

# Archaeological Assessments

ARCHAEOLOGICAL ASSESSMENT GUIDELINES

BASED ON A STUDY CONDUCTED FOR THE  
DEPARTMENT OF URBAN AFFAIRS AND PLANNING BY  
GODDEN MACKAY PTY LTD

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Cover: An excavation underway at No. 1 mortuary station at the Rookwood necropolis in order to define the extent of the remains of the walls of the building. Photo: L. Gould.

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# Foreword

*Craig Knowles MP*

*Minister for Urban Affairs and Planning*

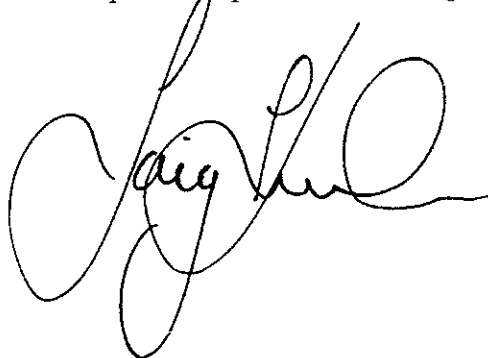
*and Minister for Housing*

Archaeology in Australia has great potential to reveal vital information about our history – information that can add to or challenge the history presented by documentary evidence.

It is essential that archaeological considerations be recognised and integrated into various forms of development. The heritage system in New South Wales provides both comprehensive statutory protection for archaeological relics and mechanisms for ensuring that the research significance of potential archaeological sites can be properly investigated and documented.

A key tool in this process is the archaeological assessment. Archaeological assessments can be used on a large scale to prepare archaeological zoning plans; on smaller scales for effective planning on a particular site; or by development proponents who must comply with planning instruments or other statutory controls.

These guidelines provide a summary of the management of archaeological resources in NSW and a detailed process for undertaking archaeological assessments. Together with the management process they provide an effective means for government and the community to work together to ensure proper management of this irreplaceable part of our heritage.



# Acknowledgements

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## ARCHEOLOGICAL ASSESSMENT GUIDELINES

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# Introduction

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## 1.1 WHAT THESE GUIDELINES COVER

These guidelines cover places that relate to Australia's history since 1788 and include:

- the statutory basis for archaeology in New South Wales
- techniques for managing archaeological resources
- the process and procedures for undertaking archaeological assessments
- a wide range of potential applications including
  - development and building proposals
  - planning studies, heritage studies and registers
  - research investigations
  - environmental impact assessments
  - conservation projects.

The guidelines include a model brief for undertaking assessments and schedules of additional information.

This volume is a companion volume to three other publications available from the Department of Urban Affairs and Planning: *Historical Archaeological Sites, Investigation and Conservation Guidelines* (1993), *Historical Archaeological Excavations: A Code of Practice* (1993) and *The NSW Heritage Manual* (1996).

## 1.2 WHAT THE GUIDELINES DO NOT COVER

The guidelines do not apply to:

- Aboriginal places or items which are covered by separate legislation administered by the NSW National Parks and Wildlife Service. Some places, such as sites of contact between Aboriginal and non-Aboriginal people and sites which are significant to both Aboriginal and non-Aboriginal people, cross these administrative and legal boundaries



## ARCHAEOLOGICAL ASSESSMENTS

- heritage items that are significant only for reasons other than archaeological significance
- the conduct of archaeological excavations, or procedures required when archaeological features are accidentally disturbed.

### 1.3 WHAT IS HISTORICAL ARCHAEOLOGY?

Historical archaeology is the study of the past using physical evidence in conjunction with historical sources. It may also involve identification and conservation of significant sites. In Australia historical archaeology is generally concerned with the period from 1788 onwards. The types of place or item studied by historical archaeologists include:

- *Archaeological sites*: below ground evidence including building foundations, occupation deposits, features and artefacts; and above ground evidence, including buildings, works, industrial structures and relics that are intact or ruined.
- *Cultural landscapes*: areas of land that display evidence of human activity or occupation.
- *Maritime sites*: shipwrecks, deposits and structures associated with maritime activities. These sites are usually investigated by maritime archaeologists.

### 1.4 ARCHAEOLOGICAL RESOURCES

Archaeological resources are physical evidence of the past. While age does not necessarily determine whether an item is archaeological, the statutory definition for an archaeological 'relic' in New South Wales is:

"Any deposit, object or material evidence relating to the settlement of the area that comprises New South Wales, not being Aboriginal settlement; and which is fifty or more years old" (*Heritage Act 1977 s.4(1)*)

Archaeological resources are irreplaceable. They have the potential to contribute to our knowledge of early history with information that is unavailable from other sources. It is therefore important that archaeological resources are adequately investigated and recorded.

### 1.5 WHO IS RESPONSIBLE?

Conservation of archaeological resources is the responsibility of the owner of the land which contains them and/or the proponent of any new building or development.

The cost of an archaeological assessment (or excavation) is the financial responsibility of the proponent wishing to disturb potential archaeological resources.

The Heritage Council of NSW is responsible for issuing permits to undertake archaeological excavation and, in some cases, for granting development consent.

Local government is responsible for issuing building or development consent and may require an archaeological assessment for a site.

Archaeologists may be employed to assess a site or undertake an archaeological excavation.

### 1.6 WHAT ARE ARCHAEOLOGICAL ASSESSMENTS?

Archaeological assessments are predictive studies undertaken to:

- evaluate the probable extent, nature and integrity of the archaeological resource at a site;
- determine the significance of that resource;
- define the appropriate management for that resource having regard to significance and statutory requirements.

Archaeological assessments, where required, are an integral part of the statutory planning and development consent process. Timely and efficient completion of an archaeological assessment can speed up the consideration of building and development proposals by the relevant authorities.

Archaeological assessments are also an important component of many Environmental Impact Statements, heritage studies and conservation management plans and help to build up a broad picture of heritage resources and values in an area.





### 1.7 WHEN ARE ARCHAEOLOGICAL ASSESSMENTS ESSENTIAL?

Archaeological assessments must be undertaken when:

- a site is identified as having archaeological potential in an archaeological zoning plan
- the site is known or believed to contain 'relics' and will therefore require the issue of a permit under section 140 of the *Heritage Act (NSW) 1977*
- the consent authority requires an assessment as part of supporting documentation for a development, building or dredging application
- development, building or dredging activity on the site could disturb archaeological features.

### 1.8 WHEN ARE ARCHAEOLOGICAL ASSESSMENTS DESIRABLE?

Archaeological assessments may be undertaken when:

- an understanding of archaeological potential and significance is required as part of a site-specific study, such as a conservation management plan
- information on archaeological resources is required as part of broad scale land use planning activities, such as subdivision plans

- a Statement of Environmental Effects or Environmental Impact Statement is being prepared for a site or area that contains archaeological resources
- a heritage study, heritage register or environmental planning instrument is being prepared for an area and potential archaeological sites are to be included
- a development proponent wishes to create certainty regarding possible archaeological features associated with a particular site.

### 1.9 USING THE GUIDELINES

These guidelines are intended to set out the general process for archaeological assessments and are not intended as prescriptive procedures.

They cover sites ranging from a single industrial relic to a complex landscape and therefore cannot deal in detail with every scenario. Different sites and circumstances will require different levels of investigation, different scales of information and different management solutions.

The process should be determined for each particular project having regard to the site, the issue under consideration and likely management requirements.

## Requirements

### 2.1 THE NEW SOUTH WALES HERITAGE ACT

The Heritage Act (NSW) 1977 affords protection to all relics. It is illegal in New South Wales to disturb or excavate land to discover, expose or move a relic, without a permit issued by the Heritage Council of New South Wales.

Standard procedures for applying for an excavation permit and details about how these applications are evaluated are available from the Heritage Office.

### 2.2 THE NEW SOUTH WALES ENVIRONMENTAL PLANNING AND ASSESSMENT ACT 1979

Under the Environmental Planning and Assessment Act (NSW) 1979 local government authorities and the Department of Urban Affairs and Planning prepare local and regional environmental planning instruments respectively (LEPs and REPs), to give statutory force to planning controls. These instruments may incorporate specific provisions for the conservation and management of archaeological sites including above and below ground sites, cultural landscapes and features within lakes or rivers.

The Department of Urban Affairs and Planning in conjunction with the Heritage Council of NSW has prepared a number of standard provisions for incorporation into new environmental planning instruments. These are outlined in the Department's Circular to Councils C22 and Heritage Planning Practice Note 2.

The clauses relating to development of archaeological sites apply to: known sites,

potential sites (whether scheduled or not) and relics.

Under these clauses development consent can only be granted if the relevant authority has:

- considered an archaeological assessment
- notified the Heritage Council of New South Wales and considered any comments received
- ensured that any necessary excavation permit required under the *Heritage Act (NSW) 1977* has been granted.

Local councils or the State Government may also prepare heritage studies which identify, assess and list items of heritage significance in a particular place or region. Identified heritage items including archaeological sites, may be included in the heritage schedule of a LEP to which specific conservation and management provisions apply.

The Act also includes requirements for the preparation of a Statement of Environmental Effects or an Environmental Impact Statement for certain types of development. The latter are usually broad ranging studies that address a series of specific requirements identified by the Director General of Urban Affairs and Planning. Both Aboriginal and non-Aboriginal archaeological sites are now normally included in specified 'Director's Requirements' for such studies.

### 2.3 THE LOCAL GOVERNMENT ACT (NSW) 1993

Under the *Local Government Act (NSW) 1993* councils may prepare local approvals policies which set out specific matters for consideration in relation to applications for demolition, building or works. Archaeological sites could be considerations under such a policy.

## 2.4 THE COMMONWEALTH HISTORIC SHIPWRECKS ACT

The *Historic Shipwrecks Act (Cwlth) 1976* provides for the conservation and management of shipwrecks and associated objects adjacent to the New South Wales coast. In New South Wales the delegated authority for administration of this Act is the Director of the Heritage Office.

## 2.5 THE AUSTRALIAN HERITAGE COMMISSION ACT (Cwlth) 1975

The Australian Heritage Commission is a Commonwealth statutory authority which compiles and maintains the Register of the National Estate. The Register lists those places which have:

“Aesthetic, historic, scientific or social significance or other special value for future generations as well as for the present community.” (Section 22, 4(1), 3(1))

Section 30 of the Act imposes obligations on Commonwealth Ministers, departments and authorities, to act in a manner which does not adversely affect a registered place unless there is no feasible and prudent alternative. If there is no such alternative, all measures necessary to minimise adverse effects must be taken. The powers of the Commission and Act do not extend to State authorities/owners or private owners unless a Commonwealth body is involved.

## 2.6 BUILDING AND DEVELOPMENT CONSENT

Where known or potential archaeological sites are identified and protected through an environmental planning instrument or local approvals policy, the proponent of a new building or development may be required to provide an archaeological assessment as part of the application for building or development approval. Archaeological assessments must be prepared prior to consent, as supporting documentation for an application.

## 2.7 EXCAVATION PERMITS

An excavation permit is required if relics (individual features or sites) are to be disturbed or excavated. The existence of a ‘relic’ can be established by:

- visibility or a reliable sighting
- historical documentation
- the findings of an archaeological assessment
- discovery during excavation for another purpose.

Excavation permits are issued by the Heritage Council of New South Wales in accordance with sections 57 or 140 of the *Heritage Act 1977*. For sites protected by the *Historic Shipwrecks Act (Cwealth) 1976*, excavation permits are issued by the Director of the Heritage Office.

Excavation permits are usually issued subject to a range of conditions that cover matters such as analysis and reporting requirements, artefact cataloguing, storage and curation.

## Management

### 3.1 INITIAL ASSESSMENTS

An initial assessment (sometimes called a baseline assessment) is a basic overview study or examination undertaken to determine whether a particular site warrants further investigation. Initial assessments may be undertaken for a single site or a larger area, depending upon their purpose.

An initial assessment is not intended to provide comprehensive data but to identify appropriate management actions, including the need for further investigation and assessment.

The level of research or investigation required for an initial assessment will vary but may include:

- a review of available historical information
- some historical research
- the identification of historical themes
- a field survey / site inspection
- preliminary conclusions about archaeological potential
- preliminary significance assessment
- an analysis of client needs and objectives
- management recommendations including recommendations for further work.

### 3.2 ARCHAEOLOGICAL ZONING PLANS

Archaeological zoning plans assist in conserving significant archaeological features by identifying potential archaeological sites.

An archaeological zoning plan may be prepared for an individual site, a precinct, a proposed subdivision or even a larger piece of land such as a local council area. They are appropriate for areas with a high likelihood of

significant archaeological remains being preserved.

Archaeological zoning plans are prepared using methods and processes similar to an initial assessment or archaeological assessment. However, there are important differences.

- they do not include comprehensive site specific research - their intent is to identify whether archaeological features may be present, not necessarily to assess significance.
- they divide the subject area into units of archaeological potential. These units will vary according to the individual circumstances of each zoning plan. An example would be:
  - known archaeological sites or features (high archaeological potential)
  - potential archaeological sites or features medium archaeological potential)
  - archaeologically sterile sites or features (low archaeological potential).
- They are usually presented as a map divided into different units, with text that explains the different archaeological potential of each unit. There may also be an associated inventory of sites that provides more information. In some cases, archaeological zoning plans are linked to an environmental planning instrument, or to specific management procedures for each unit. These procedures are usually referred to as an archaeological management plan.

Archaeological zoning plans can be used in conjunction with an archaeological management plan or an environmental planning instrument to prescribe appropriate management action or future assessment requirements for areas within each unit.

### 3.3 ARCHAEOLOGICAL ASSESSMENTS

The process for undertaking archaeological assessments is outlined in detail in Section 4 and summarised in Figure 2.

An archaeological assessment provides specific recommendations for the management of archaeological resources. The recommendations and their content will vary depending upon the type of study area or site, its significance and the reason for the assessment. In some cases these recommendations may also be made in heritage studies, zoning plans, and Environmental Impact Statements.

In the case of an environmental impact assessment, the recommendations will address the significance of the site, the impact of the proposal and proposed conservation or mitigation measures.

For development or building proposals, the assessment should recommend specific actions, such as:

- no further action
- archaeological monitoring
- test excavation
- archaeological excavation
- in situ conservation.

#### 3.3.1 No Further Action

A recommendation that no further action is necessary will be made if the archaeological assessment indicates that the subject site is either unlikely to contain archaeological features or is likely to contain archaeological features of little or no significance.

Consultation should, nevertheless, occur with the Heritage Office if relics' (as defined by the *Heritage Act, 1977*) are to be disturbed.

#### 3.3.2 Archaeological Monitoring

Archaeological monitoring may be recommended where the predicted significance of features is unknown or low or when a site is likely to have suffered a degree of disturbance. In this case a site may not warrant detailed recording.

Archaeological monitoring invariably involves disturbance and the excavation of relics, and must therefore be carried out in accordance with a research design and an excavation permit issued by the Heritage Council of New South Wales. The research design should indicate the objectives of the monitoring process.

Archaeological monitoring requires the archaeologist to liaise effectively with other workers on site to ensure that relevant features are adequately recorded. In some circumstances monitoring may involve the collection of artefacts. In rare instances monitoring may reveal archaeological features of considerable significance that were not identified or predicted during the assessment. Where this occurs, test excavation, comprehensive archaeological excavation or even in situ conservation may be required.

#### 3.3.3 Test Excavation

Archaeological assessment may conclude that potential archaeological resources on a site are unclear. In such cases test excavation may be recommended to clarify the potential of the site, to establish significance and to determine appropriate further action. In this context, test excavation can become part of a comprehensive archaeological assessment.

Test excavation involves disturbance and excavation of relics and must be carried out in accordance with a research design and an excavation permit issued by the Heritage Council of New South Wales. The research design should explain the basis on which the testing will be undertaken.

Test excavation can use traditional archaeological methods (small hand tools and hand excavation) or large-scale mechanical excavation.

Test excavation is a preliminary phase that is likely to lead to recommendations for: no further action; archaeological monitoring; archaeological excavation; or in situ conservation.

### 3.3.4 Archaeological Excavation

Excavation involves disturbance and excavation of relics and must therefore be carried out in accordance with a research design and an excavation permit issued by the Heritage Council of New South Wales.

Archaeological excavation should reveal the research potential of an archaeological site. It involves a structured program of on-site activities including:

- site preparation
- excavation itself
- sampling (as appropriate)
- artefact recovery
- photography
- drawing
- recording.

Archaeological excavation also involves off-site activities including:

- contextual and other historical research

- documentation of the stratigraphy on the site
- artefact cataloguing
- preparation of graphic evidence
- preparation of a synthesis of all of the material
- reporting
- conservation of excavated material
- lodgement of artefacts and records with a public archive.

Archaeological excavation should only be undertaken under the direction of a suitably qualified and experienced archaeologist. The archaeologist is responsible for determining the methodology and sampling strategies appropriate for a particular site.

### 3.3.5 In Situ Conservation

An archaeological assessment may conclude that the most appropriate management action for the archaeological remains is conservation in situ. This may be because the archaeological features are of such significance or research value that they warrant retention and conservation in the place in which they were found.

The procedures for determining appropriate conservation and management actions for such sites are the same as for any other item of environmental heritage.

This form of report is generally referred to as a conservation management plan. The principles and procedures for the preparation of these plans are set out more fully in The Australia ICOMOS Charter for the Conservation of Places of Cultural Significance (The Burra Charter) 1988; and The Conservation Plan, by J.S. Kerr, third edition, National Trust of Australia, (NSW), 1990.

### 3.4. RECORDING AND REPORTING

The level of recording and reporting appropriate for a particular archaeological site or feature depends on the level of significance assigned to that site or feature.

The following standards for site recording are provided as an indicative guide only.

#### **Monitoring**

- colour print photography (with north arrow and scale)
- sketch plans and elevations (with dimensions noted)
- written report which includes response to original objectives
- artefacts and catalogue (if artefacts are collected).

#### **Test Excavation**

- colour slide photography (with north arrow and scale)
- black and white print photography (with north arrow and scale)
- sketch plans, to scale
- sketch sections and elevations, to scale
- context sheets
- stratigraphic matrix showing relationship of context
- descriptive text
- artefact catalogue
- written report which includes response to the research design.

#### **Archaeological Excavation**

- colour slide photography (with north arrow and scale)
- black and white print photography (with north arrow and scale)
- measured drawings
- accurate plans, sections and elevations
- context sheets
- stratigraphic matrix showing relationship of contexts
- artefact catalogues

- analysis of artefacts
- synthesis of results
- written report, which includes response to the research design.

#### **Conservation in situ**

Broadly summarised this procedure involves:

- assessing significance
- establishing requirements for retention of significance
- identifying other key issues, such as physical condition, requirements of the owner or proponent, statutory controls and other factors
- analysing options
- preparing a conservation policy statement
- formation of implementation recommendations.

Archaeological project reports, together with the primary records (for example, photos, drawings, field notes) and artefacts are the means by which the research potential of archaeological sites is realised. Data is collected from structures, features and deposits (usually in the ground) and transferred to records and collections. The realisation of research potential requires synthesised interpretative analysis of results, supported by these primary records. The quality and coverage of the project report is therefore of paramount importance to any archaeological project.

The format, content and length of the report will be determined by the nature and extent of features excavated or recorded, the amount of data recovered and the extent of relevant associated research undertaken. However, all reports on archaeological excavations including test excavations, should include a formal response to the project research design (see Section 6).

### 3.5 ARTEFACT COLLECTIONS

Excavated artefacts (including samples of structures or deposits), form an integral part of the record of any excavated sites.

Prior to excavation and following recovery of artefacts, advice should be obtained from an experienced materials conservator in relation to:

- cleaning
- short term storage
- special treatment requirements
- long term storage and curation.

Artefacts should be numbered and identified by context at the time of excavation. A catalogue of excavated material is an essential part of the artefact collection.

Arrangements should be made for the long term curation and storage of artefacts and associated material. Responsibility for collection management rests with the owner of the site.

### 3.6 COMMUNITY CONSULTATION

Community interest in Australian history generally and archaeology in particular, is growing. Some sites may have value for particular individuals or groups that extend beyond their economic or utilitarian purposes and their archaeological significance. Sites which have high social value (or “community

esteem”) carry with them an additional obligation for the archaeologist to consult with interested persons and to involve them, where possible, in the decision-making process.

### 3.7 COMMUNITY INVOLVEMENT

It is important in major archaeological projects to provide opportunities for appropriate public participation and access to the final results. In addition to disseminating the final report (through academic or general papers), it is also desirable to provide means for community involvement during the course of work. Such involvement can provide high quality public relations opportunities and may be an effective means of promoting the development proposal and overcoming potential conflict and delays at a later stage.

Initiatives for public and community involvement in archaeology include:

- oral history collection
- volunteer participation
- publication of a brochure! leaflet
- media briefing and events
- site tours during excavations
- exhibitions and open days
- on-site lectures
- invitations to other practitioners to visit.



## The Process

This section outlines a general set of guidelines for archaeological assessments which can be used as a checklist. Not all tasks will be relevant to every site and every project, so the process must be amended to suit the particular circumstances. The assessment process occurs after it has been determined that the site has some archaeological potential.

### 4.1 PROJECT INITIATION

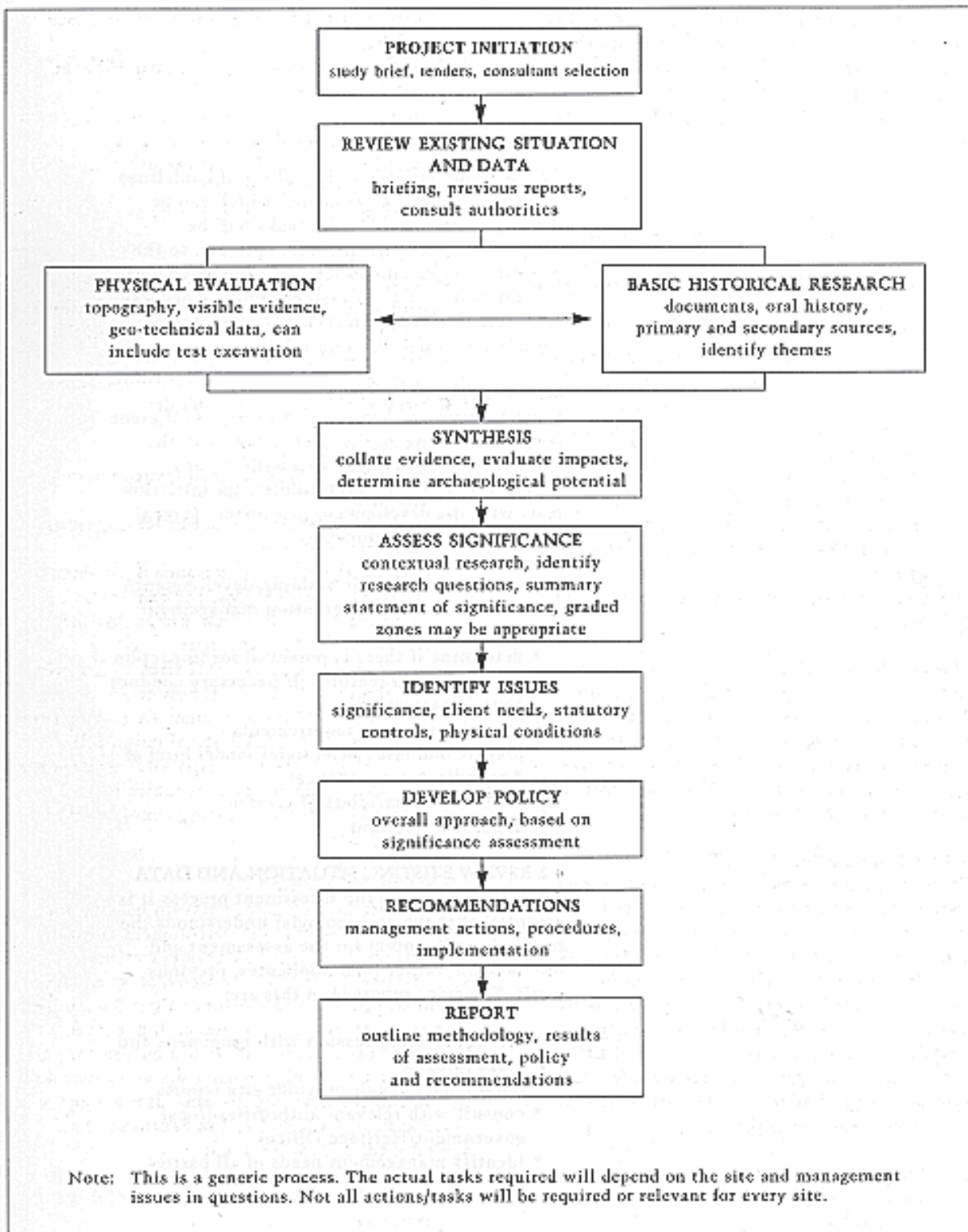
Project initiation is the responsibility of different people depending on the circumstances of the assessment. For example, in a building or development project responsibility for initiation rests with the development proponent. Typical project initiation actions are:

- prepare concept for building/development/heritage study/conservation management plan
- determine if there is potential for impact on archaeological features (if necessary conduct initial assessment)
- identify statutory requirements
- prepare and issue brief (refer model brief at Appendix A for guidance)
- receive tenders/offers of service
- appoint consultant.

### 4.2 REVIEW EXISTING SITUATION AND DATA

As an initial step in the assessment process it is essential that the archaeologist understands the rationale and context for the assessment and builds upon, rather than duplicates, previous work. The steps involved in this are:

- arrange briefing session with proponent and archaeologist
- obtain and consult previous site reports
- consult with relevant authorities (local government/Heritage Office)
- identify management needs of all parties.

**FIGURE 1: ARCHAEOLOGICAL ASSESSMENT PROCESS**

### 4.3 BASIC HISTORICAL RESEARCH

Historical information and other data may be most cost effectively obtained through oral and documentary research which focuses on the specific management purpose of the assessment. Any or all of the following avenues of investigation may be appropriate to a particular site:

- refer to History and Heritage (NSW Heritage Manual)
- review published local histories and/or heritage study
- contact local historical societies/experts
- record oral history, if available
- review secondary sources
- consult primary source repositories such as Mitchell Library, Archives Office of NSW, Royal Australian Historical Society, local history bibliography and other local history collections
- examine primary source material, such as directories, rate books, Lands Title Office records, statutory authority records, historical maps, plans and pictures as appropriate
- compile a set of key references and graphical material.

The outcome of historical research should provide a concise understanding of the site's history and the consequent potential for physical evidence. An understanding of the historical context of the site, which is needed for assessing significance, will require additional contextual research (refer Section 5.4).

### 4.4 PHYSICAL EVALUATION

Physical examination of a site can often reveal much about its archaeological potential, particularly in cases where structures or foundations are still standing, or where bulk excavation has clearly removed all former archaeological features. It is often preferable to examine the site before undertaking

detailed historical research, as the condition of the site may limit the extent of research needed or direct efforts in a particular way. The steps involved in site examination may include:

- note existing topography
- if practical, define or assume pre-contact topography
- document existing structures and ruins (sketch/photograph)
- inspect site for indications of sub-surface features
- evaluate impact of existing structures on earlier features
- obtain geo-technical cores (ideally be present when cores are drilled)
- examine records of other disturbances, for example, service trenches
- consider any data from nearby sites.

### 4.5 SYNTHESIS

The fundamental task of any archaeological assessment is the logical and cohesive synthesis of the sometimes complementary, sometimes conflicting, data provided by research and physical evaluation. The steps involved in preparing a synthesis may include:

- collate evidence
- overlay key plans (historic/contemporary/assumed)
- examine potential impact of later activities on earlier features
- determine the likely presence or absence of archaeological features. For example, establish zones in which archaeological features are likely to occur
- known archaeological sites or features (high archaeological potential)
- potential archaeological sites or features (medium archaeological potential)
- archaeologically sterile sites or features (low archaeological potential).
- graphic presentation (using zones) may be appropriate.

#### 4.6 ASSESS SIGNIFICANCE

Appropriate management decision making for identified or predicted archaeological features depends upon effective assessment of their significance. In the case of archaeological sites the most important measure of significance is technical significance or 'research potential'. However, the assessment should ensure that all aspects of a site's significance are addressed and taken into account. Significance assessment is dealt with in greater detail in Section 5, but includes the following steps:

- use NSW Heritage Manual methodology/framework
- identify relevant research themes (historical and/or archaeological)
- assess potential research contribution of archaeology to themes
- examine context relative to other sites
- identify potential research contribution of this site (in the light of comprehensive material)
- evaluate potential research questions
- present a summary statement of significance (between 50—200 words)
- consider graphic presentation of graded zones of significance (depending on site and issues).

#### 4.7 IDENTIFY ISSUES

Before proceeding to develop a policy for the site or specific management recommendations, it is important to specify the issues that have been taken into consideration. This process follows the normal conservation planning methodology outlined in the *Burra Charter* and Kerr's *The Conservation Plan*:

- identify any obligations arising from significance (research potential or other significance as appropriate)
- specify the requirements of client/proponent/owner (including impact of proposal)
- identify any statutory controls and procedures

- identify any other issues for example, physical condition.

#### 4.8 POLICY DEVELOPMENT

The policy statement should take into account requirements for retaining significance, realising the research potential of the site and any other issues. It should set out the philosophical basis for management of the site's archaeological resources. The process should include identifying and analysing options, determining the approach to be adopted and presenting a policy statement.

#### 4.9 RECOMMENDATIONS

Recommendations should clearly and succinctly set out the steps that must be taken by all relevant parties to implement the conservation policy. They should also reflect the values established in the statement of significance and should include:

- statutory requirements
- further research required
- appropriate management actions for the site or individual parts of the site.

#### 4.10 TYPES OF ARCHAEOLOGICAL ASSESSMENT

Archaeological assessments are undertaken for different purposes and for different types of sites or places. All assessments will have certain principles in common, but the process and the steps included in an assessment must be tailored to suit the particular circumstances. Most assessments will result in some sort of report (see section 4.11 for minimum requirements).

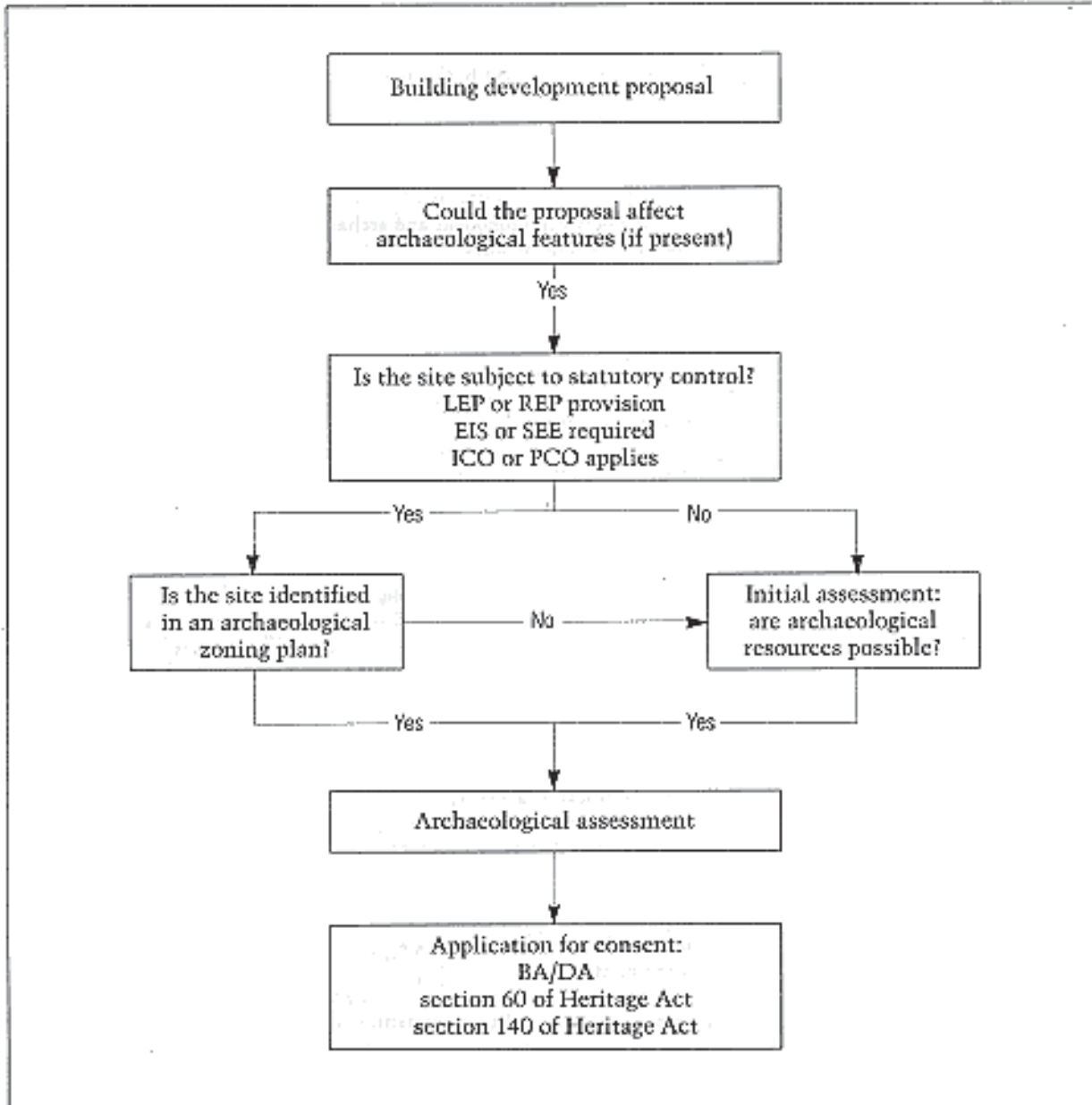
Set out in the following pages are some examples of different archaeological assessments and the tasks that could be undertaken for each. As with the overall process outlined above, these check-lists are indicative, not prescriptive. In each case it is presumed that a decision has already been made to undertake an archaeological assessment

**TABLE I: DEVELOPMENT AND BUILDING PROPOSALS**

(Use for building applications, development applications, other works such as excavation, dredging or land clearance, feasibility studies for individual sites.)

Project initiation	<ul style="list-style-type: none"> <li>prepare concept for proposed building or development</li> <li>identify if there is potential impact (if no impact — no further action)</li> <li>appoint consultant, (brief/tender. etc.)</li> </ul>
Review existing situation and data	<ul style="list-style-type: none"> <li>briefing between proponent and archaeologist</li> <li>consult previous reports</li> <li>consult authorities</li> <li>identify management needs.</li> </ul>
Basic historical research	<ul style="list-style-type: none"> <li>review secondary sources</li> <li>primary research</li> <li>compile key graphic evidence</li> <li>outline site history.</li> </ul>
Physical evaluation	<ul style="list-style-type: none"> <li>may occur before historical research</li> <li>document existing structures and disturbances</li> <li>inspect site for indication of sub-surface features</li> <li>evaluate impact of existing structures on earlier features</li> <li>examine geo-technical data</li> <li>examine information from nearby sites.</li> </ul>
Synthesis	<ul style="list-style-type: none"> <li>collate evidence</li> <li>determine likelihood for archaeological features or sites to occur.</li> </ul>
Assess significance	<ul style="list-style-type: none"> <li>use NSW Heritage Manual criteria</li> <li>identify themes</li> <li>identify research questions</li> <li>state significance</li> <li>identify graded zones, if appropriate.</li> </ul>
Identify issues	<ul style="list-style-type: none"> <li>obligations arising from significance</li> <li>requirements of client - especially potential impact of proposal</li> <li>statutory context</li> <li>other matters.</li> </ul>
Policy development	<ul style="list-style-type: none"> <li>prepare succinct policy statement.</li> </ul>
Recommendations	<ul style="list-style-type: none"> <li>indicate appropriate management actions</li> <li>identify implementation strategy.</li> </ul>
Product	<ul style="list-style-type: none"> <li>report addressing all of the above points.</li> </ul>

**FIGURE 2: THE ARCHAEOLOGICAL ASSESSMENT PROCESS AND BUILDING AND DEVELOPMENT PROPOSALS**



## TABLE 2: PLANNING STUDIES, HERITAGE STUDIES AND REGISTERS

(Use for local Council heritage studies, LEP/REP preparation, thematic studies, inventories of heritage items, section 170 registers.)

Refer to *Heritage Planning Notes 1 and 2* and *NSW Government and Heritage* (both included in the NSW Heritage Manual) in regard to these assessments.

Project initiation	include requirement for archaeological assessment in project brief appoint consultant, (brief/tender etc).
Review existing situation and data	collate and review previous reports.
Basic historical research	liaise with study historian (where engaged) identify major themes collate key graphic evidence identify potential archaeological sites.
Physical evaluation	limited (overall) field survey inspect potential archaeological sites.
Synthesis	collate evidence identify areas and/or sites of archaeological potential in some cases prepare archaeological zoning plan.
Assess significance	use NSW Heritage Manual criteria assess overall significance of archaeological resources in study area if appropriate, assess significance of archaeological sites.
Issues	obligations arising from significance existing statutory context purpose of study intended outcomes.
Policy	prepare succinct policy statement.
Recommendations	identify appropriate statutory provisions possibly prepare archaeological management plan or further detailed assessment to identify provisions that apply to units in archaeological zoning plan.
Product	The products arising from these type of studies include: archaeological zoning plans, contributions to broader heritage studies, lists with brief descriptions of items for a register, inventory or planning instrument.

**TABLE 3: ENVIRONMENTAL IMPACT ASSESSMENT**

(Use for Environmental Impact Statement, Statement of Environmental Effects, Statement of Heritage Impact.)

Refer to *Statements of Heritage Impact* in the NSW Heritage Manual for further assistance

Project initiation	Director's requirements (identify archaeological/heritage resources as an issue) appoint consultant (brief/tender etc).
Review existing situation and data	briefing between archaeologists and project team consult previous reports consult authorities identify issues and needs.
Basic historical research	review secondary sources primary research identify historic themes compile key graphic material outline history identify potential archaeological sites.
Physical evaluation	area/site survey/inspection inspect potential archaeological sites examine other evidence (eg geo-technical data).
Synthesis	collate evidence identify areas and/or sites of archaeological potential if appropriate, prepare archaeological zoning plan.
Assess significance:	use NSW Heritage Manual criteria statement of significance for overall area and/or individual sites graded zones of significance, if appropriate.
Identify issues	obligations arising from significance statutory context impact of proposal - identify and consider design alternatives identify possible mitigating actions.
Policy development	conclusions regarding significance and likely impact desirable design changes succinct policy statement.
Recommendations	indicate appropriate management actions identify special mitigating measures or design changes required if appropriate, prepare archaeological management plan identify implementation strategy.
Product	report to be included in larger environmental impact assessments.



**TABLE 4: CONSERVATION PROJECTS**

(Use for conservation management plans, plans of management, physical conservation works, other works projects requiring specific archaeological input.)

Project initiation	identify need for archaeological assessment appoint consultant (brief/tender etc).
Review existing situation and data	briefing between project director and archaeologist consult previous reports consult with authorities identify objectives and outcomes.
Basic historical research	liaise with project historian (where engaged) review secondary sources compile key graphics outline history.
Physical evaluation	liaise as appropriate with other project officers such as architects and/ or planners where engaged site inspection and documentation including built environment examine other evidence (eg geo-technical data) examine information from nearby sites.
Synthesis	collate evidence (overlays can be useful) determine archaeological potential.
Assess significance	use NSW Heritage Manual criteria identify themes identify research questions identify potential contribution to conservation project itself prepare statement of significance identify graded zones of significance, if appropriate.
Identify issues	obligations arising from significance requirements of project - especially information needs statutory context other matters.
Policy development	prepare succinct policy statement for the archaeological resource link to overall policy for place.
Recommendations	indicate appropriate management actions identify implementation strategy.
Product	report.

**TABLE 5: RESEARCH INVESTIGATIONS**

(Use for academic research projects, local community initiatives, other projects not included above.)

Project initiation	select areas or sites to be studied.
Review existing situation and data	consult previous reports consult with authorities.
Basic historical research	refer to <i>History and Heritage</i> , NSW Heritage Manual review published local histories and/or heritage study contact local historical societies/experts record oral history, if available review secondary sources primary research collate the graphic evidence.
Physical evaluation	note existing topography document existing structures and disturbances inspect site for indication of sub-surface features evaluate impact of existing structures on earlier features examine records of other disturbances obtain geo-technical cores, if available consider data from nearby sites, if available.
Synthesis	collate evidence overlay key plans examine potential impact of later activities on earlier features determine archaeological potential.
Assess significance	use NSW Heritage Manual criteria identify themes identify research questions assess site-specific values prepare statement of significance identify graded zones of significance.
Identify Issues	obligations arising from significance statutory context resources available objectives of research project.
Policy development	prepare succinct policy statement.
Recommendations	indicate appropriate management actions if appropriate, prepare archaeological management plan identify implementation strategy.
Product	report including all of the information above.

#### **4.11 REPORTS: MINIMUM REQUIREMENTS**

Archaeological assessment reports should contain sufficient data to stand alone; support documents should be unnecessary. They should demonstrate the process and results, providing information in a format that is useful as reference material.

The content of an archaeological assessment report will depend on the site and the purpose of the study. The following checklist provides a guide to likely minimum information requirements. For smaller assessments or simple inventories less information may be appropriate.

- site or study area marked on a map
- relevant statutory controls/zoningsa
- author identification
- background to the assessment, including reference to previous reports
- outline of methodology employed
- sources consulted
- an historical outline/summary
- analysis of physical evidence (possibly illustrated)
- synthesis (possibly in graphic overlay form)
- likelihood of archaeological remains occurring (known, potential, no archaeological features), may be presented graphically
- identification of research themes and questions (and how these were derived)
- assessment of significance (statement of significance and/or graded zones)
- identification of issues
- policy statement
- recommendations
- acknowledgments
- bibliography.

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## Significance

### 5.1 WHAT IS SIGNIFICANCE?

'Heritage significance' is a term used to describe a heritage item's value or importance. Heritage significance is contained in the fabric of an item, in its setting and relationship to other items, and in the response that the item evokes in those who value it.

Archaeological deposits and features provide evidence of the history and settlement of New South Wales. Archaeological investigation can reveal much about technologies, economic and social conditions, taste and style. The features and artefacts extracted and recorded can provide primary evidence about the way of life of previous generations. It is through the potential for revealing information unavailable from other sources that archaeological significance is derived.

### 5.2 EVALUATION CRITERIA

The Heritage Office and the Department of Urban Affairs and Planning have prepared a detailed set of criteria for assessing the State's environmental heritage (see *Heritage Assessments*, NSW Heritage Manual).

The criteria are divided into two categories: nature of significance; and comparative significance.

#### 5.2.1. Nature of Significance Criteria

*Criterion 1: Historic significance (evolution and association).* An item having this value is significant because of the importance of an association with, or position in the evolving pattern of our cultural history.

*Criterion 2: Aesthetic significance (scenic qualities/creative accomplishment).* An item having this value is significant because it demonstrates positive visual or sensory appeal,

landmark qualities and/or creative or technical excellence.

*Criterion 3: Technical/research significance (archaeological, educational, research potential and scientific values).* Items having this value are significant because of their contribution or potential contribution to an understanding of our cultural history or environment.

*Criterion 4: Social significance (contemporary community esteem).* Items having this value are significant through their social, spiritual or cultural association with a recognisable community.

### 5.2.2. Comparative Significance Criteria

*Criterion A: Representativeness.* Items having this value are significant because they are fine representative examples of an important class of significant items or environments.

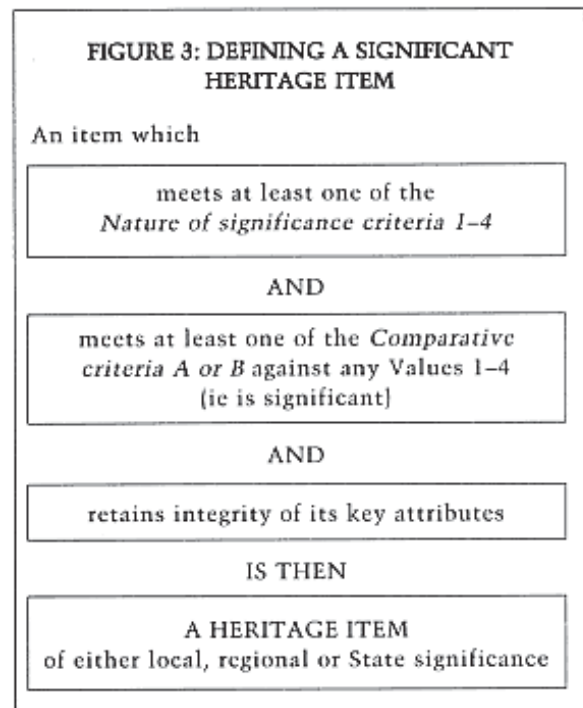
*Criterion B: Rarity.* An item having this value is significant because it represents a rare, endangered or unusual aspect of our history or cultural environment.

### 5.2.3. What is meant by local, regional and State heritage significance?

These terms relate to the geographical and social context of an item's significance. An item of local significance will be of historical, social, aesthetic or technical/research significance in a local geographical context. Because particular communities benefit from the conservation of heritage items, the terms also indicate appropriate levels of management.

Local councils play the pivotal role in the management of all heritage items because they can most directly liaise with both owners or managers and the interested community. Items which are significant in regional or State contexts require additional consultation and concurrence at regional and State levels. Where appropriate management of any heritage item is not occurring or where State planning policies are being implemented, it may be appropriate to manage items at a State level, at least in the short term.

*Heritage Assessments* (NSW Heritage Manual) provides more detailed information on assessing the significance of heritage items.



### 5.3 RESEARCH POTENTIAL

Research potential (Nature of significance criterion 3) is the most relevant criterion for assessing archaeological sites. However, assessing research potential for archaeological sites can be difficult as the nature or extent of features is sometimes unknown, therefore judgements must be formed on the basis of expected or potential attributes. One benefit of a detailed archaeological assessment is that judgements can be better informed by more rigorous historical or other research.

The key test that must be applied in understanding the scientific research value of a known or potential archaeological site is the question of whether further studies of the physical evidence may reasonably be expected to help answer research questions.

### 5.4 CONTEXT

In relation to research questions, an understanding of the broader context of an individual site is essential, as it is impossible to address the research potential of a single site in isolation.

Consultation with professional colleagues both within and outside the discipline of archaeology is required. In addition to addressing current archaeological research questions, the input from historians on matters that cannot be addressed by basic documentary research, can be invaluable.

The historic themes listed in *History and Heritage*, NSW Heritage Manual, or themes identified in local heritage studies, can assist in identifying particular research areas. However, within these areas it is also important to focus on particular questions and subjects, so that the potential archaeological research value of individual sites or features can be specifically identified.

### 5.5 DOES THE SITE HAVE RESEARCH POTENTIAL?

Once the archaeological potential of a site is known, and the research themes and questions to which it may contribute evidence have been established, it is possible to apply the following inclusion guidelines to assess its research potential (Bickford and Sullivan, 1984):

- can the site contribute knowledge that no other resource can?
- can the site contribute knowledge that no other site can?
- is this knowledge relevant:
  - to general questions about human history
  - to other substantive questions relating to Australian history
  - to other major research questions?

If the answer to these questions is yes then the subject site does have archaeological research potential.

### 5.6 FORMAT FOR THE ASSESSMENT OF SIGNIFICANCE

The assessment of significance is usually presented as several components:

- identification of relevant historic themes
- identification of specific research questions discussion of research potential and how and why the archaeological resources of the subject can realise this potential
- a short 50—200 word summary statement that answers the question “what is the research potential of this site?”
- if appropriate, a plan of the site, showing graded zones of significance (especially useful for large scale sites) such as
  - no significance
  - low significance
  - moderate significance
  - considerable significance
  - outstanding significance.

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## Research Designs

### **6.1 WHAT IS A RESEARCH DESIGN?**

A research design is an important prerequisite for an archaeological investigation. In NSW all applications for an excavation permit must be accompanied by a research design. This ensures that archaeological investigations are problem-oriented and focused on research needs.

A research design is a set of research questions and a methodology to address them, developed specifically for the subject site within a wider research framework. It is a tool which ensures that when archaeological resources are destroyed by excavation, their information content is preserved and can contribute to current and relevant knowledge about the past.

### **6.2 WHEN IS A RESEARCH DESIGN PREPARED?**

A research design is only prepared if monitoring, test excavation or excavation is recommended. It is prepared after the completion of an archaeological assessment as part of an application for an excavation permit.

Much of the content of a research design will have already been determined by the process of identifying research themes and questions during the assessment of significance. The research design develops this work into a more detailed document.

### **6.3 HOW IS A RESEARCH DESIGN PRESENTED?**

A research design for archaeological investigations (monitoring/test excavation/comprehensive archaeological excavation) should include:

- Identification of research themes: This requires substantial knowledge on the part of the assessor. Consultation with professional colleagues and a multi-disciplinary approach are desirable.

- Identification of major research questions: These questions should relate to research themes, but should be selected and framed in a way that indicates how data from the site can contribute meaningful information. The questions may be presented in a hierarchical format, with issues of historical process and pattern being further divided into quantifiable questions about excavated structures or artefacts.

For archaeological work associated with other conservation projects, the questions may be very specific and directed at obtaining information that will assist with the overall project.

- *On-site excavation methodology:* The philosophical approach to on-site work and the processes and procedures proposed for recovery and recording of archaeological data should be stated and related to the research questions. It may be appropriate to include detailed schedules of personnel, equipment and other similar factors here depending upon the type of excavation proposed.
- *Post-excavation:* **The** final part of the research design should explain the archaeologist's intentions regarding postexcavation documentation and analysis. Techniques to be used in the post excavation phase should also relate directly to the research questions.



## Appendices

### APPENDIX A. MODEL BRIEF FOR ARCHAEOLOGICAL ASSESSMENTS

This model brief is provided as a guideline only. It is not intended to be prescriptive. It is comprehensive and detailed so as to cover all types and sizes of assessment. The brief should be adapted to suit the particular site, project and client requirements.

#### I. INTRODUCTION

##### I.1 Preamble

The preamble should explain the background to the proposed archaeological assessment; including an outline of any building or development proposed and the manner in which the results of the assessment will be used for management of the archaeological resource.

##### I.2 The Client

The client is *[Insert name and address of client]*.

The contact officer for this project is *[Insert name and contact number for contact officer]*.

##### I.3 Objectives

The objectives of this assessment are to:  
 evaluate the probable extent, nature and integrity of the archaeological resource at *[insert name of site/area]*  
 determine the significance of that resource  
 define the appropriate management for that resource having regard to significance and statutory requirements.

#### 2. BACKGROUND TO THE STUDY AREA

##### 2.1 Location

*[Describe location - include explicit site plan.]*

##### 2.2 History

*[Outline (circa 50 word) known history, if available.]*

2.3 Previous reports Include here a schedule of reports previously completed on the study area, or other relevant documentation.

#### 3. TASKS

##### 3.1 Approach and methodology

This assessment should be undertaken following the procedures and approach outlined in Archaeological Assessments (Heritage Office & Department of Urban Affairs and Planning 1996).

##### 3.2 Reporting

- attendance at briefing meeting with the project contact officer
- consultation with *[Insert Council Name]* Council and Heritage Office if required.

##### 3.3 Historical research

- primary research, as required
- review of relevant published historical references
- collation and review of previous studies and data
- consultation with local historical society or similar sources if required
- recording of oral history as required
- identify relevant historical themes.

### 3.4 Site evaluation

- evaluation of existing physical evidence, including site topography
- inspection of geo-technical core data, [if available]
- examination of records from associated sites, [list - if available and known].

### 3.5 Synthesis and archaeological potential

- bring together the historical research and the physical evaluation of the site
- determine archaeological potential.

### 3.6 Assess significance

- following NSW Heritage Manual methodology
- including summary statement of significance and graded zones of significance.

### 3.7 Identify issues

- obligations arising from significance
- requirements of [Insert Client Name]
- statutory controls and procedures
- other issues as appropriate.

### 3.8 Policy development

- overall policy statement
- specific conclusions.

### 3.9 Recommendations

Clear and precise procedural recommendations for the future management of the archaeological resource.

### 3.10 Reporting

The consultant will provide a comprehensive report outlining the results of the above tasks and including:

- site identification
- author identification (individual personnel involved)
- background to the assessment
- outline of methodology employed
- an historical outline
- schedules of key historical data (background where relevant)
- analysis of physical evidence
- synthesis
- analysis of archaeological potential
- identification of research themes and questions where relevant
- assessment of significance
- identification of issues
- policy statement
- recommendations
- bibliography

## 4. ASSISTANCE AVAILABLE

### 4.1 Documents and reports

[Insert schedule, including location and availability.]

### 4.2 Site access

[Provide a clear indication of site access including special arrangements or contact personnel.]

### 4.3 Accommodation

[Indicate whether on-site accommodation, (ie office/work-space) is available.]

### 4.4 Other

[For example, photocopying, photography, field assistance]

## 5. TIMETABLE

*[Actual dates and milestones may be inserted as appropriate]*

Week one	Submission of project work program
Week xx	Completion of research and site evaluation
Week xx	Submission of draft report
Week xx	Submission of final report.

The offer of services should indicate an earliest available starting date, required notice of commencement or any other relevant constraints on availability.

## 6. PROJECT MANAGEMENT

### 6.1 Contact personnel

*[Include here names and addresses of all relevant personnel, including the contact officer.]*

### 6.2 Liaison meetings

*The consultant will be required to attend up to [xxx] liaison meetings for a maximum of one hour duration during the course of the project.*

### 6.3 Copyright and confidentiality

*[Insert here any specific requirements regarding copyright and confidentiality etc.]*

## 7 FEES

*[Fees may be handled in two ways; either: nomination of a fixed fee, based on an indicative estimate or limiting amount or an open tender/ call for services.]*

## 8. OFFER OF SERVICES

### 8.1 Deadline for submission

*[Nominate both time and date.]*

### 8.2 Address

*[Insert address for submission of proposal. Indicate whether tenders forwarded by facsimile will be accepted.]*

### 8.3 Format

Offers of service submitted in accordance with this brief should generally follow the scope of works provided at Section 3. In addition, tenderers should provide specific details regarding:

- the consultant or organisation/ company
- relevant previous experience
- personnel to be employed, including qualifications and experience.

### 8.4 Evaluation criteria

Offers of service will be evaluated in relation to the following criteria:

- qualifications and skills of the proposed study team
- previous relevant experience
- response to the nominated scope of works
- fee structure
- ability to meet timing requirements.

### 8.5 Notification

*Successful and unsuccessful tenderers may expect to be notified of the outcome of the offer of services on or before [Insert date].*

### 8.6 Further inquiries

*Further information may be obtained from [Insert name and contact number].*

## APPENDIX B. GLOSSARY

**Archaeological Assessment** — A study undertaken to establish the archaeological significance (research potential) of a particular site and to identify appropriate management actions. (refer to Sections 1 and 4 of these guidelines).

**Archaeological Feature** — Any physical evidence of past human activity. Archaeological features include buildings, works, relics, structures, foundations, deposits, cultural landscapes and

**Archaeological Management Plan** — A set of management provisions that apply to particular archaeological units or zones. These units or zones are normally indicated graphically in an archaeological zoning plan. The provisions of an archaeological management plan may be included within a heritage study or environmental planning instrument.

**Archaeological Potential** — The degree of physical evidence present on an archaeological site, usually assessed on the basis of physical evaluation and historical research. Common units for describing archaeological potential are:

known archaeological features/sites (high archaeological potential);

potential archaeological features/sites (medium archaeological potential);

no archaeological features/sites (low archaeological potential).

**Archaeological Sensitivity** — A term used by some archaeologists to refer to archaeological potential.

**Archaeological Significance** — A category of significance referring to scientific value or 'research potential', that is, the ability to yield information through investigation,

**Archaeological Site** — A place that contains evidence of past human activity. Below ground archaeological sites include building foundations, occupation deposits,

features and artefacts. Above ground archaeological sites include buildings, works, industrial structures and relics that are intact or ruined.

**Archaeological Zoning Plan** — A graphic plan of a place, which indicates the relative archaeological potential of different areas or zones. Archaeological zoning plans are prepared by undertaking broad-scale archaeological assessment of a large area. They may be incorporated into the provisions of a heritage study or environmental planning instrument. On archaeological excavations, the term 'features' is used to refer to archaeological remains. Archaeological Management Plan — refer section 3.2 of these guidelines.

**Archaeology** — The study of the human past using material evidence.

**Artefacts** — An object produced by human activity. In historical archaeology the term usually refers to small objects contained within occupation deposits. The term may encompass food or plant remains and ecological features (for example, pollen).

**Australian Association of Consulting Archaeologists Incorporated (AACCA)** — Professional association of archaeologists.

**Australian Heritage Commission (AHC)** — An independent statutory authority which is responsible to the Commonwealth Minister for the Environment. It administers the Australian Heritage Commission Act 1975 and is responsible for the Register of the National Estate.

**Baseline Assessment** — See Initial Assessment.

**Building Application (BA)** — An application under the Local Government Act 1993 for approval to construct or alter a building.

**Burra Charter and Guidelines** — Charter adopted by Australian ICOMOS which established the nationally accepted standard for the conservation of places of heritage significance.

**Conservation** — All the processes of looking after a place so as to retain its heritage significance. Includes maintenance and may, according to circumstances, include preservation, restoration, reconstruction and adaptation and will be commonly a combination of more than one of these.

**Conservation Instrument/Conservation Order** —

A permanent or interim conservation order or a s. 130 or 136 Order under the *NSW Heritage Act*,

**Conservation Management Plan** — A document establishing the significance of a heritage item or a heritage conservation area and policies to retain that significance. It can include guidelines for additional development or maintenance associated with the heritage item or conservation area.

**Contact Sites** — Sites which are associated with interaction between Aboriginal and non-Aboriginal people.

**Cultural Landscapes** — Areas of land that display evidence of human activity or occupation. They include rural lands such as farms, villages and mining sites, as well as country towns, suburbs or urban centres.

**Cultural Significance** — A term frequently used to encompass all aspects of significance, particularly in guidelines documents such as the *Burra Charter*. Also one of the categories of significance

**Demolition** — The damaging, defacing, destroying or dismantling of a heritage item or a component of a heritage conservation area, in whole or in part. This definition will vary according to the context and document in which it is used.

**Demolition Application** — Application to a local government authority to demolish a building or other item.

**Determining/Consent Authority** — The body with the authority to approve or refuse development applications usually the local

council, but in some cases a State government agency.

**Development Application (DA)** — An application under the EPA Act for consent or permission to carry out development.

**Development Control Plan (DCP)** — A plan prepared by a local council to provide more detailed development controls and guidelines to accompany a Local Environmental Plan. Often used for heritage conservation areas.

**Environmental Planning and Assessment Act 1979 (EPA Act)** — The Act under which planning in New South Wales takes place, and under which the majority of heritage provisions are included. Environmental Planning Instrument — Another term for statutory planning controls made by a council or the State Government under the EP&A Act. These can include Local Environmental Plans, Regional Environmental Plans and State Environmental Planning Policies.

**Excavation Permits** — A permit to disturb or excavate a relic issued by the Heritage Council of New South Wales under section 60 or section 140 of the *NSW Heritage Act 1977*.

**Feature** — See Archaeological Feature.

**Heritage Act** — *The NSW Heritage Act (1977)*.

**Heritage Council of NSW** — listed in the *NSW Heritage Act 1977*. The NSW Government's heritage advisory body established under the *Heritage Act, 1977*. It provides advice to the Minister for Urban Affairs and Planning and others on heritage issues. It is also the determining authority for s.60 applications.

**Heritage Significance** — A term used to encompass all aspects of significance (see Cultural Significance). Defined in the *Heritage Act* as aesthetic, historic, scientific, cultural, social, archaeological, natural or aesthetic value for past, present or future generations.

**Heritage Value** — Term often used interchangeably with “heritage significance”.

**Heritage Study** — A conservation study of an area, often commissioned by the local council for its area. The study usually includes a historical context report, an inventory of heritage items within the area and recommendations for conserving their significance.

**Historical Archaeology** — The study of the human past using both material evidence and documentary sources. In Australia “historical archaeology” excludes Aboriginal archaeology prior to non-indigenous occupation but may include ‘contact’ sites.

**Historic Houses Trust** — The State Government instrumentality responsible for maintaining and managing a range of publicly owned historic houses and places.

**Historic Significance** — One of the categories of significance listed in the Heritage Act. Included in evolution and association significance in the State Heritage Manual criteria,

**Historic Shipwrecks Act (Commonwealth) 1976** — The national statutory framework for the identification and conservation of shipwrecks in coastal waters. In NSW the Act is administered by the Director, Heritage Office.

**Initial Assessment** — A basic overview study, sometimes referred to as a “baseline assessment”, undertaken to determine whether a particular site or group of sites warrants further investigation. Initial assessments are used to determine the need for a full assessment for a specific site and to identify sites that should be subject to environmental planning instrument or archaeological management plan provisions. (refer section 3.2 of these guidelines).

**International Council on Monuments and Sites (ICOMOS)** — An international

organisation linked to UNESCO that brings together people concerned with the conservation and study of places of cultural significance. There are also national committees in sixty countries including Australia (see Australia ICOMOS).

**Interim Conservation Order (ICO)** — An order made under section 26 of the Heritage Act to control demolition and development. The order lasts for one year or until it is revoked or a permanent conservation order is made.

**Item** — A building, structure, work, relic, place or group. The generic term used to describe objects under consideration for heritage significance.

**Local Environmental Plan (LEP)** — A plan prepared by a local council under the EP&A Act and made by the Minister following public exhibition. Regulates the carrying out of development in a particular local government area and controls the use and development of land and the conditions under which they can take place. An LEP may identify items via a schedule, and include provisions to allow for their protection and appropriate conservation.

**Maritime Sites** — Shipwrecks, deposits and structures associated with maritime activity.

**National Trust of Australia (NSW)** — A community organisation which maintains a register of heritage items and provides advice on heritage issues. The Trust also owns and manages heritage properties throughout the state.

**Occupation Deposits** — Accumulations of cultural material that result from human activity. They are usually (but not always) associated with domestic sites; (for example, under flow or yard deposits).

**Place** — A term often used interchangeably with “item” in describing matters under heritage assessment consideration. (Does not

include movable items). The term is used particularly in relation to items on the Register of the National Estate.

**Permanent Conservation Order (PCO)** — An order made under Section 44 of the *Heritage Act* to protect a significant heritage item in NSW. This order remains in place indefinitely, unless revoked.

**Post-contact** — A term used to refer to study of archaeological sites dating after European occupation in 1788.

**Post-Excavation** — The stage of an archaeological investigation that occurs after completion of on-site excavation. The post-excavation phase may include further research, artefact cataloguing and analysis, physical conservation, synthesis of findings, presentation and reporting.

**Potential** — see Archaeological Potential and Research Potential.

**Potential Archaeological Site** — A place that may contain evidence of past human activity; (see Archaeological Site).

**Professional Historians Association (PHA)** — Professional association of historians.

**Proponent** — The person or organisation who proposes building a development activity at a site. (Often, but not always the owner of the site).

**Register of the National Estate** — List of natural, Aboriginal and European heritage items of national significance. The Register is kept by the Australian Heritage Commission and includes both interim and permanent listings.

**Relic** — Any deposit, object or material evidence relating to non Aboriginal settlement which is more than 50 years old. The *NSW National Parks and Wildlife Act, 1974* defines a 'relic' as

Any deposit, object or material evidence (not being a handicraft made for sale) relating to indigenous and non-European habitation of the area that comprises NSW, being habitation both prior to and concurrent with the occupation of that area by persons of European extraction, and includes Aboriginal remains.

**Regional Environmental Plan (REP)** — A plan prepared by the Department of Urban Affairs and Planning under the EP&A Act and made by the Minister following public exhibition. Similar to a LEP, but usually made over a wider area. Can identify heritage items and include controls for their protection and development, such as the Hunter heritage REP.

**Regional Framework** — A co-ordinated approach to archaeological research and investigation developed for a large area or precinct incorporating research questions and themes that apply to a number of sites.

**Research Design** A set of questions which can be investigated using archaeological evidence and a methodology for addressing them. A research design is intended to ensure that archaeological investigations focus on genuine research needs. It is an important tool which ensures that when archaeological resources are destroyed by excavation, their information content can be preserved and can contribute to current and relevant knowledge (refer section 6 of these guidelines),

**Research Potential** — The ability of a site or feature to yield information through archaeological investigation. The significance of archaeological sites is assessed according to their ability to contribute information to substantive research questions. See Scientific Significance.

**Royal Australian Institute of Architects (RAIA)** — Professional organisation of architects.

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**Royal Australian Planning Institute (RAPI)** — Professional organisation of planners.

**Scientific Significance** — A term used to summarise the ‘research potential’ criteria in the NSW Heritage Manual criteria. Items meeting this criterion are significant because of their potential to contribute to an understanding of the history of New South Wales.

**Section 60 Application** — Application made under section 60 of the *Heritage Act* to make changes to an item covered by an ICO or PCO.

**Section 117 Direction** — Direction issued under section 117 of EP&A Act which requires local councils to address heritage issues when preparing LEPs.

**Section 130 Order** — An order made under section 130 of the *Heritage Act* to control demolition.  
This order normally lasts for one year unless revoked.

**Section 136 Order** — An emergency order made under section 136 of the *Heritage Act* to halt or prevent demolition. This order lasts for 40 days unless revoked.

**Section 140 Application** — Application made under section 140 of the *Heritage Act* for a permit to excavate relics (see Excavation Permit).

**Section 170 Register** — Section 170 of the *Heritage Act* requires each New South Wales government agency to prepare and maintain a register of heritage items in their ownership or under their control.

**State Environmental Planning Policy (SEPP)** — A statutory instrument which addresses matters of State significance, or which deals with issues where the statewide application of policy is necessary. SEPPs are prepared by the Director—General of Urban Affairs and Planning and are made by the Minister, usually following consultation with local government, the community and public authorities.

**Technical Significance** — Items valued for their technical significance can come under either aesthetic significance (creative accomplishment) and/or technical/research significance (contribution or potential contribution to an understanding of our cultural history or environment).



## APPENDIX C. FURTHER INFORMATION

### Organisations

Australian Association of Consulting  
Archaeologist Incorporated  
P0 Box 214  
Holme Building  
UNIVERSITY OF SYDNEY NSW 2006

Australian Heritage Commission  
39 Brisbane Avenue  
BARTON ACT 2600  
Ph: (06) 671 2111  
Fax: (06) 273 2395

Australasian Society for Historical  
Archaeology  
P0 Box 220  
Holme Building  
UNIVERSITY OF SYDNEY NSW 2006

Heritage Council/Heritage Office  
Level 17  
Governor Macquarie Tower  
1 Farrer Place  
SYDNEY NSW 2000  
Ph: (02) 9391 2255

Local Government  
Contact the heritage adviser (if there is one)  
or planning department of your local council,

Museums Australia (NSW)  
43-51 Cowper Wharf Road  
Woolloomooloo NSW 2011  
Ph: (02) 9358 1760 Fax: (02) 9358 1852

National Trust of Australia (NSW)  
Observatory Hill  
SYDNEY NSW 2000  
Ph: (02) 9258 0123 Fax: (02) 9251 1110

NSW National Parks and Wildlife Service  
43 Bridge Street  
HURSTVILLE NSW 2220  
Ph: (02) 9585 6444

Professional Historians Association  
GPO Box 2437

SYDNEY NSW 2000  
Ph: (02) 9660 3580

Royal Australian Historical Society  
133 Macquarie Street  
SYDNEY NSW 2000  
Ph: (02) 9247 8001

Royal Australian Institute of Architects  
(NSW)  
3 Manning Street  
POTTS POINT NSW 2001  
Ph: (02) 9356 2839

Royal Australian Planing Institute (NSW)  
Darlinghurst Public House  
Liverpool Street  
POTTS POINT  
Ph: (02) 9331 6920

### Publications

Australian Heritage Commission. *Background Notes*, 1992

Australian Heritage Commission, *What Do We Want to Pass on to Future Generations? An Overview of Criteria and Assessment Procedures for the Register of the National Estate*, April 1990.

Australia ICOMOS. *The Australia ICOMOS Charter for the Conservation of Places of Cultural Significance: The Burra Charter and its associated Guidelines*, 1988.

*Australian Journal of Historical Archaeology*

Bickford, A. and Sullivan, S. *Assessing the Research Significance of Historical Sites* in Sullivan, S. and Bowdler, S. *Site Surveys and Significance Assessment in Australian Archaeology*. Department of Prehistory, Research School of Pacific Studies, ANU, Canberra, 1984.

Birmingham, J. and Murray, T., *Historical Archaeology in Australia, A Handbook*. Issued under the National Estate Agents Programme, (Project No 24 of 1978/79). Published 1987.

Kerr, J.S. *The Conservation Plan*. National Trust of Australia (NSW), 1990.

National Trust of Australia (NSW). *Industrial Archaeology Policy Paper*, 1988.

Heritage Office, *Underwater Heritage in New South Wales*, Heritage Office 1996

Heritage Office, NSW Department of Urban Affairs and Planning, *NSW Heritage Manual*, NSW Department of Urban Affairs and Planning 1996.

NSW Department of Planning, Heritage Council of NSW. *Historical Archaeological Excavations: A Code of Practice*, Department of Planning, Sydney, 1993.

NSW Department of Planning, Heritage Council of NSW. *Historical Archaeological Sites: Investigation and Conservation Guidelines*, Department of Planning, Sydney, 1993.

NSW Department of Urban Affairs and Planning. *Leaflet: Suggestions on How Local Councils Can Promote Heritage Conservation*

### **Consultant contacts**

Building or development proponents should make their own enquires regarding appropriate consulting archaeologists and/or other heritage practitioners. Assistance may be available from:

- The Heritage Office
- your local council Heritage Advisor or Planning Department
- Australian Association of Consulting Archaeologists
- Professional Historians Association
- Museums Association of Australia
- Royal Australian Institute of Architects
- Royal Australian Planning Institute.