ICOMOS

GLOBAL CASE STUDY PROJECT

ON

RECONSTRUCTION

MATRIX

FOR THE COMPILATION

OF

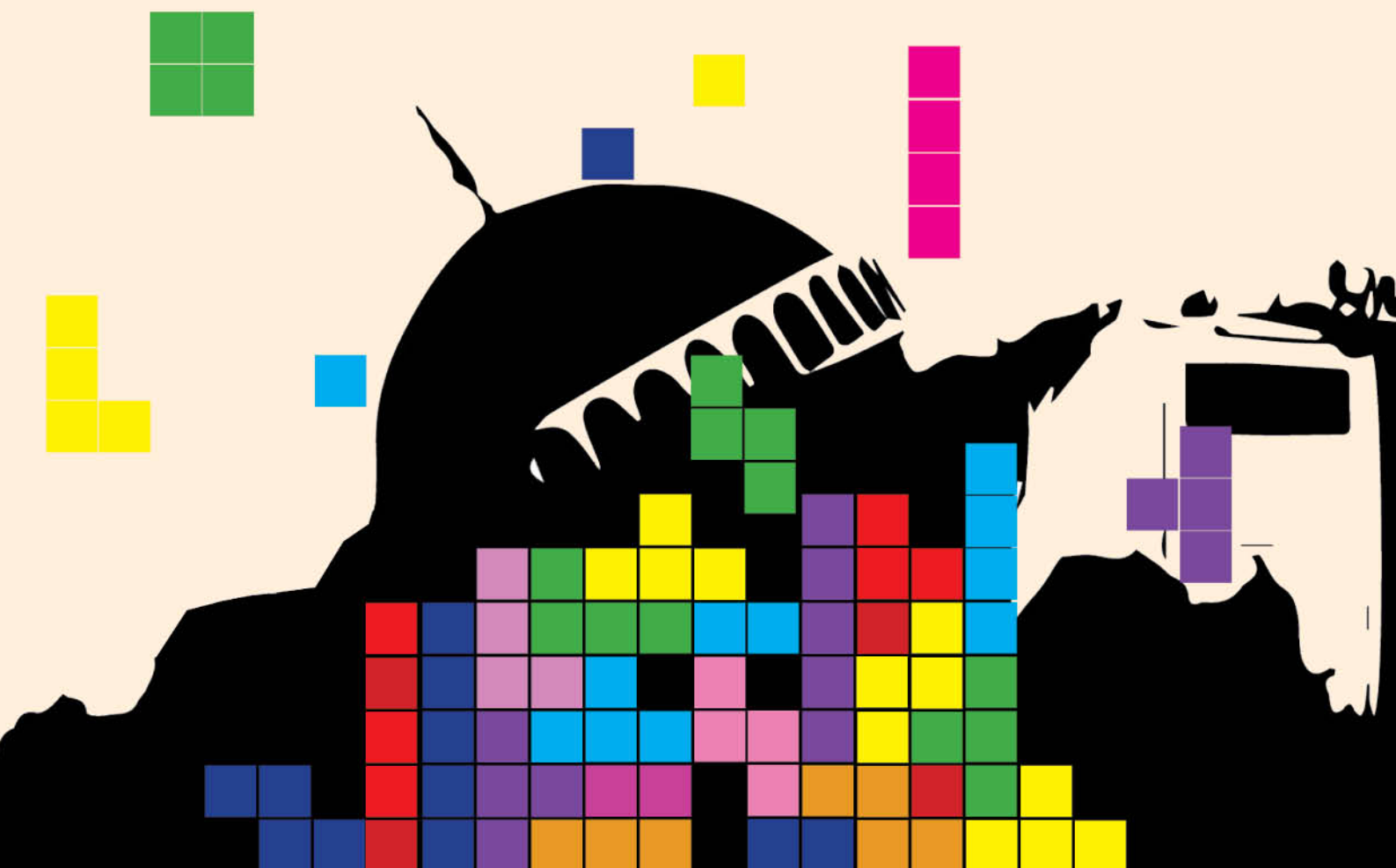# CASE STUDIES

April 2018

ICOMOS

ICOMOS Global Case Study Project on Reconstruction

MATRIX FOR THE COMPILATION OF CASE STUDIES

In the context of the *ICOMOS Guidance on Post Trauma Recovery and Reconstruction for World Heritage Cultural Properties document*, this draft matrix aims to assist in the documentation of events and their effects on heritage assets for use as a tool for the ICOMOS Global Case Study Project on Reconstruction.

Introduction

At the *Colloquium on Post-trauma Reconstruction* held in Paris in March 2016, several of the working groups tasked with examining the main themes identified the difficulty of establishing a body of reflective experience. Participants observed a tendency for case studies to be particular in their focus and, in varying degrees, to reflect the approach or particular expertise of their author(s). As a result, it was deemed difficult to relate the experiences in each case to that of others and to therefore draw robust conclusions that might have wider application to other degraded or damaged sites.

In response to this difficulty identified during the Colloquium the ICOMOS project aims to develop an appropriate matrix for case studies of damaged heritage sites that allows for wider, shared learning and appropriate action in the recovery process. While the primary focus in the project has been on affected World Heritage sites, it is expected that the matrix might have broader application, that it might be used in a wide range of situations, at different scales and at different times, during or after events. It could be useful in anticipatory contexts such as in disaster planning preparations or in management plans.

Use of the matrix

Participating experts are asked to compose their individual case study by addressing the seven components below, which include one for additional comments. Each heading within the components includes a set of prompts to help develop the case study. Not all prompts will apply to every case study. Where they do not apply please note this fact and insert a comment that says why. As you write your case study, please make suggestions or recommendations for improving the matrix, noting in particular any missing components or prompts.

It is suggested that experts should read through the structure of the matrix in its entirety before beginning to give account of their case study, as components and prompts are interrelated and the preliminary knowledge of the matrix flow will likely assist in building the narrative of the case study.
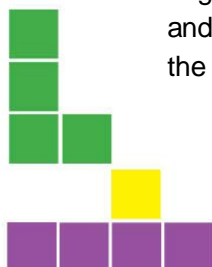
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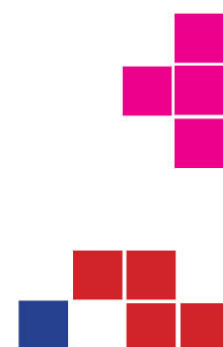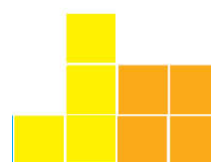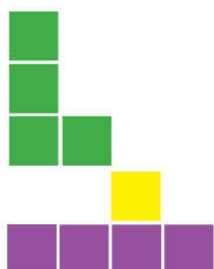
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MATRIX FOR THE COMPILATION OF CASE STUDIES

Component 1.

The Heritage Resource and its Context Before the Impacting Event(s)

1.1 Description, Designation and Recognition

General Description

In writing the description, please cite the sources of the relevant information you provide.

- Describe the location and setting of the heritage resource.

- What does the resource consist of? Carefully consider both tangible and intangible attributes and the interface between them.

- If a broadly accepted description of the resource exists, then please include this.

Form, Function, Creation and Subsequent Transformations

- Describe the type, layout and morphology of both the resource and the broader context in which it is located.

- For what purpose(s) was the resource originally created? What other purposes did it serve during its existence? How is it presently used? Have changes of use determined modifications to the heritage resource? If so, please describe.

- Describe the materials, building techniques and structural solutions used in the creation of the resource.

- Please note in general terms the changes and

Sources may include, for example, direct examination or survey of the resource, published or archival material, website information, graphic or photographic resources, iconographic sources, or oral sources.

Please refer to the more specific

transformations that the heritage resource has undergone, including those that might have been further changed or removed through successive interventions (e.g. restorations).

- Are materials and techniques used in its construction and subsequent transformations still available? If so, describe their availability in terms of accessibility, quantity, sustainability and costs.

- What skill set(s) was needed for its creation and subsequent transformations? Do these construction and craft skills exist today? If so, describe the human resources in terms of numbers and availability of practitioners.

Official Designation or Inscription

In describing the existing heritage designation(s)/inscription(s) of the resource at the international, national and local levels, please consider the prompts given

Notedesignation(s)/inscription(s) at the international, national and local levels as relevant

- What type(s) of designation or inscription has (have) been assigned to the heritage resource?

- Does the designation(s)/inscription(s) apply exclusively to the heritage resource or does it apply more generally to the broader context in which the resource is located?

- Are the reasons for designation or inscription made explicit? If so, what are they?

- If the designation(s)/inscription(s) includes a description of the character or an inventory of the significant features, defining elements or attributes of the resource, then include a brief account of these and describe whether and to what extent they were useful during the recovery process.

- Does the designation(s)/inscription(s) imply a hierarchy among the elements/attributes of the heritage resource and the role they played in supporting its cultural significance? If so, describe.

- Does the designation(s)/inscription(s) prescribe, suggest or imply specific conservation or management policies?

Please identify what these are

- If so, have these designations been taken into account during the recovery process?

*Please describe in what ways they have been taken into account*
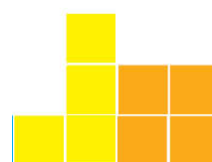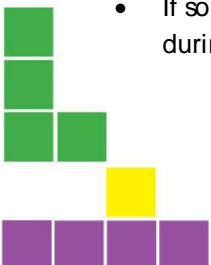
Scholarly Recognition

- Are the attributes, significance or value of the heritage resource described in scholarly literature? If so, provide a summary and cite the sources.

- Was the rationale for the official designation(s)/inscription(s) guided by that scholarly literature? Is the literature explicitly cited in the designation/inscription?

- Are there important attributes that are not acknowledged in the scholarly literature? If so, describe.

Popular Recognition

- Describe the significance of the heritage resource for both the resident population and wider national and global audiences.

- Do different communities (or competing groups within a community) attribute different or competing meanings or significances to the resource? If so, provide a detailed account.

- Are there conflicting policies or uses with respect to the heritage resource that stem from competing interpretations or valuations of it?

- Are there social, cultural or ritual practices or uses related to the resource? If so, describe.

- Were special ritual practices associated with its original construction/creation or renewal? If so, provide a brief social history of those practices and describe their significance. Also describe the ways in which knowledge of the practice(s) was transmitted between generations and any significant information concerning the control or possession of that knowledge. Are the practices continued today?

- Describe any other intangible dimensions or cultural practices associated with the heritage resource.

1.2 History and Context
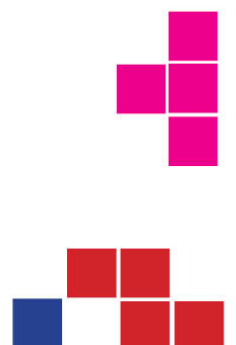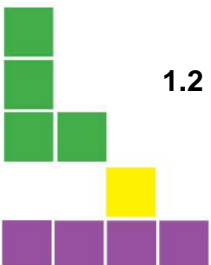
History, Ownership and Environment

- Provide dates or time periods for the original construction of the resource and for any changes and modifications that were made to it during its history. Include a chronological history of conservation or restoration interventions in the site.

- Describe the history of (changing) ownership of the resource in relation to its historical development.

- Has the immediate setting/context changed since the original creation of the resource? If so, in what ways?

- Describe the physical context of the resource

For example: urban, peri–urban, rural, existing infrastructure, etc.).

- Describe the conditions of the heritage resource before the impacting event(s): what vulnerabilities did it have? Also describe the conditions and vulnerabilities of the wider context before the event.

Social and Economic Setting

- Describe the social structure of the society/communities within, in proximity to or in the area of the heritage resource.

- Have aspects of the social organisation(s) (i.e. at the level of the community or household) been relevant to the reconstruction process (e.g. social hierarchy, language, ethnicity, gender relations, etc.)? If so, describe.

- Describe the existing socioeconomic conditions of the community and how these have changed over time, with particular reference to post-trauma phases.
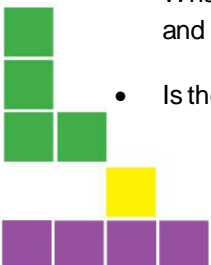
Frameworks, Agents and Communication

- What frameworks are in place?

For example, legal, regulatory, governance

- Who are the key agents and stakeholders?

- What formal and informal channels of communication and cooperation/coordination exist between them?

- Is there a shared cultural understanding of the heritage

For example, staff of offices for

resource among decision makers and those involved in the institutional framework
If so, describe that understanding or the variety of perspectives that exist. Are these perspectives documented and are the relevant groups aware of them?

Have you additional factors related to the heritage resource and its context to describe?

heritage protection, urban planning, etc

Bibliography of Documentation

Provide key bibliographic references and other sources (including, where possible, author(s) name, date, title, place of publication or holding, or URL) that contributed to formulating the significance of the heritage resources. If the existing scholarly literature is abundant, then provide as a minimum the most important references, and especially those that were useful for the recovery process.

Your comments as an expert on the availability, quality and contents (including lacunae) of the scholarly literature would be a valuable contribution.

Component 2.

### The Nature of the Impacting Event(s)

General Description

This is intended to be an identification and description of the event(s) that impacted on the resource. The questions and prompts below are formulated to assist with that task.

Note

May be needed to assess the conditions in which any reconstruction process might occur

- What was/is the nature of the event (e.g. natural, human-caused, intentional/unintentional

- Was/is the event a unique occurrence or is it cyclical/repeated? For instance, is it the area prone to earthquake, flooding or other disasters? Is the region prone to sporadic or endemic conflicts? Could any recurrence timeframes be reported?

- Describe the area affected.
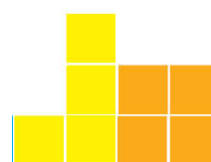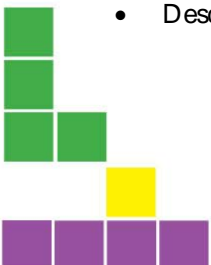
General Impact of the Event(s)

- What is/was the impact of the event(s) on the physical environment (e.g. property, landscapes, buildings, artefacts, etc.)?

- What has survived? What has been lost? Please describe.

- Describe the current condition of the heritage resource. What vulnerability(ies) does it presently face? Also describe the conditions and vulnerabilities of the wider context.

- What impact has the event(s) had on the society and economy (i.e. on social organisation and structure, social relations, the local/regional economy)? And on social, religious or ritual practice(s) and customs?

- With regard to both physical and socio-economic effects of the event(s), how were they experienced: immediately/ delayed/ continuously over a period/ still ongoing?

- Were the various kinds of damage reported immediately or were there delays?

For example, due to immediate emergency/humanitarian interventions or for other reasons

**Impact on the Significance and Values of the Resource**

- What are the impacts of the trauma on the significance-defining elements/attributes (both tangible and intangible) of the heritage resource?

- Did (local, regional or international) perceptions of the significance or value of the heritage resource change following the traumatic event(s)? If so, describe.

Emergency Repair(s) to Date

- In the case of protracted or repeated traumatic events, can any emergency repair(s) be reported?

- Have any emergency protection measures been put in place? If so, describe.

For example, temporary cover, temporary shoring or scaffoldings, etc.

- In what ways have these measures impacted the
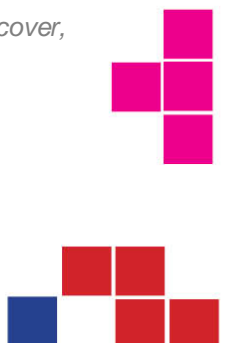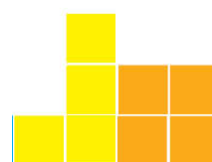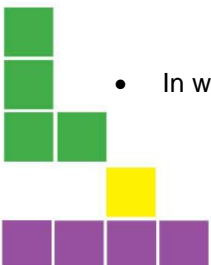
resource itself and the reconstruction process?

Documentation and Narratives

- Was any emergency documentation collected? If so, what does it consist of? Was it shared with the relevant key agents and stakeholders?

- Have post-event(s) narratives emerged?

For example, with regard to the conditions of the heritage resource, the trauma itself, its broader effects, issues of safety, etc.

For example, through the media, through official reports, orally shared narratives among the local population

- If so, describe. Were any of these pre-existing in some form or were they newly created?

Component 3.

Post–Event Appraisals

Please describe the situation that developed in the aftermath of the traumatic event, taking into consideration the questions/prompts below.

Please cite wherever possible the sources of the relevant information you provide

For example, by direct examination or survey of the resource, published or archival material, website information, graphic or photographic resources, iconographic sources, oral sources.

Impact Assessment

- Has appraisal been carried out of the type and extent of impacts on the significance-defining elements (both tangible and intangible) of the resource? If so, has it been done explicitly in written form and accompanied by post-event survey and documentation?

- Have the levels of damage and recoverability options been assessed? If so, was this done explicitly in written form? Were issues and options shared with the relevant stakeholders including the local community?

- Did the assessment of damage and recoverability options take into account intangible dimensions of the

If so, describe the measures taken
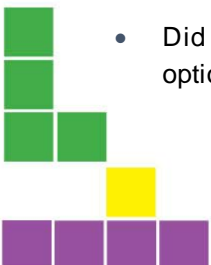
heritage resource? If so, describe.

- Was a hierarchy of significance-defining elements (both tangible and intangible) established? If so, by whom? And when was this done (before or after the impacting event(s))?

- If a hierarchy of significance had been established prior to the impacting event(s) (i.e. with reference to an earlier statement of significance), in what ways (if any) has it been modified since the event(s)?

Discuss the changes and the ways that they relate to the surviving elements/attributes of the heritage resource.

Post-event Documentation

- Has post-event(s) documentation been prepared? If so, please provide a description. Include the author names and their positions as well as explanation of the aims and purposes of the documentation.

- Where is this documentation held? By whom? Is It known by local communities and actors as well as by outsider stakeholders?

For example, outsider stakeholders might be national or international agencies

- What documentation formed the basis for the restoration or reconstruction of the heritage resource?
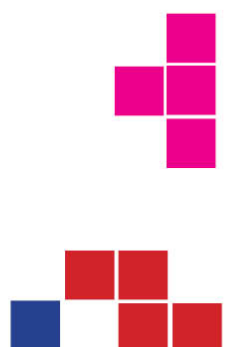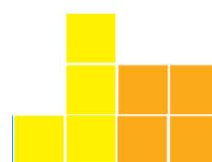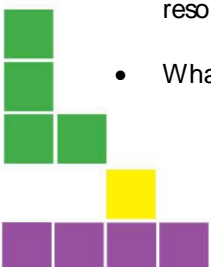
Challenges for Recovery

- What are/were the main challenges and issues for recovery (e.g. technical, social, financial, decisional)? Please describe.

Responses and Recovery Programme

- What is the stage of development of recovery plans/ programmes, if any are being prepared?

- Who devised or is devising the recovery programme? Who is in charge of its implementation?

- Was/is its content and stage of development known by the communities impacted by the event(s)?

- What is/was understood by "recovery of the heritage resources" in the post-event period?

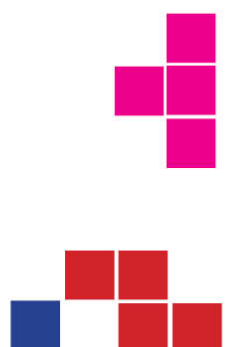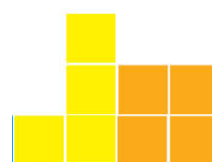- What is/was the agenda for recovery of the heritage

resource?

- How many phases are/were there in the proposed recovery programme? What are/were the timescales for the implementation of the recovery programme?

- What is/was the relationship between the specific recovery programme of the heritage resource and the overall recovery plans for the location/region?

- What are the purposes and the (explicit/implicit) guiding principles of the recovery?

For example, conservation of post-event conditions, recovery of pre-event(s) conditions, recovery of original condition, modification for adaptive reuse, reinforcement/ retrofitting, improvement of manageability, community resilience, or a mix of the aforementioned

- Have different/diverging options for the recovery been considered and discussed? If so, describe these options. Provide an account of how choices were made and decisions were taken and by whom.

- Which (if any) decisions prompted debate? Which decisions prompted most debate?

- Have the aims of recovery of the heritage resource been clarified? If so, has it been shared among all stakeholders (including the local community(ies)) and was it agreed? Please elaborate.

- Which aspects, if any, remain unresolved?

Values and Sustainability

- Describe any new values to be documented that have emerged in the post-event(s) appraisal phase and during the preparation of the recovery programme.

- Has thought been given to the financial, human and social costs of the recovery programme and future management/maintenance of the recovered heritage resource in its post-event context?

- Have concerns about sustainability (e.g. economic, social, environmental) contributed to developing and defining the recovery programme and to planning future management/maintenance of the recovered heritage

resource? Have local stakeholders/communities been made aware of these concerns and options?

- Is/was capacity building a part of the planned recovery programme? If so, describe.

Drivers, Agents and Governance

- What/who are the drivers for recovery?

- What role have financial grants played in driving the agenda?

- What are the priorities and requirements of the recovery programme? Who identified, assessed and articulated the priorities and requirements? And what purposes do these requirements serve?

  For example, change in functions, safety regulations, new standards)

- Have local communities/stakeholders been involved in its preparation? If so, describe. What are their expectations? Have these been explicitly assessed?

- What are the roles of national/regional institutions, international organisations and donors, and other states and related agencies in the recovery programme?

- Are building contractors playing a role in the recovery programme? If so, describe the contractors and their role.

  For example, outsider or local, large or small scale, etc.

- What is the post-event governance framework? Describe any changes that have occurred in the governance following the impacting event(s)

  For example, emergency situation protocols

- What were the responsible agencies in the post-event situation? Was the situation managed at the local, national or international level? What was the chain of command?

  Have you any additional factors relating to post-event appraisals to describe?
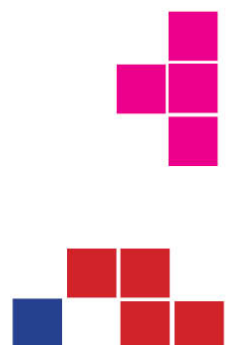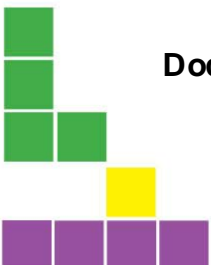
Component 4.

Documenting Response Actions, Timeframes,

Resources and Costs

In this section, it is expected that actions undertaken and the programme implemented are documented. The questions and prompts below are formulated to assist with the task of completing this part of the report. In doing so, please consider the interface between tangible and intangible attributes of the heritage resource when discussing the implementation phase.

### Actual Implementation and Timescales for the Recovery Programme

- How was the programme implemented?

- Under what conditions and constraints were the programme and recovery works executed?

For example, climatic, political, social, financial, deadlines, availability of skills or materials

- What were the actual timescales and schedules of recovery works?

- Were there discrepancies between the planned and the actual objectives? If so, describe

- What was the relation between the objectives of the recovery programme for the heritage resource and those of the wider recovery programme for the location/region?

- Did changes occur between the planned programme and implemented actions? If so, for what reasons? Were these intentional or unintentional? Were the various actors involved aware of these changes?

- Did new values emerge for the heritage resource as a result of the implementation phases? If so, describe.

- Were there attributes or values that could not be recovered? If so, describe.

Resources and Costs of Implementation

- What were the methods, techniques and executors of the programme

- What resources and capacities were available?

For example, technical, organisational, institutional, human, material etc.
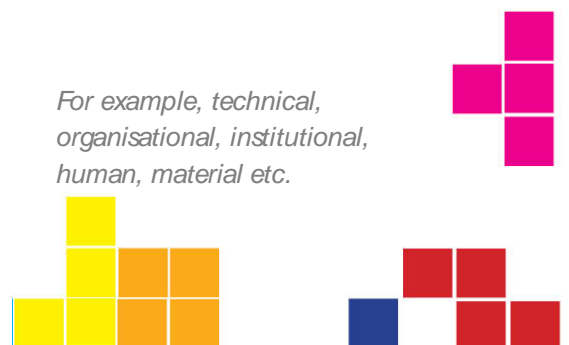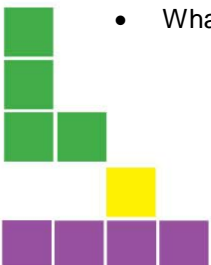
- Were sustainability concerns taken into account in the implementation phase?

- Were costs taken into account in the planning and then in the implementation phase?

  Have you additional factors related to the implementation phase to describe?

As outlined in the previous section

For example, of materials, skills, labour, future maintenance, etc

Component 5.

Documenting the Outcomes and Effects

This Component aims at providing an account of the outcomes of the recovery process and of the effectiveness of the actions undertaken with regard to the planned programme and actions. The questions and prompts below may be helpful in developing your account. In doing so, please present the shared or dissonant views of the various stakeholders, as well as the level of awareness of their mutual existence and of the reasons why different perspectives co-existed. Please also consider both the tangible and intangible attributes of the heritage resource and the interface between them.

Assessment of the Outcomes with regard to the Recovery of the Heritage Resource

- What was achieved?

- When considering the process as elaborated in the previous sections, were the actions effective? Discuss.

- Were planned sustainability objectives successfully pursued and achieved?

- Are there conflicting views about both the achievements and failures of the recovery project? If so, describe. To whom do these divergent views belong?

- Which attributes/features supporting the cultural significance of the heritage resources were recovered? Which could not be recovered? Are there conflicting
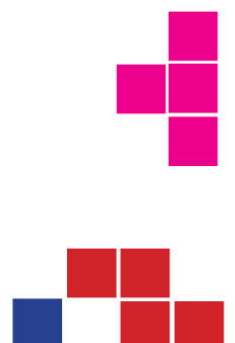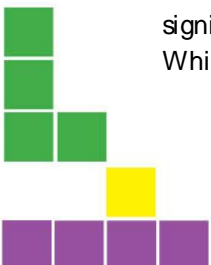
views on this matter?

- Have new attributes/features emerged from the trauma and recovery process?

- Does the significance of the heritage resource continue to be acknowledged and shared after the recovery process?

- What are the downstream positive/negative consequences emerging from the implementation of the recovery programme and related projects/phases?

- Having implemented the recovery programme, what are the learning outcomes? Is there shared understanding of the lessons that have been or can be learned?
- What follow-up actions do you recommend be taken? To what extent are your views shared with other stakeholders?

Ownership of the Results

- Who 'owns' the results of the recovery programme?

- Has there been a shift in value perception in the post-recovery phase? If so, describe.

Documenting the Recovery Programme

- What documentation was needed for correctly implementing the recovery programme? Was this documentation readily available?

- Has the recovery process been documented? If yes, by what means?

- What new information, if any, about the heritage resource was produced during the recovery phase? Has it been disseminated? If so, how and to whom?

- To what extent can the documentation and new information inform future actions and improve the level of effectiveness?

    Please note at what stage(s) in the unfolding events this Case Study was prepared.

    Are there any other factors that you deem useful or important to mention?
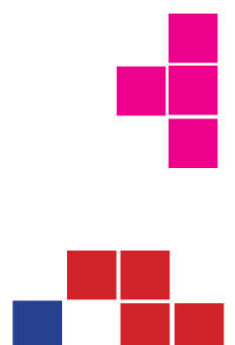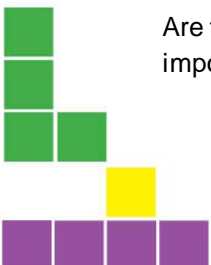
Component 6.

Additional comments

Please include any additional comments or observations related to your report not covered in the above rubrics.

Component 7.

Details of the Expert(s) Completing this Case Study

Please provide a brief biography for each of the experts completing this Case Study: include name, professional affiliations, qualifications.

Where the author has had a role in relation to the resource, the event(s) or the aftermath, this should be noted.