- Cultural heritage management, protection and/or conservation plans
- Records of stakeholder meetings (including regulators) with respect to cultural heritage
- Third party expert review

**CRITERIA TO BE MET FOR ASPECT TO BE CONSIDERED NOT APPLICABLE:**

Records from previous independent and authoritative studies show an absence of physical cultural heritage artefacts in the project-affected area.

## EVOLUTION OF PROTOCOL ASPECT SCORING TEMPLATE

## ASPECT NAME: SECTION II CULTURAL HERITAGE

<b>Process Attributes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
Assessment	- Comprehensive field-based assessment of cultural heritage artefacts and values clearly establishes the level of importance of the issue		- Desk-top or interview based analysis and mapping of cultural heritage artefacts and values		- No or very minimal assessment of cultural heritage artefacts
Management Planning* <i>* skip this attribute if assessment scores 3, 4 or 5 and shows no cultural heritage issues</i>	- Comprehensive cultural heritage management plan is developed		- Measures to address cultural heritage are included in environmental and/or social impact management plans		- Absence of or very minimal cultural heritage management planning
Consultation	- Consultation assists understanding of cultural heritage values and outcomes are clearly integrated into management planning		- Consultation process undertaken		- No or minimal consultation process
Resource Capacity	- Use of recognised expertise as well as indigenous and local knowledge in assessment and planning - Resource allocation at a scale commensurate with the level of importance of the issue		- Use of cultural heritage expertise - Funding allocated to cultural heritage assessment and planning		- No use of cultural heritage expertise - No to minimal funding of cultural heritage
<b>Performance Attributes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
Stakeholder Support	- Key stakeholders agree with the cultural heritage assessment and planning		- No unresolved objections amongst key stakeholders for the cultural heritage assessment and planning		- Significant and unresolved objections to the cultural heritage assessment and planning
Effectiveness	- Cultural heritage impacts are likely to be comprehensively avoided or mitigated - Plans ensure that all high value cultural heritage artefacts will be recorded, protected and conserved		- Cultural heritage impacts are likely to be minimized and mostly mitigated - Plans ensure that most cultural heritage artefacts will be recorded, protected and conserved		- Cultural heritage impacts are likely to be inadequately avoided, minimized, or mitigated - Plans do not ensure that cultural heritage artefacts will be recorded, protected and conserved

EVOLUTION OF PROTOCOL ASPECT SCORING TEMPLATE

ASPECT TEMPLATE PRODUCED AT LONDON DRAFTING WORKSHOP (12-14 May 09)

Aspect: Cultural Heritage

This aspect addresses the level of impact and planning for protection and conservation of cultural heritage. This aspect is important because cultural heritage artefacts can be damaged or lost through the physical landscape changes brought about by hydropower project construction and operation, as well as through associated infrastructure impacts (e.g. new roads, transmission lines). This aspect relates only to physical cultural heritage. Non-physical cultural heritage such as traditions, festivals and rituals can also be impacted through hydropower project impacts to local communities and should be assessed as part of the social impact assessment aspect. The intent is that cultural heritage is identified, recorded, and high value artefacts protected.

<i>Process Attributes</i>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
Assessment Process	<ul style="list-style-type: none"> <li>- Field-based, desk-top and interview based mapping and analysis of cultural heritage artefacts with respect to area of project influence.</li> <li>- Good understanding of local, national, regional and international policies, agreements and conventions relating to protection of cultural heritage.</li> <li>- Level of significance and value of the cultural heritage artefacts to stakeholders is established.</li> <li>- Use of nationally or internationally recognised cultural heritage expertise is highly utilised in the assessment process.</li> <li>- Indigenous and local knowledge is closely integrated into the assessment process.</li> </ul>	<ul style="list-style-type: none"> <li>- Field-based, desk-top and interview based mapping and analysis of cultural heritage artefacts with respect to area of project influence.</li> <li>- Some understanding of local, national, regional and international policies, agreements and conventions relating to protection of cultural heritage.</li> <li>- Level of significance and value of the cultural heritage artefacts to stakeholders is established.</li> <li>- Use of nationally or internationally recognised cultural heritage expertise is utilised in the assessment process.</li> <li>- Indigenous and local knowledge is integrated into the assessment process.</li> </ul>	<ul style="list-style-type: none"> <li>- Desk-top or interview based mapping and analysis of cultural heritage artefacts with respect to area of project influence.</li> <li>- Level of significance and value of the cultural heritage artefacts to stakeholders is established.</li> <li>- Indigenous and local knowledge is integrated into the assessment process.</li> </ul>	<ul style="list-style-type: none"> <li>- No additions to standard attribute scoring.</li> </ul>	<ul style="list-style-type: none"> <li>- No additions to standard attribute scoring.</li> </ul>
Management Planning Process	<ul style="list-style-type: none"> <li>- Indigenous and local knowledge is closely integrated into the management planning process.</li> <li>- Use of nationally or internationally recognised cultural heritage expertise is utilised in the management planning process.</li> <li>- Management strategies</li> </ul>	<ul style="list-style-type: none"> <li>- Indigenous and local knowledge is integrated into the management planning process.</li> <li>- Use of nationally or internationally recognised cultural heritage expertise is utilised in the management planning process.</li> <li>- Management strategies</li> </ul>	<ul style="list-style-type: none"> <li>- Indigenous and local knowledge and is integrated into the management planning process.</li> <li>- Management strategies incorporate a range of approaches including protection, conservation, restoration, documentation and record-keeping.</li> </ul>	<ul style="list-style-type: none"> <li>- No additions to standard attribute scoring.</li> </ul>	<ul style="list-style-type: none"> <li>- No additions to standard attribute scoring.</li> </ul>

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	incorporate a range of approaches including protection <sup>1</sup> , conservation, restoration, documentation and record-keeping. - Local individuals with ties to the cultural heritage are given integral roles in implementation of the management plans.	incorporate a range of approaches including protection, conservation, restoration, documentation and record-keeping.			
Consultation Process	- No additions to the standard attribute scoring.	- xxx	- xxx	- xxx	- xxx
<b>Performance Attributes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
Stakeholder Support	- No additions to the standard attribute scoring.	- xxx	- xxx	- xxx	- xxx
Conformance with Plans	- No additions to the standard attribute scoring.	- xxx	- xxx	- xxx	- xxx
Compliance	- No additions to the standard attribute scoring.	- xxx	- xxx	- xxx	- xxx
Effectiveness	- Negative impacts to cultural heritage artefacts are comprehensively avoided or mitigated. - Positive impacts to cultural heritage artefacts can be demonstrated. - All cultural heritage artefacts of high significance and value are recorded, protected and conserved.	- Negative impacts to cultural heritage artefacts of high significance and value are comprehensively avoided or mitigated. - Most cultural heritage artefacts of high significance and value are recorded, protected and conserved.	- Negative impacts to cultural heritage artefacts of high significance and value are minimized and mostly mitigated. - The majority of cultural heritage artefacts of high significance and value are recorded, protected and conserved.	- No additions to standard attribute scoring.	- No additions to standard attribute scoring.

<sup>1</sup> Protection may be either *in situ* or by relocation.

EVOLUTION OF PROTOCOL ASPECT SCORING TEMPLATE

ASPECT TEMPLATE USED FOR FORUM MEETING 7 DRAFT PROTOCOL CONTENT (11 June 09)

This aspect addresses the level of impact and planning for protection and conservation of cultural heritage<sup>1</sup> that can be damaged or lost through the physical landscape changes brought about by hydropower project construction and operation, as well as through associated infrastructure impacts (e.g. new roads, transmission lines). The intent is that cultural heritage is identified, recorded, and high value artefacts protected.

**CRITERIA FOR ASPECT TO BE CONSIDERED NOT RELEVANT:** This aspect is not relevant if the Social Impact Assessment shows that there is no cultural heritage affected by the proposed project.

**CONSIDERATIONS RELEVANT TO PROJECT CONTEXT OR SCALE:** National legislation and policies are very relevant to this aspect. Project context and scale will significantly influence the degree to which cultural heritage artefacts can be protected, recovered or preserved.

Process Attributes	5	4	3	2	1
<b>Assessment</b>	• Cultural heritage data collection methodologies				
	Good desk top or interview based mapping with good field data	Good desk top or interview based mapping with some field data	Good desk top or interview based mapping	Some desk top or interview based mapping	Limited desk top or interview based mapping
	• Understanding of local, national, regional and international legislation, policies, agreements and conventions relating to protection of cultural heritage				
	Excellent	Very Good	Good	Poor	Very Poor
	• Understanding of the significance and value to stakeholders of the cultural heritage artefacts				
	Excellent	Very Good	Good	Poor	Very Poor
	• Expertise utilized in the cultural heritage assessment process				
	National or international experts, indigenous and local knowledge extensively drawn on	National experts, some indigenous and local knowledge	Some indigenous and local knowledge	Local knowledge	Limited expertise
<b>Management</b>	• Quality of the cultural heritage management planning process [see Management guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
	• Expertise utilized in the cultural heritage management planning process				
	National or international experts, indigenous and local knowledge extensively drawn on	National experts, some indigenous and local knowledge	Some indigenous and local knowledge	Local knowledge	Limited expertise
	• Diversity of approaches in cultural heritage management planning strategies <sup>2</sup>				
	High	Good	Some	Limited	None
<b>Consultation</b>	• Quality of the consultation process [see Consultation guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Performance Attributes</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>1</b>
<b>Stakeholder Support</b>	• Level of stakeholder support [see Stakeholder Support guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Conformance with Plans</b>	• Level of conformance with plans [see Conformance with Plans guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor
<b>Compliance</b>	• Level of compliance [see Compliance guidance note]				
	Excellent	Very Good	Good	Poor	Very Poor

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<b>Effectiveness</b>	• Recording, protection and conservation of cultural heritage artefacts of high significance and value				
	All	Most	Many	Some	None
	• Degree to which negative project impacts to cultural heritage are identified, avoided, mitigated and/or compensated				
	All major and minor negative impacts with no gaps	All major and minor negative impacts with very few non-critical gaps	Major negative impacts with a number of non-critical gaps	Major negative impacts with some critical gaps	Major negative impacts with many critical gaps
	• Likelihood of positive project impacts to cultural heritage being realised				
	Very High	High	Good	Minimal	None

**AUDITING GUIDANCE NOTES:**

1. This aspect relates only to physical cultural heritage. Non-physical cultural heritage such as traditions, festivals and rituals can also be impacted through hydropower project impacts to local communities and should be assessed as part of the social impact assessment aspect.
2. A diversity of management approaches could include protection, conservation, restoration, documentation and record-keeping. Protection, conservation and restoration could be *in situ* or relocated.

**EXAMPLES OF EVIDENCE:** - Heritage impact statements, - Conservation plans, - Heritage plans and agreements