



ACT Heritage Council

## **CULTURAL HERITAGE REPORTING POLICY**



**1 July 2015**

## Acknowledgements

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## Overview

This document is intended to assist the ACT planning and land authority, the Land Development Agency, Representative Aboriginal Organisations, heritage consultants, project proponents and other stakeholders with the preparation of appropriate reporting to the ACT Heritage Council during the various stages of a project that may impact on a place or object with heritage value.

This policy aims to provide a clear outline of the ACT Cultural Heritage Assessment and reporting process and the requirements for information submission at each stage. The policy is generally concerned with matters of process, content, style, format and submission.

The policy includes guidelines for:

- Undertaking Cultural Heritage Assessments
- Obtaining Excavation Permits and undertaking archaeological investigations
- Preparing a Statement of Heritage Effect
- Satisfying the heritage requirements of the Development Application process
- Preparing Conservation Management Plans.

The policy is in four parts:

### Part 1 – Introduction to Cultural Heritage Assessment and Reporting in the ACT

- Outlines the purpose of this policy
- Outlines the terminology to be used in Cultural Heritage Assessment and reporting
- Details how information should be submitted and how it will be stored.

### Part 2 – Cultural Heritage Reporting Process

- Outlines the legislative requirements guiding the assessment and reporting process
- Defines each stage of the process, including a process flow chart
- Lists a number of related policies that are to be consulted
- Details the considerations of the ACT Heritage Council when assessing cultural heritage reports.

### Part 3 – Cultural Heritage Reporting Content Requirements

- Outlines the general requirements for all cultural heritage reports
- Defines specific content requirements for reports prepared at each stage of the process.

### Part 4 – Specific Further Requirements for Key Digital Data

- Details the requirements for submitting digital information for upload to ACTMAPi and HeRO
- Details the format and submission requirements for spatial data.

## 1. Introduction

The ACT Heritage Council has identified that there is considerable variation in the content and format of reports submitted to it, which causes a number of difficulties in the efficient consideration and assessment of reports lodged at the various stages of the Cultural Heritage Assessment and reporting process. The ACT Heritage Council has also identified considerable duplication in the content of reports lodged at each stage.

The ACT Heritage Council has prepared this policy to:

- simplify and clarify each stage of the Cultural Heritage Assessment and reporting process
- provide simple and clear terms that identify each stage of the process
- clarify the content requirements for each stage; and
- standardise the format in which information is provided.

### 1.1 Terminology

The *Heritage Act 2004* contains a dictionary of key terms that is applicable to this policy. The Act also defines a number of key concepts, including:

#### Section 10 - Heritage significance

A place or object has *heritage significance* if the place or object meets one or more of the following criteria (the *heritage significance criteria*):

- (a) importance to the course or pattern of the ACT's cultural or natural history;
- (b) has uncommon, rare or endangered aspects of the ACT's cultural or natural history;
- (c) potential to yield information that will contribute to an understanding of the ACT's cultural or natural history;
- (d) importance in demonstrating the principal characteristics of a class of cultural or natural places or objects;
- (e) importance in exhibiting particular aesthetic characteristics valued by the ACT community or a cultural group in the ACT;
- (f) importance in demonstrating a high degree of creative or technical achievement for a particular period;
- (g) has a strong or special association with the ACT community, or a cultural group in the ACT for social, cultural or spiritual reasons;
- (h) has a special association with the life or work of a person, or people, important to the history of the ACT.

#### Section 10B - Cultural heritage significance

A place or object has *cultural heritage significance* if it –

- (a) is –
  - i. created or modified by human action; or
  - ii. associated with human activity or a human event; and
- (b) has heritage significance.

A large number of technical terms are used in archaeological research, field work and the Cultural Heritage Assessment and reporting process. These tend to vary widely between jurisdictions, individual archaeologists and heritage practitioners and can be confusing to non-archaeologists and the community. This policy provides an overarching framework and staged process that must be complied with to ensure consistency across projects. As far as possible, this policy adopts clear and simple terms where this does not compromise nuances in meaning. This policy requires the compulsory use of terms where defined in this policy or the Act. Where undefined terms are used, this policy requires these terms to be defined to ensure their meaning is made clear at each stage and in each piece of reporting. It is often helpful if the definition of terms can reference a well-known publication, for example, *The Burra Charter* (Australia ICOMOS 2013) and *The Archaeologist's Field Handbook* (Burke and Smith 2004).

## 1.2 Managing Information

This policy builds on policies and practice developed by professional associations in Australia and internationally regarding information standards.

This policy specifies data structures and formatting requirements for archaeological information that needs to be uploaded to the ACT Government's ACTMAPI interactive mapping service (<http://www.actmapi.act.gov.au/home.html>) and/or to the Heritage Register Online (HeRO) ([http://www.environment.act.gov.au/heritage/heritage\\_register](http://www.environment.act.gov.au/heritage/heritage_register)) as part of standard ACT planning and environmental management process.

## 1.3 Legislation

The *Heritage Act 2004* (the Act) was amended on 25 September 2014. The *Heritage Legislation Amendment Act 2014* made a number of changes relevant to cultural heritage including:

- adopting the Heritage Convention (HERCON) criteria for heritage significance assessment, consistent with other jurisdictions
- amending the definition for heritage places and objects, and Aboriginal places and objects
- streamlining processes for early investigative works at proposed development sites through the introduction of Excavation Permits and Statements of Heritage Effect.

This policy reflects the changes made to the Act in September 2014. More information on the legislative amendments can be found on the ACT Heritage website at [www.environment.gov.au/heritage](http://www.environment.gov.au/heritage).



## 2. Cultural Heritage Reporting: Process

### 2.1 Legislative Requirements – Offences and Penalties

This policy guides the application of reporting requirements stemming from the Act. Under s74 of the Act, it is an offence to engage in conduct that diminishes the heritage significance of a place or object. Under s75, it is an offence to engage in conduct that causes damage to an Aboriginal place or object. The Act prescribes penalty units (fines) applicable to each offence.

Section 76 provides exceptions to s74 and s75 where the person engages in conduct in accordance with a number of listed processes, including:

- a Heritage Guideline (s76(2)(i))
- a Heritage Direction (s76(2)(ii))
- a Heritage Agreement ((s76(2)(iii))
- a Conservation Management Plan approved by the ACT Heritage Council (s76(2)(iv))
- a Development Approval under the *Planning and Development Act 2007* (ACT) (s76(2)(v))
- an Excavation Permit approved by the ACT Heritage Council (s76(2)(vi))
- a Statement of Heritage Effect approved by the ACT Heritage Council (s76(2)(vii)).

In order to gain approval for an Excavation Permit, a Statement of Heritage Effect, or a Conservation Management Plan, an assessment of cultural heritages values should generally be undertaken through a Cultural Heritage Assessment.

### 2.2 Heritage Assessment and Reporting Stages

The Cultural Heritage Assessment and reporting process can be divided into a number of broad stages. These stages are:

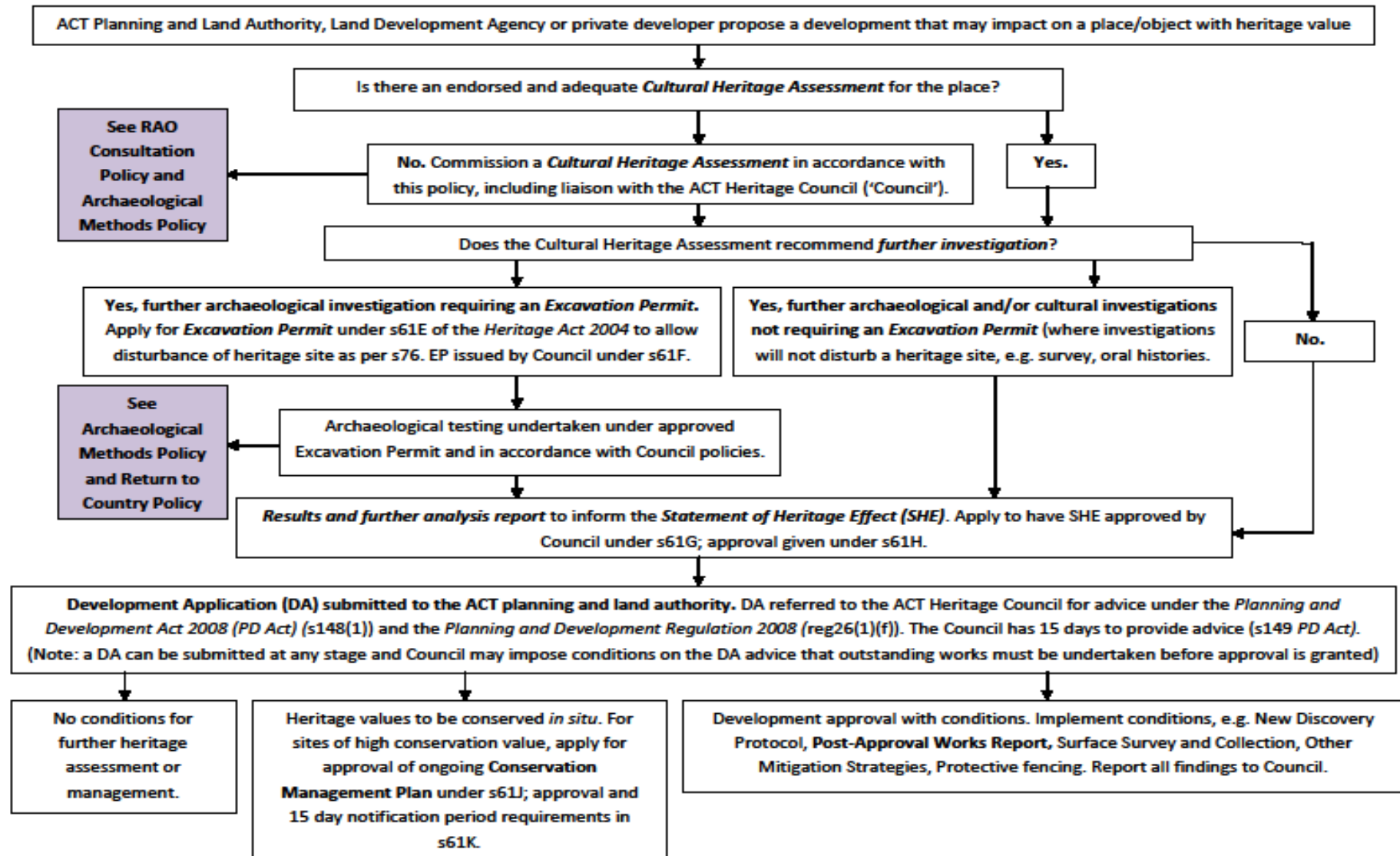
- *Cultural Heritage Assessment*, which identifies the heritage significance values of an area through research, consultation and physical investigations
- *Further Investigation*, of areas where additional research, consultation or physical investigations are required to determine heritage significance. Where archaeological subsurface testing is proposed, this stage includes applying for an Excavation Permit
- *Results and Further Analysis*, providing a consolidated statement of heritage significance values, how these would be affected by a proposed activity, and what conservation or impact mitigation management actions are recommended. These aspects inform the preparation of a Statement of Heritage Effect
- *Development Application* to the ACT planning and land authority, including advice from the ACT Heritage Council
- *Development Approval and Ongoing Management*, including:
  - Conditions on Development Approval
  - A Conservation Management Plan
  - A New Discovery Protocol
  - A Post-Approval Works report, and/or
  - Other mitigation strategies.



As noted above, the Act makes it an offence to diminish the heritage significance of a place or object, or to damage any Aboriginal place or object except under certain circumstances. This requires a process of research, assessment and planning to ensure that all heritage values, including the cultural significance of Aboriginal places and objects, are identified and managed in line with professional standards and community expectations. This policy aims to explain and define this process in terms of the reporting required at each stage; how the information produced by the assessment process is managed and archived; and how the ACT Heritage Council assesses each stage of the process to ensure the best outcome for cultural heritage sites. Heritage sites are defined in s61E of the Act as a registered place or object, or an Aboriginal place or Aboriginal object.

These stages are summarised in a flow chart (see Figure 1). Each stage of the process described in Figure 1 is supported in this policy by detailed guidelines for submission, reporting and archiving of information.

Figure 1. Cultural Heritage Reporting Process Flow Chart



## 2.3 Related Policies

As seen in the flow chart above at Figure 1, a number of policies have been developed to link with this policy. The following policies are relevant to the Cultural Heritage Assessment and reporting process and should be consulted by all users of this policy:

- *Heritage Assessment Policy*, November 2014
- *Representative Aboriginal Organisations (RAO) Consultation Policy* (in development)
- *Return to Country Policy* (in development)
- *Archaeological Methods Policy* (in development)

## 2.4 How will the ACT Heritage Council assess Cultural Heritage Reports?

A Cultural Heritage Assessment should be undertaken at the earliest possible stage of planning a development which has the potential to impact upon places and objects of heritage significance. Early consultation with the ACT Heritage Council and early undertaking of Cultural Heritage Assessment and investigations will help to ensure that the process is undertaken in a timely manner.

The Council considers the following matters when assessing all reporting outlined in this policy:

- compliance with this policy and other relevant ACT Heritage Council and ACT Government policies
- adherence to industry best practice standards and ethical codes, for instance those of the Australian Archaeological Association (AAA), the Australian Association of Consulting Archaeologists Incorporated (AACAI), Australia ICOMOS (International Council on Monuments and Sites), the International Union for the Conservation of Nature (IUCN) and the Australian Heritage Council (AHC)
- professional standards of consultation, research, documentation, analytical methods and heritage assessment
- demonstration of an appropriate level of social, contextual and site-based research to ensure heritage assessment findings and recommendations are well founded; and
- appropriate links between the identified heritage significance values and the recommended management actions.

## 2.5 Best Practice Standards for Cultural Heritage

It is important that all cultural heritage reports in the ACT are comparable with national standards. A number of professional associations in Australia and internationally have developed guidelines for cultural heritage and archaeological practice.

The following relevant organisations can be consulted:

- Australia ICOMOS: <http://australia.icomos.org/>
- AACAI: <http://www.aacai.com.au/>
- AAA: <http://www.australianarchaeologicalassociation.com.au/>
- AHC: <http://www.environment.gov.au/heritage/organisations/australian-heritage-council>
- IUCN: <http://www.iucn.org>

### 3. Cultural Heritage Reporting: Content Requirements

As set out in Figure 1, the Cultural Heritage Assessment and reporting process requires key information to be provided to the ACT Heritage Council at certain stages to ensure the heritage advice to Council on development applications is based on all necessary information and consistent with identified heritage significance. In order to clarify and streamline this process, generic reporting requirements have been defined. These requirements are designed to be flexible, rather than prescriptive, and to ensure all stakeholders understand the requirements of cultural heritage reporting. Non-compliance with this policy may be acceptable to the ACT Heritage Council where this has been clearly justified to the satisfaction of the Council, unless the requirements not followed are prescribed by the Act or regulations.

Reference to these requirements in all cultural heritage reporting undertaken in the ACT will clarify which stage of the assessment and reporting process the report relates to and what key content should be provided. This approach should help to avoid duplication of large amounts of information in reports from each stage of the process, while also maintaining the flexibility to be shaped in accordance with the different circumstances of each unique place and project.

While each stage of the Cultural Heritage Assessment and reporting process is discussed in this policy, in some instances it may not be appropriate to complete all stages. For example, if no archaeological testing is required, a consolidated Cultural Heritage Assessment and Statement of Heritage Effect may be provided. This would need to be clearly justified and explained in the report.

Each generic report type is supported by key content requirements as set out in the following sections and tables.

#### 3.1 General Requirements for All Cultural Heritage and Archaeological Reports and Digital Content

Reports and associated digital content submitted to the ACT Heritage Council must meet the following requirements. Also, the report's presentation, proof reading and essential documentation must be at a standard acceptable to the ACT Heritage Council.

1. All cultural heritage and archaeological reports prepared for submission to the Council **must** contain all Sections and comply with content and presentation requirements listed in Table 1.
2. Where the report contains culturally sensitive information (e.g. detailed written descriptions, explicit site location details, maps, GPS coordinates), a redacted version of the report **must** also be prepared and submitted.
3. Reports (saved as non-encrypted PDF files) and some data in electronic formats (e.g. Excel spreadsheets, databases in Access or Filemaker Pro) should normally be submitted by email to the ACT Heritage Council at [heritage@act.gov.au](mailto:heritage@act.gov.au).
4. Larger or more complex files and datasets (e.g. GIS files in various formats, collections of digital images or audio-visual content) should be submitted on a DVD or CD or where necessary via external storage drives or other means in consultation with the ACT Heritage Council.

**Table 1. Key Content and Information Requirements for all Cultural Heritage and Archaeological Reports**

<b>Section No. &amp; Title</b>	<b>Information required</b>
1.1 Title Page	<p>Name of the Report in accordance with the generic terms used in this policy i.e. Cultural Heritage Assessment, Results and Further Analysis Report, Statement of Heritage Effect, Conservation Management Plan etc (subtitles may be used to provide additional information in the title if required).</p> <p>Name of Project Study Area in the form: Project Name, Suburb (i.e. Torrens), District (i.e. Gungahlin).</p> <p>Name of author/s (i.e. consultancy company or individual).</p> <p>Name and contact details of the entity which has commissioned the report.</p> <p>Date of issue of the version of the report.</p> <p>Version number of the report in terms of submission to the Council.</p>
1.2 Executive Summary	The executive summary should be an appropriate length in the context of the report and should summarise the report's key findings and recommendations.
1.3 Table of Contents	All reports must include page numbers and a comprehensive table of contents (i.e. should include all chapter and section headings, tables and figures, appendices, list of references etc.).
1.4 Study Area Location and Description	Include a written description of the study area including the size (in hectares). Include a minimum of two clear and accurate A4 sized maps and/or plans, showing the study area in regional context, clear indication of site boundaries, geographical and built features. Maps and plans must include a north point, scale and legend.
1.5 Project Description	A summary of the project that has given rise to the preparation of the report, including a description of the proposed development or activity, its physical area (in hectares), its aims and proposed outcomes.
1.6 Heritage Status of Study Area	Detail any previously identified heritage places/objects (using maps and plans as appropriate) and any current statutory or non-statutory (e.g. National Trust, Conservation Council) registrations, listings or classifications of the place.
1.7 Evidence of RAO, Community and Stakeholder Consultation	<p>Include a summary of consultation with and the participation of Representative Aboriginal Organisations in the preparation of the report, in accordance with the ACT Heritage Council's relevant policies. Detailed records evidencing this consultation and participation should be included in an appendix, which should also include all written and oral comment by RAO's on the project and Cultural Heritage Assessment.</p>
1.8 Research Design and Methodology	<p>All reports must include a clear and comprehensive rationale for the approach taken, including descriptions of methodologies for all research and analytical tasks and definitions of all terms used (this may be in the form of a glossary), in accordance with the ACT Heritage Council's relevant policies. This can appear in one section of the report or be broken up into several methodology sections linked to different aspects of the project (i.e. social research methods, excavation methods, survey methods, predictive modeling etc).</p> <p>The methodology should also include a statement of study limitations, including limitations of available information.</p>

1.9 Related Reports and Information	List any reports that have been prepared for this study area previously or are relevant because they cover adjacent land, other aspects of the same project etc. Also describe or list any digital content (other files, folders and data archives) submitted with the report.
1.10 List of References Cited	A list of all published and unpublished sources consulted during the conduct of the research and referred to in the text. This is to be included at the end of each report.
1.11 Appendices	Appendices should be used to attach any relevant or supporting information (such as the Council's advice authorizing investigation works or detailed heritage site information).

## 3.2 Cultural Heritage Assessments

**Aim:** This stage of the Cultural Heritage Assessment and reporting process aims to identify the presence of places and objects of heritage significance, including all Aboriginal places and objects. This stage also requires the identification of places where further archaeological investigation is required to identify the presence of heritage objects, and to inform the assessment of heritage significance values.

The Cultural Heritage Assessment is not a statutory requirement. However, it informs all subsequent phases of heritage investigation and management and is required by the ACT Heritage Council in order to provide advice on development proposals.

The requirement in the flow chart for a Cultural Heritage Assessment to be 'endorsed and adequate' is to ensure that the report being relied upon is current and accurate. The requirement for a Cultural Heritage Assessment to be endorsed means that Council must accept that it is of an acceptable quality and relies on authoritative, current information. The requirement for a Cultural Heritage Assessment to be adequate means that although Council may have previously endorsed an Assessment (including those endorsed a number of years ago), that Assessment must still be considered current and no new information is available that would require a new Assessment to be undertaken.

**Outcome:** The Cultural Heritage Assessment should identify the presence of any heritage places or objects within the study area and provide an assessment of heritage significance for all places and objects identified. This assessment should be informed by a review of archaeological, historical and environmental literature, and through community consultation. The Cultural Heritage Assessment should provide recommendations on any further investigation or assessment required, or the appropriate management of places and objects given the identified heritage significance values.

If the Cultural Heritage Assessment recommends further archaeological investigation, then an application for an Excavation Permit should be made under s61E of the Act. The Excavation Permit is required in order to satisfy s76 of the Act, as archaeological investigation may damage or diminish the heritage significance of a site. When recommending investigation of Potential Archaeological Deposits (PADs), the recommendation of the size, type, location of the PAD must be justified in as much detail as possible.

The Cultural Heritage Assessment may generate a range of archaeological, historical, environmental and community consultation information. All information generated by the research, analysis and consultation, along with clear outlines of the methods and rationale used in the assessment, must be submitted to the Council in accordance with this policy, and other relevant ACT Heritage Council policies.

If the Cultural Heritage Assessment does not recommend further archaeological investigation or other cultural investigations, then the project may proceed directly to the Results stage, where a consolidated Cultural Heritage Assessment and Statement of Heritage Effect may be submitted to the ACT Heritage Council to support a Development Application.

**Key Content Requirements:** As well as meeting all requirements listed in Section 3.1 of this policy and Table 1, a Cultural Heritage Assessment report should generally contain the following key content (see Table 2). Not all Cultural Heritage Assessment reports will contain all of the following sections. This will be dependent upon the particular circumstances and each report should clearly justify the structure of the approach taken to the process of heritage assessment.

**Table 2. Cultural Heritage Assessment Reports—Key Content Requirements**

<b>Section No. &amp; Title</b>	<b>Information required</b>
2.1 Environmental Context	An analysis of the environmental (including palaeo-environmental) context of the study area that may inform the assessment of its archaeological potential and heritage significance. If the study area is large and/or complex, a qualified specialist, such as a geomorphologist, may need to provide expert advice.
2.2 Archaeological Context	An analysis of the archaeological context of the study area, based on previous relevant research, which will inform the assessment of the archaeological potential and heritage significance of the study area.
2.3 Historical Context	An analysis of the historical context of the study area, based on primary and secondary sources, which will inform the assessment of the archaeological potential and heritage significance of the study area. This should include pre- and post-contact Aboriginal histories that consider ongoing history and attachment.
2.4 Social Context	An analysis of the social context of the study area, based on consultation, community-based research and literature review (as appropriate), which will inform the assessment of the heritage significance of the study area.
2.5 Predictive Archaeological Model	A predictive model for archaeological site location should be developed to indicate areas considered likely to be of different levels of archaeological potential. The analysis used needs to be justified in the methodology section (Section 1.8 of Table 1), including whether the predictive model is a deductive or inductive model.
2.6 Physical Investigations	Physical investigations (archaeological survey) may be undertaken as part of the heritage assessment process and in order to test the predictive model that has been developed. A summary of the findings of the physical investigation should be incorporated into the Cultural Heritage Assessment report in order to inform the assessment of heritage significance. The outcomes of the physical investigation should also be discussed against the predictive model originally developed to improve the understanding of archaeological site distribution and further refine the project's predictive archaeological model.



Section No. & Title	Information required
2.7 Assessment Of Heritage Significance	The heritage significance of places and objects within the study area must be assessed using the ACT Heritage Council's <i>Heritage Assessment Policy</i> . Aboriginal cultural and social significance assessment is to be undertaken by Representative Aboriginal Organisations in accordance with relevant ACT Heritage Council policies.
2.8 Recommendations for Further Investigation	Further physical investigations such as subsurface testing may be recommended in the Cultural Heritage Assessment. These investigations may be the subject of separate detailed reports (see Sections 3.3, 3.4 and 3.5 of this report). A range of other further investigations may be recommended by the Cultural Heritage Assessment, including oral histories and survey.
2.9 Statement of Heritage Effect	Where the findings of the assessment process have been comprehensive and conclusive, and no further heritage investigation or assessment is recommended, a Statement of Heritage Effect can be included in the Cultural Heritage Assessment report. The requirements for the Statement of Heritage Effect are set out in s61G of the Act and Section 3.5 (Table 4) of this report.
2.10 Nominations to the Heritage Register	Heritage places and objects identified as part of this investigation which meet the significance criteria outlined in the <i>Heritage Act 2004</i> should be nominated for listing on the ACT Heritage Register. The ACT Heritage Council on-line nomination form should be completed for sites which meet this threshold.

### 3.3 Further Investigation

**Aim:** Where the Cultural Heritage Assessment recommends further investigation to provide more definitive information on the presence and significance of heritage values, authorisation to undertake archaeological subsurface testing may be sought from the ACT Heritage Council. As archaeological excavation may cause damage to an Aboriginal place or object, or diminish the heritage significance of a heritage site, an application for an Excavation Permit in the form required by s61E of the Act must be made. If approved by Council, the Excavation Permit provides an exception for the activity under s76.

The Excavation Permit application requires the applicant's name and address, a description of the heritage site including its location or address, details about proposed excavation work, the reason for the excavation, and the extent and duration of the excavation and any other work of which the excavation forms part. The application must also give details about the measures that the proponent will adopt during the excavation to reduce the risk of diminishing the heritage significance of, or causing damage to, the heritage place or object.

In submitting an Excavation Permit, the applicant should also prepare a Research Design and Methodology statement, which should detail the proposed aims and methods of the planned investigation, in accordance with professional standards and relevant ACT Heritage Council policies.

Where the Cultural Heritage Assessment recommends other aspects of further investigation, such as oral histories, community consultation, historical, environmental or other research, this should also be undertaken to inform the Results and Further Analysis report and the Statement of Heritage Effect.

**Outcome:** The ACT Heritage Council will approve an Excavation Permit under s61F of the Act where it is satisfied on reasonable grounds that the proposed excavation is: a justifiable part of the work required at a registered place or object or heritage site, there are no reasonably practicable alternatives to excavation and reasonable steps have been identified to reduce the risk of diminishing the heritage significance of or damage to the place. The outcome of this approval is that further archaeological investigation may be undertaken in accordance with an approved Excavation Permit and Council's Archaeological Methods Policy.

Where Aboriginal objects are recovered during subsurface testing, they must be handled in accordance with the ACT Heritage Council's *Archaeological Methods Policy* and their long-term management may be handled in accordance with the Council's *Return to Country Policy*.

### 3.4 Results and Further Analysis Reports

**Aim:** The aim of this stage of the cultural heritage assessment and reporting process is to report on the findings of the further archaeological investigations recommended by the Cultural Heritage Assessment.

This stage also makes more detailed recommendations for the management of heritage values in the context of a proposed development or other actions that have the potential to damage or diminish the heritage significance of a place or object. The Results and Further Analysis Report is not a statutory requirement; however, it helps to inform the Statement of Heritage Effect.

This may include results and findings derived from a range of investigations that have been recommended by the first stage Cultural Heritage Assessment, including archaeological survey, archaeological subsurface testing, (subject to an approved Excavation Permit), artefact analysis, oral histories, community consultation, historical, environmental or other research. Outcomes of additional investigation should inform revised assessments of heritage significance for places and objects investigated, and the broader study area.

**Outcome:** This report will generally result in a Statement of Heritage Effect that is sufficient to support a Development Application. The Results and Further Analysis Report is likely to include a range of archaeological, historical, environmental and community consultation information. All information generated by the research and analysis process, along with clear outlines of the methods and rationale used in the research, must be submitted in accordance with this policy, and other relevant policies.

**Key Content Requirements:** As well as meeting all requirements listed in Section 3.1 and Table 1, a Results and Further Analysis Report should generally contain the content set out in Table 3. Not all Results and Further Analysis reports will contain all of the following sections or call for further analysis. This will be dependent upon circumstances and each report should clearly justify the structure of the approach taken to the research process. For reports in this category, it is assumed that the study area has already been assessed following the Cultural Heritage Assessment report process, including heritage significance assessment and analysis of archaeological potential. Results and Further Analysis reports may present the findings from a range of research processes, most commonly this will include archaeological excavation, but could also include social, historical, oral history or other forms of research.

**Table 3. Results and Further Analysis Reports —Key Content Requirements**

<b>Section No. &amp; Title</b>	<b>Information required</b>
3.1 Statutory Approval for Physical Investigation	Include details of the Excavation Permit obtained under s61F of the Act, with a copy of the approved Permit attached in an appendix.
3.2 Aim of Investigation	Set out the aims and objectives of the Further Investigation. (This section will refer to the Research Design and Methodology that is required as part of the Excavation Permit application and also Key Content in Table 1).
3.3 Description of Investigations	Describe the conduct of the investigations and any factors that are relevant to the analysis and interpretation of the findings. (This section will also refer to the Research Design and Methodology that is required as part of the Excavation Permit application and also Key Content in Table 1).
3.4 Presentation of Findings	All data collected during the Further Investigation should be summarised and presented according to industry best practice standards. This may include (but not be limited to) spatial, stratigraphic, survey, environmental, artefactual and material culture, social or historical data. Where subsurface testing has been undertaken, detailed information on test pit and spit results, including mapping, should be provided.
3.5 Analysis of Findings	All data collected (social, material culture, survey, excavation etc) should be analysed in order to inform the assessment of heritage significance of the study area.
3.6 Assessment of Heritage Significance	The heritage significance of places investigated and objects collected through the investigation should be assessed in accordance with the ACT Heritage Council's <i>Heritage Assessment Policy</i> . Note that further detailed research at this stage is encouraged to inform the assessment of heritage significance. Aboriginal cultural and social significance assessment is to be undertaken by RAOs in accordance with the ACT Heritage Council's <i>RAO Consultation Policy</i> .
3.7 Recommendations	Set out the recommended course of action and management for the study area, including the need for any further analysis, e.g. preparation of a Statement of Heritage Effect, New Discovery Protocol or Conservation Management Plan. Management recommendations should also be presented for all individual places and objects of heritage significance within the study area.
3.8 Investigation Records	All records generated by the investigation, including any data recorded about artefacts, should be lodged with the ACT Heritage Council in an appropriate format. See Sections 3.1, 4.1 and 4.2 of this policy for advice on the submission of records in digital format. Records may include Excel spreadsheets, databases in Access or Filemaker Pro, GIS files, collections of digital images or audio-visual content, etc.
3.9 Nominations to the Heritage Register	Heritage places and objects identified as part of this investigation which meet the significance criteria outlined in the <i>Heritage Act 2004</i> should be nominated for listing on the ACT Heritage Register. The ACT Heritage Council on-line nomination form should be completed for sites which meet this threshold.

### 3.5 Statement of Heritage Effect

**Aim:** A Statement of Heritage Effect (SHE) is required by the ACT Heritage Council in its consideration of relevant information when assessing a Development Application. The aim of a SHE is to demonstrate that the impacts of an activity on any identified heritage significance values have been carefully assessed and appropriate conservation or mitigation strategies have been developed. A SHE is listed in s76 as an exception to the offences of diminishing the heritage significance of a site under s74 or damaging an Aboriginal place or object under s75. An application for a SHE to be approved may be made under s61G of the Act.

**Outcome:** The written SHE must provide all information that is necessary to support the approval of a Development Application, including the matters listed in s61G of the ACT and Table 4. A SHE must be approved by the Council under s61H, with or without conditions, if the Council is satisfied on reasonable grounds that the proposed activity is justifiable, and there are no reasonably practicable alternatives, and the proponent has identified steps to reduce the risk of damage. The application for approval of a SHE must include the applicant's name and address, the location or address of the heritage site and any other matter prescribed by regulation and be attached to the SHE given to the Council.

**Key Content Requirements:** As well as meeting all requirements listed in Section 3.1 and Table 1, a SHE report must contain the key content listed in Table 4.

**Table 4. Statement of Heritage Effect—Key Content Requirements**

Section No. & Title	Information required
4.1 Description of the place (including summary of Cultural Heritage Assessment)	This must include a description of the places or objects of heritage significance or heritage site including the location or address of the heritage site. If submitted separately, this report should refer to the relevant Cultural Heritage Assessment report and provide a brief summary of its findings. The heritage significance of the study area must be assessed in accordance with the ACT Heritage Council's <i>Heritage Assessment Policy</i> . Aboriginal cultural and social significance assessment is to be undertaken by Representative Aboriginal Organisations (RAOs) in accordance with the ACT Heritage Council's <i>RAO Consultation Policy</i> .
4.2 Description of Proposed Activity	Provide details about the proposed activity or development, including the reason for the activity, its extent and duration, and the physical area (in hectares) that would be affected.
4.3 Discussion of Impacts	Discussion of the likely effect of the proposed activity on the heritage places and objects and heritage sites identified, including the effects that may diminish the heritage significance of, or cause damage to, the heritage site. Direct and indirect impacts of the proposed activity should be considered.
4.4 Consideration of Alternatives	Discussion of whether other reasonably practicable ways of carrying out the activity at the heritage site are available.
4.5 Mitigation Strategies	Provide details of the measures the proponent will adopt during the activity to reduce the risk of diminishing the heritage significance of, or damage to, places and objects of heritage significance and heritage sites. This includes protection and avoidance strategies, such as buffer zones and protective fencing during construction.
4.6 Recommendations	Set out the actions required to implement the Mitigation Strategy as well as the need for any further work and reporting, e.g. the need for a New Discovery Protocol or a Conservation Management Plan.

### 3.6 Conservation Management Plans

**Aim:** The aim of a Conservation Management Plan (CMP) is to plan for the ongoing management and conservation of a place of identified heritage significance. In some cases, it may support a Development Application, and include the need for further reporting and ongoing management of the heritage significance of a place or object or heritage site. The CMP may also be prepared as a condition of Development Approval, especially when heritage places and objects are to be conserved *in situ*. An application for approval of a CMP can be made under s61J of the Act, while s61K allows the Council to approve a CMP.

**Outcome:** The CMP provides a plan for the ongoing management and conservation of a place of heritage significance. The CMP must be in writing and sets out the conservation measures that must be adopted for and conditions on future use of the heritage place or object to preserve its heritage significance. It also identifies any threat, or potential threat, to the heritage significance of the heritage place or object, and sets out a plan for management of the threats. The CMP may recommend that Further Analysis is required in order to fully understand and respond to specific issues arising from the heritage significance of the place, such as oral history or archaeological survey. The application for approval of a CMP must include the applicant's name and address, the location or address of the heritage site and any other matter prescribed by regulation.

A CMP may generate a range of archaeological, historical, environmental and community consultation information. All information generated, along with clear outlines of the methods and rationale used in the research, must be submitted to the Council in accordance with this policy and other relevant ACT government policies.

**Key Content Requirements:** As well as meeting all requirements listed in Section 3.1 and Table 1, a CMP should generally contain the following key content listed in Table 5. Not all CMPs will contain all of the following sections, this will depend on the circumstances and each report should clearly justify the structure of the approach taken to the research process. A CMP should be developed in accordance with the Council's *Conservation Management Plans: Guiding Principles*.

**Table 5. Conservation Management Plans—Key Content Requirements**

Section No. & Title	Information required
5.1 Archaeological History	An analysis of the archaeological context of the study area, based on previous relevant research, which will inform the assessment of the archaeological and heritage significance of the study area.
5.2 Historical Context	An analysis of the historical context of the study area, based on primary and secondary sources, which will inform the assessment of the archaeological potential and heritage significance of the study area. Reference should be made to the Australian historic themes (available online at: <a href="http://www.environment.gov.au/heritage/ahc/publications/commission/books/australian-historic-themes.html">http://www.environment.gov.au/heritage/ahc/publications/commission/books/australian-historic-themes.html</a> ).
4.3 Social History	An analysis of the social context of the study area, based on consultation, community-based research and literature review (as appropriate), which will inform the assessment of the heritage significance of the study area.
5.4 Analysis of the Study Area	An analysis of the study area should describe its current form, as well as evidence of change over time, in order to inform the assessment of heritage significance.

5.5 Assessment Of Heritage Significance	Cultural significance of the study area must be assessed in accordance with the ACT Heritage Council's <i>Heritage Assessment Policy</i> . Aboriginal cultural and social significance assessment is to be undertaken by RAOs in accordance with the ACT Heritage Council's <i>RAO Consultation Policy</i> .
5.6 Threat Identification	Identify any threats, or potential threats, to the heritage significance of the place or object, and set out a plan for management of the threats.
5.7 Conservation Measures and Conditions	Set out the conservation measures that must be adopted for, and conditions on, future use of the heritage site to preserve its heritage significance. This includes developing a management strategy that aims to conserve the heritage significance of the study site and consideration of how that strategy is to be implemented. Key considerations include (but are not limited to) horticultural issues, future development, curtilage and boundaries, environmental risks, future use, interpretation of the significance of the place, ongoing consultation and the need for further research.

### 3.7 Post-Approval Works Reports

**Aim:** The aim of the Post-Approval Works report is to record and assess the findings of site works approved under a Development Application, to demonstrate that any items or areas of heritage significance have been managed and documented appropriately and in accordance with this policy. Works may include reporting on archaeological salvage, surface collection and conservation and protection measures.

**Outcome:** The Post-Approval Works report may generate a range of archaeological information. All information generated, along with clear outlines of the methods and rationale used in the research, must be submitted to the ACT Heritage Council in accordance with this policy, and other relevant ACT government policies.

**Key Content Requirements:** As well as meeting all requirements listed in Section 3.1 and Table 1, a Post-Approval Works report must contain the following key content outlined in Table 6.

**Table 6. Post-Approval Works Report — Key Content Requirements**

Section No. & Title	Information required
6.1 Description of Monitoring	Describe the post-approval works. (This section will also refer to the Research Design and Methodology submitted with the Excavation Permit application, and required as part of the Key Content in Table 1).
6.2 Presentation of Findings	All data collected should be summarised and presented according to industry best practice standards. This may include (but not be limited to) spatial, stratigraphic, survey, environmental, artefactual and material culture, social or historical data.
6.3 Summary of Findings	All data collected should be summarised and its heritage significance assessed.
6.4 Assessment of Heritage Significance	The significance of the place investigated and objects collected should be assessed in accordance with the ACT Heritage Council's <i>Heritage Assessment Policy</i> . Aboriginal cultural and social significance assessment is to be undertaken by RAOs in accordance with the ACT Heritage Council's <i>RAO Consultation Policy</i> .

## 6.5 Investigation Records

All records generated by the investigation, including any data recorded about artefacts, should be lodged in an appropriate format. See Sections 3.1, 4.1 and 4.2 of this policy for advice on the submission of records in digital format. Records may include Excel spreadsheets, databases in Access or Filemaker Pro, GIS files, collections of digital images or audio-visual content, etc.



## 4. Specific Further Requirements for Key Digital Data

### 4.1 Submitting information for upload to ACTMAPi and HeRO

Under section 51 of the *Heritage Act 2004*, a person commits an offence if the person discovers an Aboriginal place or object and fails to report the discovery to the ACT Heritage Council within 5 working days.

For each heritage place or object recorded, key information listed and explained in Tables 7-11 should be entered into the standard *Cultural Heritage Site Assessment template* provided by the ACT Heritage Council. The Excel spreadsheet template is designed for entry of accurately formatted information for recording of heritage places and objects and for upload to the ACT Government's interactive mapping service (ACTMAPi) and/or the ACT Heritage Register online (HeRO). The file should be renamed to reflect the project name. The key data field is 'Site Code' (Table 7, Ref 7.2) which must be created in accordance with the ACT Heritage Council's Archaeological Site Naming Protocol available at [Appendix 1](#).

The main information categories are: Site Details and Location Information (Table 7); Site Descriptors (Table 8); Consultant and RAO Advice (Table 9); Site Potential Information (Table 10) and Proximity of Site to Water (Predictive Model) (Table 11). Data values for 'Site Status' (Figure 2) and 'Site Type' (Figure 3) are restricted to pre-defined categories.

Further information is available at the websites below:

ACTMAPi - <http://www.actmap.i.act.gov.au/home.html>

HeRO - [http://www.environment.act.gov.au/heritage/heritage\\_register](http://www.environment.act.gov.au/heritage/heritage_register)

**Table 7. Data content and formatting requirements for 'Site Details and Location Information' for upload to ACTMAPi and/or HeRO**

Ref. No.	Field Name/Column Header	Field Description & Further Information
7.1	Site name	Where a site has a common or cultural name it may be used to provide additional clarity about the location of the site in a culturally sensitive manner.
7.2	Site Code	The ACT Heritage Council's <i>Archaeological Site Naming Protocol</i> ( <a href="#">Appendix 1</a> ) specifies the process for naming archaeological sites. This includes a two-letter district code and a three-letter division code, followed by a three-digit site number. Codes are capitalised with each element separated by a dash (-). For example, a site located in the division (suburb) of Amaroo in the District of Gungahlin is coded GU-AMA- 001.
7.3	Easting	Six digits (to the nearest metre) recorded in GDA94 format using a GPS receiver. If GPS will not work in the location document alternative methods in the relevant report and convert results to GDA94 compatible format.
7.4	Northing	Seven digits (to the nearest metre) recorded in GDA94 format using a GPS receiver. If GPS will not work in the location document alternative methods in the relevant report and convert results to GDA94 compatible format.

Ref. No.	Field Name/Column Header	Field Description & Further Information
7.5	Datum	Select the appropriate GPS datum (GDA94).
7.6	Status	Select from standard list of ACT 'Site Status' codes (Figure 2) in the <i>Cultural Heritage Site Assessment template</i> provided by the ACT Heritage Council.
7.7	District Name	Use district from site code issued by the ACT Heritage Council under Ref. no. 8.2 above.
7.8	Division Name	Use division from site code issued by the ACT Heritage Council under Ref. no. 8.2 above.
7.9	Section Number	Insert the section number for the site.
7.10	Block Number	Insert the block number for the site.

**Figure 2. ACTMAPi and HeRO Standard 'Site Status' Codes.**

Code	Site Status Description
1	Nomination to the Heritage Register
2	Provisionally Registered
3	Registered Places or Objects
R1	Rejected from inclusion in the Interim Register by the ACT Heritage Council
R2	Removed from the Interim Register by expiration of interim effect – All located on 'National Land'.
R3	Removed from the Interim Register by the ACT Civil and Administrative Tribunal.
R4	Place or Object has been combined into a new registration or precinct.
R5	Cancellation of Registration.
R6	Final Registration rejected.
R7	Salvaged Aboriginal Heritage – no management implications however the place is still of significance.
Recorded	Place is a new site, not yet nominated for inclusion on the Heritage Register

**Table 8. Data content and formatting requirements for 'Site Descriptors' for upload to ACTMAPi and/or HeRO**

Ref. No.	Field Name/Column Header	Field Description & Further Information
8.1	Site Type	Enter site type from standard list of ACT 'Site Type' Categories (Figure 3) in the <i>Cultural Heritage Site Assessment template</i> provided by the ACT Heritage Council.
8.2	Site Description	A free text field, preferably 300 words or less, of additional key descriptive information about the site which is not already provided in other standard data fields in the Excel template.
8.3	Artefact Quantity	To be completed when the site contains individual cultural objects. Either: (1) a total count of visible artefacts, or (2) Artefacts per m <sup>2</sup> (based on an actual count of several sample areas across the entire site, with the sampling strategy clearly described and justified)
8.4	Site condition/integrity	A free text field, preferably 300 words or less, to provide a short description of the condition/integrity of the site, e.g. is the site eroding, threatening factors, damage, etc.

8.5	Aspect	Looking away from the site (as applicable) N, NE, E, SE, S, SW, W, NW or N/A
8.6	Site Slope	Referenced in degrees (value locked to 0-90 degrees)
8.7	Site Length	Total length of visible site in metres.
8.8	Site Width	Maximum width of visible site in metres at a right angle to length.
8.9	Site Area	Total site area in square metres.
8.10	Near Offsite Visibility	Approximate percentage of the ground surface in the immediate vicinity of the site that is visible (excluding vegetation, leaf-litter etc.). Value locked to 0-100 per cent.
8.11	Exposure Visibility	Approximate percentage of the ground-surface of the site that is visible (i.e. how much of the ground can you see) (excluding vegetation, leaf-litter etc.). Value locked to 0-100 per cent.
8.12	Average ground surface visibility	Of the exposed ground of the site that you can see, how easy is it to spot an artefact among leaf litter and gravel etc? Value locked to 0-100 per cent.
8.13	Overall site visibility	How much of the archaeology in this site can you see? (Multiply the exposure visibility by the average ground surface visibility). Value locked to 0-100 per cent.

**Figure 3. ACTMAPi and HeRO Standard ‘Site Type’ Categories.**

‘Site Type’ Categories	
Aboriginal Art Site	Aboriginal Stone Arrangement
Aboriginal Artefact Scatter	Aboriginal Stone Source
Aboriginal Burial	Fish, Eel Trap
Aboriginal Ceremonial Site	Hearth Oven
Aboriginal Grinding Grooves	Historic Artefact or Equipment
Aboriginal Isolated Artefact	Historic Building or Structure
Aboriginal Ochre Source	Historic Landscape Element
Aboriginal Quarry	Historic Natural Site
Aboriginal Rock Shelter	Historic Ruin or Site
Aboriginal Scarred Tree	Post Contact Site
Aboriginal Shell Midden	PAD (Potential Archaeological Deposit)

**Table 9. Data content and formatting requirements for ‘Consultant and RAO Advice’ for upload to ACTMAPi and/or HeRO**

<b>Ref. No.</b>	<b>Field Name/Column Heading</b>	<b>Content and Format</b>
9.1	Author	Author(s) of report, Organisation Name, On Site Archaeologist Name
9.2	Title	Title of consultancy report.
9.3	Date	Date of production of the consultancy report. Formatted as DD/MM/YYYY.
9.4	Address	Consultant business address.
9.5	Consultant Recommendations	A summary, preferably in 300 words or less, of the main recommendations at this stage in the process.
9.6	Consultant Significance	A summary, preferably in 300 words or less, of the key significance of the site.
9.7	RAO Recommendations	A summary, preferably in 300 words or less, of the RAO advice on recommendations at this stage in the process.
9.8	RAO Significance	A summary, preferably in 300 words or less, of the RAO advice on the significance of the site.
9.9	Restricted Information	Does the RAO advice contain restricted or culturally sensitive information? Yes or no.

**Table 10. Data content and formatting requirements for ‘Site Potential Information’ for upload to ACTMAPi and/or HeRO**

<b>Ref. No.</b>	<b>Field Name/Column Heading</b>	<b>Content and Format</b>
10.1	Potential to be larger than recorded	Does the Site have potential to be larger than recorded (using the methodology of this stage of the current project)? Yes, No, Unsure, Other and provide brief justification in a few sentences.
10.2	Potential In-Situ Subsurface Material	Does the Site have potential for in-situ subsurface material (using the methodology of this stage of the current project)? Yes, No, Unsure, Other and provide brief justification in a few sentences.
10.3	Potential for Stratified Material	Does the Site have potential for stratified material (using the methodology of this stage of the current project)? Yes, No, Unsure, Other. Provide brief justification in a few sentences.

**Table 11. Data content and formatting requirements for ‘Proximity of Site to Water (Predictive Model) Information’ for upload to ACTMAPi and/or HeRO**

<b>Ref. No.</b>	<b>Field Name/Column Heading</b>	<b>Content and Format</b>
11.1	Distance to nearest permanent water source	Distance in metres.
11.2	Distance to nearest temporary water source	Distance in metres.
11.3	Water sources description	‘Name of water source(s)’ (if known), stream order and/or brief description.

## 4.2 How to format and submit spatial archaeological cultural heritage data

The ACT Heritage Council uses ESRI ArcGIS for spatial data, and therefore any information supplied must be compatible with this system. Heritage places and objects which are located as points and are submitted as records in Excel spreadsheets can, if needed, be converted into spatial data in ArcGIS directly from the Excel spreadsheet table as 'X\_Y Events'. In this process, the table's easting and northing fields are substituted for the X-Y coordinates and the other data in the table becomes attributes of each of the spatially defined points. For this reason, fields in the Excel table must be absolute and independent values which do not reference other fields.

However, for heritage places mapped as areas or for transects (lines), it is preferable to submit data as ArcGIS shapefiles or Google Earth overlay files by email or on CD/DVD to the ACT Heritage Council.

### *ArcGIS Shapefiles*

Shapefiles submitted must be compatible with the ACT Heritage Council's Geographic Information System (GIS). In particular, they should be in the Map Grid of Australia zone 55 (MGA55) projection and use the Geocentric Datum of Australia (GDA94). GDA94 is in easting and northing coordinates, in metres. No other datum or projections are to be used.

All shapefiles submitted need to be supported by a metadata file, which is automatically generated in ArcCatalog (in ArcGIS) but whose description fields need to be added using the edit metadata function.

More information can be found online at <http://pandora.nla.gov.au/pan/146967/20140625-0000/spatial.gov.au/node/31.html>.

Essential metadata fields and their contents are listed in Table 13.

**Table 12. Essential metadata fields and their content: spatial archaeological cultural heritage data**

Ref. No.	Metadata Description Field	Contents
12.1	Keywords	Aboriginal-Heritage-ACT
12.2	Description	Site Code. Data must conform with Table 8 (8.2).
12.3	Status of Data	Date of production of the consultant report in DD/MM/YYYY format.
12.4	Publication Data	Title of consulting report and author(s).
12.5	Constraints on accessing data	Any known accuracy or confidentiality constraints.

Where ArcGIS projects are submitted (multiple shapefiles or geodatabases and raster files arranged as layers with legends), the project file (\*.mxd file) should be saved with *relative paths* to its constituent layers, so that the project overlays will work in a changed folder configuration.

### *Google Earth Overlay Files*

Google Earth overlay files can be exported and submitted as \*.kml or \*.kmz files. These can be redisplayed on any Google Earth platform or can be imported into ArcGIS.

## 5. BIBLIOGRAPHY

Burke, H. and Smith C. 2004, *The Archaeologist's Field Handbook*, Sydney: Allen and Unwin.

Australia ICOMOS, 2013, *The Burra Charter*

# APPENDIX 1

## Archaeological Site Naming Protocol

### Site Codes

This document is the ACT Heritage Council's *Archaeological Site Naming Protocol*. The Protocol specifies the process for naming archaeological sites in the ACT.

Archaeological sites are to be named based on pre-defined categorisations of the District and Division (suburb) for the area in which the site is based. Once this has been determined, the proponent(s) undertaking the archaeological work must liaise with the ACT Heritage Council to consult the master list of existing sites in that division to ensure that each site location has a distinct site code and there is no duplication.

Once the project division is established, the ACT Heritage Council will provide the proponent with a template spreadsheet to be used for that division.

If the investigations are to involve sites in two divisions, then the proponent will be provided with a template spreadsheet for each division. This is to ensure sequential numbering of sites within each division. The ACT Heritage Council will manage a master list of site codes to ensure the correct allocation of codes, sequential numbering and no duplication.

When creating site codes for each distinct site, the proponent must provide a GPS mark for each site location.

Site codes will be issued once the proponents identify sites through a pedestrian site survey or similar. Site codes may then be used in cultural heritage reports prepared for submission to the ACT Heritage Council.

The overall site name will include:

- A two letter district code, e.g. GU for the district of Gungahlin
- A three letter division code, e.g. AMA for the suburb of Amaroo
- A three digit site number, e.g. 001 for the site location

Codes are to be capitalised, with each element separated by a dash (-).

For example, a site located during excavation work undertaken in the Gungahlin suburb of Amaroo, would be coded as: *GU-AMA- 001*

Codes will be automatically generated in the template spreadsheet provided to you by the ACT Heritage Council.

### Site Names

Where a site has a common or cultural name used by a community group, that name may also be used when describing the site to provide further clarity. A column on the template spreadsheet is provided for this purpose.