

Managing the Impacts of IDB Projects on Cultural Heritage

Inter-American Development Bank

Environmental Safeguards Unit
(VPS/ESG)

TECHNICAL
NOTE N°
IDB-TN-896

Managing the Impacts of IDB Projects on Cultural Heritage

Inter-American Development Bank

November 2015



Cataloging-in-Publication data provided by the
Inter-American Development Bank
Felipe Herrera Library

Managing the impacts of IDB projects on cultural heritage / Inter-American
Development Bank.

p. cm. — (IDB Technical Note ; 896)

Includes bibliographic references.

1. Cultural property—Protection—Latin America. 2. Cultural property—Protection—
Caribbean. 3. Economic development projects—Evaluation. I. Inter-American
Development Bank. Environmental Safeguards Unit. II. Series.
IDB-TN-896

JEL Codes: Z1, L7

Keywords: Cultural Heritage, Chance finds, Archaeology

<http://www.iadb.org>

Copyright © 2015 Inter-American Development Bank. This work is licensed under a Creative Commons IGO 3.0 Attribution-NonCommercial-NoDerivatives (CC-IGO BY-NC-ND 3.0 IGO) license (<http://creativecommons.org/licenses/by-nc-nd/3.0/igo/legalcode>) and may be reproduced with attribution to the IDB and for any non-commercial purpose. No derivative work is allowed.

Any dispute related to the use of the works of the IDB that cannot be settled amicably shall be submitted to arbitration pursuant to the UNCITRAL rules. The use of the IDB's name for any purpose other than for attribution, and the use of IDB's logo shall be subject to a separate written license agreement between the IDB and the user and is not authorized as part of this CC-IGO license.

Note that link provided above includes additional terms and conditions of the license.

The opinions expressed in this publication are those of the authors and do not necessarily reflect the views of the Inter-American Development Bank, its Board of Directors, or the countries they represent.



ACKNOWLEDGMENTS

This document was prepared by a team of the Environmental Safeguards Unit, Vice Presidency for Sectors and Knowledge (VPS/ESG) of the Inter-American Development Bank. The team was led by John Renshaw and Elsa Chang (VPS/ESG) and supported by Emlen Myers (consultant with ERM, Environmental Resource Management).

The document benefitted from comments from various people and institutions, including Edward Liebow, Executive Director of the American Anthropological Association; Arlene K. Fleming, Cultural Resource and Development Specialist at the World Bank; Pedro Francisco Sánchez Nava and Manuel Eduardo Pérez Rivas of the *Instituto Nacional de Antropología e Historia*, Mexico; Luis Gómez Gastélum, *Universidad de Guadalajara*, Mexico; Roberto Molinari, Director of Cultural Resources, *Administración de Parques Nacionales*, Argentina; Mónica Berón, President of the *Sociedad Argentina de Antropología*; Mauricio Uribe, *Departamento de Antropología, Universidad de Chile*; Luiz Oosterbeek, Secretary-General, *Union Internationale des Sciences Prehistoriques et Protohistoriques*; Jeffrey Altschul, President of the Society for American Archaeology (SAA); and Diane Gifford-Gonzalez, President Elect of the SAA.

The original draft of the document was presented at the annual meeting of the SAA in Lima, Peru in August 2014. The Bank would like to thank SAA for the opportunity to present that draft, and in particular its President, Jeffrey Altschul and its Executive Director, Tobi Brimsek, who supported this initiative from its inception.

A draft of the document was also circulated among staff members and consultants within the Inter-American Development Bank who are familiar with cultural heritage issues and implementation of cultural heritage management plans. Carlos Pérez Brito, Maria da Cunha, Emmanuel Boulet, Graham Watkins, and José Vicente Zevallos provided comments and suggestions. In addition, Carlos Pérez Brito prepared the text and provided the photographs that appear in the boxes illustrating the management of cultural heritage in development projects.

ACRONYMS

ADS	Archaeology Data Service
EA	Environmental Assessment
ERM	Eligibility Review Meeting
ESGU	Environmental Safeguards Unit (IDB)
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMR	Environmental and Social Management Report
ESS	Environmental and Social Strategy
ICCROM	International Centre for the Study of the Preservation and Restoration of Cultural Property
ICOMOS	International Council on Monuments and Sites
IDB	Inter-American Development Bank
IUCN	International Union for the Conservation of Nature
OP	Operational Policy
NGO	Non-Governmental Organization
PMU	Project Management Unit (IDB Private Sector)
PP	Project Profile
SAA	Society for American Archaeology
SEA	Strategic Environmental Assessment
tDAR	The Digital Archaeological Record
TOR	Terms of Reference
UNESCO	United Nations Educational, Scientific and Cultural Organization
VPS/ESG	Environmental Safeguards Unit, Vice Presidency for Sectors and Knowledge (IDB)

CONTENTS

1. Introduction.....	1
2. Why does Cultural Heritage Matter?.....	1
3. Operational Definition of Cultural Heritage	3
4. Attributes of Cultural Heritage	5
5. Impacts on and Risks to Cultural Heritage.....	7
6. Cultural Heritage in the IDB Project Cycle	10
7. Approaches to Identifying and Assessing Impacts.....	16
8. Cultural Heritage Impact Assessment Report.....	24
9. Mitigation of Impacts on Cultural Heritage	25
10. Archaeological Monitoring and Chance Finds Procedures	30
11. Conservation, Reporting and Display.....	31
12. References	33
Annex A. National Laws and Guidelines.....	33
Annex B. International Guidelines for Cultural Heritage Protection and Conservation	38

TABLES

Table 1. Material or Tangible Cultural Heritage Resources

Table 2. Sensitivity Screening Criteria for Cultural Heritage Sites and Resources

BOXES

Box 1. Quito Metro

Box 2. Cerro Ballena

Box 3. Hydropower Plant Manuel Piar, Tocomá, Venezuela

Box 4. Peru LNG

1. Introduction

The aim of this note is to explain how potential impacts on cultural heritage should be addressed in the context of IDB projects. The note sets out basic steps for the management of cultural heritage sites and objects that may be encountered during implementation of Bank- financed projects. It considers why the protection of cultural heritage is important, what kind of expertise is required to identify and evaluate cultural heritage, and what level of effort is required to ensure that concerns for cultural heritage are effectively integrated into the social, environmental, institutional, and financial analysis of a project. Above all, this note is intended to ensure that concerns about cultural heritage are addressed systematically as an integral part of the Bank's social and environmental impact assessment procedures.

The Bank is committed to achieving sustainable economic growth, reducing poverty and inequality, and enhancing conditions for social and economic development through sound management of the natural and cultural environment. The Bank can proactively support operations that are specifically designed to protect cultural heritage sites, but it also requires borrowers to avoid or mitigate any potential negative impacts on sites or objects of cultural significance.

This requirement is explicitly set out in the Bank's *Environment and Safeguards Compliance Policy* (OP-703), approved in 2007, particularly Policy Directive B.9 on "Critical Habitats and Cultural Sites," which states:

The Bank will not support operations that, in its opinion, significantly convert or degrade critical natural habitats or that damage critical cultural sites ... The EA [Environmental Assessment] process will identify and assess impacts on critical cultural sites. For other non-critical cultural sites or artifacts, appropriate measures will be taken to protect their integrity and function. For operations where archeological or historical artifacts can be expected to be found either during construction or operations, the borrower will prepare and implement chance find procedures based on internationally accepted practices. (Inter-American Development Bank 2006a, 11)

This note elaborates on the requirements of OP-703 and its *Implementation Guidelines for the Environment and Safeguards Policy* (Quiroga and Milewski, 2007). It is intended to provide guidance on the Bank's Environment and Safeguards Compliance Policy, especially Policy Directive B.9. It includes two annexes. The first provides references and links to national legislation and guidelines available for most countries or Latin America and the Caribbean, while the second provides links to some of the main international guidelines on the protection and conservation of cultural heritage.

2. Why does Cultural Heritage Matter?

Latin America and the Caribbean have a particularly rich cultural heritage that reflects the diverse histories and origins of the peoples that make up the present day nation-states of the region. Fundamental is the heritage of the contemporary,

historical, and pre-Columbian indigenous peoples. This heritage includes the monumental architecture of the Mayan and Aztec peoples; the Andean civilizations, many of which were eventually incorporated into the Inca empire; the civilizations of the Amazon basin and the Llanos de Mojos; and the cultural sites and artifacts associated with the peoples of the tropical forest, the Gran Chaco, the Pampas, and Patagonia. The cultural heritage of Latin America and the Caribbean also includes an extraordinarily rich colonial and post-Colonial heritage drawn from Spain, Portugal, the Netherlands, France, and Britain. Examples include Mexico City, Quito, Panama City, Lima, Antigua Guatemala, Sucre, Potosí, Olinda, Ouro Prêto, and Cap Haitien. The African heritage, the legacy of slavery and of the struggle for freedom and emancipation, is evident in the Caribbean, along the Pacific Coast of South America from Panama to Peru, and in much of Brazil. Finally, cultural heritage is associated with the immigrants who came to the region in the nineteenth and twentieth centuries. These include the farmers, artisans, and traders who came from south and central Europe; Italians, Swiss and Germans in Southern Brazil, Argentina and Paraguay; Syrians and Lebanese in Brazil and Central America; and the Portuguese, Chinese, Indians and Javanese in Trinidad and Tobago, Guyana, Suriname, and Belize.

The sites, monuments, and objects that constitute the cultural heritage of a country, region, city, town, or ethnic group provide a direct link to the past, and help to define a people's sense of identity. They can be a source of social cohesion, strengthening or promoting local and national cultural identities and, by providing a vision of their past, may offer a basis for shaping the present and the future of a society.

Cultural heritage is rarely neutral. It is often the source of collective pride, but it must also be acknowledged that there are times when the discovery or rediscovery of particular sites—for instance mass graves or clandestine cemeteries—can generate tensions, bringing back memories of conflict, terror, or injustice, and re-opening old wounds. This is one of the reasons why cultural heritage has to be managed with sensitivity, respecting the wishes, beliefs and identity of the relatives, descendants and others who may identify closely with the sites or objects in question.

Cultural heritage is also a vital economic asset, though it may be hard to assign an economic value to a particular site or building. It is the combination of the buildings, the architectural styles, and other natural and/or cultural elements that gives a site or city or region its character and uniqueness. Each building or site is a part of the whole and complements the overall atmosphere or character that distinguishes the site, city, or region.

The reality is that even though restoration of historic buildings or monuments takes place, this is rarely a self-sustaining financial enterprise. The direct income generated by even the best-known historical or archaeological sites such as Machu Picchu, Tikal or Chichen Itza is probably insufficient even to cover the cost of maintaining the sites.

Therefore, the economic value of cultural heritage must be assessed broadly. Cultural heritage sites provide the basis for tourist industries of national and international importance generating thousands of jobs in the hotel, catering, transport and related industries. Indeed, in many Latin American and even in some

Caribbean countries the tourist industry is driven largely by cultural heritage. Classic examples include Guatemala, Mexico, Bolivia, and Peru, as well as those cities whose character is largely defined by their colonial or post-colonial architecture, perhaps combined with other forms of cultural expression, such as their music, dance, gastronomy or literature (for example, Cartagena, Quito, Buenos Aires, Montevideo, and perhaps even Brasilia).

The potential economic and historic value of a city or a region can be increased through the carefully planned restoration and conservation of key historical and archaeological sites following national and international standards. Indeed, the Bank has been and is still involved in some projects of this kind. Examples include projects in Quito, Montevideo, and the Petén in Guatemala. However, if a city's historical or archaeological heritage is allowed to decay, its authenticity is compromised or even destroyed. This can be caused by the construction of poorly planned office or apartment blocks or shopping malls that make no concession to the history or unique character of the city. As a result, the site or city will forever lose the essence of what first made it a culturally valuable site or a special place to live or visit. Moreover, when historic towns are allowed to fall into disrepair, people will be driven away, as has happened in the center of so many Latin American, Caribbean and US cities. The empty public spaces of the inner city will become increasingly insecure, driving a downward spiral of street crime, decay and abandonment as residents and businesses move to the suburbs.

When a project has potential impacts on cultural heritage, the management of the impacts can be important for the outcome of the project itself. If these impacts are well managed, the positive value can transform the effort from an exercise in compliance or a simple permitting requirement (i.e. a cost of doing business), into an effective social investment opportunity. On the other hand, mismanagement of cultural resources can lead to damage and permanent loss of vital information about a culture's past. It can also jeopardize the success of a project, leading to legal challenges, delays in construction, increases in contractor stand-by charges and adverse publicity that can tarnish a sponsor's reputation.

3. Operational Definition of Cultural Heritage

The IDB's Implementation Guidelines for the Environment and Safeguards Policy defines cultural sites as *"any natural or manmade areas, structures, natural features and/or objects valued by a people or associated people to be of spiritual, historical, and or archaeological significance"* (Quiroga and Milewski, 2007, 42).

For the purposes of this note and in reference to Directive B.9, cultural heritage is taken to include *all* physical or tangible cultural resources,¹ whether found on land or

¹ The current World Bank Safeguard Policy OP-4.11 refers to physical cultural resources, which are defined as "Moveable or immovable objects, sites, structures, groups of structures and natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic, or other cultural significance." (World Bank 2013). See also pages 10 and 60 of the World Bank's Physical Cultural Resources Safeguard Policy Guidebook, (Campbell, 2009). The World Bank's draft document

in underwater settings. These may or may not be legally protected. Thus, cultural heritage includes, *critical cultural sites*, which are those listed as UNESCO World Heritage Sites and National Monuments, as well as areas initially recognized as protected by traditional local communities, such as sacred groves.

As Table 1 indicates, cultural sites include rock carvings or petroglyphs, artifacts, relics, structures or groups of structures, industrial sites of historical importance, monumental sculptures, paintings, inscriptions, and artifacts. In addition to having spiritual, religious, historical, and/or archaeological significance, these may also have paleontological, artistic, historical, ethnological or anthropological value.

Furthermore, the definition of cultural heritage can include natural features (such as sacred mountains, rocks, caves, waterfalls, springs or sacred trees) as well as buildings, archaeological sites and cultural objects (such as shrines, tombs, or monuments) that possess cultural value and have been traditionally used by a community. These are thus considered as living heritage. A special and often potentially sensitive type of living heritage site is the location of an important tragic event such as a battle, massacre, or political assassination. Such sites bear witness to important and long-remembered events that might not otherwise be commemorated. These sites may be physically unremarkable and rarely discussed, and may include human burials with forensic value.

Table 1. Material or Tangible Cultural Heritage Resources

Types of Resources	Examples
Archaeological Sites/Monuments	<ul style="list-style-type: none"> • Pre- and post-contact indigenous cities, building complexes and structures • European exploration, conquest, and colonial period sites including industrial sites or infrastructure of historical importance
Historic Architecture	<ul style="list-style-type: none"> • Towns and neighborhoods • Colonial city centers • Structures, including ports, canals, bridges, railway stations, palaces, government offices, cathedrals, churches, military installations, markets, theatres, etc.
Historic Landscapes	<ul style="list-style-type: none"> • Culturally important natural features • Historically modified landscapes such as terraces or raised-fields, drainage systems, irrigated areas, trails, and plantations • Battlefields and other sites where important historic events have taken place
Living Heritage	<ul style="list-style-type: none"> • Churches, chapels and temples • Roadside shrines and crosses • Cemeteries and unmarked burial sites, which may have forensic and political implications • Any natural or built sites that are used and/or valued by a specific community

“Environmental and Social Standard 8: Cultural Heritage” is broader and states that “The term ‘Cultural Heritage’ is defined as resources which people identify, independently of ownership, as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. Cultural heritage may be valued at the local, regional or national level, or within the international community.” (World Bank 2014, 1)

In its broader sense, cultural heritage can also refer to intangible resources, such as languages, myths, dances, music and songs, rituals, designs, cuisine, knowledge, and the practices, beliefs, and values that make a group of people or a region distinctive and socially cohesive. These may be central to the ethnic, cultural or regional identity of a people and are usually transmitted from one generation to another, constituting a living memory of the past. These intangible resources inform and give value to the tangible, and indeed may be important in determining whether or not a site or natural feature constitutes an example of living and “critical cultural heritage,” in the terms of Policy Directive B.9 of the *Environment and Safeguards Compliance Policy* (Inter-American Development Bank 2006a).

While intangible cultural resources are not the primary focus of this note, they are addressed more directly by the Bank’s *Operational Policy on Indigenous Peoples* (OP-765). This policy has two key objectives: first, to support the development with identify of indigenous peoples, and second, to safeguard indigenous peoples and their rights against adverse impacts and exclusion in Bank-funded development projects. Among the activities that the policy identifies as especially important is:

Support for indigenous culture, identity, language, traditional arts and techniques, cultural resources, and the intellectual property of indigenous people (Inter-American Development Bank 2006b, 7).

In regard to the application of safeguards to intangible cultural heritage, the *Operational Policy on Indigenous Peoples* states:

In recognition of the special socio-cultural and linguistic characteristics of indigenous peoples, Bank operations will include such measures as are necessary to protect these assets from potential adverse impacts. (Inter-American Development Bank 2006b, 9)

4. Attributes of Cultural Heritage

As described above, the category of material or tangible cultural heritage covers a wide range of sites, monuments, and objects that could potentially be affected by development projects. Some of these sites and monuments are undoubtedly more important than others, and different constituencies (e.g., archaeologists, historians, local and descendant communities) may assess, value, and prioritize them in different ways. It is therefore necessary to identify a set of characteristics or attributes by which cultural heritage may be assessed in order to make decisions about the level of effort, resources, and actions that would be required for their proper management and conservation. This is an important issue since the IDB’s Environment and Safeguards Compliance Policy states that the Bank will *not* support operations that damage critical cultural sites (OP-703, Directive B.9; Inter-American Development Bank 2006a).

International organizations including UNESCO² and the International Union for Conservation of Nature (IUCN) value critical cultural and natural heritage sites for their exceptional and outstanding universal value from the point of view of history, art, science, conservation, or natural beauty (*Convention Concerning the Protection of the World Cultural and Natural Heritage* 1972). When trying to assess the value or importance of a cultural heritage site or object, and the measures needed for its protection, the following attributes or characteristics ought to be taken into account:

- *Uniqueness*. Each cultural heritage resource, whether archaeological site, historic building, monument, artifact, or living heritage shrine is distinct in its aesthetic or intrinsic value or its historic characteristics. Uniqueness does not automatically mean that a cultural heritage resource is of high value or importance. However, those structures or objects that are unlike any other or that are exceptional examples of their type (because of their innate qualities, historical importance or state of preservation) merit special concern.
- *Irreplaceability*. Material cultural heritage is finite and non-renewable and can never really be reproduced or fully repaired if damaged, buried, or flooded. Once lost, it cannot be replaced. Damage or destruction may represent an important loss of scientific and historic information, or the loss of a potential opportunity for the country's cultural or socio-economic development. It may also alter a living culture, a religious practice, or a way of life.
- *Scientific importance*. Even though physically unremarkable, an archaeological, historical, or paleontological site may be of unique scientific importance. The analysis of small shards of pottery or fragments of human or animal bone, shell, pollen, or charcoal may yield vital information, not only about the site itself, but also about a people's movements, origins, habitat, and modes of subsistence. This information is not only of interest to the scientific community, but when analyzed and interpreted it can be of interest to the wider society worldwide. It may be educational or serve as a basis for books, films, and TV programs such as those broadcast by National Geographic and Discovery Channel, to name two well-known examples. It may even play an important role in promoting a country as a tourist destination, as in the case of Panama's Museum of Biodiversity, which offers an outstanding display of the country's paleontological heritage.
- *Value to communities*. An important measure of the value of a cultural heritage site or resource is its significance for local, regional, indigenous or other traditional communities or for the nation as a whole. To be significant, a cultural resource must be connected to its cultural context. It must have spiritual, religious, historical, or scientific associations that make it a source of pride or celebration, or a symbol of a particular historic event. For instance, a

² As of April 2015, UNESCO's World Heritage List comprises 1007 properties. These include 779 cultural, 197 natural and 31 mixed properties. There are 136 World Heritage Sites in Latin America and the Caribbean (including 9 in Cuba, one in Dominica, one in Kitts and Nevis, and one in St. Lucia); of these 99 are cultural sites, 32 are natural sites and 5 are mixed.

sacred site has a special value for people who make pilgrimages to it. Likewise, a particular natural feature or archaeological site can embody or represent the history or the ancestors of an ethnic group. Note that the IDB's *Implementation Guidelines for the Environment and Safeguard Compliance Policy* (Directive B.9) includes areas initially recognized as protected by traditional local communities in its definition of "critical cultural sites." The IDB's *Operational Policy on Indigenous Peoples* (OP-765) also requires project proponents to evaluate "potential adverse impacts on ... the lands, territories, resources ... identity or cultural integrity of indigenous peoples." In the case of significant potential adverse impacts the Bank will "require and verify that the project proponent has through a good faith negotiation process, obtained agreements regarding the operation and the measures to address the adverse impacts." (Inter-American Development Bank 2006b, 8).

- *Spatial context.* Cultural heritage sites constitute a discrete part of the built or natural landscape. It is therefore vital to ensure their preservation in the context of the wider natural or cultural landscape. This means taking into account the importance of a particular cultural heritage site in defining the character or beauty of a particular area, such as a city center. For instance, a particular colonial or historic building may constitute an integral part of a city's character. It also requires consideration of how the natural or cultural landscape contributes to the character or aesthetic value of a particular site. A transmission line, pipeline, or large industrial site, for instance, may not actually encroach on the physical boundaries of an historic or archaeological site, but if poorly planned these could have a significant impact on the aesthetic value or character of a site by affecting the landscape in which the site is located.

5. Impacts on and Risks to Cultural Heritage

The potential negative impacts on and risks to cultural heritage associated with Bank-financed Projects include damage to sites and monuments (direct impacts), as well as changes in the social, environmental, and aesthetic or architectural landscape in which a cultural site or resource is located (indirect and/or cumulative impacts). Direct impacts usually occur during construction, while indirect and cumulative impacts are typically more significant after a project has been completed. Even projects designed to promote cultural heritage are not without risk.

Direct impacts. Direct impacts are usually caused by construction activities, such as excavation and dredging, or by flooding, for instance for the reservoir of a hydroelectric project. The vibration caused by heavy machinery and equipment during construction may also damage historic buildings or lead to the collapse of an archaeological site. Some agricultural projects also have the potential to damage archaeological or historical sites, especially when they require large-scale clearance of natural vegetation, plowing, or leveling for irrigation.

Many cultural heritage sites and resources have not been previously identified or recorded when a project is first conceived. This is particularly true for archaeological sites or resources that are buried or found underwater. The material evidence of their

existence, if visible even to expert eyes, may be poorly preserved. This makes it harder to identify them as cultural remains, more difficult still to assess their significance. Because many sites remain undiscovered, have not been accurately mapped, or may be difficult to detect on the ground by an untrained professional, it is essential for the proponents of construction projects to proceed cautiously with ground-removal activities.

Construction activities within the boundaries of an archaeological or paleontological site that require soil excavation, removal, compaction, or dredging may impact the functional integrity and spatial relationship of the features located within the site. This can cause direct damage to in-situ buildings, monuments, and artifacts, thereby altering or destroying features and spatial relationships within the site and making it more difficult or impossible to interpret.

Projects in sectors that are likely to have direct impacts on material cultural heritage require systematic screening, and may require a detailed cultural heritage assessment. These sectors include:

- *Transportation.* The construction or upgrading of highways, railways, metro systems, ports, and airports, especially when these projects have a large footprint or are located in cities or areas of particular historical and/or archaeological significance.
- *Energy.* The construction of power plants and renewable energy projects, such as hydroelectric plants, wind and solar farms, as well as the construction of pipelines, transmission lines, and substations. The reservoirs of hydropower projects are of particular concern, since sites of historical or archaeological importance tend to be concentrated in river valleys.
- *Sanitation.* The construction of urban water supply and sewerage systems, wastewater treatment facilities, and sanitary landfills, especially if these are located in historic cities, or urban historic centers.
- *Industrial projects, urban development, housing and tourism.* The construction of industrial parks, factories, chemical plants, hotels, shopping centers, hospitals, clinics, schools, and community recreation facilities. These projects may directly damage cultural sites and may also alter the physical and cultural landscape that surrounds them.
- *Agribusiness projects.* Large-scale agribusiness projects, including mechanized farming and plantations (for instance of oil palm). These not only have the potential to damage sites of archaeological importance, but may also alter their cultural landscape and sociocultural context.

Indirect impacts. Indirect impacts can be caused by activities that change the environmental context or the setting of a cultural heritage site without necessarily encroaching on the site itself. Indirect impacts may involve different combinations of visual, acoustic, atmospheric, hydrological, or other changes in the vicinity of a site,

all of which have the potential to diminish the site's value, functional integrity, or use.

Unlike direct impacts to cultural heritage, indirect impacts are usually more difficult to identify, assess, and quantify. Some may be temporary or reversible, such as loss of access to a site because of road repairs, or an increase of dust and noise pollution during construction that interferes with the enjoyment of the site. Other indirect impacts take place over the long term, and may be permanent. For example, the peaceful and contemplative environment of a cultural heritage site may be impacted by excessive noise, vibration, or odors from a nearby industrial facility. A power station or a poorly located pipeline or transmission line can equally diminish the scenic or aesthetic value of a site or cultural landscape. A new access road to a remote archaeological site or traditional historic village may lead to looting or the desecration of the community religious/spiritual sites.

Cumulative impacts. Cumulative impacts are generated by incremental changes over time to the environment and/or context of a cultural site. These are the result of multiple, often interrelated projects, one or more of which may have been financed by the Bank or other lending institution. Cumulative impacts are typically related to major regional economic development and the consequent influx and growth of population. Large-scale investments or “mega-projects” for productive infrastructure or extractive industries could cause significant cumulative impacts on cultural heritage. Examples include projects such as industrial parks, mines, refineries, chemical or cellulose plants, and investments in tourist resorts. These generally require the development of associated transport and social infrastructure, including highways, railways, ports, airports, water supply, power plants, and other facilities such as schools and health posts. These projects create large numbers of jobs during and after construction, and they often lead to a significant influx of population into what may have been a quiet, traditional rural region. Regional development programs, especially those based on tourism, may increase the physical wear and damage to historic sites or religious shrines due to overuse or improperly supervised use by visitors. Industrial development may lead to eventual discoloration or structural damage due to air pollution. Another risk is that increased access to previously isolated areas may increase the threat of vandalism or clandestine excavation by archaeological looters.

Projects to promote cultural heritage. Development projects can have a positive impact on cultural heritage when they actively protect, preserve, restore, enhance, and promote the use of cultural sites and monuments in a manner that is sustainable, follows national legislation, and abides by standards and principles established in international agreements with institutions such as UNESCO/ICOMOS. However, it is necessary to stress that these initiatives, along with projects that have the specific aim of restoring and revitalizing archaeological sites, historic buildings, or centers with the goal of promoting cultural heritage tourism and generating economic value, must be developed with sensitivity and respect for local people's values and beliefs, as well as the historic and artistic significance of the sites. Positive impacts on cultural heritage can also be achieved in the context of regional mega-projects, such as hydropower, oil and gas, transportation and tourism projects. These projects have the potential to generate employment, stimulate markets for small businesses, and strengthen local or regional traditions and events. However, achieving harmony with

cultural heritage requires that these mega-projects be technically and financially sound, and that they be developed in close coordination with the experts in the field (archaeologists, historians, structural engineers etc.), as well as with the local communities for whom the sites may have particular cultural or religious significance.

If badly managed, the disturbance of a cultural heritage site can leave it vulnerable to damage from erosion, acid rain, humidity, or vandalism. An influx of migrant workers or even visitors to an improved cultural site may encourage looting or clandestine excavation, leading to the destruction of an important part of the history of the site by removal of artifacts from their archaeological context, and fueling the illegal sale and international trade in cultural property.

6. Cultural Heritage in the IDB Project Cycle

The potential impacts and risks to cultural heritage are addressed during the various stages of IDB project cycle, as outlined below.

Project identification. At the identification stage it is important to identify and assess potential adverse impacts on cultural heritage, and to explore opportunities to modify the location or the design of the project in order to avoid or minimize adverse impacts. At this stage projects can be in very different degrees of development. The IDB is often involved in early discussions about the initial project concept. However, it is not uncommon for a government agency to present the IDB with a project that already has an approved feasibility study and even an Environmental and Social Impact Assessment (ESIA) or its equivalent as established and approved in national legislation. It is also relatively common for governments to request IDB loans to finance additional phases of projects that are in execution. Some projects may already have the licenses required to satisfy national, state, and provincial requirements. In some cases, projects presented for IDB financing may already have begun construction.

Project screening and classification. The Bank's *Environment and Safeguards Compliance Policy* requires all Bank-financed operations to be screened and classified according to their potential environmental and social impacts (OP-703: Policy Directive B.3). The screening must consider all potential impacts, whether direct, indirect, or cumulative in nature, including the impacts of any associated facilities. Any project that is likely to cause significant negative environmental and associated social impacts—including significant adverse impacts on cultural heritage—will be classified as Category A. These require an environmental assessment: either an Environmental and Social Impact Assessment (ESIA) or a Strategic Environmental Assessment (SEA). An SEA is typically required for Bank operations that support programs or policies (see **Multiple Works and Similar Projects**, below). Operations that are likely to cause local and short-term negative environmental and social impacts for which effective mitigation measures are readily available will be classified as Category B. These normally require an environmental and/or social analysis that focuses on the issues identified during project screening and an Environmental and Social Management Plan (ESMP).

With regard to cultural heritage sites, the *Implementation Guidelines for the Environment and Safeguards Compliance Policy* requires the project team to verify, if necessary in consultation with a specialist, that the project will not damage³ a critical cultural site. This makes it imperative for the project team and proponents to identify whether any cultural sites might be directly or indirectly affected, and to assess whether these sites are or should be considered critical cultural sites. This must be done as early as possible in order to screen out any projects that would be ineligible for Bank financing.

In some countries the government agencies responsible for cultural heritage, universities, and NGOs can provide an overview of the legal requirements relating to the protection and conservation of cultural heritage, provide lists of declared and proposed national heritage sites or monuments, verify the potential of the project to affect cultural heritage remains, and provide references to local and national literature, maps, and aerial photographs (see **Annex A** below). However, in many of the smaller or lower-income countries this information may be difficult to acquire or may not exist. If there is a possibility that a project will have an impact on cultural heritage, the project team should look for support from qualified cultural heritage professionals within the host country and, as needed, consult with qualified international cultural heritage experts.

The eligibility of a project for IDB financing is determined at the Eligibility Review Meeting (ERM). To this end, the project team must prepare a Project Profile (PP) and complete an environmental and social safeguard screening procedure that determines the initial environmental and social categorization of the project. Among other requirements, the screening procedure calls for the project team to indicate whether the operation might affect critical or non-critical cultural sites. To complete this task the project team will need to have sufficient information to make this judgment. If it is determined, based on the information at this stage, that a cultural heritage site is critical, and that there are no feasible alternatives under which the project can avoid damage to the site, the Bank should not support the project. If the information is not conclusive, or if the project is likely to affect a non-critical cultural heritage site and/or impact but not damage any cultural heritage site, the Bank can support the project subject to pertinent analysis and establishment of mitigation requirements.

The ESS should reflect the level of concern and the options available to assess the situation, development, and implement an eventual mitigation strategy. Considerations include legal requirements, capacity of the national authorities to manage cultural heritage issues, available expertise, awareness, etc.

Impact assessment. The borrower is responsible for preparing the environmental assessments, including the ESIA and ESMP. The Bank's project team is responsible for ensuring that the ESIA and ESMP meet an acceptable standard, and can provide

³ For the purpose of this policy, the term, "in the context of a critical cultural site, means spoiling, compromising or impairing the condition or quality of a critical cultural site to the point that it will reduce its spiritual, historical or archaeological value".

the borrower with guidance and technical support. The ESIA must include an assessment of the potential impacts of the project on cultural heritage at a level appropriate to the kinds of impact identified during the initial screening process and described in the ESS. At a minimum the ESIA scope should be sufficient to address any potential impacts on cultural heritage and to identify any additional studies that may be required. If the cultural heritage issues or risks are of major significance, the borrower should ensure that the studies related to cultural property (as part of the ESIA or in other studies) are carried out by qualified professionals. The IDB project team should also rely on competent experts (IDB staff or external consultants) when reviewing these studies and assessing whether the proposed measures to address cultural property are appropriate. Box 1 describes the due diligence that was required for a transport project financed by the IDB in Quito, Ecuador.

The impact assessment requires a careful analysis of the scope of the project, including the investments that would be financed by the Bank and any new or additional works and/or infrastructure that may be essential for the Bank-financed project to function. It is important to emphasize that even if the Bank is financing only one component of a project, the assessment must consider the project as a whole and not just the component financed by the Bank. In terms of location, the highest priority should be given to projects located in areas that are already known to have a high density of important archaeological or historical sites, areas with large indigenous or other traditional populations, and infrastructure projects located in historic cities or cities with major cultural heritage sites.

IDB project teams working on the preparation of projects that are specifically intended to protect, conserve, reconstruct, or restore cultural heritage sites must rely on the expertise and local knowledge necessary to ensure that the projects are prepared and implemented in accordance with the highest standards of conservation and restoration. Moreover, the projects must be developed in close coordination with the national and local agencies responsible for cultural heritage, and the project proponents must consult closely with local people and other key stakeholders, including the academic community and cultural heritage NGOs. Insofar as these projects have the potential to disturb or damage the physical condition and quality of a critical cultural heritage site or monument, the risks of reducing its spiritual, historic, or archaeological value will increase. Therefore projects to construct, conserve, or restore cultural heritage must be carefully assessed, and if necessary they should be subject to independent review by experts in the relevant fields, such as art historians, paleontologists, archaeologists, historic architects, or structural engineers.

Identification of information gaps and preparation of stand-alone studies. In practice, at the start of project preparation the project team may find that an ESIA has already been prepared, typically to satisfy national requirements. In some countries these requirements include studies to show that a project will not have a significant impact on cultural heritage, particularly archaeological sites.

Box 1. Quito Metro

In 2012, the IDB approved the loan to finance the construction of the Metro in Quito, Ecuador. The Metro included construction of fifteen stations from north to south in the country's capital. One of the main stations was planned to be built in Plaza San Francisco, a colonial convent and church located in the city center designated a World Heritage site by UNESCO in 1978. The plaza and the church are part of a larger and integrated architectural complex protected under national law. The IDB's due diligence process identified particular attributes such as uniqueness, value to communities, spatial context and strong living heritage groups associated with the sites. Several technical studies were carried out to comply with national and international requirements and licensing set by the Instituto Nacional de Patrimonio Cultural (National Cultural Heritage Institute), UNESCO, and IDB. As part of this process, three research studies in paleontology, archaeology, and history were conducted. Additionally, nine archaeological surveys and excavations were carried out at different sites along the projected metro line.



Future Plaza San Francisco Station. Quito Metro. Ecuador.

Where there is an existing ESIA or comparable study, the social and environmental specialists on the project team will perform a “gap analysis” to determine whether additional studies are required to ensure that the environmental assessment—including the assessment and management plans for cultural heritage—meets the IDB's standards.

If additional studies are needed, they may be contracted as specific “stand-alone” studies. Projects that could have a significant impact on cultural heritage this may require a number of different studies, covering issues such as impacts on historic buildings, impacts on archaeological sites, and impacts on living heritage sites that are used by or are important to people living in the project area.⁴

⁴ When additional studies are contracted as part of the environmental assessment process they are in principle subject to the same requirements of the IDB's *Access to Information Policy* (OP-102) as the main ESIA.

The cultural heritage section of the ESIA and/or the stand-alone studies should be prepared by qualified cultural heritage professionals with expert knowledge of the history, archaeology, architecture, or culture of the country or region in question. If the cultural heritage issues are of major significance, for instance if a project has the potential to affect a building or a site that could be regarded as a critical cultural site, it may be necessary for the studies to be peer reviewed by qualified experts. The IDB's *Environment and Safeguards Compliance Policy* (Directive B.3) (Inter-American Development Bank 2006a) indicates that for some high safeguard risk operations, which in the opinion of the IDB raise complex and sensitive issues, the borrower should normally establish an advisory panel of experts to provide guidance for the design and/or execution of the operation.

The project team may carry out one or more missions and otherwise guide and support the borrower and the consultants who are working on the ESIA and/or additional studies, depending on the complexity of the project. Once the studies have been completed, the analysis mission can take place. If the ESIA or additional studies reveal or confirm that the project will damage a critical cultural heritage site and that there are no feasible project alternatives or satisfactory mitigation strategy, the Bank should not support the project (OP-703: Policy Directive B.9, Inter-American Development Bank 2006a). For projects with impacts on cultural heritage that pass this initial screening, the project team and the borrower must agree during the analysis mission on the requirements and conditions to be included in the project's Environmental and Social Management Plan (ESMP) or other specific plans. This agreement should include any conditions relating to the management of impacts on cultural heritage. Based on the requirements agreed upon, the borrower will develop, or commission the preparation of, the required plans for the approval of the IDB.

Preparation of Proposal for Operations Development/Project Abstract. Once the analysis mission has been completed, the IDB's project team prepares the Proposal for Operations Development. For all Category A and most Category B operations an Environmental and Social Management Report (ESMR) is required. The ESMR is normally prepared by the Bank's social and environmental specialists. It summarizes the findings of the ESIA, the ESMP, and any additional studies that have been carried out.

The ESMR sets forth the social, environmental, and cultural heritage requirements that must be reflected in the loan agreement. These typically include: (i) the development and/or presentation of cultural heritage management plans, including chance find procedures, describing key impacts and risks and the corresponding mitigation measures, if not already presented in the ESMP; (ii) implementation plans and procedures, including resources, personnel, and a schedule that ensure that cultural heritage requirements are coordinated with project activities in a manner that supports achievement of cultural heritage management and conservation goals; (iii) reporting, auditing, and corrective action requirements to ensure proper implementation of the plans; (iv) provisions for oversight by IDB, local authorities, and stakeholders; (v) indicators and benchmarks that will provide evidence of implementation of the plans and achievement of the intended results.

Information Disclosure. The ESS and the ESMR are public documents and must be uploaded onto the Bank's website along with links to the PP, POD, and any additional stand-alone studies.⁵ Occasionally the IDB may receive information on baseline cultural heritage studies that should not be made available to the general public. For example, maps or reports showing the precise location of archaeological sites, including shipwrecks, should not be made public if public revelation could expose the site to looting. In these cases, the IDB will classify the information as confidential and will not disclose it, or will disclose it with restrictions. Since the ESMR is a public document, it should not include any confidential information. If confidential information needs to be included in an ESMR or its annexes, the IDB will prepare a public version of the document that omits this information.

Multiple works and similar projects. The IDB finances some projects that have not been fully developed at the time they are approved by the Board. Typical examples include multiple works projects, which need identify only a sample of subprojects before Board approval, and municipal development projects or loans for the development of specific sectors, such as projects to promote urban improvements, tourism or protected areas.

Multiple works projects are frequently prepared to support the development or improvement of basic infrastructure, such as roads, water supply and sanitation, solid waste management, transmission and distribution of electricity, irrigation works, schools, hospitals, health centers, and so on.

In these operations the Bank's social and environmental analysis focuses on process and capacity. For true multiple works projects, the sample of subprojects identified before Board approval (typically around 30 percent of subprojects to be financed) is subject to the same analysis as other investment projects. However, the operation itself requires a broader assessment that starts from a careful review of the capacity of the executing agency and any other agencies that may be involved to analyze and manage the potential impacts and risks that the specific subprojects could pose. When considering potential impacts or risks to cultural heritage, the analysis must include a review of the national or local licensing requirements and processes, as well as the executing agency's internal capacity to screen projects and to manage impacts effectively, using its own resources and working in coordination with the agencies responsible for cultural heritage. The agencies that execute these programs (ministries of transportation, public works, public health, and so on) may be able to manage minor, day-to-day cultural heritage issues with little difficulty. For instance, they are typically able to consult with local communities about the relocation of the shrines found at the side of roads, register minor chance finds, etc. But they may lack the capacity to address more complex concerns. If that is the case, one option is to include an exclusion list that would make subprojects ineligible for financing if they

⁵ Additionally, it should be noted that, under the Pelosi Amendment (1989)—even though this is not IDB policy—the US Directors of the Regional Multilateral Banks, including the IDB, must abstain or vote against any project with significant environmental effects unless the EIA (ESIA) has been disclosed for a period of 120 days before the date the project is presented to the Board of Directors.

are likely to have a significant impact on cultural heritage. An alternative is to establish a procedure by which subprojects with potential adverse impacts on cultural property are subject to IDB approval based on the fulfillment of requirements specified by IDB staff or external experts.

Monitoring and supervision. The post-approval period encompasses the execution of the project in the real world. Environmental and social management plans often need to be modified due to unexpected circumstances. This is particularly true in the case of cultural heritage, where new or chance finds may require significant changes in the management of a project to protect newly discovered objects or sites.

Any project that raises significant cultural heritage issues should also be subject to regular supervision on an annual, quarterly, or bi-annual basis, as the situation demands. Supervision missions should include site visits and interviews with project managers, specialists, consultants, contractors, and other key stakeholders such as representatives from local communities, authorities responsible for cultural heritage and any other relevant parties. The objective of the supervision mission is to ensure compliance with the cultural heritage requirements of the ESMP or Cultural Heritage Management Plan, including chance find procedures, to address any unexpected issues that arise and, if necessary, to help the borrower to plan and implement any additional or corrective measures that may be required to ensure full compliance with the Bank's safeguards policies. If projects have significant impacts or represent a high risk to cultural heritage, the Bank's supervision should be supported by competent local and/or international experts. In addition, a regular flow of communication should be maintained at all times between the project and the IDB specialists who are responsible for oversight of cultural heritage issues.

The borrower, executing agency, and/or any independent consultants should provide regular reports to the project team on the progress of the social, environmental and cultural heritage management plans. The ESG specialist assigned to the project should review these reports and maintain regular and direct communication with the cultural heritage specialists working for the borrower. It is important to ensure that project managers and IDB team leaders are aware of, and responsive to, any issues and concerns that relate to cultural heritage.

7. Approaches to Identifying and Assessing Impacts

This section offers an overview of the approaches that can be used to identify and assess potential impacts on and risks to cultural heritage. It is intended to help answer some basic questions:

- Are there any cultural sites or resources in or adjacent to the project area that could be affected?
- If so, how important are they? Are they potentially critical cultural sites?
- Are there risks of affecting their physical or functional condition? Will they be damaged?

Some of the approaches discussed below can be used early in project preparation for scoping potential impacts or risks to cultural heritage, while others are more

appropriate for the preparation of the ESIA and/or any stand-alone studies. What follows is not intended as a comprehensive technical discussion of the approaches that can be used, but rather is aimed at addressing the difficult issue of determining the appropriate level of effort and resources required to assess and manage the potential impacts on cultural heritage at different stages in the project cycle.

Scoping and background research. The availability of baseline information varies from project to project. This is particularly true for cultural resources that may be buried or submerged. Even if a site has already been discovered or is publicly known, it may not be protected or listed in a country's inventory of cultural heritage.

In the case of archaeological evidence, it is important to recognize that *the absence of known cultural heritage sites is not a reliable indicator of the absence of cultural material*. Humans have lived in the Americas for more than 12,000 years, and there are few areas in the hemisphere where human settlement or use has not been found. Significant new archaeological sites are often found in areas where none have been reported previously. In some cases, a project area may have been studied to the extent that lists of sites with geographic coordinates and evaluation data are available from academic sources, government databases, or NGOs.⁶ In other cases, little or no previous research may have been carried out.

For these reasons, the initial scoping and background review for a project should include, but should not be limited to: (i) the review of local, national or international cultural heritage and monument inventories for the country or region, including legal declarations or new proposals; (ii) the review of historic, ethnographic and archaeological investigations (articles, papers, manuscripts), including published and unpublished sources in the project area; (iii) the review of maps and aerial images, along with local or national news on potential and recent archaeological or historical findings.

In addition, since the remains of artifacts and sites may be scattered across large areas, buried underground, submerged, or may be ephemeral (such as temporary camp sites or historic battlefields) or part of the landscape itself. For example, terraced fields, travel routes, and some living heritage sites may be difficult for non-experts to identify as cultural heritage with confidence. For this reason, the opinions of qualified cultural heritage professionals with regional experience (archaeologists, ethno-historians, cultural anthropologists, etc.) should be sought early in the preparation phase of the project, and they should be actively involved in preparation of the ESIA. These experts can review the publicly available information, including satellite imagery and online resources, and can provide a quick assessment of potential risks to cultural heritage sites. The experts engaged for the cultural heritage screening and assessment needed for the ESIA should be familiar with the cultural context of the region, and ideally should have experience with environmental and social impact assessment. They should be familiar with the latest techniques of

⁶ To prevent artifact looting and clandestine extraction, lists of the locations of sites are often legally limited in their distribution to professional researchers and in some cases also carry legal restrictions as to subsequent disclosure in public documents.

desktop and field research, and have knowledge of the local culture and traditional values.

Professional, academic, and non-profit organizations can provide an important source of information on the cultural heritage sites in a project's area of influence. Information may come from local or national museum staff, historic or archaeological associations, universities, cultural heritage NGOs or research centers, municipal authorities, and community leaders. They should be contacted or interviewed to elicit information about the location, distribution, current use or significance of cultural heritage, as well as historic patterns of community settlement and land use in the project's area of influence. In addition, the information obtained from these sources may provide the project team with opportunities to learn more about local community attitudes and values regarding potential impacts on cultural resources, especially if the project affects a living heritage site.

Site Visits. Visits to the project site or area during the identification and orientation missions provide the Bank's specialists with an opportunity to refine their understanding of potential cultural heritage issues, to look at conditions in the field, and to examine any sites or potentially sensitive areas that may have been identified during the desk screening or through engagement with government officials, experts and stakeholders. For linear projects such as highways, pipelines, and transmission lines, the site visits should focus on the areas of greatest sensitivity (see Table 2 below). If cultural heritage issues are identified, the mission should meet with the government officials responsible for cultural heritage at the national and local levels. They should also meet with other relevant stakeholders, including academics, NGOs, and professional associations that may have been contacted during the initial scoping, and any communities for which the sites may have historical, spiritual or living heritage value.

Engagement and coordination with national and local cultural heritage authorities may prove critical at this stage, since IDB-financed projects must comply with national legislation. The project proponents need to establish an effective working relationship with the national and local agencies responsible for cultural heritage, and must obtain the necessary permits to proceed with more detailed cultural resource surveys and ultimately with project construction.

During the site visits, the specialists on the project team and any consultants who have been hired to help with the review of the cultural heritage issues will be able to identify or verify the sensitivity criteria for cultural heritage sites and resources set out in Table 2. This table is based on the generic sensitivity factors that archaeologists and other cultural heritage specialists use for the reconnaissance and assessment of areas or regions that have not been previously identified as cultural heritage sites.⁷

⁷ The same or similar factors are applied in more formal GIS-based sensitivity models. Increasingly this approach, in conjunction with satellite imagery, is being used to guide large-scale heritage management decisions.

Table 2. Sensitivity Screening Criteria for Cultural Heritage Sites and Resources: Sensitive Areas with High Cultural Heritage Potential

Areas where a large number of cultural sites (excavated or unexcavated), monuments, or other archaeological evidence have already been reported or are known locally
Cities or other areas with colonial or post-colonial historic buildings, landscapes or other features, especially when they are unaltered or have been subject only to minor alteration
Areas where historic maps or records indicate the presence of colonial settlements or where important historic events took place, for example battlefields
Large tracts of underdeveloped land that are well-drained, level and lie along watercourses, indicating that they have high potential to include pre-Columbian or early colonial sites
Caves, rock shelters or other naturally sheltered areas where there is soil accumulation, indicating that they are likely to have prehistoric or pre-Columbian remains
Areas with suggestive landscape features that may be the remains of precolumbian or colonial settlement or land use
Areas known to have significant pre-Columbian or historic extractive or transport activities such as mining, portage, roads, trails or ports
Areas associated with harbors, ports, fishing villages, and navigational hazards, especially where there are records of historic or pre-Columbian trade routes (maps, letters, manuscripts) indicating that they may have not only archaeological remains on land, but also shipwrecks or submerged buildings
Areas used by and/or of importance to indigenous or other traditional communities or their descendants, such as lakes, ponds, sink holes, springs, waterfalls, caves, hills, and mountains
Areas known to contain deposits of fossilized remains (human, plant or animal).
Visual anomalies detected on aerial or satellite images of a project area, which may represent archaeological sites.

Cultural heritage assessment. If the scoping studies, the initial site visits, and the consultations with national and local authorities, other experts, and relevant communities suggest that a project has high cultural heritage sensitivity, a detailed cultural heritage assessment should be commissioned as part of the environmental and social impact assessment process.⁸ The cultural heritage assessment may require a more comprehensive survey and review of the available information, including secondary literature, field and excavation research reports, historic maps, historic and current aerial and satellite imagery, and consultation with experts and communities.

Architectural resources and living heritage sites can be investigated by non-intrusive field methods, including photo documentation, historic map research and the

⁸ Some culture heritage assessments may require inputs from various specialists. An urban transport project, for instance, may have the potential to affect as yet unidentified archaeological sites, as well as colonial and/or historic buildings, and would require an assessment of the importance of the sites as well as structural engineering studies to determine whether or not they could be damaged during construction.

recording of expert field observations (including GPS-based locational data). Among the key issues to be considered are potential impacts that could affect the structural soundness of colonial and other historic buildings. Such impacts may occur during construction due to vibration caused by heavy machinery and increased traffic, changes in the water table, increased risk of flooding, or increased erosion or air pollution.

If the footprint of a project covers an extensive area that has not previously been subject to archaeological investigation, it may be useful to apply GIS-based sensitivity (or “predictive”) models that can identify the areas with the greatest archeological potential. The types of projects where this approach may be useful include large-scale housing and urban development projects, industrial projects and industrial parks, hydroelectric or major water supply projects that require large areas for reservoirs, and agribusiness projects that require land clearance or leveling for irrigation, such as oil palm or sugar cane plantations. Sensitivity models are used to predict the most likely or suitable areas for settlement or for the location of other structures by analyzing and assigning relative values to a range of elements that can include soil type, drainage, elevation, access to water, risk of flooding, and so on. This generates a model that allows the archaeologists to concentrate their field surveys in the areas that are most likely to produce results.

Predictive models vary in the level of effort and scale that is required and can be refined as a project proceeds. They provide an economical and comprehensive view of the potential impacts on archaeological sites at an early stage of project planning. These models direct expensive and labor-intensive archaeological fieldwork to critical areas, and can also be used to reduce the potential impacts of some projects—especially linear projects such as roads, pipelines or transmission lines—by identifying potential sites or resources that can be avoided through changes in the detailed project design.⁹ Care needs to be taken when applying predictive models, and projects may find it useful to retain a qualified archaeologist with expertise in the field of archaeological predictive modeling.

Field surveys.¹⁰ A full archaeological or paleontological assessment requires a field evaluation of the sites that have been identified. This may involve artifact analysis and laboratory testing to determine the horizontal and vertical extent of the sites, their levels of preservation or integrity, and their overall scientific or cultural importance. This information is needed to guide decisions about whether to try to avoid the sites through redesign of the project or to focus on data recovery, and whether the data recovery should be achieved through intrusive or non-intrusive methods or techniques. The evaluation studies will determine whether a site merits archaeological data recovery work and, if so, what the scope of the rescue work will be.

⁹ See Carleton, Conolly, and Ianonne 2012 for an example of the application of predictive modeling in the Maya area. Other relevant items are Kamermans, Leusen, and Verhagen 2009 and Verhagen 2007.

¹⁰ Also known in archaeology as “archaeological exploration or prospecting”

Archaeological field reconnaissance involves direct examination of an area to identify or confirm the presence of archaeological sites. Non-intrusive reconnaissance may be used to complete an archaeological assessment, depending on the topography and the types of archaeological sites that may be present in the area. For example, arid areas with limited ground cover can more easily be surveyed using non-intrusive methods, as under these conditions many archaeological resources can be identified on the ground surface. In contrast, surveys of areas with dense vegetation may require intrusive, labor-intensive methods of investigation such as shovel testing, geophysical techniques such as magnetometry or ground penetrating radar, or the use of penetrating aerial imaging techniques such as LiDAR.¹¹ Box 2 describes the archaeological field reconnaissance carried out as part of a road project in Chile.

Field testing requires the expertise of archaeologists or cultural heritage specialists who can determine and apply the most appropriate survey and field research techniques. The field reconnaissance of living heritage sites may also require the assistance of local experts and informants, since many features of living heritage are not immediately recognizable as cultural sites.

The executing agency or project proponents must also establish effective coordination with national and local cultural heritage authorities to define and tailor the scope of the cultural heritage assessment to local and national requirements. In those countries that have less institutional capacity, an IDB-financed project should try to provide opportunities to support and strengthen the capacity of the agencies responsible for cultural heritage.

Detailed archaeological reconnaissance is not always required for a cultural heritage assessment, although it will generally prove more practical to completely survey a relatively small project area. But a cultural heritage assessment *does* require a sufficient level of testing to characterize conditions across the project area, and a time frame that allows for more detailed mitigation measures, redesign, or data recovery to be completed well before the start of work that will affect the sites.

In projects that have an extensive footprint, the findings from selective testing, whether intrusive or non-intrusive, can be used to build or refine the sensitivity model. Additional surveys or excavations can be carried out during a post-assessment or impact management phase, provided they can be completed before construction starts. This approach allows time to carefully conduct any studies that exceed the time frame of the ESIA process, and allows the cultural heritage specialists to take advantage of the most up-to-date project design information so that additional reconnaissance work can be focused on those areas that have the highest potential and/or where the impacts of the project will be most concentrated.

¹¹ Field reconnaissance ranges from cursory surveys (such as a ‘windshield survey’) to more systematic approaches (i.e. intensive ground coverage with close visual inspection), and may also involve trial excavations and the collection of artifacts.

Box 2. Cerro Ballena



This fossil site was first discovered in 2010 during a road expansion project along the Pan-American Highway in the Atacama Desert of Chile, in an area known as Cerro Ballena (“Whale Hill”). Fossilized whale bones were noted along the walls of the road-cut. In 2011 paleontologists from the Smithsonian Institution and Chile did an initial assessment of the area, examined the fossils and conducted a rescue operation before the site was paved over. The Smithsonian’s Digitization Program Office, using 3-D technology, provided a time-sensitive solution to document fossils at the site before key data was lost. *Photo by Adam Metallo / Smithsonian Institution*

The typical report of a field reconnaissance or survey should include a description of the project area and its context, its topography and land use, the methodology used and its rationale, a description of the field activities undertaken, a map of the area surveyed, and a detailed description of the cultural material or artifacts found and each archaeological, historical, paleontological, or living cultural heritage site that is identified. The description will include the coordinates and dimensions of the sites, photographs and an interpretation and evaluation of the sites, and the condition and state of their physical and spatial function and integrity.

Consultation. The *Environment and Safeguards Compliance Policy* (OP-703, Directive B.6; Inter-American Development Bank 2006a) requires consultations to be held as part of the ESIA process with the people who are directly affected by a project (“affected parties”). Consultation with the people or organizations that have expressed support or concern about a proposed project (“interested parties”) may

also be undertaken in order to consider a broader range of expertise and perspectives. At least two public consultations are required for a Category A project, one for a Category B project.

Concerns about cultural heritage have to be addressed in the public consultations, especially if a project has the potential to affect a living heritage site or an important protected site or cultural monument. Some of the most sensitive consultations are those relating to the relocation of cemeteries, churches, and other structures or sites of religious, cultural, or historic importance. These may require detailed negotiation with different groups of people from the affected communities, as well as with the official church hierarchy, church leaders, and/or other specialists (for instance, local religious leaders or ritual specialists such as the Andean *yatiris* or Haitian *houngans*).

Affected communities must be engaged throughout the life of a project. The process should start early in project preparation and should be based on a detailed stakeholder analysis of the people and groups that may be directly affected by the project along with other interested parties. Indeed, early engagement with local people is often essential for identifying sites and other cultural resources, especially living heritage and locally important historical sites. The consultation process should be conducted with the support of a social or cultural heritage specialist who is familiar with the culture and history of the area in question. It is critical not only to identify and assess the cultural heritage sites and resources that may be impacted by the project, but also to understand their significance for specific groups at the local, national, and international levels/ Relevant groups include any indigenous or other traditional ethnic groups, local communities, NGOs, special interest groups, and scientific or civic associations.

The *Environment and Safeguards Compliance Policy* (OP-703, Directive B.6) requires “appropriate information ... to be provided in location(s), format(s) and language(s) that allow for the affected parties to be meaningfully consulted, to form an opinion and to comment on the proposed course of action” (Inter-American Development Bank 2006a, 10). National and local regulations may also require affected communities to be consulted about the project and its potential impact. The *Guidelines on Consultation and Stakeholder Engagement in IDB Projects* (Inter-American Development Bank, Environmental Safeguards Unit 2013), provides more detailed guidance on the process of public consultation.

If cultural heritage sites are identified as significant or important to an indigenous people, the project proponents must carry out a consultation process with the affected group in accordance with both the requirements of the Bank’s *Operational Policy on Indigenous Peoples* (OP-765) and any relevant national requirements or international conventions, including ILO Convention 169, *Indigenous and Tribal Peoples Convention, 1989*, which as of January 2015 had been ratified by 15 countries in Latin America and the Caribbean.¹²

¹² Argentina, Bolivia, Brazil, Chile, Colombia, Costa Rica, Dominica, Ecuador, Guatemala, Honduras, Mexico, Nicaragua, Paraguay, Peru and Venezuela.

Once the ESIA has been completed, it must be disclosed in a way that is accessible to the public in compliance with the Bank's *Access to Information Policy* (OP-102; Inter-American Development Bank 2010). The ESIA must include: the purpose, nature and scale of the project; information on the project's schedule and the risks and potential impacts, including on cultural heritage; a summary of the results of the consultations on the ESIA; proposed mitigation plans; and details of the stakeholder engagement and the grievance mechanism available to the affected communities. This information must be provided to affected groups and to the relevant government agencies at local, regional or national levels, including through posting on the executing agency or project sponsor's website.

8. Cultural Heritage Impact Assessment Report

A cultural heritage impact and risk assessment report, whether part of an ESIA or a stand-alone analysis, will include:

- A description of the legal and regulatory framework for cultural heritage management and an overview of the institutional framework, including: responsibilities for project licensing, supervision and the monitoring of cultural heritage management measures; ownership of archaeological, paleontological and other finds, including human remains; and responsibilities for conservation, storage, display and reporting.
- A description and characterization of the cultural context and historic occupation of the project area. This should include information on any indigenous or traditional groups and any known and potential living heritage sites in the area. Where possible, specific or general affiliations between past and present residents will be noted.¹³
- An inventory of known archaeological and historic sites, including living heritage sites. The inventory should be referenced and summarized as baseline data for the cultural context and is typically provided in a tabular format and includes the site coordinates (if known) and brief site descriptions.¹⁴
- Past cultural (archaeological, paleontological, historic, ethnographic) research and findings in the area.
- Sensitivity analysis of the project area and its surrounding zone with regard to known and unidentified cultural heritage sites.
- A description of the value and significance of cultural sites or resources for local or traditional peoples, and other stakeholders (national or international).

¹³ This may require collaboration with the specialists conducting the social assessment.

¹⁴ Note that plans for the relocation of churches, shrines and cemeteries are often treated as a component of the resettlement plan, since they have to be discussed and developed in close coordination with the people that will be resettled as well as with the people that will remain in the project area.

This should include a classification of sites as critical, significant (highly important), moderately important, or minor, according to an attribute analysis as described in Section 4 above.

- Analysis and evaluation of the potential impacts and risks of the project facilities on the cultural heritage sites and resources identified in the baseline inventory. Impacts and risks should be evaluated according to their magnitude, intensity, frequency, duration and range, and should include cumulative effects.
- The proposed mitigation, conservation and monitoring measures, including chance finds procedures and proposals for the management of sites and for the conservation, storage and display of finds, artifacts, or other resources. A timetable and budget for the implementation of the measures should also be included.
- Drawings, pictures, maps, and a list of references, including interviews and results of the consultation process.

9. Mitigation of Impacts on Cultural Heritage

According to the *Implementation Guidelines for the Environment and Safeguards Compliance Policy*, “If the actions proposed are *not likely to* damage the critical cultural site, but might still impact it, the borrower shall take, acceptable to the project team, measures to mitigate such impacts” (Quiroga and Milewski 2007, 43). The nature and scope of these measures must be described in the cultural heritage assessment that is carried out as part of the ESIA or as a stand-alone study.

There are various options for the mitigation of impacts on cultural heritage. These include avoidance through change in project design, excavation or data recovery, and preservation or protection in situ. The decision whether to implement specific measures will depend on the significance and status of the cultural site or resource at the local, national, and international level. It will also depend on the nature and extent of the expected impacts and/or risks, the project conditions, and any potential constraints. The description of options should include an assessment of the long-term value and benefits of the measures relative to the costs required to implement them.

The mitigation and management measures should be described in a Cultural Heritage Management Plan, with its own timetable and budget. The plan may take different forms depending on the design of the larger project ESMP. Whether it is a stand-alone document or a chapter or section of the ESMP, the plan will include an overview of the cultural heritage baseline and a description of: (i) the measures to be implemented to protect cultural property; (ii) monitoring arrangements (including indicators to assess results and performance benchmarks); and (iii) reporting requirements and any external audits that may be needed.

Avoidance. The preferred method of managing adverse impacts or risks to cultural heritage sites is by avoiding the sites through project design or re-design. Adverse impacts can often be avoided or at least significantly reduced through relatively minor changes in the location of project facilities such as transmission towers or construction camps, or through changes in the alignment of linear projects such as roads, transmission lines, or oil and gas pipelines.

The avoidance of impacts on critical cultural heritage sites or other sites of major cultural heritage importance may require more fundamental changes in the design or scope of a project. This is one of the reasons why it is important to scope potential impacts on cultural heritage at an early stage in the design of a project. Although not always possible, avoidance is usually the simplest, most effective, and least costly measure for the project to implement, due to the spatially bounded character of most cultural heritage sites. Avoidance ensures in-situ protection of the site, at least from the direct impacts of the project.

To be effective, avoidance requires knowledge of the precise location and extent of the site. This means site reconnaissance is needed to identify a suitable area that meets the project requirements and that is known to be or appears on the ground to be without archaeological or historical resources.

In cases where avoidance through project redesign is impossible or impractical, the project proponents may be able to modify the project's intensity as a way to reduce its effects on a cultural heritage site by scaling back the level of construction or minimizing disturbance of the ground. For example, projects can restrict the use of heavy machinery on a site, or they can reduce the clearance of vegetation to reduce exposure and further erosion of an archaeological structure.

There are also situations in which avoidance, although possible, may not be desirable. For example, in areas where long-term, cumulative impacts are expected, it may be better to disturb one or more small archaeological sites rather than improve the access to a more critical cultural heritage site, thus exposing the latter to looting or vandalism. There may also be areas or regions where little is known about the archaeology, and where a project may actually offer an opportunity to acquire greater understanding of the region and/or cultures in question or to improve the chances of particular sites of being properly managed and protected. In addition to improving scientific understanding, the additional knowledge generated by the data recovery may help to guide later management and conservation decisions, making it easier to avoid the most critical sites in the wider project area.

The final decision of whether to avoid damaging a cultural heritage site through project redesign or to conduct rescue excavations and proceed with the project as planned requires a value judgment that may not be easy to make. Different countries and communities define and prioritize the value of cultural heritage differently, and it is not something that easily lends itself to an economic analysis of costs and benefits. However, at the very least it is important to offer a reasonable estimate of the costs that would be required to carry out data recovery or a rescue excavation, as well as the potential economic risks to a project. These risks can take the form of delays in

construction, change orders, and so on, particularly if significant finds should be uncovered or if the impacts of the project, especially on living heritage sites, should become a cause of complaints or to lead to protests from the local population.

Data recovery and rescue excavations. Where avoidance of a non-critical cultural heritage site is not feasible, a comprehensive site evaluation should be performed prior to carrying out full-scale data recovery or a rescue excavation. The evaluation should assess the overall condition and functional integrity of the site and should assist the cultural heritage specialists in determining the best approach and technology for optimizing the recovery of archaeological material. The recovery of data should aim not only to obtain a greater scientific understanding of the site, but also to educate and promote public awareness about a particular society's ancestral past.

The level and intensity of data recovery will depend on the size, significance, and complexity of the site. As the only feasible option, data recovery should be based on a flexible and adaptive research design, employing methods and techniques that are professionally accepted and that satisfy the country's national cultural heritage authorities. Box 3 describes the archaeological research and rescue program carried out as part of a hydropower project in Venezuela.

Data recovery can represent an important investment of time and financial resources. The costs are often difficult to anticipate with any accuracy. Also, the site itself is destroyed in the process of recovering or salvaging cultural data, even when the most sophisticated recovery equipment is used. In reality a great deal of information will be lost forever, denying the scientific community and local people future opportunities for scientific research and public appreciation. For this reason, data recovery should be a last resort, to be used only when avoidance and site protection are not technically or economically feasible. Box 4 describes data recovery and rescue excavations carried out as part of a gas pipeline project in Peru.

The data recovered, including artifacts and cultural evidence, must be analyzed, interpreted, cataloged, photographed, and reported. In some instances the cultural material that is recovered must also be treated or restored for better preservation. Materials and records from the excavation must be adequately protected and stored, and should be made available and accessible to researchers and interest groups.

Physical collections need to be properly curated in a museum or curatorial repository. Reports and digital materials (e.g., photographs, videos, scans, GIS layers, etc.) should be deposited in any national databases of archaeological research that may be available, and they can also be included in an international digital repository, such as the Digital Archaeological Record (tDAR) or the Archaeology Data Service (ADS).¹⁵ Finally, efforts should be made to make the conclusions of the studies and

¹⁵ The Digital Archaeological Record (tDAR) is an initiative that is jointly managed by the University of Arkansas, Arizona State University, Pennsylvania State University, SRI Foundation and Washington State University. The Archaeological Data Service (ADS) is managed by the University of York. At present

finds from the data recovery available to the general public, especially to local people.

Box 3. Hydropower Plant Manuel Piar, Tocoma, Venezuela.

As a requirement for the construction of the Manuel Piar, Tocoma Hydroelectric Power Plant Project, the analysis and mitigation of cultural heritage impacts in the area of the reservoir included an archeological research and rescue program (PIRA) as well as a Cultural Heritage Management Plan (CHMP). The main objective of the plan was to study cultural and historical patterns and activities in the dam's reservoir area before it was flooded. From the beginning the Project's management team wanted to implement archeological studies of the whole area rather than just isolated and decontextualized rescue activities. Research activities were conducted over a period of two years and included archeological surveys, surface collection, excavations in over 6,000 hectares, as well as artifact identification, analysis, and preservation. The PIRA included an analysis and data collection of past archeological research in the region, including cultural traditions, population settlement patterns, and a chronological sequence of the history of different human occupation. The methodological approach for Tocoma was developed based on previous research projects for other hydropower projects in Venezuela, particularly the Antonio José de Sucre y Caruachi and Francisco de Miranda projects in 1993 and 2003.



Artifact identification and surface collection, La Lagunita 3, Tocoma



Artifacts collected at Punta Ura

Box 4. Peru LNG

The Peru LNG project included a liquefied natural gas plant and facilities including a 408-km 34-inch natural gas pipeline. The pipeline was buried for its 408 km length, crossing several Andean and jungle forest areas from the community of Chiquintirca (Ayacucho) to the Melchorita marine terminal on the Pacific coast. The project met international standards for the design and installation of the gas pipeline. These included archeological studies, a robust Cultural Heritage Management Plan (CHMP) as required by the national legislation, and compliance with the procedures established by the Ministry of Culture to obtain the Certificates of Non-existence of Archaeological Remains (also known by their Spanish acronym, CIRA). The studies included archaeological research in a path 100 meters wide adjacent to the pipeline route, covering 277 new sites. From 2005 to 2009 a team of renowned archaeologists, with active support from and involvement of the local population, designed and implemented one of the most important and comprehensive archaeological rescue and monitoring projects ever undertaken by a private company in Peru. More than 200 archaeologists and over 2,000 local residents actively took part in the different stages of the project. Rescue excavations were carried out in 137 sites, while avoiding impacts on 40 major sites and implementing strict procedures and monitoring for chance finds. The CHMP also included activities for the protection and promotion of all archeological remains to be used for future analysis and studies. A summary of most of the findings from the Peru LNG project is described in a book entitled *Proyecto arqueológico, Archaeological Project* (Lockard and Proyecto Arqueológico de Perú LNG, 2010).



Excavation in the central sector of Islacha 1, LNG Project (from Lockard and Proyecto Arqueológico de Perú LNG 2010, 88)

Protection or preservation in situ. Another viable mitigation option in addition to archaeological data recovery or rescue excavations is protection by burial or protection in situ. The feasibility and suitability of these measures will depend on the geophysical conditions of the project area and the nature of the cultural heritage site.

One common protection measures is to lay down a protective covering or layer (soil, asphalt, or other material held in place) that can allow construction to take place on top of an archaeological site without damaging the site. Stabilization and physical barriers can also be used in cases where sites are located next to the project construction zone and/or areas where erosion is anticipated.

10. Archaeological Monitoring and Chance Finds Procedures

The *Implementation Guidelines for the Environment and Safeguards Compliance Policy*, referring to Policy Directive B.9, defines chance finds as “the unanticipated discovery of material remains of archaeological and historical significance” (Quiroga and Milewski 2007, 43). Chance finds can be underground or underwater, and may include isolated artifacts or their fragments such as pottery or stone tools, human or animal bones, and architectural features such as a wall, burial or hearth that would be damaged by the project. Buried archaeological sites and cultural features are commonly found during construction.

The *Implementation Guidelines* also states, “Projects likely to encounter chance finds, should develop and implement specific procedures to handle chance finds occurrences, integrated into the project’s ESMP” (Quiroga and Milewski 2007, 43). Chance finds are a relatively common occurrence in projects located in areas of medium or high archaeological sensitivity or potential, including sites that have already been the focus of a thorough and appropriate cultural heritage desk and/or field assessment during project preparation. In these cases, the possibility of finding archaeological remains during construction is usually more than sufficient to justify the inclusion of a chance finds procedure in the tenders and construction contracts for the project.

The most effective approach when the area is one of high archaeological sensitivity, or if there is a high possibility of chance finds, is to include a construction monitoring program. The aim of such a program is to identify, protect, recover, and record all the archaeological, paleontological, or historical resources found during project construction.¹⁶ A construction monitoring chance finds procedure of this type has to be project specific, and should be designed and staffed in accordance with the cultural heritage assessment and sensitivity analysis that was carried out during the project planning phase. The construction monitoring program should apply international standards and principles for the protection of cultural heritage and should be closely coordinated with the country’s national and local heritage authorities. It would require a preliminary survey, followed by expert observation and

¹⁶ A good example of the application of this approach is the Panama Canal Expansion Program, which is supported by a corporate loan from the IDB.

monitoring of all ground disturbing or construction work such as stripping, grading, excavation and the passage of heavy equipment in areas of high archaeological or paleontological potential. The surveyors or observers must have the authority to temporarily halt and or redirect construction activity away from a specific area to allow for adequate inspection of any potential finds.

In other situations, where there is a lesser possibility that chance finds may occur, a standard chance finds procedure can be incorporated into the general procedures that are applied to construction works. Indeed, in some countries the IDB has been supporting the development of standardized social and environmental procedures, including chance finds procedures, by those government agencies that have to manage a large number of construction contracts, such as the ministries of transportation or public works, state electricity or water companies, and so on.

Chance finds procedures need to incorporate:

- A formal protocol for the temporary cessation of construction work if a chance find should be encountered. The authority to halt construction should be incorporated into the construction and supervision contracts and subcontracts, and should clearly identify the persons or authorities that should be notified immediately upon the discovery of any possible archaeological or paleontological finds.
- A protocol to document, register and protect or secure the site and the archaeological finds, including their proper storage and transportation. This should clarify the procedures to establish the ownership of finds. In many countries archaeological or paleontological finds belong to the Ministry of Culture or a specialized agency responsible for cultural or archaeological heritage. The protocol should also reference any procedures that may be required when human remains are uncovered.
- Guidance and training for all workers and other employees engaged at the site.
- Institutional coordination and communication mechanisms among the local and national authorities responsible for protection of cultural heritage.

11. Conservation, Reporting and Display

The Cultural Heritage Management Plan (CHMP) should include an initial description of the activities that will be carried out once the project has been completed. These activities can enhance the positive outcomes of a project, promote public awareness and appreciation of a country's cultural past, and reaffirm the cultural values and sense of identity of local communities.

At a minimum, the plan should include measures to protect, conserve and, if necessary, restore the sites and resources that were the subject of the studies,

especially archaeological or paleontological finds and historical artifacts. Insofar as possible the resources should be kept near the original site so that the local communities can maintain the links they have to the site and can benefit from any social, educational, or economic opportunities that may be generated. It is important to ensure that the measures for protection and conservation of the sites and resources are sustainable and comply with local and national legislation. This may require additional support from the Bank-financed project and/or from the national agencies responsible for cultural heritage.

The CHMP should explain and document the cultural heritage research that was conducted, specifying any publications and other documents generated. These should include technical publications that could be subject to independent peer review by specialists in the field and, where appropriate, by more popular publications intended for the general public, especially for people living in the area of the project. The technical publications should be available to the scientific community and should be archived in any relevant national or regional databases. They could also be included in a trusted international repository such as tDAR or ADS.

The project sponsors and the relevant national authorities should ensure that the most important finds and artifacts are properly displayed at a site accessible to the public, preferably in the project area. This may require support for the creation or improvement of a local museum; a cultural heritage conservation and restoration program at the site; the organization of training programs in local skills to conserve the site or revitalize traditions and crafts; the development of educational and outreach programs for local teachers and schools; and/or measures to ensure the security and protection of newly exposed or at risk cultural resources. If the Ministry of Culture or other government agency has formal ownership of the finds and artifacts, it may be necessary to develop protocols to ensure that resources are available to conserve and display the most important finds and artifacts.

12. References

Campbell, Ian. 2009. *Physical cultural resources safeguard policy: Guidebook*. Washington, DC: World Bank.

<http://documents.worldbank.org/curated/en/2009/03/16528469/>

Carleton, W. Chris, James Conolly, and Gyles Iannone. 2012. "A locally-adaptive model of archaeological potential (LAMAP)." *Journal of Archaeological Science*, 39(11), 3371-3385.

Convention Concerning the Protection of the World Cultural and Natural Heritage. 1972. Paris: UNESCO. <http://whc.unesco.org/en/conventiontext/>

Indigenous and Tribal Peoples Convention, 1989 (No. 169). 1989. Geneva: International Labour Organization. <http://www.ilo.org/ilolex/cgi-lex/convde.pl?C169>

Inter-American Development Bank. 2010. *Access to Information Policy*. Washington, DC: IDB. (OP-102). <http://www.iadb.org/document.cfm?id=35167427>

Inter-American Development Bank. 2006a. *Environment and Safeguards Compliance Policy*. Washington, DC: IDB. (OP-703). <http://www.iadb.org/document.cfm?id=665902>

Inter-American Development Bank. 2006b. *Operational Policy on Indigenous Peoples and Strategy for Indigenous Development*. Washington, DC: IDB. (Sustainable Development Department Sector Strategy and Policy Papers Series) Includes OP-765 and GN-2387-5

Inter-American Development Bank. 2010. *Report on the Ninth General Increase in the Resources of the Inter-American Development Bank*. Washington, DC: Board of Governors, IDB. (AB-2764). <http://www.iadb.org/document.cfm?id=35291148>

Inter-American Development Bank. Environmental Safeguards Unit. 2013. *Guidelines on Consultation and Stakeholder Engagement in IDB Projects*. Washington, DC: IDB. (Environmental Safeguards Unit Discussion Paper, no. IDB-DP-301). <http://www.iadb.org/document.cfm?id=37905629>

International Council on Management and Sites. 2011. *Guidance on Heritage Impact Assessments for Cultural World Heritage Properties*. Paris: ICOMOS. http://www.international.icomos.org/world_heritage/HIA_20110201.pdf

Lockard, Greg, and Proyecto Arqueológico de Peru LNG. 2010. *Proyecto arqueológico, Archaeological Project*. Lima, Melchorita: Peru/LNG.

Kamermans, Hans, Martin van Leusen, and Philip Verhagen. 2009. *Archaeological Prediction and Risk Management: Alternatives to Current Practice*. Leiden: Leiden University Press. (Archaeological Studies Leiden University, 17).

Pedersen, Arthur. 2002. *Managing Tourism at World Heritage Sites: a Practical Manual for World Heritage Site Managers*. Paris: UNESCO World Heritage Centre. (World Heritage Manuals, 1). <http://whc.unesco.org/document/3181>

Quiroga, Ricardo, and Joseph Milewski. 2007. *Implementation Guidelines for the Environment and Safeguards Compliance Policy*. Washington, D.C.: Inter-American Development Bank. (Sustainable Development Department Sector Strategy and Policy Papers Series, ENV-151). <http://www.iadb.org/document.cfm?id=35597106>

Secretariat of the Convention on Biological Diversity. 2004. *Akwé: Kon: Voluntary Guidelines for the Conduct of Cultural, Environmental, and Social Impact Assessments 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*. Montreal: Secretariat of the Convention on Biological Diversity. (CBD Guidelines Series). <http://www.cbd.int/doc/publications/akwe-brochure-en.pdf>

Verhagen, Philip. 2007. *Case Studies in Archaeological Predictive Modelling*. Leiden: Leiden University Press. (Archaeological Studies Leiden University, 14).

Wijesuriya, G., J. Thompson, and C. Young. 2013. *Managing Cultural World Heritage*. Paris: UNESCO World Heritage Centre. (World heritage resource manual). <http://whc.unesco.org/document/125839>

World Bank. 2013. "OP 4.11, Physical cultural resources." <http://go.worldbank.org/IHM9G1FOOO>

World Bank. 2014. "Environmental and Social Standard 8: Cultural Heritage." Draft for consultation.

Annex A. National Laws and Guidelines

The following table lists the twenty-six (26) countries in Latin America and the Caribbean where the Bank operates, identifying the entity in charge of regulating cultural heritage, and providing other relevant information for each country. Additional related information including government contacts in each country is available in UNESCO's Database of National Cultural Heritage Laws: www.unesco.org/culture/natlaws.

Country	Regulating Entity	Country Legislation
Argentina	<i>Dirección Nacional de Patrimonio y Museos</i> (National Directorate of Cultural Heritage and Museums)	Argentina has a series of laws and regulations pertaining to cultural heritage, but no individual law stands out. A complete list of these laws can be found online . ¹⁷
Bahamas	Ministry of Education, Science and Technology	The Constitution of the Commonwealth of the Bahamas (1973) and the Antiquities, Monuments and Museum Act of 1998 are the two most significant documents on cultural heritage for the Bahamas. These can be found online . ¹⁸
Barbados	Ministry of Culture	The Miscellaneous Controls (export restrictions) Regulations (1981) and the Museums and Historical Society Act (1933) are the two most significant documents on cultural heritage for Barbados. These can be found online . ¹⁹
Belize	Ministry of Tourism and Culture	The Belize Constitution Act (Chapter 4 - Revised Edition 2000) is the most relevant document on cultural heritage for Belize and can be found online . ²⁰

¹⁷

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=7&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=7&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

¹⁸

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=12&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=12&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

¹⁹

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=15&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=15&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

²⁰

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=18&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=18&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

Country	Regulating Entity	Country Legislation
Bolivia	<i>Ministerio de Cultura y Turismo</i> (Ministry of Culture and Tourism)	Bolivia has a series of laws and regulations pertaining to cultural heritage and no individual law stands out. A complete list of these laws can be found online . ²¹
Brazil	<i>Instituto do Patrimônio Histórico e Artístico Nacional</i> (Institute of National Historic and Artistic Heritage)	Brazil has a series of laws and regulations pertaining to cultural heritage and no individual law stands out. A complete list of these laws can be found online . ²²
Chile	<i>Ministerio de Educación</i> (Ministry of Education)	Chile has a series of laws and regulations pertaining to cultural heritage, but no individual law stands out. A complete list of these laws can be found online . ²³
Colombia	<i>Ministerio de Cultura</i> (Ministry of Culture)	Ley no. 1185 ²⁴ is the most pertinent legislation on cultural heritage in Colombia. However, there are a number of other laws related to cultural heritage, which can be found online . ²⁵
Costa Rica	<i>Centro de Conservación del Patrimonio Cultural</i> (Center for the Preservation of Cultural Heritage)	Ley no. 7555 ²⁶ and its associated regulations ²⁷ are the most pertinent legislation on cultural heritage in Costa Rica. However, there are a number of other laws related to cultural heritage, which can be found online . ²⁸

²¹

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=21&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=21&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

²²

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=24&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=24&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

²³

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=33&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=33&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

²⁴ http://www.unesco.org/culture/natlaws/media/pdf/colombia/colombia_ley1185_2008_spaorof.pdf;

English translation at

http://www.unesco.org/culture/natlaws/media/pdf/colombia/colombia_ley1185_engtof.pdf

²⁵

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=35&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=35&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

²⁶ http://www.icomosc.org/content/index.php?option=com_content&view=article&id=60&Itemid=69

²⁷ http://www.icomosc.org/content/index.php?option=com_content&view=article&id=77:ley-7555-reglamento&Itemid=74

²⁸

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=39&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=39&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

Country	Regulating Entity	Country Legislation
Dominican Republic	<i>Dirección Nacional de Patrimonio Cultural</i> (National Directorate of Cultural Heritage)	<u>Ley no. 318</u> ²⁹ is the most pertinent legislation on cultural heritage in the Dominican Republic. However, there are a number of other laws related to cultural heritage, which can be found <u>online</u> . ³⁰
Ecuador	<i>Ministerio de Cultura y Patrimonio</i> (Ministry of Culture and Heritage)	Laws on cultural heritage in Ecuador can be found <u>online</u> . ³¹
El Salvador	<i>Dirección Nacional del Patrimonio Cultural</i> (National Directorate of Cultural Heritage)	Laws on cultural heritage in El Salvador can be found <u>online</u> . ³²
Guatemala	<i>Ministerio de Cultura y Deportes, Dirección de Patrimonio Cultural</i> (Ministry of Culture and Sports, Directorate of Cultural Heritage); <i>Instituto Nacional de Antropología e Historia</i> (National Institute of Anthropology and History)	Laws on cultural heritage in Guatemala can be found <u>online</u> . ³³
Guyana	Ministry of Culture, Youth and Sport	Laws on the protection of cultural heritage in Guyana can be found <u>online</u> . ³⁴
Haiti	Ministry of Culture	Laws on the protection of cultural heritage in Haiti can be found <u>online</u> . ³⁵

29

http://www.comisionadodejusticia.gob.do/index.php?option=com_phocadownload&view=category&download=105:318-1968&id=28 ; English translation at

http://www.unesco.org/culture/natlaws/media/pdf/dominicanrepublic/repdom_law318_1968_engtof.pdf

30

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=50&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=50&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

31

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=51&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=51&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

32

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=53&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=53&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

33

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=68&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=68&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

34

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=71&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=71&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

35

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=72&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=72&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

Country	Regulating Entity	Country Legislation
Honduras	<i>Instituto Hondureño de Antropología e Historia</i> (Honduran Institute of Anthropology and History)	Laws on the protection of cultural heritage in Honduras can be found online . ³⁶
Jamaica	Ministry of Justice	The Jamaica National Heritage Trust Act ³⁷ is the most relevant piece of legislation on cultural heritage. Other pertinent laws can be found online . ³⁸
Mexico	<i>Instituto Nacional de Antropología e Historia</i> (National Institute of Anthropology and History)	The laws on cultural heritage in Mexico are available online . ³⁹
Nicaragua	<i>Instituto Nicaragüense de Cultura</i> (Nicaraguan Institute of Culture)	There are a number of laws pertaining to cultural heritage in Nicaragua. A complete list of these laws can be found online . ⁴⁰ Among them, the Ley de Protección al Patrimonio Cultural de la Nación ⁴¹ (Law for Protection of the Cultural Heritage of the Nation) is particularly relevant.
Panama	<i>Dirección Nacional de Cultura y Patrimonio Histórico</i> (National Directorate of Culture and Historical Heritage)	A complete list of the laws and regulations pertaining to cultural heritage is available online . ⁴²

36

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=73&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=73&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

37 [http://moj.gov.jm/sites/default/files/laws/The Jamaica National Heritage Trust Act.pdf](http://moj.gov.jm/sites/default/files/laws/The%20Jamaica%20National%20Heritage%20Trust%20Act.pdf)

38

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=83&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=83&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

39

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=108&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=108&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

40

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=120&categories\[\]=2&categories\[\]=3&categories\[\]=4&categories\[\]=5&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=120&categories[]=2&categories[]=3&categories[]=4&categories[]=5&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

41

[http://legislacion.asamblea.gob.ni/Normaweb.nsf/\(\\$All\)/219C2CB0BA8DB6B0062570A10057CF32?OpenDocument](http://legislacion.asamblea.gob.ni/Normaweb.nsf/($All)/219C2CB0BA8DB6B0062570A10057CF32?OpenDocument) ; English translation

42

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=128&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=128&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

Country	Regulating Entity	Country Legislation
Paraguay	<i>Secretaría Nacional de Cultura</i> (National Secretariat of Culture)	A complete list of legislation pertaining to cultural heritage in Paraguay can be found online . ⁴³ Ley Nacional de Cultura no.3051/06 ⁴⁴ is particularly relevant.
Peru	<i>Ministerio de Cultura</i> (Ministry of Culture)	Peru has a number of laws on cultural heritage. A complete list of this legislation can be found online . ⁴⁵ Ley no. 28296, Ley General del Patrimonio Cultural de la Nación ⁴⁶ is particularly relevant.
Suriname	<i>Directoraat Cultuur van het Ministerie van Onderwijs and Volksontwikkeling</i> (Directorate of Culture of the Ministry of Education and People's Development)	A list of legislation pertaining to cultural heritage in Suriname can be found online . ⁴⁷ In addition, Chapter VII /Article 47 of the 1987 Constitution ⁴⁸ includes provisions on the protection of cultural heritage.
Trinidad and Tobago	Ministry of Community Development and National Heritage	Trinidad and Tobago does not have a great deal of legislation on cultural heritage. A complete list can be found online . ⁴⁹
Uruguay	<i>Ministerio de Educación y Cultura</i> (Ministry of Culture and Education)	There are a series of laws in Uruguay pertaining to the protection of cultural heritage, though no single law stands out. These can be found online at the UNESCO ⁵⁰ and Uruguayan government websites. ⁵¹

⁴³

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=130&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search &lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=130&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search &lng=en)

⁴⁴ <http://www.cultura.gov.py/lang/es-es/2011/05/ley-nacional-de-cultura-n%C2%B0-305106-2/>
⁴⁵

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=131&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search &lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=131&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search &lng=en)

⁴⁶ http://www.unesco.org/culture/natlaws/media/pdf/peru/peru_law28296_spaorof; English translation at http://www.unesco.org/culture/natlaws/media/pdf/peru/per_law28296_engtof.pdf
⁴⁷

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=160&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search &lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=160&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search &lng=en)

⁴⁸ <http://www.constitution.org/cons/suriname.htm>

⁴⁹ [http://www.unesco.org/culture/natlaws/index.php?countries\[\]=171&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search &lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=171&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search &lng=en)
⁵⁰

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=182&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search &lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=182&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search &lng=en)

⁵¹ <http://www.patrimoniouruguay.gub.uy/innovaportal/v/33416/35/mecweb/normativas?topmenuid=33416%20leftmenuid=0>

Country	Regulating Entity	Country Legislation
Venezuela	<i>Instituto del Patrimonio Cultural</i> (Cultural Heritage Institute)	Venezuela has a number of laws that pertain to the protection and preservation of cultural heritage, which can be found online . ⁵² However, the Ley de Protección y Defensa del Patrimonio Cultural ⁵³ (Cultural Heritage Protection and Defense Act) merits special mention and is the one most commonly used.

⁵²

[http://www.unesco.org/culture/natlaws/index.php?countries\[\]=185&categories\[\]=2&categories\[\]=3&categories\[\]=4&documents\[\]=original&documents\[\]=translated&search=Search&action=search&lng=en](http://www.unesco.org/culture/natlaws/index.php?countries[]=185&categories[]=2&categories[]=3&categories[]=4&documents[]=original&documents[]=translated&search=Search&action=search&lng=en)

⁵³ http://www.wipo.int/wipolex/es/text.jsp?file_id=235683#LinkTarget_615

Annex B. International Guidelines for Cultural Heritage Protection and Conservation

The following table identifies relevant international guidelines for protection of cultural heritage that are generally aligned with the Bank's Policy Directive B.9. These sources offer additional perspective and detail to complement this Guidance Note.

Institution	Organizational Information	Guidance Notes
EBRD (European Bank for Reconstruction and Development)	A multilateral development bank that uses investment as a tool to help build market economies.	Included in the EBRD's "Performance Requirements and Guidance" is the section "PR8: Cultural Heritage," an insightful document about cultural heritage preservation. It can be accessed online from http://www.ebrd.com/who-we-are/our-values/environmental-and-social-policy/performance-requirements.html
ICCROM (International Centre for the Study of the Preservation and Restoration of Cultural Property)	An intergovernmental organization dedicated to the conservation of cultural heritage. Member states of UNESCO are eligible to become members of ICCROM.	ICCROM has published an overview of management issues related to UNESCO World Cultural Heritage sites, and by extension, other heritage sites of any sort. Their document "Management Guidelines for World Cultural Heritage Sites" can be found online at whc.unesco.org/document/125839
ICOMOS (International Council on Monuments and Sites)	A non-governmental, non-profit organization of cultural heritage professionals seeking to raise the international standards of cultural resource management.	ICOMOS has published a cultural heritage guideline called <i>Guidance on Heritage Impact Assessments for Cultural World Heritage Properties</i> , which can assist in the familiarization of Cultural Impact Assessment protocols and standards. It can be found at http://www.international.icomos.org/world_heritage/HIA_20110201.pdf .
IFC (International Finance Corporation)	A member of the World Bank Group, IFC is the world's largest global development institution focused exclusively on private sector development in developing countries.	IFC's <i>Performance Standards on Environmental and Social Sustainability</i> (2012) can be accessed online from http://www.ifc.org/performancestandards . Of particular relevance are under Performance Standards 1, 7 (Indigenous Peoples) and . 8 (Cultural Heritage).
Rio Tinto Group	A British-Australian global metals and mining corporation.	In addition to following other international standards, Rio Tinto's cultural heritage management plans are based on two internally produced guideline documents: "Why Cultural Heritage Matters"

Institution	Organizational Information	Guidance Notes
		<p>(http://www.riotinto.com/documents/ReportsPublications/Rio_Tinto_Cultural_Heritage_Guide.pdf) and “Guía de gestión de patrimonio cultural” (http://www.riotinto.com/documents/Cultural_heritage_management_guidance_2011_2014_espanol.pdf)</p>
Secretariat of the Convention on Biodiversity	Secretariat of the Biodiversity Convention signed at the Earth Summit in Rio de Janeiro in 1992. The Convention entered into force in December 1993.	<p><i>Akwé: 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</i> is available online at http://www.cbd.int/doc/publications/akwe-brochure-en.pdf</p>
UNESCO (United Nations Educational, Scientific and Cultural Organization)	An agency of the United Nations dedicated to the creation of holistic policies capable of addressing the social, environmental, and economic dimensions of sustainable development.	<p>UNESCO is among the world’s leading proponents of the preservation of cultural heritage sites. The organization has three guideline documents of considerable value including the <i>Convention Concerning the Protection of the World Cultural and Natural Heritage, 1972</i> (http://whc.unesco.org/en/conventionext/), the <i>Convention on the Protection of Underwater Cultural Heritage, 2001</i> (http://unesdoc.unesco.org/images/0012/001260/126065e.pdf), and the <i>Convention for the Safeguarding of the Intangible Cultural Heritage, 2003</i> (http://www.unesco.org/culture/ich/en/convention).</p>
World Bank	An international financial institution that provides loans to developing countries for capital programs.	<p>Featuring a relatively comprehensive explanation of cultural heritage issues, considerations, and management plans techniques The World Bank’s <i>Physical Cultural Resources Safeguard Policy: Guidebook, 2009</i>, is available online at http://documents.worldbank.org/curated/en/2009/03/16528469/physical-cultural-resources-safeguard-policy-guidebook.</p>