Review of the Bendigo-Ophir Gold Project Heritage Assessment prepared for Matakanui Gold Ltd by NZ Heritage Properties (2025)

Neville Ritchie, Ph.D.
November 2025

Conclusions.

The 9 points listed above elaborate on the main concerns. To recap they are:

- Minimal mitigation or off-setting (see Recommendations)
- Treating the Conservation Covenant as if it does not exist and lack of recognition of the Heritage (Historic) Landscape. This is the key point, not only from an archaeological protection perspective, but also what is the value of a covenant if it can be revoked at whim by the landholder? (in this case the people who co-signed the covenant with the Crown in 2000)
- Using UK DoT site assessment criteria which are irrelevant and undervalues the sites in a NZ heritage mining context.
- The assessment report concludes that all the BOGL affected sites are replicated in the BQRHR. This is not strictly true, particularly with regard to the heritage landscape and the early sluicing in the Rise and Shone catchment.
- The survey work has notable deficiencies in extent, thoroughness and recording (esp. photography and drawings).
- The focus of the report has been on the pre-1900 sites (legally protected sites) within the mine footprint.
- The report paints a picture of the extensive nature of goldmining heritage sites in Central Otago and therefore downplays the potential loss of the heritage mining sites at Bendigo. In reality the only ones that are protected long term are those in DOC administered reserves. On paper a covenant should afford a high level of long term protection, but it appears they can be ignored or revoked.
- A ‘traffic light’ system was not used in the report to show the varying percentages of heritage sites in and around the mine footprint, which will be destroyed, are possibly under threat, or are ‘safe’

To conclude, DOC is of the view that the NZHP assessment downplays the significance of the heritage values of the place, particularly in the Rise and Shine Creek Valley, and the impacts upon them as a result of the proposal. Consequently, the consideration of effects is also understated. However, there is a significant

opportunity to achieve better conservation outcomes for heritage through mitigation on a scale proportionate to the loss of heritage values and opportunities.

Recommendations

- The fast track legislation is predicated on getting major projects underway as soon as possible. As emphasised in this review there will be major impacts on goldmining heritage sites and especially in the heritage corridor along the Bendigo-Matakanui Rd/Rise and Shine Creek if the BOGL project proceeds as planned.
- The Bendigo Conservation Covenant has been virtually ignored in the NZHP report. A substantial heritage mitigation package is warranted to offset the losses. This should be project focussed.
- As noted, there are deficiencies in the site survey work. There should be further survey work to record 'missed sites' (including those identified by this writer and DOC), and document and map the complete historic mining systems (higher level water races , dams etc) which will be partially destroyed by the BOGL project. A 'traffic light system' should be employed to highlight those sites which are close to the footprints of the mines and associated roading etc.
- There are alternative routes for a new track from Logan town to the Rise and Shine battery that should be considered.

ICOMOS New Zealand Charter

for the Conservation of Places of Cultural Heritage Value

Revised 2010

Preamble

New Zealand retains a unique assemblage of **places** of **cultural heritage value** relating to its indigenous and more recent peoples. These areas, **cultural landscapes** and features, buildings and **structures**, gardens, archaeological sites, traditional sites, monuments, and sacred **places** are treasures of distinctive value that have accrued meanings over time. New Zealand shares a general responsibility with the rest of humanity to safeguard its cultural heritage **places** for present and future generations. More specifically, the people of New Zealand have particular ways of perceiving, relating to, and conserving their cultural heritage **places**.

Following the spirit of the International Charter for the Conservation and Restoration of Monuments and Sites (the Venice Charter - 1964), this charter sets out principles to guide the **conservation** of **places** of **cultural heritage value** in New Zealand. It is a statement of professional principles for members of ICOMOS New Zealand.

This charter is also intended to guide all those involved in the various aspects of **conservation** work, including owners, guardians, managers, developers, planners, architects, engineers, craftspeople and those in the construction trades, heritage practitioners and advisors, and local and central government authorities. It offers guidance for communities, organisations, and individuals involved with the **conservation** and management of cultural heritage **places**.

This charter should be made an integral part of statutory or regulatory heritage management policies or plans, and should provide support for decision makers in statutory or regulatory processes.

Each article of this charter must be read in the light of all the others. Words in bold in the text are defined in the definitions section of this charter.

This revised charter was adopted by the New Zealand National Committee of the International Council on Monuments and Sites at its meeting on 4 September 2010.

Purpose of conservation

1. The purpose of conservation

The purpose of **conservation** is to care for **places** of **cultural heritage value**.

In general, such **places**:

(i) have lasting values and can be appreciated in their own right;

(ii) inform us about the past and the cultures of those who came before us;

(iii) provide tangible evidence of the continuity between past, present, and future;

(iv) underpin and reinforce community identity and relationships to ancestors and the land; and

(v) provide a measure against which the achievements of the present can be compared.

It is the purpose of **conservation** to retain and reveal such values, and to support the ongoing meanings and functions of **places** of **cultural heritage value**, in the interests of present and future generations.

Conservation principles

2. Understanding cultural heritage value

Conservation of a **place** should be based on an understanding and appreciation of all aspects of its **cultural heritage value**, both **tangible** and **intangible**. All available forms of knowledge and evidence provide the means of understanding a **place** and its **cultural heritage value** and cultural **heritage significance**. **Cultural heritage value** should be understood through consultation with **connected people**, systematic documentary and oral research, physical investigation and **recording** of the **place**, and other relevant methods.

All relevant **cultural heritage values** should be recognised, respected, and, where appropriate, revealed, including values which differ, conflict, or compete.

The policy for managing all aspects of a **place**, including its **conservation** and its **use**, and the implementation of the policy, must be based on an understanding of its **cultural heritage value**.

3. Indigenous cultural heritage

The indigenous cultural heritage of **tangata whenua** relates to **whanau**, **hapu**, and **iwi** groups. It shapes identity and enhances well-being, and it has particular cultural meanings and values for the present, and associations with those who have gone before. Indigenous cultural heritage brings with it responsibilities of guardianship and the practical application and passing on of associated knowledge, traditional skills, and practices.

The Treaty of Waitangi is the founding document of our nation. Article 2 of the Treaty recognises and guarantees the protection of **tino rangatiratanga**, and so empowers **kaitiakitanga** as customary trusteeship to be exercised by **tangata whenua**. This customary trusteeship is exercised over their **taonga**, such as sacred and traditional **places**, built heritage, traditional practices, and other cultural heritage resources. This obligation extends beyond current legal ownership wherever such cultural heritage exists.

Particular **matauranga**, or knowledge of cultural heritage meaning, value, and practice, is associated with **places**. **Matauranga** is sustained and transmitted through oral, written, and physical forms determined by **tangata whenua**. The **conservation** of such **places** is therefore conditional on decisions made in associated **tangata whenua** communities, and should proceed only in this context. In particular, protocols of access, authority, ritual, and practice are determined at a local level and should be respected.

4. Planning for conservation

Conservation should be subject to prior documented assessment and planning.

All **conservation** work should be based on a **conservation plan** which identifies the **cultural heritage value** and **cultural heritage significance** of the **place**, the **conservation** policies, and the extent of the recommended works.

The **conservation plan** should give the highest priority to the **authenticity** and **integrity** of the **place**.

Other guiding documents such as, but not limited to, management plans, cyclical **maintenance** plans, specifications for **conservation** work, interpretation plans, risk mitigation plans, or emergency plans should be guided by a **conservation plan**.

5. Respect for surviving evidence and knowledge

Conservation maintains and reveals the **authenticity** and **integrity** of a **place**, and involves the least possible loss of **fabric** or evidence of **cultural heritage value**. Respect for all forms of knowledge and existing evidence, of both **tangible** and **intangible values,** is essential to the **authenticity** and **integrity** of the **place**.

Conservation recognises the evidence of time and the contributions of all periods. The **conservation** of a **place** should identify and respect all aspects of its **cultural heritage value** without unwarranted emphasis on any one value at the expense of others.

The removal or obscuring of any physical evidence of any period or activity should be minimised, and should be explicitly justified where it does occur. The **fabric** of a particular period or activity may be obscured or removed if assessment shows that its removal would not diminish the **cultural heritage value** of the **place.**

In **conservation**, evidence of the functions and intangible meanings of **places** of **cultural heritage value** should be respected.

6. Minimum intervention

Work undertaken at a **place** of **cultural heritage value** should involve the least degree of **intervention** consistent with **conservation** and the principles of this charter.

Intervention should be the minimum necessary to ensure the retention of **tangible** and **intangible values** and the continuation of **uses** integral to those values. The removal of **fabric** or the alteration of features and spaces that have **cultural heritage value** should be avoided.

7. Physical investigation

Physical investigation of a **place** provides primary evidence that cannot be gained from any other source. Physical investigation should be carried out according to currently accepted professional standards, and should be documented through systematic **recording**.

Invasive investigation of **fabric** of any period should be carried out only where knowledge may be significantly extended, or where it is necessary to establish the existence of **fabric** of **cultural heritage value**, or where it is necessary for **conservation** work, or where such **fabric** is about to be damaged or destroyed or made inaccessible. The extent of invasive investigation should minimise the disturbance of significant **fabric**.

8. Use

The **conservation** of a **place** of **cultural heritage value** is usually facilitated by the **place** serving a useful purpose.

Where the **use** of a **place** is integral to its **cultural heritage value**, that **use** should be retained.

Where a change of **use** is proposed, the new **use** should be compatible with the **cultural heritage value** of the **place**, and should have little or no adverse effect on the **cultural heritage value**.

9. Setting

Where the **setting** of a **place** is integral to its **cultural heritage value**, that **setting** should be conserved with the **place** itself. If the **setting** no longer contributes to the **cultural heritage value** of the **place**, and if **reconstruction** of the **setting** can be justified, any **reconstruction** of the **setting** should be based on an understanding of all aspects of the **cultural heritage value** of the **place**.

10. Relocation

The on-going association of a **structure** or feature of **cultural heritage value** with its location, site, curtilage, and **setting** is essential to its **authenticity** and **integrity**. Therefore, a **structure** or feature of **cultural heritage value** should remain on its original site.

Relocation of a **structure** or feature of **cultural heritage value**, where its removal is required in order to clear its site for a different purpose or construction, or where its removal is required to enable its **use** on a different site, is not a desirable outcome and is not a **conservation** process.

In exceptional circumstances, a **structure** of **cultural heritage value** may be relocated if its current site is in imminent danger, and if all other means of retaining the **structure** in its current location have been exhausted. In this event, the new location should provide a **setting** compatible with the **cultural heritage value** of the **structure**.

11. Documentation and archiving

The **cultural heritage value** and **cultural heritage significance** of a **place**, and all aspects of its **conservation**, should be fully documented to ensure that this information is available to present and future generations.

Documentation includes information about all changes to the **place** and any decisions made during the **conservation** process.

Documentation should be carried out to archival standards to maximise the longevity of the record, and should be placed in an appropriate archival repository.

Documentation should be made available to **connected people** and other interested parties. Where reasons for confidentiality exist, such as security, privacy, or cultural appropriateness, some information may not always be publicly accessible.

12. Recording

Evidence provided by the **fabric** of a **place** should be identified and understood through systematic research, **recording**, and analysis.

Recording is an essential part of the physical investigation of a **place**. It informs and guides the **conservation** process and its planning. Systematic **recording** should occur prior to, during, and following any **intervention**. It should include the **recording** of new evidence revealed, and any **fabric** obscured or removed.

Recording of the changes to a **place** should continue throughout its life.

13. Fixtures, fittings, and contents

Fixtures, fittings, and **contents** that are integral to the **cultural heritage value** of a **place** should be retained and conserved with the **place**. Such fixtures, fittings, and **contents** may include carving, painting, weaving, stained glass, wallpaper, surface decoration, works of art, equipment and machinery, furniture, and personal belongings.

Conservation of any such material should involve specialist **conservation** expertise appropriate to the material. Where it is necessary to remove any such material, it should be recorded, retained, and protected, until such time as it can be reinstated**.**

Conservation processes and practice

14. Conservation plans

A **conservation plan**, based on the principles of this charter, should:

(i) be based on a comprehensive understanding of the **cultural heritage value** of the **place** and assessment of its **cultural heritage significance**;

(ii) include an assessment of the **fabric** of the **place**, and its condition;

(iii) give the highest priority to the **authenticity** and **integrity** of the **place**;

(iv) include the entirety of the **place**, including the **setting**;

(v) be prepared by objective professionals in appropriate disciplines;

(vi) consider the needs, abilities, and resources of **connected people**;

(vii) not be influenced by prior expectations of change or development;

(viii) specify **conservation** policies to guide decision making and to guide any work to be undertaken;

(ix) make recommendations for the **conservation** of the **place;** and

(x) be regularly revised and kept up to date.

15. Conservation projects

Conservation projects should include the following:

(i) consultation with interested parties and **connected people**, continuing throughout the project;

(ii) opportunities for interested parties and **connected people** to contribute to and participate in the project;

(iii) research into documentary and oral history, using all relevant sources and repositories of knowledge;

(iv) physical investigation of the **place** as appropriate;

(v) use of all appropriate methods of **recording**, such as written, drawn, and photographic;

(vi) the preparation of a **conservation plan** which meets the principles of this charter;

(vii) guidance on appropriate **use** of the **place**;

(viii) the implementation of any planned **conservation** work; (ix) the **documentation** of the **conservation** work as it proceeds; and

(x) where appropriate, the deposit of all records in an archival repository.

A **conservation** project must not be commenced until any required statutory authorisation has been granted.

16. Professional, trade, and craft skills

All aspects of **conservation** work should be planned, directed, supervised, and undertaken by people with appropriate **conservation** training and experience directly relevant to the project.

All **conservation** disciplines, arts, crafts, trades, and traditional skills and practices that are relevant to the project should be applied and promoted.

17. Degrees of intervention for conservation purposes

Following research, **recording**, assessment, and planning, **intervention** for **conservation** purposes may include, in increasing degrees of **intervention**:

(i) **preservation**, through **stabilisation, maintenance**, or **repair**;
(ii) **restoration**, through **reassembly**, **reinstatement**, or removal;
(iii) **reconstruction**; and (iv) **adaptation**.

In many **conservation** projects a range of processes may be utilised. Where appropriate, **conservation** processes may be applied to individual parts or components of a **place** of **cultural heritage value**.

The extent of any **intervention** for **conservation** purposes should be guided by the **cultural heritage value** of a **place** and the policies for its management as identified in a **conservation plan**. Any **intervention** which would reduce or compromise **cultural heritage value** is undesirable and should not occur.

Preference should be given to the least degree of **intervention**, consistent with this charter.

Re-creation, meaning the conjectural **reconstruction** of a **structure** or **place**; replication, meaning to make a copy of an existing or former **structure** or **place**; or the construction of generalised representations of typical features or **structures**, are not **conservation** processes and are outside the scope of this charter.

18. Preservation

Preservation of a **place** involves as little **intervention** as possible, to ensure its long-term survival and the continuation of its **cultural heritage value**.

Preservation processes should not obscure or remove the patina of age, particularly where it contributes to the **authenticity** and **integrity** of the **place,** or where it contributes to the structural stability of materials.

i. Stabilisation

Processes of decay should be slowed by providing treatment or support.

ii. Maintenance

A **place** of **cultural heritage value** should be maintained regularly. **Maintenance** should be carried out according to a plan or work programme.

iii. Repair

Repair of a **place** of **cultural heritage value** should utilise matching or similar materials. Where it is necessary to employ new materials, they should be distinguishable by experts, and should be documented.

Traditional methods and materials should be given preference in **conservation** work.

Repair of a technically higher standard than that achieved with the existing materials or construction practices may be justified only where the stability or life expectancy of the site or material is increased, where the new material is compatible with the old, and where the **cultural heritage value** is not diminished.

19. Restoration

The process of **restoration** typically involves **reassembly** and **reinstatement,** and may involve the removal of accretions that detract from the **cultural heritage value** of a **place**.

Restoration is based on respect for existing **fabric,** and on the identification and analysis of all available evidence, so that the **cultural heritage value** of a **place** is recovered or revealed. **Restoration** should be carried out only if the **cultural heritage value** of the **place** is recovered or revealed by the process.

Restoration does not involve conjecture.

i. Reassembly and reinstatement

Reassembly uses existing material and, through the process of **reinstatement**, returns it to its former position. **Reassembly** is more likely to involve work on part of a **place** rather than the whole **place**.

ii. Removal

Occasionally, existing **fabric** may need to be permanently removed from a **place**. This may be for reasons of advanced decay, or loss of structural **integrity**, or because particular **fabric** has been identified in a **conservation plan** as detracting from the **cultural heritage value** of the **place**.

The **fabric** removed should be systematically **recorded** before and during its removal. In some cases it may be appropriate to store, on a long-term basis, material of evidential value that has been removed.

20. Reconstruction

Reconstruction is distinguished from **restoration** by the introduction of new material to replace material that has been lost.

Reconstruction is appropriate if it is essential to the function, **integrity**, **intangible value**, or understanding of a **place**, if sufficient physical and documentary evidence exists to minimise conjecture, and if surviving **cultural heritage value** is preserved.

Reconstructed elements should not usually constitute the majority of a **place** or **structure**.

21. Adaptation

The **conservation** of a **place** of **cultural heritage value** is usually facilitated by the **place** serving a useful purpose. Proposals for **adaptation** of a **place** may arise from maintaining its continuing **use**, or from a proposed change of **use**.

Alterations and additions may be acceptable where they are necessary for a **compatible use** of the **place**. Any change should be the minimum necessary, should be substantially reversible, and should have little or no adverse effect on the **cultural heritage value** of the **place**.

Any alterations or additions should be compatible with the original form and **fabric** of the **place,** and should avoid inappropriate or incompatible contrasts of form, scale, mass, colour, and material. **Adaptation** should not dominate or substantially obscure the original form and **fabric**, and should not adversely affect the **setting** of a **place** of **cultural heritage value**. New work should complement the original form and **fabric**.

22. Non-intervention

In some circumstances, assessment of the **cultural heritage value** of a **place** may show that it is not desirable to undertake any **conservation intervention** at that time. This approach may be appropriate where undisturbed constancy of **intangible values,** such as the spiritual associations of a sacred **place,** may be more important than its physical attributes.

23. Interpretation

Interpretation actively enhances public understanding of all aspects of **places** of **cultural heritage value** and their **conservation**. Relevant cultural protocols are integral to that understanding, and should be identified and observed.

Where appropriate, interpretation should assist the understanding of **tangible** and **intangible values** of a **place** which may not be readily perceived, such as the sequence of construction and change, and the meanings and associations of the **place** for **connected people**.

Any interpretation should respect the **cultural heritage value** of a **place**. Interpretation methods should be appropriate to the **place**. Physical **interventions** for interpretation purposes should not detract from the experience of the **place,** and should not have an adverse effect on its **tangible** or **intangible values**.

24. Risk mitigation

Places of **cultural heritage value** may be vulnerable to natural disasters such as flood, storm, or earthquake; or to humanly induced threats and risks such as those arising from earthworks, subdivision and development, buildings works, or wilful damage or neglect. In order to safeguard **cultural heritage value**, planning for risk mitigation and emergency management is necessary.

Potential risks to any **place** of **cultural heritage value** should be assessed. Where appropriate, a risk mitigation plan, an emergency plan, and/or a protection plan should be prepared, and implemented as far as possible, with reference to a conservation plan.

Definitions

For the purposes of this charter:

Adaptation means the process(es) of modifying a **place** for a **compatible use** while retaining its **cultural heritage value. Adaptation** processes include alteration and addition.

Authenticity means the credibility or truthfulness of the surviving evidence and knowledge of the **cultural heritage value** of a **place.** Relevant evidence includes form and design, substance and **fabric**, technology and craftsmanship, location and surroundings, context and **setting**, **use** and function, traditions, spiritual essence, and sense of place, and includes **tangible** and **intangible values.** Assessment of **authenticity** is based on identification and analysis of relevant evidence and knowledge, and respect for its cultural context.

Compatible use means a **use** which is consistent with the **cultural heritage value** of a **place,** and which has little or no adverse impact on its **authenticity** and **integrity.**

Connected people means any groups, organisations, or individuals having a sense of association with or responsibility for a **place** of **cultural heritage value.**

Conservation means all the processes of understanding and caring for a **place** so as to safeguard its **cultural heritage value**. **Conservation** is based on respect for the existing **fabric**, associations, meanings, and **use** of the **place**. It requires a cautious approach of doing as much work as necessary but as little as possible, and retaining **authenticity** and **integrity**, to ensure that the **place** and its values are passed on to future generations.

Conservation plan means an objective report which documents the history, **fabric,** and **cultural heritage value** of a **place**, assesses its **cultural heritage significance,** describes the condition of the **place**, outlines **conservation** policies for managing the **place**, and makes recommendations for the **conservation** of the **place**.

Contents means moveable objects, collections, chattels, documents, works of art, and ephemera that are not fixed or fitted to a **place,** and which have been assessed as being integral to its **cultural heritage value**.

Cultural heritage significance means the **cultural heritage value** of a **place** relative to other similar or comparable **places**, recognising the particular cultural context of the **place**.

Cultural heritage value/s means possessing aesthetic, archaeological, architectural, commemorative, functional, historical, landscape, monumental, scientific, social, spiritual, symbolic, technological, traditional, or other **tangible** or **intangible values,** associated with human activity.

Cultural landscapes means an area possessing **cultural heritage value** arising from the relationships between people and the environment. **Cultural landscapes** may have been designed, such as gardens, or may have evolved from human settlement and land use over time, resulting in a diversity of distinctive landscapes in different areas. Associative **cultural landscapes**, such as sacred mountains, may lack **tangible** cultural elements but may have strong **intangible** cultural or spiritual associations.

Documentation means collecting, **recording**, keeping, and managing information about a **place** and its **cultural heritage value**, including information about its history, **fabric,** and meaning; information about decisions taken; and information about physical changes and **interventions** made to the **place**.

Fabric means all the physical material of a **place**, including subsurface material, **structures**, and interior and exterior surfaces including the patina of age; and including fixtures and fittings, and gardens and plantings.

Hapu means a section of a large tribe of the **tangata whenua**.

Intangible value means the abstract **cultural heritage value** of the meanings or associations of a **place**, including commemorative, historical, social, spiritual, symbolic, or traditional values.

Integrity means the wholeness or intactness of a **place**, including its meaning and sense of **place**, and all the **tangible** and **intangible** attributes and elements necessary to express its **cultural heritage value**.

Intervention means any activity that causes disturbance of or alteration to a **place** or its **fabric**. **Intervention** includes archaeological excavation, invasive investigation of built **structures,** and any **intervention** for **conservation** purposes.

Iwi means a tribe of the **tangata whenua**.

Kaitiakitanga means the duty of customary trusteeship, stewardship, guardianship, and protection of land, resources, or **taonga.**

Maintenance means regular and on-going protective care of a **place** to prevent deterioration and to retain its **cultural heritage value**.

Matauranga means traditional or cultural knowledge of the **tangata whenua**.

Non-intervention means to choose not to undertake any activity that causes disturbance of or alteration to a **place** or its **fabric**.

Place means any land having **cultural heritage value** in New Zealand, including areas; **cultural landscapes**; buildings, **structures,** and monuments; groups of buildings, **structures,** or monuments; gardens and plantings; archaeological sites and features; traditional sites; sacred **places**; townscapes and streetscapes; and settlements. **Place** may also include land covered by water, and any body of water. **Place** includes the **setting** of any such **place**.

Preservation means to maintain a **place** with as little change as possible.

Reassembly means to put existing but disarticulated parts of a **structure** back together.

Reconstruction means to build again as closely as possible to a documented earlier form, using new materials.

Recording means the process of capturing information and creating an archival record of the **fabric** and **setting** of a **place**, including its configuration, condition, **use**, and change over time.

Reinstatement means to put material components of a **place**, including the products of **reassembly**, back in position.

Repair means to make good decayed or damaged **fabric** using identical, closely similar, or otherwise appropriate material.

Restoration means to return a **place** to a known earlier form, by **reassembly** and **reinstatement**, and/or by removal of elements that detract from its **cultural heritage value**.

Setting means the area around and/or adjacent to a **place** of **cultural heritage value** that is integral to its function, meaning, and relationships. **Setting** includes the **structures**, outbuildings, features, gardens, curtilage, airspace, and accessways forming the spatial context of the **place** or used in association with the **place**. **Setting** also includes **cultural landscapes**, townscapes, and streetscapes; perspectives, views, and viewshafts to and from a **place**; and relationships with other **places** which contribute to the **cultural heritage value** of the **place**. **Setting** may extend beyond the area defined by legal title, and may include a buffer zone necessary for the longterm protection of the **cultural heritage value** of the **place**.

Stabilisation means the arrest or slowing of the processes of decay.

Structure means any building, standing remains, equipment, device, or other facility made by people and which is fixed to the land.

Tangata whenua means generally the original indigenous inhabitants of the land; and means specifically the people exercising **kaitiakitanga** over particular land, resources, or **taonga**.

Tangible value means the physically observable **cultural heritage value** of a **place**, including archaeological, architectural, landscape, monumental, scientific, or technological values.

Taonga means anything highly prized for its cultural, economic, historical, spiritual, or traditional value, including land and natural and cultural resources.

Tino rangatiratanga means the exercise of full chieftainship, authority, and responsibility.

Use means the functions of a **place**, and the activities and practices that may occur at the **place**. The functions, activities, and practices may in themselves be of **cultural heritage value**.

Whanau means an extended family which is part of a **hapu** or **iwi**.

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This revision incorporates changes in conservation philosophy and best practice since 1993 and is the only version of the ICOMOS New Zealand Charter approved by ICOMOS New Zealand (Inc.) for use.

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Appendix 3

HERITAGE NEW ZEALAND
POUHERE TAONGA

Significance Assessment Guidelines

Guidelines for Assessing Historic Places and Historic Areas for the New Zealand Heritage List/Rārangi Kōrero

Rebecca O'Brien, with Joanna Barnes-Wylie

Written by Rebecca O'Brien with Joanna Barnes-Wylie

Photographs: All photographs are credited to Heritage New Zealand Pouhere Taonga unless otherwise stated.

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Introduction

Purpose and audience

This guide is an internal document to assist Heritage New Zealand Pouhere Taonga ('Heritage New Zealand') staff and governance in applying the statutory criteria for the inclusion of historic places and historic areas on the New Zealand Heritage List/Rārangi Kōrero ('the List'). It also provides useful guidance on writing significance statements. This guide must be followed by Heritage New Zealand staff during the List entry process.

It has been over 20 years since the legislated criteria for assessing the heritage significance of historic places and areas were introduced in New Zealand. This guide draws on over two decades of practice, research and analysis undertaken by heritage practitioners using the criteria. It aims to make the findings from that period accessible to those preparing assessments in the future. It uses heritage places entered on the List to illustrate the guidance provided.

Objective 8 of the *Statement of General Policy: The Administration of the New Zealand Heritage List/Rārangi Kōrero*[1] specifies that historical and cultural heritage is entered on the relevant section of the List 'appropriate to its significance or value' and the 'definitions and criteria' provided in the Heritage New Zealand Pouhere Taonga Act 2014 ('HNZPT Act'). The three key aims of the guide are to:

1. Clarify what should be assessed under each criterion
2. Assist assessors to build robust cases
3. Clarify the threshold for significance, or special or outstanding significance.

This guide is not intended to call into question what has been assessed in the past. Every assessment that has resulted in an entry on the List has been sufficient for the purposes of entry. Instead, this guide aims to provide:

- A common basis for understanding the nature of each criterion and how they are related
- Consistency as to what should be assessed under each criterion
- Greater certainty as to what can make a robust case under each criterion.

Background and scope

The List identifies New Zealand's significant and valued historical and cultural heritage places. As it represents the heritage of all New Zealanders, the List should include heritage places of national, regional and local significance to people and communities across New Zealand.[2] Maintained by Heritage New Zealand and legislated under the HNZPT Act, the List is the same as the Register previously established under section 22 of the Historic Places Act 1993 ('HPA').

The List comprises five parts, as per section 65 of the HNZPT Act[3]

- Historic places
- Historic areas – an interrelated group of historic places
- Wāhi tūpuna
- Wāhi tapu
- Wāhi tapu areas.

Historic places are further divided into Category 1 and Category 2

- Category 1 historic places are places of special or outstanding historical or cultural heritage significance or value
- Category 2 historic places are places of historical or cultural heritage significance or value.

1 Heritage New Zealand, *Statement of General Policy: The Administration of the New Zealand Heritage List/Rārangi Kōrero*, 29 October 2015, p. 15, www.heritage.org.nz/resources/statements-of-general-policy (*Heritage New Zealand Statement of General Policy,* 2015).

2 Heritage New Zealand, *Statement of General Policy,* 2015, p. 12.

3 See the Glossary for full definitions of these terms.

Historic places may also include any chattel or object (or class of chattels or objects) in or on the place which is/are considered to contribute to its significance.

Note: this guide specifically covers the assessment of historic places and historic areas on the List in accordance with the criteria at sections 66(1) and 66(3) of the HNZPT Act, for the reasons noted above (under 'Purpose and audience'). It does not provide guidance on the assessment of wāhi tūpuna in accordance with the criteria at section 66(5) of the HNZPT Act, or guidance on the assessment of wāhi tapu or wāhi tapu areas for inclusion on the List under section 68 of the HNZPT Act.[4] It is intended that a separate guide (or guides) could be provided for these other List types in due course.

Structure

The guide has two parts

- Part One provides guidance on applying the 10 section 66(1) criteria in the HNZPT Act (see Figure 2). This section states that Heritage New Zealand may enter any historic place or historic area on the List if it is satisfied that the historic place or area meets any of these criteria.
- Part Two provides guidance on applying the 11 section 66(3) criteria in the HNZPT Act (see Figure 3). Historic places that qualify under the section 66(1) criteria must be tested against this second set of criteria ((a)-(k)) to establish whether they should be assigned Category 1 or Category 2 status.

Each criterion discussed in this guideline includes

- An introductory explanation
- Thresholds for inclusion
- Key questions
- Advice on what to avoid
- Illustrated examples.

New Zealand Heritage List/Rārangi Kōrero: List entry criteria

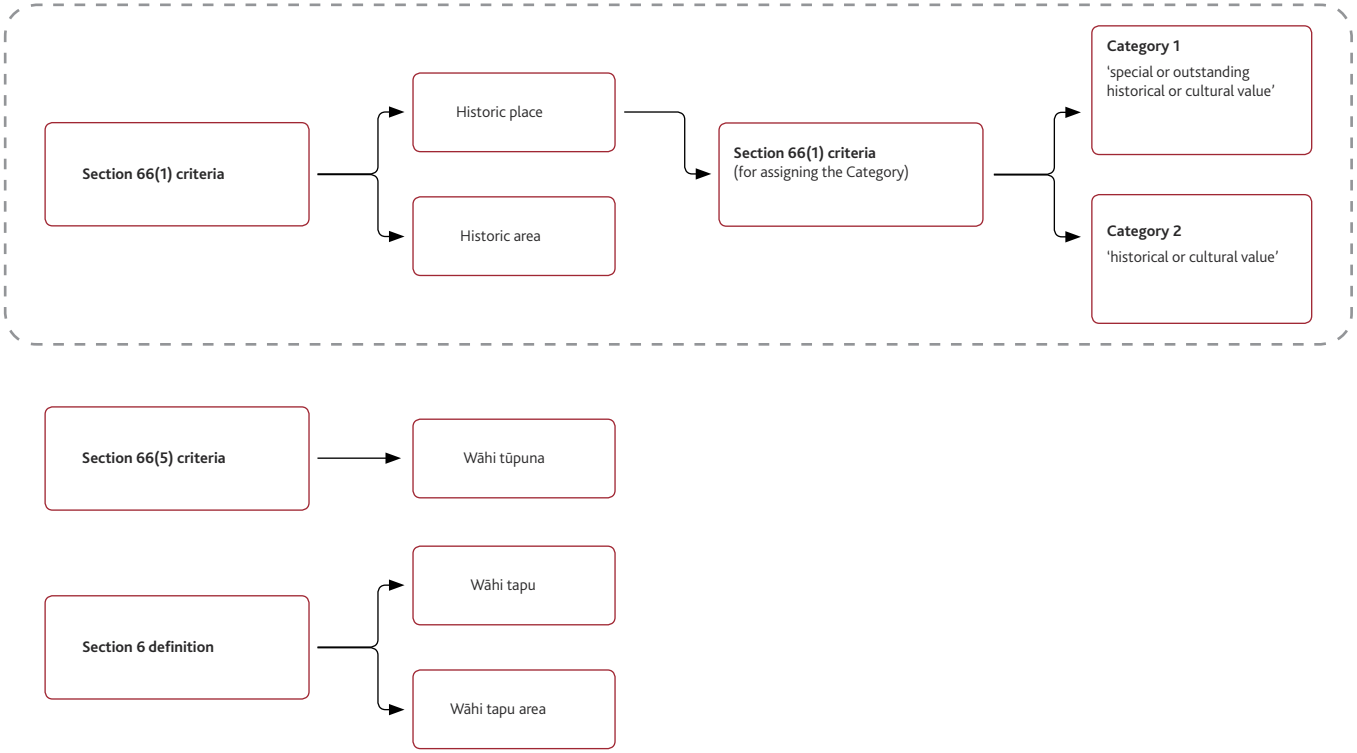


Figure 1: Diagram showing the List entry criteria specified in the HNZPT Act. This guide only covers the criteria bounded by the red dashed line.

The introductory explanations clarify the nature of each criterion and make apparent the differences between criteria. This should reduce the likelihood of repeating the same assessment under more than one criterion.

The *thresholds for inclusion* help to establish key factors that should be present for a case to be made under each criterion. Part Two of the guide provides two thresholds for each criterion – one for assigning Category 2 status and one for assigning Category 1 status.

The *key questions* are tailored to elicit the details that have contributed towards clear, robust and defensible statements in the past. In general, the initial questions identify key elements required to demonstrate the criterion applies to that historic place or area. Later questions focus on comparisons with other similar examples, or on characteristics that might affect the extent of significance. Responses to these questions should assist in determining whether the historic place or area is of sufficient significance to be included on the List and whether a case could be made for special or outstanding significance (in relation to Part Two of this guide).

4 The HNZPT Act does not provide criteria for the assessment of wāhi tapu or wāhi tapu areas.

The advice on what to avoid is based on an analysis of previous assessments and reflects issues that have arisen within each criterion.

The *illustrated examples* provide useful guidance on the application of each criterion to different types of heritage places.[5] Where possible, five to six examples are provided for each criterion. For selected criteria, there are fewer examples because we don't yet have many examples which demonstrate the clarified and/or broadened definitions provided in this guide.

Criteria and thresholds

'The discussion of heritage values using the terms aesthetic, historic etc is an approach aimed at teasing out the values in a methodical way.'[6]

Assessing degrees of significance

Thresholds identify levels of heritage significance or value. At the highest value, they may be 'special' or 'outstanding'. At the least value, there may be little or no heritage value, or even adverse or negative value. The degree of significance is established by assessing the historic place or area against criteria to explain why it is important.

A method is required to assess the level of significance for a historic place or area. An assessment is made where two factors are determined

- The nature of the heritage values ascribed
- The degree of their significance.

A historic place or area may be significant for some values and not others, and is unlikely to have significance under all criteria. A value may also be attributed to a historic place or area based on one particular component within it (as opposed to the entirety of the historic place or area having to demonstrate that value).

Criteria are tools. They break the significance of a historic place or area down into separate values so that the nature of that significance can be identified, isolated, analysed, compared and explained.[7] They help to bring rigour and structure to the assessment process.[8] Criteria address a range of values that combine to form a framework for analysing significance. A wide range of values helps avoid limiting the type of heritage that can be considered.

Criteria work in conjunction with thresholds of significance. Once the nature of a historic place or area's significance has been identified, the degree of significance within each criterion can be assessed to determine if it is at a level sufficient for inclusion on a heritage list, or to make a case for special or outstanding significance (historic places only).

The threshold for the inclusion of historic places and areas on the List is the ability to demonstrate significance or value under one or more of the following criteria: aesthetic, archaeological, architectural, cultural, historical, scientific, social, spiritual, technological or traditional.[9] Most historic places and areas reflect values under several of these criteria, but each criterion assigned to a historic place or area must be clearly supported by evidence to show that it meets the threshold for significance. Care needs to be taken to avoid ascribing value under too many criteria (unless the threshold is met in each case), as this can dilute the case for significance.

The HNZPT Act specifies that historic places that qualify under the section 66(1) criteria must be tested against a second set of criteria to establish whether they should be assigned Category 1 or Category 2 status, as previously defined. All historic places must be further identified as either Category 1 or Category 2. Historic areas are not tested against this second set of criteria as the status of Category 1 or 2 is limited to historic places only. There is no further categorisation of historic areas.

The difference between Category 1 and Category 2 is the extent or degree of historical or cultural heritage significance or value.[10] The HNZPT Act specifies that Category 1 historic places demonstrate significance or value to a 'special or outstanding' extent, but does not define these terms. The *Oxford English Dictionary* defines 'special' as 'of such a kind as to exceed or excel in some way that which is usual or common; 'exceptional in character, quality, or degree'; 'notable, important, distinguished'; and 'marked off from others of the kind by some distinguishing qualities or features.'[11] It defines 'outstanding' as 'standing out from the rest'; 'noteworthy; remarkable, exceptionally good.'[12]

The 11 criteria set out in section 66(3), listed from (a)-(k), are roughly related to the first set of criteria, but test the degree of historical or cultural heritage significance or value a historic place demonstrates. Some are tailored to ensure the List includes historic places that reflect aspects considered to be of particular importance in this country. Criteria (a)-(e) and (g)-(h) link to, and extend, assessments made under the first set of criteria. For instance, if you have assessed a historic place under scientific or archaeological significance, it is necessary to consider (c), which assesses the 'potential of the place to provide knowledge of New Zealand history.' Other criteria involve tests that are commonly used to

5 Nearly all illustrated examples have been taken from existing List reports, with the text summarised or paraphrased as appropriate for the purpose of this guide. In a very small number of cases, the illustrated examples have been expressly written for this guide, to best illustrate the guidance provided for each criterion. These examples are clearly footnoted as such.

6 Australia ICOMOS, *The Illustrated Burra Charter: good practice for heritage places,* 2004, p. 27, http://australia.icomos.org/publications/burra-charter-practice-notes/illustrated-burra-charter/

7 Collections Council of Australia, *Significance 2.0: a guide to assessing the significance of collections,* Commonwealth of Australia, 2009, p. 38, www.arts.gov.au/sites/g/files/net1761/f/significance-2.0.pdf; Kerr, James Semple, The Conservation Plan: a guide to the preparation of conservation plans for places of European cultural significance, Seventh Edition, 2013, Australia ICOMOS, p. 11, http://australia.icomos.org/publications/the-conservation-plan/; Australia ICOMOS, 2004, p. 79.

8 Heritage Council of Victoria, *Assessing the cultural heritage significance of places and objects for possible state heritage listing: the Victorian Heritage Register criteria and threshold guidelines,* 2012, p. 47, http://heritagecouncil.vic.gov.au/heritage-protection/criteria-and-thresholds-for-inclusion/

9 HNZPT Act, s. 66(1). Note that 'significance' and 'value' are used interchangeably in the legislation.

10 This paragraph is an updated version of paragraph 15 from: Challis, Aidan, 'Threshold tests for registration of historic places and historic areas', LT 2007/06/7 (iii), HP 36001-001, 11 June 2007, Alexander McIntosh Library, Heritage New Zealand Pouhere Taonga.

11 'special, adj., adv., and n.' *OED Online*, Oxford University Press, December 2014, www.oed.com, accessed 24 December 2014.

12 'outstanding, adj.' *OED Online*, accessed 4 January 2015.

establish significance, often by comparison with other similar examples. Criteria (f) (intactness), (i) (earliness), (j) (rarity) and (k) (context) could all be considered in this way.

Category 1 or Category 2 status can only be assigned if the place has significance or value in relation to one or more of these criteria. Category 1 status can only be assigned if a historic place demonstrates significance or value to a special or outstanding extent under one or more criteria. Most historic places will have significance or value under several of these criteria, although they may qualify for Category 1 status under just one criterion. Comparative analysis will be necessary when assigning Category 1 status to a historic place, and should be documented in the List report.[13]

Demonstrating significance

Assessment under different criteria may take into account the views of different groups – from iwi or hapū to community groups and experts in a particular field. These different views affect how the case for significance can be demonstrated. For instance

- Historical significance is about whether a historic place or area reflects the stories considered to be important to a country. Significance is demonstrated by reference to works that establish key trends, developments, periods and themes in New Zealand history.
- Aesthetic, architectural and technological significance, often labelled 'physical' values, generally reflect how well a historic place or area meets the ideals of a particular field or discipline, or further develops it. Significance is demonstrated by comparing the characteristics of the historic place or area against the ideals and aims of the particular form in which they were created. Consider aspects such as the expert opinion of practitioners from a relevant field and comparison with other similar examples.
- Social, cultural, traditional and spiritual values focus on the meaning that a historic place or area has for a defined community or group. Significance is demonstrated through the extent to which the value of the historic place or area to the group can be shown. Consider aspects such as the actions taken by the group to maintain or protect what gives the historic place or area meaning, or the extent to which they might be expected to experience a sense of loss if they were no longer able to engage with it in the way that gave it meaning to them.
- Archaeological and scientific value both reflect the research potential of the historic place or area that could be obtained by specialists or experts from a relevant field. Significance is demonstrated by the extent to which the historic place or area is likely to contribute important or new information through the use of archaeological or scientific methods. Consider aspects such as the expert opinion of practitioners from a relevant field, and comparison with other similar examples.

Factors or 'threshold indicators' such as authenticity and integrity, representativeness, rarity, intactness, strength of connection and age are also relevant in establishing how significant a historic place or area is. They are of relevance to both sets of criteria, but have the most application under the section 66(3) criteria used to determine whether a historic place should be assigned either Category 1 or Category 2 status.

- *Authenticity* means the 'credibility or truthfulness of the surviving evidence and knowledge of the cultural heritage value of a place.'[14] Historic places and areas with high levels of authenticity are exactly what they appear to be. Authenticity can be affected by unsympathetic modifications and factors such as extensive reconstructions that present new fabric as if it is old fabric.
- *Integrity* relates to the 'wholeness or intactness of a place'.[15] A historic place or area with a high level of integrity has all the characteristics required to express its significance or value. Integrity considers how much the values can be easily understood and appreciated,[16] which is important when ascribing value under any of the criteria. Characteristics can be both tangible and intangible. For instance, a particular use, such as regular services in a church, may be an important characteristic contributing to the spiritual and social value of a historic place for a community. Loss of this use may affect the integrity of the historic place and the values identified.
- *Representativeness* refers to the extent to which the historic place or area is representative of its 'type', such as a particular architectural style or movement, technological application or a particular phase of historic activity. Historic places and areas considered to be good representative examples will demonstrate a relatively complete range of characteristics/features associated with a particular type.[17]
- *Rarity* means the extent to which a historic place or area is considered rare. A historic place or area can be rare because it one of few remaining examples from a once larger group, or because it has features of note not widely replicated (and so has always been rare).[18] Comparative analysis plays a key role in considerations of rarity.
- *Intactness* considers the extent to which a historic place or area has retained the fabric which makes it significant. This is particularly important when assessing architectural and technological value, but also when assessing historical, archaeological, scientific and aesthetic significance.

13 Heritage New Zealand, *Statement of General Policy*, 2015, p. 21, policy 11.9.

14 *ICOMOS New Zealand Charter for the Conservation of Places of Cultural Heritage Value* (ICOMOS New Zealand Charter 2010), p. 9, https://www.icomos.org/images/DOCUMENTS/Charters/ICOMOS_NZ_Charter_2010_FINAL_11_Oct_2010.pdf; Marshall, Duncan, UNESCO, Preparing world heritage nominations, Second Edition, 2011, p. 60, http://whc.unesco.org/en/activities/643

15 ICOMOS New Zealand Charter 2010, p. 10; Marshall, 2011, p. 65.

16 Heritage Council of Victoria, 2012, p. 4.

17 New Zealand Historic Places Trust, Assessing historic places and areas for inclusion on the Historic Places Trust's Register: guidelines for interpreting registration criteria for historic places and historic areas, Antrim House, Wellington, New Zealand, 2001, p. 24-25.

18 Heritage Council of Victoria, 2012, p. 9.

Note: the HNZPT Act does not specify a minimum age for entries on the List, but there needs to have been a sufficient passage of time to allow an enduring association with the historic place or area to be formed, and for heritage values to become apparent.[19]

Writing a statement of significance

A statement of significance explains why a historic place or area is important. Its aim is to identify how a historic place or area qualifies under each criterion and present evidence demonstrating that the threshold for each criterion has been met. Significance statements should provide a transparent and reasonable case to justify the inclusion of a historic place or area on the List to decision-makers, heritage practitioners, owners, local authorities and the public. They also provide a sound basis for engaging interest in heritage, developing interpretation, and informing decisions on the conservation and protection of the values identified. Statements should be defensible, engaging, concise and written in plain English.

Significance derives from the meaning that people give to historic places and areas. Judgements about significance reflect what is considered important or valuable by a group of people at a given point in time.[20] The significance of a historic place or area can change if the constitution of the group or its values change, or if the place or area changes. Setting out the reasons that a historic place or area has been found to be important in a significance statement makes the quality of that decision transparent and forms the basis for reassessing values, if necessary.

It is not sufficient to claim that a historic place or area is significant without providing statements supporting that claim; the statements **must** be based on evidence. Evidence gathering and the completion of research are therefore essential to the preparation of any significance statement. For example, evidence should be provided to justify the extent to which the story of the historic place or area is significant or valuable. Age is important, but is only one factor. The extent to which the historic place or area is rare, unique or representative should be shown.

This guide focuses on how to draw conclusions about the meaning of a historic place or area once research has been completed. The questions set out under each criterion in this guide are intended to help build robust and defensible explanations about why historic places and areas are considered significant.

Things to avoid

- Using an adjective on its own to justify significance. For example, stating that a place is 'accomplished', 'elegant' or 'a fine example' is not sufficient. Adjectives and descriptors need an explanation to make them into an assessment.
- Vague descriptions which can make it more difficult to convey how important a place or area is. Be as precise as you can. For example, noting that a place reflects 'American domestic architecture' can be less useful than providing a specific style or movement, such as 'California bungalow'.
- Repeating all the evidence presented in your historical narrative or physical description.[21] Instead, summarise the evidence and focus on demonstrating why it matters.
- Repeating your comparative analysis. When using comparisons to support your significance assessment, consider whether it is necessary to list all remaining examples referred to in your research. Can you summarise by indicating numbers or by referring to key examples only?
- Basing your case on what might occur in the future. Significance assessments should reflect the significance of the place or area as it is at the time of assessment.
- Irrelevant detail which can cloud an argument for significance.

19 Heritage New Zealand, *Statement of General Policy*, 2015, p. 12.

20 Collections Council of Australia, 2009, p. 43.

21 Australia ICOMOS, *Guidelines to the Burra Charter: cultural significance,* 1998, http://australia.icomos.org/wp-content/uploads/Guidelines-to-the-Burra-Charter_-Cultural-Significance.pdf; Kerr, 2013, p. 18.

Part One: Applying the section 66(1) criteria

'Heritage New Zealand Pouhere Taonga may enter any historic place or historic area in the New Zealand Heritage List/Rārangi Kōrero if it is satisfied that the place or area has aesthetic, archaeological, architectural, cultural, historical, scientific, social, spiritual, technological or traditional significance or value.'[22]

While a historic place or area only has to meet one of the criteria to be eligible for List entry, it will usually satisfy multiple criteria. Due consideration should be given to all section 66(1) criteria in accordance with this guide, to determine which criteria will form part of the historic place or area's significance assessment.

Note: 'place' is used throughout Part One to refer to 'heritage places' more generally (covering both places and areas). Where specific reference is being made to a historic place as defined in the HNZPT Act, the appropriate terminology of 'historic place' will be used.

Section 66(1) criteria	Threshold for inclusion	Key questions
Aesthetic significance or value	The place has, or includes, aesthetic qualities that are considered to be especially pleasing, particularly beautiful, or overwhelming to the senses, eliciting an emotional response. These qualities are demonstrably valued, either by an existing community or the general public, to the extent that they could be expected to experience a sense of loss if the qualities which evoke the aesthetic value were no longer there.	1. What aesthetic qualities is the place recognised for? 2. How has the importance of the aesthetic qualities of the place been acknowledged or acclaimed by the community or group? 3. How do the aesthetic qualities compare with other places with similar qualities?
Archaeological significance or value	The place provides, or is demonstrably likely to provide, physical evidence of human activity that could be investigated using archaeological methods. Evidence obtained as a result of an archaeological investigation could be expected to be of significance in answering research questions, or as a new or important source of information about an aspect of New Zealand history.	1. Is the place likely to contain physical evidence of human activity that archaeological methods could locate or identify? 2. What aspect of New Zealand history could this evidence provide information about? 3. Is the physical evidence, located through archaeological methods, likely to provide **significant** evidence about this aspect of New Zealand history? 4. Is this place the only, or one of a very few, sites that can provide this evidence about New Zealand history?

22 HNZPT Act, section 66(1). These 10 criteria have distinct interpretations and should not be amalgamated or grouped together in significance assessments – a specific assessment is required under each criterion considered appropriate to the historic place or area. Note that the criteria are only grouped in Heritage New Zealand's Pātaka database (into historical, physical and cultural significance or value) for the convenience of data entry.

Section 66(1) criteria	Threshold for inclusion	Key questions
Architectural significance or value	The place reflects identifiable methods of construction or architectural styles or movements. When compared with other similar examples, or in the view of experts or relevant practitioners, it has characteristics reflecting a significant development in this country's architecture. Alternatively, or in conjunction with this, the place is an important or representative example of architecture associated with a particular region or the wider New Zealand landscape.	1. What method of construction or architectural style or movement does the place reflect? 2. Why is this construction method, style or movement of importance in New Zealand history? 3. How well does the place represent this method, style or movement compared to other places?
Cultural significance or value	The place reflects significant aspects of an identifiable culture and it can be demonstrated that the place is valued by the associated cultural group as an important or representative expression of that culture.	1. What culture is associated with this place? 2. How does this place reflect that culture? 3. How has the significance of the place as an important or representative expression of the culture been demonstrated?
Historical significance or value	The place contributes towards the understanding of a significant aspect of New Zealand history and has characteristics making it particularly useful for enhancing understanding of this aspect of history, especially when compared to other similar places.	1. What significant aspect of New Zealand history is the place related to? 2. What does the place contribute to the understanding of that aspect of New Zealand history? 3. How does the place's ability to contribute to the understanding of this aspect of history compare with other similar places?
Scientific significance or value	The place includes, or is demonstrably likely to include, fabric expected to be of significance in answering research questions or a new or important source of information about an aspect of New Zealand's cultural or historical past through the use of specified scientific methods of enquiry.	1. What information could be obtained through scientific methods of enquiry? 2. What fabric exists at the place that might help to provide this information? 3. How does its ability to provide information through scientific methods compare with other similar places?
Social significance or value	The place has a clearly associated community that developed because of the place, and its special characteristics. The community has demonstrated that it values the place to a significant degree because it brings its members together, and they might be expected to feel a collective sense of loss if they were no longer able to use, see, experience or interact with the place.	1. Is this a place that brings people together? 2. Is there an existing community associated with the place? 3. How has the community demonstrated that they value the place?

Section 66(1) criteria	Threshold for inclusion	Key questions
Spiritual significance or value	The place is associated with a community or group who value the place for its religious, mystical or sacred meaning, association or symbolism. The community or group regard the place with reverence, veneration and respect, and they might be expected to feel a collective sense of loss if they were no longer able to use, see, experience or interact with the place.	1. Is there a community or group who value the place for its religious, mystical or sacred meaning, association or symbolism? 2. How is the community or group's shared belief, faith or spiritual experience demonstrated at this place?
Technological significance or value	The place includes physical evidence of a technological advance or method that was widely adopted, particularly innovative, or which made a significant contribution to New Zealand history OR The place reflects significant technical accomplishment in comparison with other similar examples, or in the view of experts or practitioners in the field, and has characteristics making the place particularly able to contribute towards our understanding of this technology.	1. What technological advance or method does the place demonstrate? 2. What physically demonstrates the technology used? 3. Why is this technology of importance in New Zealand history? 4. How well does the place represent this technology compared to other places?
Traditional significance or value	The place reflects a tradition that has been passed down by a community or culture for a long period, usually generations and especially since before living memory, and has characteristics reflecting important or representative aspects of this tradition to a significant extent.	1. What community or culture has practised, or is the custodian of, the tradition that is associated with this place? 2. What tradition is associated with this place? 3. What physical aspects of the place reflect the tradition? 4. How is this place an important or representative expression of the tradition?

Figure 2: The 10 section 66(1) criteria in the HNZPT Act.

Aesthetic significance or value

Places appeal directly to our senses. Our experience of them is affected by the combination of sights, sounds, smells, feel and taste. Together, these create a sense of place. It is a place's combined effect on our senses that is the focus of this criterion.

Threshold for inclusion

The place has, or includes, aesthetic qualities that are considered to be especially pleasing, particularly beautiful, or overwhelming to the senses, eliciting an emotional response. These qualities are demonstrably valued, either by an existing community or the general public, to the extent that they could be expected to experience a sense of loss if the qualities which evoke the aesthetic value were no longer there.

Key questions to consider

1. What aesthetic qualities is the place recognised for?

The *Oxford English Dictionary* defines 'aesthetic' as the science of perception by the senses, the appreciation, perception, or criticism of that which is beautiful.[23] Traditionally the focus of this criterion has been beauty, based on the visual qualities of a place. Aesthetics is much broader than this though. It encompasses all the senses – it includes, but goes beyond, what is visual - and is therefore particularly suited to assessing places. Places of aesthetic significance are places that are generally held to be especially pleasing, particularly beautiful, or overwhelming to the senses. However, they may also be grotesque, harsh or awe-inspiring places.

Consider the aesthetic qualities of the place

- What sense(s) do they appeal to?
- How do they make people feel?
- Are they primarily visual?
- What creates the effect?
- Is it the colour, the light, the visual contrasts or continuities?
- What contribution does sound or smell make?
- Is the texture or feel of the place an essential element?

Note: taste is rarely referred to in assessments, but it may be a valued part of the experience of a place.

2. How has the importance of the aesthetic qualities of the place been acknowledged or acclaimed by the community or group?

Consider whether the general public, or a particular community or communities, values the place for its aesthetic qualities. You need to identify the community or group and state their association with the place as evidence. The association with, or esteem for, the place should generally be held, shared or recognised by the community or group.

Consider how the community or group has shown that it values the aesthetic qualities of the place. You need evidence that the aesthetic values are important to them. Evidence is commonly based on actions taken by the community or group. Indicators that have been used in the past include

- Demonstrations of community pride in the place, especially over a long period of time. This includes evidence that the aesthetic qualities of a place are well known as a source of creative inspiration for art forms such as literature, art or music, or widespread acknowledgement of the place as a destination due to its aesthetic values[24]
- Use of the place as reference point or as a symbol of the community because of its aesthetic qualities (e.g. the Church of the Good Shepherd at Lake Tekapō)
- Significant action, including community demonstrations or protests, letters to newspapers, publications and fundraising, if the aesthetic qualities of the place have been threatened with change (including a change in use) or demolition. There may also have been significant community action to protect, maintain or restore the aesthetic values of the place.

3. How do the aesthetic qualities compare with other places with similar qualities?

While this criterion is not solely about the visual qualities of a place, it is particularly suited to recognising the values of places that are, or feature, works of art and craft, including sculpture, stained glass, frescoes, ironmongery and woodcarving, as well as those that have been purposefully designed or crafted with specific aesthetic principles or ideas in mind. These works can be assessed against the ideals and aims of the particular form in which they were created. If the aesthetic qualities have been created or designed to achieve a particular effect, you can demonstrate these qualities are significant by showing they compare well against other similar examples, or by referencing the views of experts or relevant practitioners.

23 'aesthetic, n. and adj.' *OED Online*, accessed 23 August 2014.

24 Heritage Council of Victoria, 2012, p. 11.

Consider the following

- What are the art, design or craft ideals?
- How successful is the aesthetic effect created when compared to the established art, design or craft ideals?
- How successful is it when compared to other remaining examples?
- Has the effect achieved critical recognition by experts or practitioners in the field?[25]

Note: good and sound workmanship is unlikely to be sufficient – the art or craftwork should be noteworthy in its field.[26]

As proof of accomplishment or excellence in design, refer to evidence such as

- Acknowledgement of the place's importance from peers through, for instance, coverage in professional journals, or awards from the professional group, especially at the time it was designed or constructed
- Comparisons with other similar examples
- Widespread adoption of the aesthetic effect achieved (for innovative new aesthetic techniques).

Avoid

- Simply using an adjective to describe the place such as 'beautiful', 'picturesque' or 'grotesque'. Describe why it deserves the adjective
- Repeating the same statements under both architectural and aesthetic significance. Architectural significance should focus on the architectural characteristics of the place regarding construction methods or style or movement, whereas aesthetic significance is about the aesthetic qualities evoked by the architectural characteristics
- Focusing solely on the visual – aesthetics can affect other senses too.

25 Heritage Council of Victoria, 2012, p. 11.

26 'Guidelines for the classification of 'C' and 'D' buildings', Special meeting of the BCC, HP 234/1986 in Building classification procedures, 12001-018, vol. 2, Antrim House, Wellington, New Zealand.

Examples – aesthetic significance

At **Robert Lord Writers' Cottage** in Dunedin (Category 1, List No. 9274), Lord's alterations, such as the installation of built-in furniture suited to his height and the decorative scheme, evoke a powerful sense of his presence for visitors and in-residence writers alike. Lord's possessions also provide a strong sense of the man and a sense of interaction for other writers.

The six An Túr Gloine windows in the **Karori Crematorium and Chapel**, Wellington (Category 1, List No. 1399) are the most significant special features within these buildings. They have international importance as fine examples of the work of a highly regarded school of stained glass art.[27]

27 The Karori Crematorium and Chapel was entered on the List in 1988, prior to the introduction of the legislated criteria. The statement of aesthetic significance is derived from significance statements written as part of the original citation for this List entry, accessed via the List Online (see www.heritage.org.nz/the-list/details/1399).

Image: Minicooperd – Paul Le Roy, flickr.com

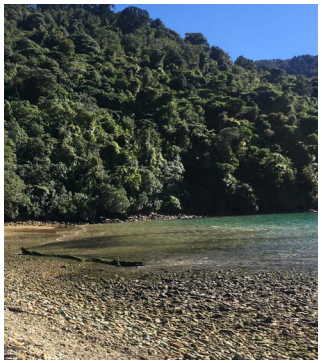
Image: Nick-D, Wikimedia Commons

The **Executive Wing** (the Beehive) (Category 1, List No. 9629) in Wellington is of special aesthetic significance. The building's unique and distinctive conical form makes it instantly recognisable to all New Zealanders, and it is an icon that is constantly employed as a symbol of the New Zealand Government. There is no denying the Beehive is a bold, striking element within the government centre. Visually arresting from many viewpoints around the northern end of the Wellington CBD, it is also a dominant structure in the capital's urban environment.

Image: Derek Smith – Travelling Light, flickr.com

The **Northern Cemetery** (Category 1, List No. 7658) in Dunedin has high aesthetic value arising from the combination of handsome funerary monuments, a calm and melancholy air of decay, ornamental and wild indigenous and introduced plantings, winding paths, its picturesque situation in the Town Belt and views over the city and harbour. Such a combination is rare in New Zealand, and is largely due to the fact that the cemetery was planned according to 19th century ideals of picturesque cemetery design.

The bush-clad, sheltered coastal environment of **Meretoto/Ship Cove**, Tōtaranui/Queen Charlotte Sound (Category 1, List No. 9900) has not changed markedly since the late 18th century. Early reservation of the site and a consequent lack of development preserved the scenic qualities warmly appreciated by James Cook and his fellow voyagers. Thickly clustered trees surrounding the cove that spill down to the water's edge, and the regenerated forest on the now predator-free Motuara Island, provide a safe home for the numerous bird species whose music enchanted Joseph Banks in 1770. The positive sensory experience created by the trees, birds, water and topography in concert are reminders of why Meretoto/Ship Cove became Cook's favourite New Zealand anchorage.



For many the interior world of a prison is a mysterious unknown, and the design of **New Plymouth Prison** (Category 1, List No. 903) reinforces this mythology. The blank expanse of the stone walls, topped with razor wire, presents an imposing, forbidding, sombre face which gives nothing away but hints at a plain, hard life of discipline; and here this aesthetic effect is contrasted with the intricacies and detail of the masonry finish. The high enclosing stone walls and the relatively intact interior of the old prison block convey the grim functional reality of the building, which has inspired artists and helped capture the imagination of the public.

Archaeological significance

Places of archaeological value can provide significant evidence about the history of New Zealand through archaeological methods of enquiry. Archaeological significance reflects the extent of the 'research' or 'evidentiary' value of places that can be defined as archaeological sites. The focus is on the extent to which a place is likely to provide new or additional information about a place, or aspect of history, that is not well documented or understood.[28]

Threshold for inclusion

The place provides, or is demonstrably likely to provide, physical evidence of human activity that could be investigated using archaeological methods. Evidence obtained as a result of an archaeological investigation could be expected to be of significance in answering research questions, or as a new or important source of information about an aspect of New Zealand history.

Key questions to consider

1. Is the place likely to contain physical evidence of human activity that archaeological methods could locate or identify?

Archaeological sites are defined in the HNZPT Act for the purpose of the archaeological authority process, and the definition includes a date of pre-1900. However, this pre-1900 date does not apply when considering archaeological value for the purpose of List entry.[29] For the purpose of List entry, any place in New Zealand, including any building, structure, or part of a building or structure, can be considered to be an archaeological site as long as it has particular qualities which meet the required thresholds.

Archaeological sites relate to human activity and must be capable of providing information about this activity through archaeological methods. This means it must be likely that there is physical evidence relating to human activity remaining at the place.

Consider the following

- What human activity has occurred in the place?
- Are there, or is it likely that there are, physical remains relating to that human activity remaining at this place?
- Why is it likely that there are physical remains?
- What are these remains?
- Is it likely that the use of archaeological methods of investigation would provide information about that activity or the place? Why?

Archaeological methods locate physical evidence that cannot be obtained through other methods of enquiry. Physical evidence may be buried or hidden and may only be discoverable through archaeological methods. Methods include non-invasive techniques such as ground-penetrating radar, standing building recording, aerial survey (including drones) and spatial artefact analysis. More invasive methods range from probing, sampling small areas of historic fabric, test-pitting, machine trenching or dismantling parts of exposed structures, through to partial or full excavation and the recording of a site.[30]

2. What aspect of New Zealand history could this evidence provide information about?

Focus on identifying the aspect of New Zealand history the place is likely to provide evidence about. What caused the site, and sites like it, to be created? What influenced its use? What prompted change?

Your case will be strengthened if you can demonstrate that the place will provide information about aspects of New Zealand history that are of particular importance. This is a requirement if the place dates from or after 1900, when you will need to show that the place provides evidence relating to the historical or cultural heritage of this country.[31] To make your case, consider whether there are aspects which might have had a great impact or made a major contribution, caused change, created turning points, or noticeably altered the circumstances of people here at the time. Or, can you make a strong case to show that the place is a representative example of a typical or common aspect of our history?

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28 Australia ICOMOS, *The Burra Charter and Archaeological Practice*, Version 1, November 2013, p. 7, http://australia.icomos.org/wp-content/uploads/Practice-Note_The-Burra-Charter-and-Archaeological-Practice.pdf

29 See Glossary for the HNZPT Act definition of an archaeological site.

30 Walton, Tony, 'Assessing the archaeological values of historic places: procedures, methods and field techniques', Science & Research Internal Report No. 167, Department of Conservation, New Zealand, 1999, p. 9; Note that the purpose of this criterion is not to suggest that these places should be subjected to invasive investigative techniques such as excavation.

31 HNZPT Act, ss. 6, 43(1).

3. Is the physical evidence, located through archaeological methods, likely to provide significant evidence about this aspect of New Zealand history?

'The key test that must be applied in understanding the scientific research values 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'.[32]

Your aim is to demonstrate that a place is of archaeological significance. The case will be strengthened if you can show that a place has provided and/or is likely to provide 'significant' evidence about an aspect of New Zealand history. The more significant the evidence is likely to prove, the stronger your case will be under this criterion.

What makes evidence significant? This is the ability to answer research questions, provide new information about the past, or to act as a significant example of a particular type of place. Factors that affect significance include the quality of the information that the place is expected to provide and how likely it is that the information could be found elsewhere. Consider the potential information quality of the place and indicate whether it has characteristics making it a particularly strong or important example.

Consider the following

- Is the place
  - A particularly intact or complete example? 'Intactness refers to the physical condition of an item. It is particularly relevant to archaeological sites in the sense of "undisturbed" sites, or areas which may be expected to yield well-provenanced archaeological deposits amenable to investigation and interpretation.'[33] Consider what state of preservation the site is expected to be in.
  - A particularly early example or does it date from a significant period?
  - Expected to include an extensive or diverse range of evidence relating to different periods, or activities or groups?[34]
  - Likely to include artefacts, collections or chattels that are associated with the place and also date from the same time period?
  - Part of a wider area of known archaeological sites?
- Does this type of place provide information on several aspects of a period of history?
- Has it been inhabited over a particularly long period of time?
- Does it, or is it expected to include, further remains from the period of significance?

4. Is this place the only, or one of a very few, sites that can provide this evidence about New Zealand history?

Compare the site to other remaining examples, indicating whether there are many other places able to provide similar information.

Consider the following

- Does the place have characteristics that may mean it is more useful as a source of evidence?
- Is it more intact, earlier or more extensive?
- How many of these kinds of sites might there have been?
- How many are there now?
- How likely it is that similar evidence could be found elsewhere?
- Can it be considered rare?

Avoid

- Focusing your argument solely on whether a place is an archaeological site as defined in the HNZPT Act (i.e. 'pre-1900'), or whether it has been recorded as an archaeological site by the New Zealand Archaeological Association. Be sure to discuss the value of the information it could provide
- Very general statements about the nature of the physical evidence. Be as precise as you can. Noting that a place 'includes physical evidence that archaeological methods could provide information about' is less useful than stating that the 'survey and mapping of stone walls and garden mounds of the garden could provide new information on horticultural systems used to grow kumara in the 15th and 16th centuries'. Vague statements can make it more difficult for you to convey how important the place is
- Ascribing archaeological significance
  - If there is unlikely to be any physical evidence relating to human activity, if there is physical evidence relating to human activity but the value or likely value of this evidence cannot be demonstrated, or if the place has been fully excavated
  - On the grounds that a well-known archaeologist has researched or excavated the place. Your focus is on the place itself and its research potential
  - Because of the place's key contribution to the development of archaeological research and understanding in New Zealand. It would be more appropriate to consider such places under historical significance.
- Using the same argument to ascribe both archaeological and scientific significance. Refer to the scientific significance criterion for further guidance.

32 Heritage Council, 'Archaeological assessment guidelines', 1996, p. 26; quoted in NSW Heritage Office/NSW Heritage Council, *Assessing significance for historical archaeological sites and relics,* 2009, p. 8, www.environment.nsw.gov.au/resources/heritagebranch/heritage/ArchSignificance.pdf

33 NSW Heritage Office/NSW Heritage Council, 2009, p. 9.

34 NSW Heritage Office/NSW Heritage Council, 2009, p. 11.

Examples – archaeological significance

The archaeological significance of the in-situ remains of Featherston **Military Training Camp** (Category 1, List No. 9661) on the outskirts of Featherston lies in their potential for recovering information about activities not represented in historical documents, such as the daily lives of the men who lived at the camp. There is also potential for archaeology to confirm or contradict received knowledge from the archival records and oral history, and thereby provide for an improved understanding of the events that took place at the site.

Ferntree Lodge in Dunedin (Category 1, List No. 368) has been continuously occupied since 1849, and has the potential to provide information about this early period of European settlement in Dunedin through archaeological methods. In particular, the surviving 1849 cottage could provide significant information about the building technologies of an early settler residence.

The deposits associated with large-scale reclamation at the Auckland **Timber Company Building** (Former) (Category 1, List No. 9583) have the potential to provide knowledge about reclamation processes during the mid-colonial period, and the main building itself can be considered to have archaeological value. The timberwork in the floors, roof and supporting columns have the ability to provide information about kauri timber processing in the early 1880s from a known sawmill site.

Symonds Street Cemetery, Auckland (Category 1, List No. 7753) has outstanding archaeological value as a rare early colonial cemetery, containing the buried remains of an estimated 10,000 or more individuals. Interments can reveal archaeological information about age, sex, ethnicity and general health, as well as burial practices, funerary custom and attitudes to death in 19th century colonial society.

The well-preserved archaeological landscape of the **Waikēkeno Historic Area** (List No. 7669) on the East Wairarapa Coast has the potential to provide information about the development of gardening practices in what is currently considered to be a marginal area for the cultivation of kumara. The possible relationship between the pā site and the cultivation areas and the urupā needs to be investigated, and there is much potential for information about exchange and interaction networks to be gathered.[35]

35 Macrons are used for Te Reo words throughout this guide as appropriate. In cases where a List entry with a Māori name should have a macron but doesn't (according to the formal List entry name approved by the Board), a macron has been added to ensure a consistent approach. This is the first such example – others occur throughout the illustrated examples.

Image: Crown Copyright, Department of Conservation Te Papa Atawhai (Kevin Jones, 1998)

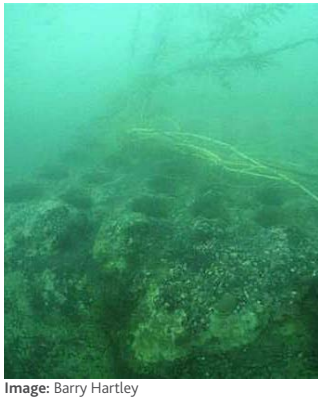


Image: Barry Hartley

The ***SS Alexandra*** **Wreck Site** at Pukearuhe, North Taranaki (Category 2, List No. 9520) is of special archaeological significance as a rare example of a wreck of a New Zealand Wars period vessel. The remains of the Alexandra (both the material components of the vessel and possible remaining artefacts) can potentially provide significant archaeological evidence relating to the construction and subsequent repair of the vessel and its machinery, the material culture of the passengers and crew, and the 1865 wreck event. Details of the vessel's form and appearance are also limited and the wreck site can provide additional information for this purpose.

Architectural significance

Architectural significance draws on both technological methods and aesthetic considerations and considers how successfully these two factors have been combined in a building.

The history of architecture is dominated by the development, adoption and adaptation of new methods of construction and 'styles' of arranging the structure and ornamentation.[36] Some of these construction methods or architectural styles or movements have featured strongly in New Zealand history.[37] Some places may be representative examples of construction methods and architectural styles or movements of significance in this history.

While the guidance for this criterion limits architectural significance to construction methods and architectural styles or movements, it should be acknowledged that there is a more liberal view within the architectural history field as to what constitutes 'architecture'. This includes vernacular architecture, which has been defined as 'the study of those human actions and behaviors [sic] that are manifest in commonplace architecture.'[38] Vernacular architecture is commonly interpreted through function or type (e.g. a bach/crib), rather than style, but it can be delineated according to a method of construction. The focus on architectural styles or movements and construction methods for assessing architectural significance means that examples of vernacular architecture are likely to be assessed under other criteria, such as historical or traditional significance.

Threshold for inclusion

The place reflects identifiable methods of construction or architectural styles or movements. When compared with other similar examples or in the view of experts or relevant practitioners, it has characteristics reflecting a significant development in this country's architecture. Alternatively, or in conjunction with this, the place is an important or representative example of architecture associated with a particular region or the wider New Zealand landscape.

Key questions to consider

1. What method of construction or architectural style or movement does the place reflect?

Identify the aspects of the building or structure that contribute to its architectural significance as precisely as you can, by referencing the specific construction method, architectural style or movement. Vague descriptions such as 'American domestic architecture' can make it more difficult for you to convey how important the place is.

Consider the following

- What is the nature of the building design or construction method?
- Has it been influenced by a particular style or styles, or architectural movement(s)?
- When was the style developed? Many buildings are eclectic in style and may represent 19th and 20th century revivals of earlier historical styles.[39]
- Is the design still intact? The more intact the place is, and the fewer changes there have been to its significant characteristics, the stronger your case will be.

2. Why is this construction method, style or movement of importance in New Zealand history?

It is important to provide contextual information about why the architecture matters. This could include assessing whether the place represents a turning point in New Zealand's architectural history, or if it is part of the common experiences of architecture widely recognised throughout the country as being an integral part of the New Zealand landscape.

Consider the following

- Did the place reflect new developments in architectural design at the time of construction?
- Did the place make a major contribution to New Zealand's architecture, or have a widespread influence?
- Does it reflect
  - A turning point or a major change in approaches to design?
  - Particular expertise or excellence?
- Has it achieved critical recognition by architectural experts or practitioners (i.e. has an enduring association been formed)?[40]
- Does the place represent a typical form of architecture that is generally recognised as being characteristic of a region or the wider New Zealand landscape?

36 'architecture, n.' *OED Online*, accessed 6 September 2014.

37 Both architectural 'styles' and 'movements' are referred to in the guidance for this criterion, noting that the concept of architectural style is more associated with the historical styles of the 19th century, and becomes increasingly less common as you move through the 20th century. Modernists, for example, promoted their architecture as 'a rejection of style' (Julia Gatley, personal communication, 9 June 2017).

38 Carter, Thomas and Cromley, Elizabeth Collins, *Invitation to vernacular architecture: a guide to the study of ordinary buildings and landscapes,* 2005, Knoxville: The University of Tennessee Press, p. xiv.

39 'Guidelines for the Use of Buildings Classification Criteria', Historic Buildings Committee, 7 June 1990 (HP173/1990), Buildings Classification Procedures, 12001-018, vol. 2, Antrim House, Wellington, New Zealand.

40 Heritage Council of Victoria, 2012, p. 11.

- Has this form of architecture been widely adopted or used over a long period in this country?
- Does this form of architecture employ particular materials, especially those of local or regional significance (e.g. Oāmaru stone, cob, schist)?
- Does it represent architecture or changes in architecture common to a particular period or building type in New Zealand history?[41]

3. How well does the place represent this method, style or movement compared to other places?

If the architectural qualities of the place have been created or designed within a recognisable style, movement or architectural form, you should demonstrate the significance of the architecture of the place by showing that it compares well against other examples, or that its design is recognised by experts in the field as being of significance.

Consider the following

- When compared against other remaining examples, does it have characteristics making it an important example of that architectural style, movement or period?
- Does it reflect elements of the style or movement particularly well?
- Does it reflect major changes in style or design or is it an early or influential example?
- Is it a strong representative example? (For example, does it reflect an architectural style, movement or form once common but now rare?)
- Is it more intact than the other remaining examples?
- Does it contribute towards a wider group of other buildings (specifically for historic places)?

Avoid

- Simply using an adjective to describe the design such as 'accomplished' or 'elegant', without any explanation. For instance, this sentence is not enough on its own: 'A fine example of a timber building in the Carpenter Gothic style from the late 19th century in Wellington'. What do you mean by fine? Why does this place deserve that adjective? Why are those descriptors relevant to its significance?
- Ascribing value under this criterion on the grounds a well-known architect designed the place. Your focus is on the architecture itself and its characteristics making it an important or representative example of their work
- Reproducing the physical description of the building or the history of the development of the style or movement in your assessment. Summarise the aspects that are important to its architectural significance
- Substituting a building type or use, such as 'bank' or 'church', for an architectural style or movement, or construction method.

41 'Guidelines for completing a nomination form', in 'Building Registration: Implementation Progress Report', HP330/1990 (Board, 13 December 1990) Buildings Classification Procedures, 12001-018, vol. 2, Antrim House, Wellington, New Zealand.

Examples – architectural significance

Emerald Villa, Auckland (Category 1, List No. 571) has special architectural value as an unusually well-preserved and possibly unique surviving example of a transitional building, which demonstrates the shift from Georgian to later Victorian architectural styles and the emergence of a New Zealand vernacular tradition.

College House, Christchurch (Category 1, List No. 7812) is an exemplar of modernist architecture in New Zealand and has outstanding architectural significance. Architects Warren and Mahoney fully applied the modernist principles of 'truth to materials' and form derived from function while drawing influence from the Oxbridge collegiate quadrangle model of tertiary residential buildings and the 'carpenter' tradition of colonial architecture in New Zealand.

St Mary's Catholic Church (Category 1, List No. 1705) in Hokitika is noteworthy as the only neo-classically designed church on the South Island's West Coast. Its classical frontage with portico entry flanked by coupled round and square Ionic columns supporting a tympanum, and imposing square tower topped with a circular drum and colonettes supporting a cupola, make it unique in this region. The church forms part of a group of neo-classical masonry Catholic churches of varying sizes in the South Island, all designed to be landmarks.

Image: Benchill, Wikimedia Commons

Dunedin Prison (Former) (Category 1, List No. 4035) is the best-known building of chief government architect (1889-1909) John Campbell in the Queen Anne Style. Echoing Norman Shaw's design for New Scotland Yard, the prison includes red brick elevations striped with white Oāmaru stone, cupola domes, white mouldings on the gable, English Tudor windows, and dormer windows in the roof. The prison also displays Campbell's skills in exquisite detailing.

The prison also has special and rare architectural value as one of the few prisons internationally that was built in a courtyard design. Research indicates that the former Dunedin Prison appears to be the only Victorian courtyard design in Australasia which is still in existence.

Castor Bay Battery and Camp/Te Rahopara o Peretu (Category 1, List No. 7265) in Auckland retains important examples of the 'architecture of deception' created during the Second World War to reduce the threat of aerial attack. The Battery Observation Post was designed to look like a beachside kiosk, and the surviving accommodation building like a typical state house. The site constitutes a rare survivor and the best-preserved example in New Zealand of the architecture of concealment, where form disguises rather than follows function.

The Lower Hutt Central Fire Station (Former), Lower Hutt (Category 1, List No. 9319) makes an important contribution to post-war Modernism – a dominant architectural movement in the Hutt Valley in the 1950s. It has special significance for its architectural design that blends the Modernist concepts of form and function into a harmonious and beautiful structure.

Cultural significance

A culture can be defined as a society or group characterised by shared ideas, values, customs, behaviours and products.[42] Places of cultural significance reflect the beliefs, values and behaviours of a cultural group.[43] They may be created by that culture, or simply valued by it. Such places might allow the group to maintain a way of life or behaviour, or a set of ideas accepted as appropriate, normal and necessary by it. They may be places where the cultural group consciously expresses itself, its identity, its values and its world views. They might also be valued because they support beliefs, values and attitudes shared by the group. Describing the importance of a place under this criterion is likely to require the support and participation of the cultural group for whom the place has special meanings and associations.[44]

Threshold for inclusion

The place reflects significant aspects of an identifiable culture and it can be demonstrated that the place is valued by the associated cultural group as an important or representative expression of that culture.

Key questions to consider

1. What culture is associated with this place?

It is essential to be able to identify the culture by the common set of values, ideas or behaviours the subject group has developed. Cultures and sub-cultures develop within nations, communities, organisations and age, ethnic and religious groups. Cultures might flourish within a single generation or develop over many generations. In this country, places most commonly attributed as having cultural significance include Māori cultural sites, those associated with New Zealand's national identity, and those connected with distinct migrant cultures.

2. How does this place reflect that culture?

To assess under this criterion you will need to consider and demonstrate how the place reflects the culture it is associated with. It might represent the culture or particular aspects of it, or serve as a symbol of the culture. Consider the extent to which the place reflects the culture and how it compares with other similar places.

Consider the following

- Is the place directly associated with or representative of the culture's distinctive characteristics, customs or practices?[45]
- Does the place allow the group to maintain a way of life, behaviours or a set of ideas of importance to their culture?
- Is it a place where people express their cultural identity, values and views? For example, does it reflect intellectual, artistic or sporting pursuits and achievements valued by a particular culture?[46] This includes places associated with literature, music, art or sport that are valued in New Zealand
- Is it a place that created, reflected, contributed towards or reinforced particular cultural beliefs, values and attitudes?
- Is it a place considered to reflect, have fostered or contributed towards cultural development, change or renewal? If so, you need to also consider how widespread its influence was based on supporting evidence.

42 'culture, n.' *OED Online,* accessed 3 November 2014

43 Kerr, 2013, p. 48. Note that cultural significance under the HNZPT Act is different from the wider concept of 'cultural heritage significance' as defined in the ICOMOS New Zealand Charter 2010, p. 9 (referring collectively to all of a place's assessed values). The two terms are not interchangeable.

44 Australia ICOMOS, 2004, p. 7.

45 'Guidelines for completing a nomination form'.

46 'Refinement of mind, taste, and manners; artistic and intellectual development. Hence: the arts and other manifestations of human intellectual achievement regarded collectively'; 'culture, n.' *OED Online,* accessed 3 November 2014.

3. How has the significance of the place as an important or representative expression of the culture been demonstrated?

Consider the following:

- Is the place
  - Considered to be a taonga/treasure of the culture's heritage or identity and how has this been demonstrated?
  - Considered to be a cultural icon or symbol and how has this been demonstrated? Is it widely recognised or held in esteem?
- Does it have characteristics making it particularly reflective or symbolic of a particular culture?
- How does it compare to other similar places?
- Has its importance to the culture been demonstrated by current use or importance in ceremonies or events, or in histories, music, literature, art or stories?

Avoid

- Loose associations with indeterminate groups, or those of very small numbers
- Ascribing significance under this criterion to places that are only of importance to a few people.

Examples – cultural significance

The **Scottish Hall**, Invercargill (Category 2, List No. 7760) has cultural significance as the meeting place for the Scottish community in Southland and Invercargill. The building was designed as a memorial to the pioneer Scottish settlers of Southland, and supported by members of the Scottish community throughout the area through subscription. The hall houses a specially constructed collection of crests and tartans representing 49 clans in the Southland area. In addition, it is home to the Burns Society and the Scottish Highland Dancing and Piping Society, representing Scottish cultural activities.

The **Lawrence Chinese Camp**, Lawrence (Category 1, List No. 7526) has cultural significance as a largely Chinese community within the European surrounds of Lawrence. It was a place where Chinese culture predominated, providing support for the wider Chinese goldfields population in the vicinity. Europeans largely entered the camp on Chinese terms and the history and images associated with it provide an interesting insight into the relationships and attitudes between the two communities. The camp's owners, Lawrence Chinese Camp Charitable Trust, have been instrumental in their efforts to preserve the site, to help to tell the story of the conditions faced by Chinese miners in the 19th century, particularly to the Chinese community.

St Werenfried's Church (Catholic) (Category 1, List No. 943) in Waihī contains a mixture of Māori and Catholic iconography and is an important part of the cultural context of this special village, the stronghold of the Tūwharetoa people. It has been decorated with a high level of skill and care which reflects the high cultural importance of the building to the local people. The church is an important part of the legacy of the Te Heuheu family, and reflects their history of commitment to the Catholic Church.

Ōtamahua / Quail Island Historic Area in Lyttelton Harbour / Whakaraupō (List No. 9552) has cultural significance to Ngāi Tahu. There is a particular connection between Ōtamahua / Quail Island and Aua / King Billy Island and Te Hapū o Ngāti Wheke (Rāpaki), who hold mana whenua. Ōtamahua, also known as Te Kawa-Kawa, was used by local Maori in Whakaraupō for customary activities such as collecting seabird eggs and fishing. Aua is culturally significant as the source of prized sandstone which was a grinding agent for pounamu and other stone implements.

Image: Shelley Morris, flickr.com

As the national headquarters for the training of Plunket nurses, **Truby King Harris Hospital (Former)** in Dunedin (Category 1, List No. 9659) has special cultural significance. It was the foundation for the Plunket ideas and associated culture of childrearing that has been a defining element in New Zealand's identity in the 20th century. Up until the 1960s, all Plunket nurses were trained at this hospital, and took the values and culture of that training to the community, promulgating Plunket's ideals of routine, diet and fresh air.

Devcich Farm, Kauaeranga (Category 1, List No. 9497) has strong cultural significance for its connections with Dalmatian settlement in New Zealand, and the efforts of migrant families to become established during the early 20th century. It has enhanced significance as a focal point for the Dalmatian community in the Kauaeranga Valley.

Historical significance

Places of historical significance tell the story of the past effectively because they reflect the beginnings, the trends, the developments, the turning points, and the endings of stories of importance in our history. These places will relate to important or representative aspects of New Zealand history, or will be associated with events, people and ideas of importance in this country.

All criteria can be considered from a historical perspective.[47] Regardless of whether a place reflects the field of science or architecture, society or archaeology, spirituality or technology, you can assess the place under historical significance if you are discussing important trends, developments or turning points in that field. For instance, Takiroa Historic Area is of importance for its archaeological value as a Māori rock art site, but also has historical value in the development of New Zealand archaeology because it was one of the earliest places in the country where archaeological recordings were made.[48]

Threshold for inclusion

The place contributes towards the understanding of a significant aspect of New Zealand history and has characteristics making it particularly useful for enhancing understanding of this aspect of history, especially when compared to other similar places.

Key questions to consider

1. What significant aspect of New Zealand history is the place related to?

Identify the themes, patterns, trends, development, process, period or stage in New Zealand's history that the place reflects. You then need to show how this aspect is significant in our history. Your case will be stronger if you can show it had a major influence on New Zealand history, or was typical of this aspect of history for a significant period of time. Thematic frameworks may assist here.

2. What does the place contribute to the understanding of that aspect of New Zealand history?

Identify and explain the significance of the place in relation to the aspect of New Zealand history you have identified. The more central the place is to the aspect of this history you have identified, the stronger your case is likely to be.

Consider the following:

- With respect to a theme, trend, development, period or stage in New Zealand history, does the place:
  - Reflect its beginnings?
  - Reflect its end?
  - Reflect a development within it, or a turning point within its development?
  - Serve as a catalyst, enabler or hindrance within its evolution?
  - Reflect a high point, low point or particular achievement within it?
- Is the place part of a wider area that explains aspects of a theme, trend, development, period or stage in New Zealand history?

3. How does the place's ability to contribute to the understanding of this aspect of history compare with other similar places?

You will be able to make a strong case if you have demonstrated that the place contributes significantly towards the understanding of an important aspect of New Zealand history. Evidence showing it has characteristics making it particularly useful for enhancing understanding of this aspect of history, especially when compared to other similar places, will also strengthen your argument. You will need to identify what characteristics make the place able to do this well and whether it does this better than others that reflect the same aspects of New Zealand history.

Consider the following

- Is the place
  - A particularly early example of its kind?
  - A rare remaining example in New Zealand?
  - Particularly intact?
  - Part of a wider area that has preserved the original context from the important period in New Zealand history?
  - Connected more closely with the aspect of New Zealand history you have identified than other examples?

47 Heritage Chairs and Officials of Australia and New Zealand (HCOANZ), *Protecting local heritage places: a national guide for local government and communities,* 2009, p. 43, www.heritage.vic.gov.au/__data/assets/pdf_file/0018/55521/Protecting-Local-Heritage-Places.pdf

48 Takiroa Historic Area, Duntroon, List No. 7769 (see: www.heritage.org.nz/the-list/details/7769).

- Does it feature typical changes from the time period more clearly than other places?

Avoid

- Listing the uses of a place as a substitute for explaining historical value
- Very general descriptions of historical themes or trends such as 'the development of law and order'
- Indirect or distant connections to an aspect of New Zealand history
- Relying solely on the length of time since constructed/in use to make your case
- Assigning rarity in the absence of any evidence to determine otherwise
- Repeating the historical narrative.

Examples – historical significance

Image: Minicooperd – Paul Le Roy, flickr.com

Wrights Hill Fortress, Wellington (Category 1, List No. 7543) has historical significance for the insight it provides into the New Zealand response to the threat posed by the Second World War. The site contains the biggest land-based defensive batteries ever erected in New Zealand. They were part of a massive construction programme to secure the New Zealand coastline from attack when the arena of war shifted to the Pacific in 1942.

Port Craig Sawmill and Settlement at Port Craig, Fiordland (Category 1, List No. 9234) has special historical significance as the site of a sawmilling venture unsurpassed both in its scale and investment in New Zealand, and also pioneering in its harnessing of American technology not previously used in the country. At its peak, the milling operation was producing timber faster than any other mill and it represented the pinnacle of the indigenous milling industry.

Made possible by a bequest from Charles Rooking Carter, an important figure in the history of Wairarapa settlement, **Carter Home**, Carterton (Category 1, List No. 7663) is an important marker in the development of the provision of housing for the elderly. It provides concrete evidence of the living conditions in an early retirement institution.

Arahina Historic Area, Marton (List No. 7627) has historical significance principally for its association with the Girl Guides Association in New Zealand. The Association has had a major impact on the lives of many young New Zealand women, and as a training centre this building played a large role in that history.

Seacliff Lunatic Asylum Site (Category 1, List No. 9050) at Seacliff north of Dunedin is of outstanding historic significance, drawing together the strands of social and medical history in New Zealand and the treatment of those judged to be mentally ill. The history of the place represents the changing history of medical practice and also the experiences of those who lived out their lives in the institution, or who were only briefly incarcerated.

House, Lower Hutt (Category 2, List No. 3582) has historical significance as one of the first state houses built under the Workers' Dwelling Act 1905, the first large-scale central government initiative to provide affordable housing to low-income working families.[49]

49 This place was entered on the List in 1984, prior to the introduction of the legislated criteria. The statement of historical significance has been taken from a 2001 information upgrade report completed for the List entry, accessed via the List Online (see www.heritage.org.nz/the-list/details/3582).

Scientific significance

A place of 'scientific' significance is one where scientific methods of enquiry are considered likely to provide new information about the past. They have the 'potential to provide information by research about past human activity and/or technical data about its fabric.'[50] Scientific significance is generally interpreted in heritage as being a place's 'research' or 'evidentiary' value. It is not enough for the place to solely have a connection with science or scientific enquiry, such as a scientific laboratory. Such places may be able to be assigned under other criteria such as historical or technical significance.

Scientific methods of enquiry have contributed significantly to what is known about the past. The scientific method uses techniques that rely on experimentation and systematic observation to create measurable and repeatable results.

This criterion has not been widely used in significance assessments, possibly due to the overlap with archaeological significance. Scientific and archaeological significance overlap in that archaeology also uses scientific methods of enquiry to provide new information about the past.[51]

In assessing whether an archaeological site qualifies under scientific or archaeological significance, consider the specific method(s) of enquiry and the type of information that could be obtained. For example, if the analysis of physical evidence would require methods such as open-area excavation (opening up of large horizontal areas for excavation) and artefactual and faunal analysis, consider it under archaeological significance. If the analysis of physical evidence would involve methods such as x-ray fluorescence or isotope analysis, consider it under scientific significance. Do not ascribe under both criteria.

Threshold for inclusion

The place includes, or is demonstrably likely to include, fabric expected to be of significance in answering research questions or a new or important source of information about an aspect of New Zealand's cultural or historical past through the use of specified scientific methods of enquiry.

Key questions to consider

1. What information could be obtained through scientific methods of enquiry?

Identify the nature of the information sought through scientific methods. Scientific techniques can date sites and fabric to a specific time period, establish the composition and provenance of fabric, and indicate what environmental, nutritional and health conditions people faced. Dating techniques include radiocarbon dating of organic material, dendrochronology, which is used to date wood, and thermoluminescence and optically-stimulated luminescence, which establish when inorganic materials such as pottery, lava or minerals were last heated or exposed to the sun. Techniques establishing the composition or origins of fabric include X-ray fluorescence and chemical analysis. Dendrochronology, genetic analysis and isotope analysis of organic remains can provide information about the climate, diet and diseases people experienced. Some techniques such as paint analysis can be used to both date fabric and reveal information about its origins and composition.

2. What fabric exists at the place that might help to provide this information?

Identify fabric located at the place that makes it a particularly useful source for analysis. Fabric can include organic remains such as wood or bone, and inorganic remains such as ceramics, metal, stone or lava. Look for characteristics such as whether the fabric's provenance is known, its condition, integrity, context and any supporting supplementary evidence. The greater the certainty about the provenance of the fabric, the more useful it is likely to be.

3. How does its ability to provide information through scientific methods compare with other similar places?

Consider the following

- Are there other places that could have similar fabric and might be better sources of information?
- Does the place have characteristics making it a particularly strong or important example when compared to other similar examples?
- How rare is it?
- Does it contain particularly early fabric?
- Can its history be understood more easily because the place is a particularly complete or extensive example of its kind?
- Is it largely unaltered or in close to its original form and layout?
- Are there objects directly related to its significance that add further opportunities for understanding the place?
- Is there other supporting material available that could help with the analysis of the place?

50 'Definition of criteria clause 21(1) of Historic Places Bill', NZHPT Board, 25 February 1993 (BD1993/2/15), Antrim House, Wellington, New Zealand. Appendix 1: Definition of criteria in 21(1) of Officials' Report on Historic Places Bill.

51 In other jurisdictions such as the State of Queensland, archaeological significance is considered under scientific significance – it does not have its own criterion. Refer to Department of Environment and Heritage Protection, *Assessing cultural heritage significance: using the cultural heritage criteria*, 2013, www.qld.gov.au/environment/assets/documents/land/heritage/using-the-criteria.pdf

Avoid

- Using this criterion
  - Solely on the basis a place has a connection with science or scientific enquiry. If the use of scientific methods of enquiry would not contribute to our understanding of human settlement, life and culture, do not ascribe significance under this criterion.
  - Because the place is the location of a great scientific discovery, breakthrough or achievement: It will usually be more appropriate to consider it under historical significance.
- Ascribing significance under this criterion if the place is, or could be, used to uncover information primarily about natural phenomena. To qualify for the List, places must be of significance for their cultural or historical heritage value.

Examples – scientific significance

Tahanga Quarries, Opito (Category 1, List No. 9419) has scientific significance for its ability to provide information about the past through means such as the geochemical analysis of its basalt and basalt products. Geochemical analysis can source basalt products to different locations in the Tahanga complex, potentially providing knowledge about organisation, distribution and chronology.

Camp House, Egmont/Taranaki National Park (Category 1, List No. 7233) was made of heavy gauge galvanised wrought iron in 1855 and has been the subject of various scientific tests and articles. The building holds much valuable information on the manner and method of prefabricated buildings and on the process of galvanising iron.

Social significance

Places of social significance bring people together and matter to existing communities. The purpose of this criterion is to identify places that create the space and opportunity for people to form bonds with each other. They have meaning primarily for the people who use them. They are valued because the relationships that are formed there are valued – they provide the soil for the seeds of community to grow.

Places of social value cross into the territory of heritage value where they have particular characteristics making the sense of community they develop feel special, individual and irreplaceable to that community. This is where the bonds created in a place feel dependent on the particular characteristics of that place being retained.

Places that represent 'a way of life' can fit well under this criterion. Places with social significance matter to communities now due to the bonds the places created either in the past or present.

Threshold for inclusion

The place has a clearly associated community that developed because of the place, and its special characteristics. The community has demonstrated that it values the place to a significant degree because it brings its members together, and they might be expected to feel a collective sense of loss if they were no longer able to use, see, experience or interact with the place.

Key questions to consider

1. Is this a place that brings people together?

To make a case under this criterion, you need to show how the place brings people together. Places can bring people together physically, and they can create a sense of community by giving them experiences in common. Some places are designed for people to spend time together; others are created accidently.

Consider where people are at leisure, where they meet, where they regularly stop and talk. Socially significant places allow people with similar lifestyles, work, backgrounds, interests or stages of life to come together to socialise. Farmers' markets and A&P showgrounds, lodges and clubs, picture theatres, pubs and social halls, the school gate, department stores and shops, parks, gardens, sports facilities and playgrounds all create opportunities and spaces for people with common interests to establish a sense of community.

Consider places that

- Give people experiences in common
- Help people to contact each other
- Act as a marker or icon for a community
- Play a role in the identity of distinctiveness of a community.

2. Is there an existing community associated with the place?

Is there an existing community associated with the place because of the bonds created there in the past or that are still being created there now? To identify communities that have formed or been affected by the place, look at who used or uses it. Consider who they were, what brought them to the place and who was part of the group.

What communities were created at the place? Were they club members? Team members? Pupils? Trainees? Staff members? What communities strengthened their social bonds because of the place?

3. How has the community demonstrated that they value the place?

Does this place have characteristics making it feel special, individual and irreplaceable to the people who use it or that used it in the past? Has its importance become more meaningful than just the utility or service that it provides? Is the particular experience that the place provides part of its importance? Would the people who have created communities around the place feel a collective sense of loss if they were no longer able to use, see, experience or interact with it?[52]

Indicate how the community who uses the place has demonstrated its importance to them. To make a case, you need evidence of an attachment.[53] Check that nothing has occurred within the community, or to that place, since the evidence of the attachment was obtained that might result in the meaning being lost. Gauging whether or how greatly users might experience this sense of loss is difficult for people who are not part of the community. Often, evidence that the place is of social significance has been based on the actions taken by people to protect it when the place has

52 The idea of a 'collective sense of loss' comes from Chris Johnston. Australian Heritage Commission, *What is social value?*, 1992, pp. 13-15, www.contextpl.com.au/wp-content/uploads/2014/06/What_is_Social_Value_web.pdf

53 Department of Environment and Heritage Protection, 2013, p. 58; Walker, Meredith, *Protecting the social value of public places,* Australian Council of National Trust, 1998, p. 101.

been threatened with change, demolition or a change of use, such as demonstrations or protests. Where places have not been threatened, other evidence can be found. Indicators that have been used in the past include

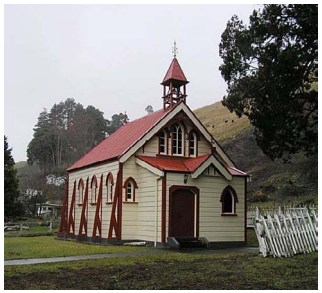
- Significant action by the community to protect, maintain or restore the place
- Continuing use over a long period of time
- Demonstrations of pride in the place, especially over a long period of time.

Avoid

- Ascribing significance under this criterion if the social value the place once had no longer matters to people living today. Note that a change of use does not necessarily mean that a place no longer has social value. Places might still be valued today because of the bonds that they created in the past.
- Presuming that because a place brings people together, that those people value the experience. Consider whether places that bring people together against their will or preference are necessarily of social value to them. Your case will be stronger if you provide evidence that is specific to the place to show that the people associated with it hold it in particular affection.
- Ascribing social value to places that
  - Are primarily of utility or amenity value, unless they clearly meet the threshold for inclusion. These are places that could generally be replaced with another serving a similar function without the community experiencing a sense of loss
  - Prompted or reflect social change. These are often better represented under historical significance. Social significance is different to social history[54]
  - Draw only a single family together
  - Reflect how society or social groups within society functioned in the past.

54 Australia ICOMOS, *Understanding and assessing cultural significance*, Practice Note Version 1, November 2013, p. 8, http://australia.icomos.org/wp-content/uploads/Practice-Note_Understanding-and-assessing-cultural-significance.pdf

Examples – social significance



Whitikaupeka Church, Moawhango (Category 1, List No. 948) has played a prominent role in the social life of the Moawhango community throughout its history. It was the focus for important religious and social milestones for the community, such as baptisms, weddings and funerals. This place has been well maintained and conservation work in the mid-1990s is further evidence of the community's ongoing regard for it.

The 1938 **Motueka Saltwater Baths** (Category 2, List No. 7617) are socially significant for the numerous community attempts to protect and upgrade them using volunteer labour. When the baths were threatened with demolition in 2003, community volunteers again came to the rescue with a petition and publicity campaign to save them.

Queens Gardens, Nelson (Category 2, List No. 7689) were intended to promote social interaction, relaxation and enjoyment for the citizens of, and visitors to, Nelson. Their continued use and development for more than 125 years indicates that they continue to fulfil this essential purpose. The people of Nelson have cared for, discussed and debated the development of them for decades, and the development of the spaces within them reflects the attachment of the different community groups within the city.

The **Rob Roy Hotel (Former)** (Category 2, List No. 636) in Auckland has strong social significance as a place of gathering and social congregation in Freemans Bay since the 1880s. Its value to the local and wider Auckland community was demonstrated in 2010 when they successfully advocated for returning the hotel to its original position following the completion of the Victoria Park tunnel.

For over a century **Wanganui Collegiate School** (Category 1, List No. 9620) has housed and trained boys, and since 1990 has provided education for girls as well. The school's House system has entrenched a sense of community among students and as a result there is a strong Old Boys and Girls tradition. This shared sense of identity has translated into successive generations of families attending the school and manifests itself in the numerous building projects the Wanganui Collegiate School Old Boys and Girls Association have funded, particularly for the Chapel.

Aratapu Public Library (Former), Dargaville (Category 2, List No. 9947) is held in high public esteem by the Dargaville community. They fundraised and applied for grants and loans to have the building relocated to Harding Park. The building has been restored with voluntary labour and is currently used to showcase the musical heritage of the Kaipara area.

Spiritual significance

Places of spiritual significance are not limited to those associated with organised religious institutions. Modern spirituality has a much broader definition, encompassing both non-secular (religious) and secular spirituality.

The spiritual significance of a place is the value its religious, mystical and/or sacred meaning, association or symbolism has for a community or group.[55] Such places are imbued with spiritual meaning through a shared spiritual belief, faith or experience. They are regarded with reverence and are venerated and respected. Spiritual places may be created as expressions of faith and belief, or they may have existed and been given spiritual meaning at a point in time. The spiritual importance of a place can be created, removed, strengthened or weakened. Time, events, people or ideas can transform the spiritual meaning of a place.

Note: if the place is primarily of significance to Māori for its sacred or spiritual value, or for its association with ancestors, it may be appropriate to consider it for entry on the List as a wāhi tapu, wāhi tapu area or wāhi tūpuna.

Threshold for inclusion

The place is associated with a community or group who value the place for its religious, mystical or sacred meaning, association or symbolism. The community or group regard the place with reverence, veneration and respect, and they might be expected to feel a collective sense of loss if they were no longer able to use, see, experience or interact with the place.

Key questions to consider

1. Is there a community or group who value the place for its religious, mystical or sacred meaning, association or symbolism?

The people whose shared belief, faith or spiritual experience gives a place meaning determine whether a place has spiritual significance. The community or group must be an existing one with a shared belief, faith or spiritual experience that is associated with the place.

Places may have different meanings for different communities and groups. Identify and describe each community/group that has an association with the place through their shared faith, belief or spiritual experience. A place may have meaning to more than one community or group.

2. How is the community or group's shared belief, faith or spiritual experience demonstrated at this place?

Generally, the importance of a place under this criterion relies on the support and participation of the community or group for whom the place has spiritual meaning, association or symbolism. With respect to religious spirituality, worship and the expression of faith is the focus of places commonly assessed for heritage significance, including churches, synagogues and mosques. Such places are often assessed for heritage significance on the basis of non-religious factors, including architectural, aesthetic and historical value. However, spiritual significance should be considered in each case. In terms of secular spirituality, a community or group may share a spiritual experience at a place due to a significant event that occurred there, or through the place's association with a person/people of importance to that community or group.

In some cases, spiritual significance may become the primary reason for entry on the List. In these cases, the place may be considered by the community or group to be a particularly important manifestation of faith or belief that is valued in its own right for this reason.

Consider the following

- Is it a place
  - Dedicated to, consecrated for, or integrally associated with worship?
  - Where members of the community or group gather to pray, or express or reaffirm their shared faith, beliefs or spiritual experience?
  - Of pilgrimage?
  - Considered by the community or group to embody, express or manifest the spiritual power of God, a superhuman power, deities, spirits or the spiritual world?
  - Associated with a spiritual leader or person who the community or group considers to have been touched by God, a superhuman power, deities, spirits or the spiritual world?
  - Associated with a significant event that is part of the faith or belief of the community or group, or that is imbued with spiritual meaning by the community or group, resulting in a shared spiritual experience?

55 'Definition of criteria clause 21(1) of Historic Places Bill'.

Avoid

- Automatically ascribing spiritual significance to
  - Burials or memorials to the dead. Some memorials have no spiritual significance. Civic war memorials, for instance, may avoid reference to religion to acknowledge all who served and died, regardless of their faith or belief
  - All places associated with religion. Church offices, vicarages, presbyteries, church halls and church schools, for example, may not have spiritual significance.
- Ascribing spiritual significance under this criterion if the spiritual community or group no longer exists, or is no longer associated with the place. For instance, it may be inappropriate to consider deconsecrated churches under this criterion. To acknowledge important associations that communities or groups may have had with the place through their shared faith, beliefs or spiritual experiences, consider assessing for historical, cultural or traditional value.

Examples – spiritual significance

At **St Joseph's Convent (Catholic)**, Jerusalem/Hiruhārama (Category 1, List No. 961) the church's isolation and its spiritual history make it a place of pilgrimage and retreat, yet it is in full view rather than behind walls. The convent has been the home of many Sisters of Compassion devoting their lives to spiritual practice since 1892, when the order was founded by Sister Mary Joseph Aubert (1835-1926).

Image: Antilived – Wikimedia Commons

Waitangi Treaty Grounds, Waitangi (Category 1, List No. 6) is a place of spiritual significance, both for including a recognised wāhi tapu at Ruarangi, and for its connections to the signing of Te Tiriti o Waitangi / The Treaty of Waitangi. Many in Te Ao Māori have seen the Treaty, and the place where it was first signed, as representing a sacred covenant. The foundation stone of Te Whare Rūnanga refers to Te Paepae Tapu O Te Tiriti o Waitangi – the sacred threshold of the Treaty of Waitangi.

Tangiwai Historic Reserve, Tangiwai (Category 1, List No. 7591) is the site that most vividly recalls for New Zealanders the memory of the Tangiwai disaster. The place is imbued with the spirit of the disaster and provides a powerful experiential connection between past and present. It is here that people come to remember the disaster, as demonstrated by the annual, informal gatherings of survivors, family and friends associated with those who lost their lives in the disaster at the site.

Image: Liezel Jahnke, Ruapehu District Council

St Andrew's Presbyterian Church and Warden's Cottage, Dunedin (Category 1, List No. 3185) has spiritual significance as a place of worship for over 140 years. Built for Presbyterian worship, it is now the focus for immigrant communities associated with the Coptic Orthodox Church. Later alterations to the church reflect its current congregation, with the intricate church furniture, art and iconostasis of the Coptic Orthodox Church.

Image: Benchill – Wikimedia Commons

Image: Liz Clark – Stormdanceart, flickr.com

As the principal Methodist mission church in the Kaipara, **Kakaraea Church (Methodist)** (Category 2, List No. 460) has spiritual significance to Methodists and those of other denominations who worship there. Because of its significant connection to the development of the Ratana faith in the Kaipara, the church also has spiritual significance to followers of this faith. It is also a place of reverence and respect for the descendants of those who worshipped there, people who are buried there, and those whose life milestones took place there.

Technological significance

Technological significance is ascribed to places that demonstrate how we use our knowledge to create the tools we rely on to resolve practical problems in our society. They are places where scientific knowledge has been applied effectively to develop, create or produce processes and products used in New Zealand.[56] A technologically significant place 'demonstrates or represents important developments or applications of technology or the operation of past technological processes.'[57]

Due to the focus on production in New Zealand, this criterion is commonly used in relation to the development of industrial and manufacturing processes, construction techniques, and the provision of utilities and services.

Threshold for inclusion

The place includes physical evidence of a technological advance or method that was widely adopted, particularly innovative, or which made a significant contribution to New Zealand history.

OR

The place reflects significant technical accomplishment in comparison with other similar examples, or in the view of experts or practitioners in the field, and has characteristics making the place particularly able to contribute towards our understanding of this technology.

Key questions to consider

1. What technological advance or method does the place demonstrate?

Describe the scientific advance that led to the technology, the problem that it resolved in New Zealand, and the technology itself (be specific). Does the place demonstrate the use of a new or commonly used technology? Does it reflect a technological breakthrough, a creative solution to environmental conditions, or innovative construction techniques or use of materials?

Note: it is not enough to simply identify the construction materials used. Places do not qualify solely because they are constructed from cob, or timber, stone or reinforced concrete. However, this criterion can be used to assess particular construction techniques. Look for typical, as well as new and innovative, uses of building materials and consider vernacular practices common to particular areas in New Zealand and modern techniques in, for instance, earthquake strengthening.[58]

2. What physically demonstrates the technology used?

Identify what physically remains of the technology at the place. It is important that the technology being assessed is still discernible. The fewer changes there have been, the stronger your case will be. Changes that have obscured the technology will affect the significance. While the technology does not necessarily have to be entirely intact, there should be enough remaining fabric to provide information about the technology used.[59] If the technology has been entirely removed, it is unlikely to qualify under this criterion. This is the case even if the place was the site where the technology was first used or developed. It may still qualify under other criteria.

3. Why is this technology of importance in New Zealand history?

Technology of importance in New Zealand history may have

- Been widely adopted
- Been particularly innovative
- Been used over a long period
- Had an impact
- Made a major contribution
- Caused change
- Created turning points
- Noticeably altered the circumstances of people here at the time.

56 'technology, n.' *OED Online*, accessed 17 August 2014.

57 'Definition of criteria clause 21(1) of Historic Places Bill'.

58 'Guidelines for completing a nomination form'.

59 To demonstrate the operation of past technological processes a structure need not be entirely intact, but it must provide some evidence of a process now no longer in use, e.g. the swing crane of the Denniston Incline demonstrates a method of transporting coal. 'Guidelines for completing a nomination form'.

Explain the significance of the technology in New Zealand history. Does it reflect important or representative aspects of our history? Is it associated with events, persons or ideas of importance in New Zealand history?

4. How well does the place represent this technology compared to other places?

If a particular technology has been widely adopted, you will need to consider why it is significant that the place features that technology.

Consider the following

- Is it an important example of that technology?
- Does it have characteristics making it a particularly useful representative example?
- Does it have potential to educate the public about this technology?
- Does the technology reflect a particular technical accomplishment?
- Is it rare?
- Does it form part of a wider historical or cultural area?

Places that are associated with the early adoption of technology or the peak of its use are often considered to be of particular interest as important or representative examples.

Avoid

- Making very general statements. Stating that a place reflects 'early building technology' or that it is significant for its 'construction techniques' is not sufficient.
- Ascribing value under this criterion
  - On the grounds that a well-known engineer or designer created the place. Your focus is on the technology itself and how useful or innovative it was
  - If your case is solely based on the design or construction being well executed. The place may have architectural or aesthetic significance or value instead.

Examples – technological significance

Kahn House, Wellington (Category 1, List No. 7633) has technological significance due to its innovative construction system, comprising a wooden skeleton and flat roof. This construction was very different to the usual stud frame construction used in New Zealand at the time. The sliding glass door on the northwest elevation was also an innovative adaptation of an industrial prototype (garage roller door).

Image: Crown Copyright, Department of Conservation Te Papa Atawhai (Andrew Blanshard, 2007)

Lighthouses worldwide contain a number of elements of considerable technological significance, and because of the intact state of **Cape Brett Lighthouse Station** (Category 1, List No. 7799) these technological innovations remain to provide evidence of those advances. Cape Brett Lighthouse is unique in New Zealand as a place that presents these innovations complete and in their original setting.

Jean Batten Place Departmental Building (Former), Auckland (Category 1, List No. 7631) has technological value for its early use of large-scale part-welded steel-frame construction in a New Zealand context. It is likely to be one of the earliest surviving office buildings to have incorporated on-site welding.

Image: MP, flickr.com

Throughout the operating history of the **Big River Quartz Mine** (Category 1, List No. 7762), many opportunities were taken to improve machinery and mining. The last added boiler and winding engine, in particular, represented the zenith in mining technology when first acquired in 1912. They allowed the drilling of a shaft to the then record depth of 602 metres.

Image: Benchill – Wikimedia Commons

The **Otago Therapeutic Pool** in Dunedin (Category 2, List No. 7581) has technological significance as one of the earliest examples of portal frame reinforced concrete construction in New Zealand. Its structural engineering can be considered as an important technological innovation.

Traditional significance

At the heart of tradition is a repeating pattern. Patterns of activity might repeat day after day, year after year, generation after generation. Some patterns are repeated within communities, cultures and nations across generations.

Places of traditional significance are created by people carrying out activities that have been undertaken for generations. These activities are valued as a means of transmitting knowledge, creating continuity, resolving a particular problem, and fostering a feeling of identity and belonging.[60] They represent the appropriate way to respond to a particular situation that arises periodically. The cultural group will feel a sense of ownership over the activity; its origins or originator might be forgotten. Describing the importance of a place under this criterion is likely to require the support and participation of the group for whom the place has special meanings and associations.[61]

Threshold for inclusion

The place reflects a tradition that has been passed down by a cultural group for a long period, usually generations and especially since before living memory, and has characteristics reflecting important or representative aspects of this tradition to a significant extent.

Key questions to consider

1. What cultural group has practised, or is the custodian of, the tradition that is associated with this place?

The cultural group might be an existing one, or one that has dispersed, ceased or ended before living memory. You are looking for traditions that are passed down within a cultural group. Avoid basing your case on the traditions of a single person or single family. The cultural group may be Māori or any group that has brought traditions to New Zealand, or developed traditions within this country, or New Zealand culture as a whole.

2. What tradition is associated with this place?

The tradition might be an existing one or one that has ceased. Within the cultural group you have identified, what repeating pattern of activity has created or given meaning to this place? Is the pattern one that has been repeated for generations within that culture, especially since before living memory? Does the cultural group have a sense of ownership over that activity?

How might traditions and places be associated? The place may be the location of an established or traditional use. Due to the length of time the use has been carried out, a cultural group may see it as their right to continue their tradition and to use the place in this way. These rights might be known as customary rights or as customary law. In New Zealand, Māori customary rights are provided for in the Treaty of Waitangi.[62] The place may have meaning for a cultural group as a result of a belief or tradition that is taught to each generation, especially through word of mouth.[63] The place may have resulted from an activity that has been practised by a cultural group that has been handed down for generations. These activities may have been practised by Māori or by any other cultural group,[64] or the place may be associated with an activity that has been carried on by a cultural group for generations.

3. What physical aspects of the place reflect the tradition?

Refer to the place where the tradition has been carried out, or the place that features in the traditions. Describe the physical elements of the place that reflect traditional cultural practices.

'The traditions may be ways of building, spatial planning or urban patterns. Alternatively, the traditions may be intangible but with precise tangible results ...'[65]

'A place may be the locus for the expression of aspects of intangible heritage ...The intangible heritage may be dependent upon the existence and form of the place.'[66]

60 Kerr, 2013, p. 49.

61 Australia ICOMOS, 2004, p. 7.

62 'traditional, adj. and n.' *OED Online*, accessed 26 October 2014.

63 'Definition of criteria clause 21(1) of Historic Places Bill'.

64 'traditional, adj. and n.' *OED Online*, accessed 26 October 2014.

65 Marshall, 2011, p. 36.

66 Australia ICOMOS, *Understanding and assessing cultural significance*, November 2013, p.9

4. How is this place an important or representative expression of the tradition?

Why does this particular place matter? To qualify under this criterion, you will need to demonstrate that the place is either considered significant by the group that maintains the traditional activity, or is an important or representative example of that tradition. Indicate how this place is significant in relation to a culture's tradition.

Consider the following

- How has the cultural group described or demonstrated its importance? For instance, is the place represented or referred to in waiata, whakataukī, karakia, kōrero tuku iho, oral histories or mihimihi?
- Is the place still referred to or still used for its traditional purpose by the cultural group?
- How strongly is the tradition associated with this place?
- How well does the place represent the tradition?
- Does the place have characteristics making it particularly able to represent this tradition? What are they?
- How does it compare to other places associated with that same tradition?
- Does it have more features typical of the tradition than other places or is it a rare remaining example in New Zealand?

Avoid

- Ascribing value under this criterion if an activity is associated with a particular cultural group, but is of a relatively brief duration, especially if it is associated with a single generation. It may be appropriate to assess the activity under historical, social or cultural significance rather than traditional significance.

Examples – traditional significance

Ōparaparā (Samson Bay) Argillite Quarries, Marlborough Sounds (Category 2, List No. 7755) are of traditional significance to Ngāti Kuia, who were part of a pakohe (argillite) industry which operated from around the 13th century through until the introduction of metal, producing tools, weapons, and pendants. The significance of argillite to Ngāti Kuia is embedded in various Ngāti Kuia karakia and waiata as well as legends such as that of Poutini.

Te Naupata / Musick Point, Auckland (Historic Area, List No. 9335) has considerable traditional significance for its associations with several important ancestors of Ngāi Tai, including the Ngāriki people, members of the Tainui crew, and Te Whatatau and Te Raukohekohe, from whom the Ngāi Tai people of Tāmaki are descended. The area is considered to have been a stopping point for the Tainui canoe as it accessed the Tāmaki portage between the Waitemata and Manukau Harbours, and Tainui have traditions associated with this event.

Mathiesons Farm Steading, Dunedin (Category 1, List No. 7580) has traditional significance relating to a building type and land usage, which echoes the building traditions and farming methods of Scotland transposed to New Zealand by immigrant settlers.

St Mary's Church (Anglican), Tuatini (Category 2, List No. 801) has been a significant part of the life of the marae since its construction, and its survival in the area where other churches have been closed illustrates its continued importance. The woven tukutuku panels, carved altar and pulpit, and other church elements reflect the traditional value of the place.

Surviving rock art remnants, such as that found at **Te Manunui**, Maungati (Category 1, List No. 7826) are described by Ngāi Tahu as a particular taonga of the area, providing an important and unique record of the lives and activities of their ancestors who travelled throughout the region.

The baches in the **Tongaporutu River Baches** Historic Area, Tongaporutu (List No. 9318) are important representative examples of the tradition of bach building in New Zealand architecture. In keeping with the vernacular bach form, they are characteristically small and modest dwellings, of plain style and constructed using a range of economical materials. They also reflect ongoing 'organic' modification, another notable characteristic of the traditional New Zealand bach.[67]

67 This example has been expressly written for the purpose of this guide. The Tongaporutu River Baches Historic Area was not assessed for traditional significance at the time of entry on the List in 2011.

Image: Walgert, flickr.com

Part Two: Applying the section 66(3) criteria

Heritage New Zealand may assign the status of Category 1 or Category 2 to any historic place in relation to one or more of the 11 criteria listed in this section. All historic places must be further identified as Category 1 or Category 2 as appropriate. These criteria **do not** apply to the assessment of historic areas, which have no further categorisation under the HNZPT Act.

The HNZPT Act defines Category 1 and Category 2 places as follows

- Category 1: places of *special or outstanding* historical or cultural heritage significance or value
- Category 2: places of historical or cultural heritage significance or value.

Due consideration should be given to all section 66(3) criteria in accordance with this guide, to determine which criteria will form part of the significance assessment for the place, and assist in deciding the status of Category 1 or Category 2.

Section 66(3) criteria

(a) the extent to which the place reflects important or representative aspects of New Zealand history

(b) the association of the place with events, persons, or ideas of importance in New Zealand history

(c) the potential of the place to provide knowledge of New Zealand history

(d) the importance of the place to tangata whenua

(e) the community association with, or public esteem for, the place

(f) the potential of the place for public education

(g) the technical accomplishment, value, or design of the place

(h) the symbolic or commemorative value of the place

(i) the importance of identifying historic places known to date from an early period of New Zealand settlement

(j) the importance of identifying rare types of historic places

(k) the extent to which the place forms part of a wider historical or cultural area

Figure 3: The 11 section 66(3) criteria in the HNZPT Act.

Section 66(3) criteria	Category 1 *Places of special or outstanding historical or cultural heritage significance or value*	Category 2 *Places of historical or cultural heritage significance or value*	Key Questions
(a) the extent to which the place reflects important or representative aspects of New Zealand history	The place is of special or outstanding significance as it reflects an aspect of New Zealand history better than most other places in the country with substantially the same association.	The place reflects an aspect of New Zealand history to a significant extent when compared to other examples.	1. What aspects of New Zealand history does the place relate to? 2a. Why is that aspect of New Zealand history important? 2b. How is that aspect representative? 3. What makes this place particularly able to reflect those aspects of New Zealand history?
(b) the association of the place with events, persons or ideas of importance in New Zealand history	The place is associated with persons, events or ideas that are of special or outstanding significance in New Zealand history because of their great impact on the lives of New Zealanders; the association is an important part of our understanding of this significance; and the place has characteristics that, when compared to other examples, make it amongst the most significant places associated with those persons, events or ideas in the country.	The place is associated with persons, events or ideas of significance in New Zealand history, and this association contributes towards our understanding of this significance.	1a -1c. What event(s)/person(s)/idea(s) is the place associated with? 2. Why are these events, persons or ideas of importance in New Zealand history? 3. What is the association between the events, persons or ideas, and the place? 4. How meaningful is the association? 5. How does the place compare to others associated with the important persons, events or ideas?

Section 66(3) criteria	Category 1 *Places of special or outstanding historical or cultural heritage significance or value*	Category 2 *Places of historical or cultural heritage significance or value*	Key Questions
(c) the potential of the place to provide knowledge of New Zealand history	It is very likely that the place includes fabric that has special or outstanding potential to serve as a new, particularly important, or only known source of information on significant aspects of New Zealand history.	It is very likely that the place includes fabric that has the potential to serve as an important source of information on significant aspects of New Zealand history.	1. Is there likely to be fabric at the place that is not visible or accessible without further investigation, or is there visible fabric that has not been systematically researched/analysed? How likely is it that this fabric is present? 2. What significant aspect of New Zealand history could it provide knowledge about? 3. How useful would it be as a source of information about this aspect of New Zealand history? 4. Is the fabric likely to be the only source or a particularly important source of information on aspects of New Zealand history? How does it compare to other similar places as a source of information?
(d) the importance of the place to tangata whenua	Tangata whenua have an association with the place that is considered by them to be of special or outstanding importance to their identity or way of life, and this importance is demonstrated through their historical or cultural heritage.	Tangata whenua have an association with the place that is considered by them to be of importance for its contribution to their identity, way of life or cultural heritage.	1. Who are the tangata whenua? 2. Do tangata whenua have an association with the place? 3. How has the importance of the place to tangata whenua been demonstrated?
(e) the community association with, or public esteem for, the place	There is evidence that the place makes a special or outstanding contribution to an existing community or to the public, and the high value or esteem placed on it has been clearly demonstrated by that community or the public.	It can be demonstrated that an existing community has a current association with the place or that the public holds the place in esteem, and there is evidence that the community or the public would experience a sense of loss if that association ceased or if the place was lost.	1. Does the public have esteem for the place or is there a community that has an association with it? 2. What gave rise to the public's esteem for it? What is the community's association with the place? 3. Has the public esteem for, or the importance of the community's association with, the place been demonstrated?

Section 66(3) criteria	Category 1 *Places of special or outstanding historical or cultural heritage significance or value*	Category 2 *Places of historical or cultural heritage significance or value*	Key Questions
(f) the potential of the place for public education	The place has special characteristics that, when compared with other examples, place it amongst the country's most important sources for the public to learn about a special or outstanding aspect of New Zealand history.	The place has characteristics that mean it could provide important information to the public about a significant aspect of New Zealand history.	1. How accessible is the place to the public? 2. What significant aspects of New Zealand history could the place potentially convey to the public? 3. What characteristics make this place likely to be particularly useful for educating the public? 4. How does the place compare to others that might teach the public about these aspects of New Zealand history?
(g) the technical accomplishment, value, or design of the place	The place includes features that reflect special or outstanding technical accomplishment or value, or demonstrate excellence in design, and those features have been retained and been particularly influential or acclaimed by experts in the field.	The place includes features that reflect significant technical accomplishment or value, or significant design values.	1. What technical accomplishment, value or design does the place demonstrate? 2. What physically demonstrates the technical accomplishment, value or design excellence? 3. How has its technical accomplishment, value or excellence in design been demonstrated, acknowledged or acclaimed?
(h) the symbolic or commemorative value of the place	The place was designed for commemoration or is widely acknowledged as a symbol of people, events or ideas of special or outstanding significance in New Zealand history, and its special association with them make it particularly able to fulfil this function when compared to others throughout the country.	The place was designed for commemoration or is acknowledged as a symbol of people, events or ideas of significance in New Zealand history, and it has characteristics that mean it has been or continues to be used and valued for its commemorative or symbolic function, especially over a long period of time.	1. Is the place commemorative? Is it a symbol? 2. Does the place symbolise or commemorate someone or something of importance in New Zealand history? 3. Does the place have a recognisable connection to what is being commemorated or symbolised?

Section 66(3) criteria	Category 1 *Places of special or outstanding historical or cultural heritage significance or value*	Category 2 *Places of historical or cultural heritage significance or value*	Key Questions
(i) the importance of identifying historic places known to date from an early period of New Zealand settlement	The place dates from an early period of settlement (from the initial human settlement of New Zealand through to the late 1860s), includes a significant proportion of fabric from this period and, when compared to other examples remaining from this period, can be shown to date to the earliest phase of that period, or be a particularly rare or intact example.	The place dates from an early period of settlement (from the initial human settlement of New Zealand through to the late 1860s) and retains a significant proportion of fabric from this period.	1. What period or date was the place created, used, formed or constructed? 2. Is there existing physical fabric dating back to this period or date? 3. How does the place compare to other sites from the period?
(j) the importance of identifying rare types of historic places	The place is the only or one of very few places throughout the country that represent a special or outstanding aspect of New Zealand history, and it has characteristics making it particularly able to represent those aspects when compared to other remaining examples.	The place is one of a reduced number of places left in an area that represents significant aspects of New Zealand history.	1. What makes the place rare? 2. What significant aspects of New Zealand history does the rarity relate to? 3. Over what geographic area were other examples once spread? 4. How many other examples used to exist and how many exist now? 5. How does the place compare to other examples?
(k) the extent to which the place forms part of a wider historical and cultural area	The place forms part of a defined area that contributes to our understanding of the values of that place in New Zealand history to a special or outstanding degree by clearly demonstrating the place's original context, importance or impact.	The place forms part of a defined area that makes a significant contribution to our understanding of the place's importance in New Zealand history.	1. Does the place form part of a wider historical and cultural area? 2. How does the wider area enhance the significance of the place? How does the place contribute to the wider area?

Figure 4: Summary matrix for section 66(3) criteria.

Criterion (a): the extent to which the place reflects important or representative aspects of New Zealand history

This criterion ensures that both the turning points in history and the everyday experiences of New Zealanders are assessed. To 'reflect' means to shed light on a subject or to reproduce or represent it accurately.[68]

This criterion draws on the assessment of historic significance and examines in detail the extent of the significance identified under this criterion. The work you do here will help you to frame your case under most of the other section 66(3) criteria, which require you to demonstrate a link to important or representative aspects of New Zealand history.

Important aspects of history are themes, trends or periods that made a strong or influential contribution to New Zealand.

Representative aspects of history are those typical of New Zealand at a particular stage in history or over a particular period of time, and they are about the everyday or the common experiences of people living here.

If an aspect of history was typical or general, there are likely to be a number of places that once existed that are similar to the place being considered, and they will have similar origins and form a recognisable group.[69] For instance, the impact of World War I on New Zealand's communities is represented through the war memorials found across the country.

Thresholds for inclusion

Category 1: The place is of special or outstanding significance as it reflects an aspect of New Zealand history better than most other places in the country with substantially the same association.

Category 2: The place reflects an aspect of New Zealand history to a significant extent when compared to other examples.

Key questions to consider

1. What aspects of New Zealand history does the place relate to?

What caused the place, and places like it, to be created? What influenced its use? What prompted change? Identify themes, trends or periods in New Zealand history that shaped the history of the place.

What story does the place tell about the theme, trend or period you have identified? Answering this question will help you to narrow down the theme or trend to aspects of history that are relevant or particular to the place. For instance, Gabriel's Gully reflects the beginnings of the major gold rushes in this country. The Albion Gold Mining Company Battery and Mine Remains, by contrast, reflect the struggle for survival on poorer gold fields.

2a. Why is that aspect of New Zealand history important?

Important aspects of New Zealand history might have had a great impact or made a major contribution, caused change, created turning points, or noticeably altered the circumstances of people here at the time. They may be representative aspects of our history that are so significant they are widely recognised or accepted as having affected New Zealand culture or identity. There may be only a handful of places that reflect these important aspects of history.

Consider how the trends or themes that affected the place are significant in New Zealand history overall. Are they important aspects of our history? How influential or significant were the trends or themes in shaping what happened here? Next, consider how the story the place tells is significant in terms of the trend or theme as a whole. Is it an important story? How important is it? The more central the story is to the theme or trend you have identified, the stronger your case is likely to be. Places that reflect an important part of a significant aspect of New Zealand history will have a strong case for special or outstanding significance under this criterion.

Explain the significance of the themes or trends in New Zealand history you have identified, plus how the place demonstrates or reflects that aspect of history.

2b. How is that aspect representative?

A representative group of places will have common characteristics connecting them in a visible, recognisable way. To assess whether a place might represent a group effectively, identify the characteristics that are generally associated with the group and then compare these against those of the place being considered. Characteristics will often be reflected in the fabric of the place, but may also

68 'reflect', n'. *OED Online*, accessed 20 July 2014.

69 Department of Environment and Heritage Protection, 2013, p. 41.

be related to its use, or how it is perceived or valued. For instance, characteristics associated with World War I memorials might include their construction from 'permanent materials' such as stone or marble and the prominent positions they were given in the community where the losses were experienced, reflecting how important lasting tributes were perceived to be.

3. What makes this place particularly able to reflect those aspects of New Zealand history?

Indicate how the place sheds light on aspects of history or reproduces or represents it accurately. What characteristics make the place able to do this well? Does the place do it better than others that reflect those same aspects of New Zealand history?

Consider the following

Rarity

Rarity could be used to justify a case for special or outstanding significance under this criterion:

- Is the place a rare remaining example in New Zealand?
- How many other places are there left that reflect the same aspects of New Zealand history?
- Is the place rare in a particular geographic region or is it rare throughout the country?

Intactness

- Is the place particularly intact?
- Does it include more fabric or particular types of fabric from the period of significance? Is the fabric in particularly good condition?
- Does it include collections or chattels that are associated with the place that also date from the time period?
- Is it close to its original form, layout or design?
- Is it part of an area where the original context from the important period in New Zealand history remains intact?
- Does it feature typical changes from the time period more clearly than other places?
- Was it purpose-built or especially designed?

Strength of connection

- Is the place connected more closely with the historic event, person or idea than other examples?
- Was it used for an activity that directly contributed to this important aspect of history?
- Does it date to the most significant period for this aspect of history?
- Or, was the place particularly influential or used for a longer period than other examples?

Examples – criterion (a)

Image: Vivienne Morrell

Provision of housing has long been an important aspect of New Zealand history and **Berhampore Flats**, also known as the Centennial Flats, (Category 1, List No. 7432) in Wellington were part of a large-scale state housing programme initiated by the first Labour Government.

The **Exhibition Art Gallery (Former)**, Dunedin (Category 1, List No. 2149) is outstandingly important as the only surviving building in situ from any of the six great international exhibitions held in New Zealand. The gallery is a permanent reminder of the importance of exhibitions, and the astounding architecture and organisation that they represented.

The **Native Land Court and Aotea Māori Land Board Building (Former)**, Whanganui (Category 1, List No. 7783) is of special historical value as it reflects one of the most significant aspects of New Zealand's historical development – changes relating to the legal status of Māori-owned land. The Native Land Court was responsible for the large-scale and often unwilling transfer of Māori land into the hands of the Crown and Pākehā private purchasers, in order to facilitate European settlement.

In the mid-19th century newspapers were the main source of news, with their social importance being demonstrated by the fact that even relatively small settlements expected to have their own newspaper. The **Southland Times Building**, Invercargill (Category 2, List No. 2513), the legacy of one of the longest-standing newspapers in the country established in 1862, therefore has importance as being indicative of these aspects in New Zealand history.

Image: Shellie Evans – flyingkiwigirl, flickr.com

The **Pioneer Gun Turret**, Ngāruawāhia (Category 2, List No. 756) comes from an iron-clad, sternwheel paddle steamer built at Pyrmont in Sydney for military operations in the Waikato. The gun turret played an instrumental part in the military campaign to defeat the Kīngitanga forces during the Waikato – or third New Zealand – War and serves as a reminder of this conflict and its consequences.

Criterion (b): the association of the place with events, persons or ideas of importance in New Zealand history

This criterion is a subset of 'important aspects of New Zealand history'. It focuses on highlights – the particular events, people and ideas that created the forces for change in New Zealand.

To 'associate' is to connect – to link one thing with another, to unite them in an idea, to see them as part of the same group, and to see a meaning in the connection.[70] Is the place associated with persons, ideas or events of significance? Events, persons or ideas as aspects of importance in New Zealand history will have had a great impact, made a major contribution, caused change, created turning points, or noticeably altered the circumstances of people here at the time.

Threshold for inclusion

Category 1: The place is associated with persons, events or ideas that are of special or outstanding significance in New Zealand history because of their great impact on the lives of New Zealanders; the association is an important part of our understanding this significance; and the place has characteristics that, when compared to other examples, make it amongst the most significant places associated with those persons, events or ideas in the country.

Category 2: The place is associated with persons, events or ideas of significance in New Zealand history, and this association contributes towards our understanding of this significance.

Key questions to consider

1a. What event(s) is the place associated with?

In this context, the term 'event' relates to occurrences that are 'out of the ordinary' and 'one-off', unique, singular incidents. These events normally take place over a short period of time.

What is the difference between an 'event' and an 'aspect of history'? Consider the gold rushes of the 1860s in New Zealand. Major rushes were set off by a singular 'event' – the discovery of gold in Gabriel's Gully in 1861. The discovery of gold was the event; the rushes and their consequences, such as the development of towns and settlements, became important 'aspects' of New Zealand history.

1b. What person(s) is the place associated with?

What is a 'person'? Under the HNZPT Act, 'person' includes the 'Crown, a corporation sole, and a body of persons, whether corporate or unincorporate.' This wide definition means individuals, families and groups of people associated with companies, organisations, societies, ministries and departments all qualify for consideration.

1c. What idea(s) is the place associated with?

Exploring ideas is about exploring 'the pivotal clues to man's artistic and scientific achievements in diverse fields.'[71]

Ideas affect how we see the world. Our understanding of what is true is influenced by the spread of ideas about how the world operates. Some ideas are so pervasive that they affect the course of history. Others radically change how we see the world and can lead to the development of theories, ideologies and movements.

Ideas that have changed the world include romanticism, common law, nationalism, freedom of speech, Marxism, the welfare state, militarism, free will, unionism, the balance of power and utopia.[72]

You are looking for ideas that have affected the course of New Zealand history. These ideas will have resulted in the widespread adoption of particular beliefs, values or ideologies, or prompted mass movements, campaigns or calls for action. For instance, colonialism, environmentalism, the eight-hour working day, women's suffrage, the temperance movement, the welfare state, state housing, acclimatisation and meritocracy.

2. Why are these events, persons or ideas of importance in New Zealand history?

As previously noted, events, persons or ideas as aspects of importance in New Zealand history will have had a great impact, made a major contribution, caused change, created turning points, or noticeably altered the circumstances of people here at the time.

70 'associate, v.' *OED Online*, accessed 27 July 2014.

71 Wiener, P. (Ed.), *The dictionary of the history of ideas*, 1968, New York, USA, http://xtf.lib.virginia.edu/xtf/view?docId=DicHist/uvaBook/tei/DicHist1.xml;chunk.id=dv1-pref;toc.depth=1;toc.id=;brand=default

72 As a tip, ideas that result in movements are often (but not always) 'isms'.

Consider the following

- Was it a person, an event or an idea that had the impact or that was the force for change?
- What made it so powerful?
- What demonstrates this?
- How does the impact they had compare to other persons, events or ideas in the same field? (If the place is associated with more than one event, person or idea of importance, explain the importance of each one.)

3. What is the association between the events, persons or ideas, and the place?

'The World Heritage List does not inscribe events, traditions, ideas, beliefs and artistic or literary works in themselves, but it may inscribe properties which are directly and tangibly associated with these.'[73]

There must be a significant association between the place and the events, persons or ideas. The association must reflect the reason that the persons, events or ideas are of importance. The association should be clear, direct and tangible. Significant associations may develop for one or several reasons including

- The source of inspiration for a person's significant work
- The location that enabled a person's significant work to be carried out
- The primary place that expresses or resulted from the person's significant work or philosophy
- The location where the event occurred
- The enduring and acknowledged symbol of the event
- The place that directly represents the impact of the event
- The location where the idea was conceived or carried out
- The embodiment of the idea
- The location associated with the spread, strength or influence of the idea.

4. How meaningful is the association?

The stronger the association, the stronger your case is likely to be. The difference between whether the case has been made or not will often rest on the strength of this association. The strength of an association might be affected by a number of factors. Consider when the association was created. Was the place one of the earliest to be associated with an idea, or is it most closely associated with the person at the time they were of significance in New Zealand history? Is the association readily appreciated? Consider the length of time that the association existed.[74] Consider how the place shaped and influenced the people, ideas or events that had an impact on New Zealand history and vice versa. Consider the proximity of the place to the centre of the events, the conception and spread of the ideas, or the lives of the people when they were a force for change in this country's history.

Consider whether there is evidence of the association remaining. Don't simply claim that the association exists. Your case will be stronger if you can show there is a 'demonstrable link' between the place and the events, persons or ideas.[75] Look for evidence in the physical fabric, documents, oral histories, literature, songs or stories.[76]

'To provide significant physical evidence of important ideas, themes, developments or patterns in New Zealand history, the structure must be sufficiently intact to reveal enough of the significance being sought. A dairy farm building, for example, should demonstrate how processes were carried out and what innovations, if any, were made.'[77]

Consider the following

- Is the place particularly intact?
  - Does it include fabric or particular types of fabric related to the person, event or idea?
  - Is the fabric in especially good condition?
  - Does the place include collections or chattels related to the person, event or idea?
  - Is the form, layout or design the same or similar to the time when the association was created?
- Is it part of a wider area that has preserved the original context from the period that the association developed?
- Or was it purpose-built or especially designed in response to the event, idea or person's requirements?

5. How does the place compare to others associated with the same important persons, events or ideas?

How abundant are places that are associated with the same events, persons or ideas in New Zealand? Does the place have a closer association to them? Does the place have characteristics making it a particularly good example of where the importance of the persons, events or ideas can be most readily appreciated? Rarity could be used to justify special or outstanding significance under this criterion. If the place is the only place with an association, your case is likely to be very strong. If there are several places associated with them, you will need to show that the place is particularly closely associated to the persons, events or ideas.

73 Marshall, 2011, p. 39.

74 Department of Environment and Heritage Protection, 2013, p. 11.

75 NSW Heritage Office/NSW Heritage Council, *Assessing historical association: a guide to State Heritage Register Criterion B*, 2000, p. 1, www.environment.nsw.gov.au/resources/heritagebranch/heritage/infohistoricalassociation.pdf

76 Heritage Council of Victoria, 2012, p. 19.

77 'Guidelines for completing a nomination form'.

Avoid

Events

- Automatically referring to places that host events, such as sports stadiums, or events centres, under this criterion. Events considered under this criterion need to be of importance in New Zealand history

Persons

- Assessing places where the association is accidental or transitory or incidental to the person's significance.[78] A person's birthplace or the private home of a public individual may not provide a sufficient association if it does not also reflect an aspect of why they became a significant figure
- Creating a circular argument that claims that a person associated with a significant place must be an important person and therefore that the place is significant because it is associated with that person
- Automatically ascribing significance to the architect or the designer under this criterion. The architect or designer is only significant if you can demonstrate that they were a force of change or made an impact on New Zealand history, and that their association with this place is a significant one
- Listing all the people associated with a place; this level of detail is not needed. For instance, it is not necessary to list the owners or occupants here unless their association with the place is of importance in New Zealand history

General

- Repeating the assessment you have made under criterion (a).

78 Kerr, 2013, p. 14.

Examples – criterion (b)

The **Bullendale Hydro Electric Dynamo and Mining Site** (Category 1, List No. 5601) is associated with the first use of hydro-electric power in an industrial setting in New Zealand, an important event in this country's history.

Richard Henry's Bird Pen, Fiordland (Category 1, List No. 7171) is associated with ideas relating to environmentalism and conservation. Resolution Island became the world's first bird sanctuary in 1891. Henry's project can be seen as an early indication of the importance attached to New Zealand's endangered birds, and the growing sense of national identity with them, which continues strongly today.

Image: Crown Copyright, Department of Conservation Te Papa Atawhai (Rachael Egerton)

The **Home of Compassion Creche (Former)**, Wellington (Category 1, List No. 3599) is one of the only remaining buildings which Mother Suzanne Aubert, the founder of the Sisters of Compassion, worked in. Mother Aubert had immense standing in this country's Catholic community and this is reflected in recent moves to honour her through efforts which will see her become New Zealand's first person to be canonised.

Athfield House and Office, Wellington (Category 1, List No. 9662) is of special significance for its association with Ian Athfield, recognised nationally and internationally as one of New Zealand's most outstanding and provocative architects of the late 20th and early 21st centuries. Athfield was responsible for some of New Zealand's foremost domestic, public and commercial buildings, and was an important urban reformer; railing against rules he believed dehumanised cities. That his work both engaged and enraged people marked him out as a figure of special public influence like few other New Zealand architects.

Image: Antilived – Wikimedia Commons

The **Waitangi Treaty Grounds**, Waitangi (Category 1, List No. 6) have outstanding significance for the strength of their association with the first signing of Te Tiriti o Waitangi/The Treaty of Waitangi (generally regarded as New Zealand's founding document) and other major events that led up to this.

The contents and garden of the **Frank Sargeson House**, Auckland (Category 1, List No. 7540) are highly significant for their close association with this author and many other prominent members of the New Zealand literary world. The place is linked with ideas of importance in New Zealand history, including the development of a voice for the 'ordinary person' and New Zealand English in New Zealand literature.

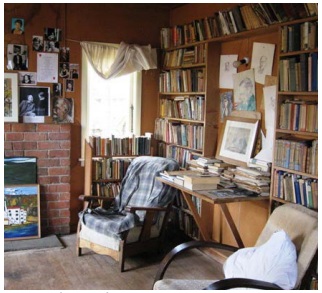


Image: The Frank Sargeson Trust

Criterion (c): the potential of the place to provide knowledge of New Zealand history

'A site or resource is said to be scientifically significant when its further study may be expected to help answer questions. That is scientific significance is defined as research potential'.[79]

This criterion considers how the fabric[80] of a place could be used as a source of information on New Zealand history. It will draw on assessments you have made under archaeological or scientific significance and assist you to determine the extent of this significance.

As the focus is on potential, this criterion is limited to:

- Fabric that is not visible or accessible without further investigative techniques[81]
- Visible fabric where the research potential has not yet been fully realised.

Places that will qualify under this criterion are likely to be (or include) in-ground or submerged archaeological sites, buildings that incorporate the remains of earlier buildings or structures of historic interest within their fabric, or buildings where further techniques would be needed to establish the information of value about matters such as composition or provenance, construction methods, use, appearance or chronological change. The potential contribution of in-ground objects, surface finds or chattels within a place should be taken into account. Investigative techniques may be either invasive (e.g. archaeological excavation or the dislodgement or removal of fabric in historic buildings, including for sampling) or non-invasive (e.g. photogrammetry, spatial analysis of surface artefacts, LIDAR, ground-penetrating radar, standing building recording, drone photography).[82]

The value of the information that might be provided by the fabric also has to be assessed. The focus is on whether the fabric is likely to provide important new information or additional information to an area that is not well documented or understood.

If there is no fabric which can be investigated through further techniques, but the place has characteristics that are likely to make it a particularly useful resource for explaining or interpreting aspects of New Zealand history, you may wish to consider assessing the place for 'potential of the place for public education'.

Threshold for inclusion

Category 1: It is very likely that the place includes fabric that has special or outstanding potential to serve as a new, particularly important, or only known source of information on significant aspects of New Zealand history.

Category 2: It is very likely that the place includes fabric that has the potential to serve as an important source of information on significant aspects of New Zealand history.

Key questions to consider

1. Is there likely to be fabric at the place that is not visible or accessible without further investigation, or is there visible fabric that has not been systematically researched/analysed? How likely is it that this fabric is present?

Base your statements on expert assessments of the visible physical fabric, or on partial excavation, or sound documentary or oral evidence.[83] Be as specific as possible about what you would expect to find. In the case of fabric that is not visible or currently accessible, you do not need to be certain that the fabric exists, but you should be at least reasonably confident, based on expert assessments or other evidence, that any such hidden material is present. In the case of visible fabric, you should be reasonably confident that there is the potential for further investigation to reveal new and important information.

2. What significant aspect of New Zealand history could it provide knowledge about?

It is important that the fabric could provide information about a significant aspect of New Zealand history. To make a strong case under this criterion, it is essential to show the nature and quality of the information that could be gained if the place was investigated further.

79 NSW Heritage Office/NSW Heritage Council, 2009, p. 8.

80 ICOMOS New Zealand Charter 2010, p. 10: Fabric means all the physical material of a place, including subsurface material, structures, and interior and exterior surfaces including the patina of age; and including fixtures and fittings, and gardens and plantings.

81 Heritage Council of Victoria, 2012, p. 9.

82 Invasive investigative techniques destroy historic fabric during the course of the research. Note that the purpose of this criterion is not to suggest that these places should be subjected to more invasive investigative techniques.

83 NSW Heritage Office/NSW Heritage Council, 2009, p. 9; Heritage Council of Victoria, 2012, p. 19; Australian Heritage Council, 2009, p. 26.

The first step is to identify the significant aspects of New Zealand history the place could potentially provide information about. Fabric that has the potential to provide knowledge about a very significant aspect of New Zealand history could help justify a case for special or outstanding significance under this criterion.

3. How useful would it be as a source of information about this aspect of New Zealand history?

The next step is to assess the quality of the knowledge that the fabric might provide. Identify any aspects that may make the fabric particularly useful as a source of information on New Zealand history. Characteristics such as high evidential condition, integrity and completeness in relation to addressing the aspect(s) of New Zealand history being considered could be used to contribute towards a case for special or outstanding significance under this criterion. Fabric providing information about a very significant aspect of New Zealand history could have a lower threshold of evidential condition or completeness required of it to be special or outstanding.

Consider the following

- Is the fabric likely to have high integrity and be in a good state of preservation in relation to relevant evidence?
- Is the fabric expected to prove a particularly complete example, or to have objects directly related to its significance that add further opportunities for understanding the place?
- Is it likely to be particularly early fabric?
- Is it part of a wider area that has preserved its original context?
- Is there detailed documentary information available which is likely to increase the potential of the fabric to provide important information?

4. Is the fabric likely to be the only source or a particularly important source of information on aspects of New Zealand history? How does it compare to other similar places as a source of information?

This last question relates to whether the fabric might provide new information or significantly improve our existing knowledge about New Zealand history.[84] This means considering how rare the fabric is as a source of information on a particular aspect of our history. Evaluate whether further investigation of the place would provide new or important information, or whether it is likely to provide information similar to that already available.[85] Note that this does not mean you are suggesting that an invasive investigation should take place.

Rarity could be used to justify a case for special or outstanding significance under this criterion.

Consider the following

- How abundant are places that might have fabric that provides similar information about New Zealand history?
- Is the place rare in a particular geographic region or is it rare throughout the country?
- How does the place compare as a source of information to the other remaining examples?
- Are there other sources available that might provide the same information that is likely to be found at the place?
- Has this type of place already been well documented or investigated using further investigative techniques?

'Rarity – the greater the rarity of a place, the greater its research potential… The rarity of a place may outweigh considerations of extensiveness or intactness, especially if it is the only identified site or one of few identified sites associated with a particular activity, process, lifestyle or event of significance.'[86]

Avoid

- Stating only that the place is 'pre-1900' or 'an archaeological site'. Describe the nature of the site and what you would reasonably expect to find there.
- Ascribing significance under this criterion if:
  - The place has been fully excavated, as this would remove any further research potential[87]
  - You don't have good reason to suspect that there is fabric of value at the place
  - You are certain that the place includes fabric of value – such places should be assessed under a different criterion
  - The knowledge you expect to gain is derived from documentary or other research and not from the fabric itself.
- Focusing solely on what information the place has already provided (though this can be discussed to provide context for the potential for further information). This is recognised under other criteria.

84 Department of Environment and Heritage Protection, 2013, p. 39; Walton, 1999, p. 13.

85 NSW Heritage Office/NSW Heritage Council, 2009, p. 11.

86 Department of Environment and Heritage Protection, 2013, p. 39.

87 Heritage Council of Victoria, 2012, p. 9; Department of Environment and Heritage Protection, 2013, p. 37.

Examples – criterion (c)

The **Ōparaparā (Samson Bay) Argillite Quarries** (Category 2, List No. 7755) in the Marlborough Sounds have the potential through archaeological investigation to provide information about the nature of stone exploitation and tool manufacture. Analysis of the movement of material from these sites has the potential to provide knowledge about trade and exchange networks.

Image: Crown Copyright, Department of Conservation Te Papa Atawhai (Glen Hazelton, 2005)

The **Makatote Tramway**, Erua (Category 2, List No. 7668) is one of the few known sawmilling sites in the Ruapehu district that has remained relatively intact, and to date is the best-preserved example within the Tongariro National Park. There is a good historical record associated with the site, and there is the potential for archaeological investigation to contribute further important information about this industry during its peak in the 1920s to 1930s.

Bishop's House (Catholic), Auckland (Category 1, List No. 555) has the potential to provide information about the development of Catholic activity in New Zealand since the early colonial period, through archaeological examination of in-ground deposits and the investigation of the unusually well-preserved 19th century fabric of the main residence. Knowledge from the latter is likely to include broader information about technological development, trade and manufacture in 19th century New Zealand.

Logan Bank, Auckland (Category 1, List No. 9643) has considerable potential to provide knowledge about early concrete construction in New Zealand, especially the use of concrete for the construction of residences of the colonial elite. It has the potential to provide evidence about Tall's re-usable formwork, an important early technology to facilitate the erection of mass concrete walling. Its information potential is enhanced by the existence of a wealth of related documentary material, which can assist the interpretation and presentation of archaeological evidence.

Mofflin House (Former), Devonport, Auckland (Category 2, List No. 4526) has the potential to provide further knowledge of the construction and use of artisan dwellings due to the well-preserved nature of this 19th century cottage. Roof spaces and sub-floor areas, as well as floors and linings concealed beneath more recent coverings, are likely to provide a more complete picture of artisanal production and use. In-ground remains linked with demolished 1870s outbuildings and possibly other activity in the rear yard may also survive to provide information. The existence of documentary evidence that may help interpret artisan use, such as an extensive list of possessions sold by its owners in 1878, also increases the potential value of the place to provide relevant knowledge.

Image: Andy Dodd

The physical fabric of the ***PS Tasmanian Maid*** **Wreck Site**, New Plymouth (Category 1, List No. 9521) has the potential to provide information about the types of vessels that served the colonial government in the New Zealand Wars. Study of the physical remains can sometimes provide details of repair and alterations not otherwise documented in the historical record. It is also possible that the site may contain items that can inform questions relating to life on board vessels during the mid-19th century.

Criterion (d): the importance of the place to tangata whenua

'The Treaty was an acknowledgement of Māori existence, of their prior occupation of the land and of an intent that the Māori presence would remain and be respected. It made us one country, but acknowledged that we were two people.'[88]

As a Crown agency, Heritage New Zealand has a responsibility to give effect to the Treaty of Waitangi (Te Tiriti o Waitangi). This criterion recognises the relationship between Māori and the Crown as established under the Treaty. It ensures that the relationship of tangata whenua with a place is considered in each and every case, in order to determine whether it should form part of the significance assessment for the place. Most importantly, it provides for the formal recognition of the relationship of tangata whenua with ancestral lands, water, sites and other taonga.[89] This criterion may draw on your assessments under cultural, social or traditional significance.

In New Zealand statutes, there is more than one meaning for tangata whenua: one refers to all Māori and another to a particular group of Māori.[90] For this criterion, tangata whenua is interpreted in the second sense. It means iwi or hapū that hold, or at any time have held, mana whenua in relation to a place.[91] Mana whenua is generally interpreted as 'customary authority exercised by an iwi or hapū in an identified area'.[92] More specifically, mana moana is defined as 'authority over the sea and lakes'.[93]

Describing the importance of a place under this criterion relies on the support and participation of tangata whenua for whom the place has special meanings and associations.[94]

Note: this criterion is similar to criterion (e), and should be chosen instead of criterion (e) if the place is primarily of significance to tangata whenua.

Threshold for inclusion

Category 1: Tangata whenua have an association with the place that is considered by them to be of special or outstanding importance to their identity or way of life, and this importance is demonstrated through their historical or cultural heritage.

Category 2: Tangata whenua have an association with the place that is considered by them to be of importance for its contribution to their identity, way of life or cultural heritage.

Key questions to consider

1. Who are the tangata whenua?

All iwi and hapū for whom the place has meaning or special associations for them as tangata whenua should be represented. Care is needed not to exclude iwi or hapū that have a direct and clear association or connection with a place of historic heritage value. As the Waitangi Tribunal has observed:

'our main concern is with the use of the words "mana whenua" to imply that only one group can speak for all in a given area when in fact there are several distinct communities of interest, or to assume that one group has a priority of interest in all topics for consideration. Some matters may be rightly within the purview of one group but not another.'[95]

2. Do tangata whenua have an association with the place?

What meanings and associations has the place been given by tangata whenua? Why? You need to understand the relationship that exists between tangata whenua and the place to explain its importance. Identify the significant associations between tangata whenua and the place. These associations may exist for one or several reasons, including the examples listed below.

88 Waitangi Tribunal, *Report of the Waitangi Tribunal on the Orakei claim (the Orakei report)*, Third Edition, GP Publications, Wellington, New Zealand, 1996, p. 130, quoted in Dr Janine Hayward, 'The principles of the Treaty of Waitangi', in Ward, A., National overview, Rangahaua Whanui Series, Waitangi Tribunal, Wellington, New Zealand, 1997, Appendix 99, p. 487.

89 HNZPT Act, s 4(d).

90 Magallanes, Catherine Iorns, 'The use of tangata whenua and mana whenua in New Zealand legislation: attempts at cultural recognition', in *Victoria University of Wellington Law Review,* 2011, vol. 42, issue 2, p. 262, www.victoria.ac.nz/law/research/publications/vuwlr/prev-issues/pdf/vol-42-2011/issue-2/10-Iorns.pdf

91 HNZPT Act, s 6.

92 As defined in the Resource Management Act 1991, s 2.

93 Mana Moana, *Māori Dictionary*, https://maoridictionary.co.nz/word/14983, accessed 16 March 2017. This is a more modern term, though it is recognised that the concept of iwi or hāpu authority over lakes and parts of the sea is traditional.

94 Australia ICOMOS, 2004, p. 7.

95 Waitangi Tribunal, *Rekohu: a report on Moriori and Ngāti Mutunga claims in the Chatham Islands*, Wellington, 2001, p. 29.

The place may be

- A testimony to a cultural tradition or way of life that contributes to the identity of tangata whenua. The tradition or practice that led to the creation of the place may have evolved over a long period of time. It may still be practised or it may have ceased
- Seen as a symbol of the tradition and of the people and cultural practices that led to the creation of the place
- A source of mana that contributes to the identity of tangata whenua
- Associated with tūpuna (ancestors) or people of mana
- A natural feature with special meaning for tangata whenua
- An integral part of the way that tangata whenua form a community or interact, or build their common identity or community, or mark key life events.[96] These places allow people to come together to socialise, interact and learn, or carry out activities that support, maintain or express their common way of life
- Mark events in the history of the tangata whenua.

3. How has the importance of the place to tangata whenua been demonstrated?

To make a case under this criterion, you will need to demonstrate that the connection that tangata whenua have with the place is one that they consider significant. Places that are of special or outstanding significance under this criterion may be seen by tangata whenua as contributing towards, integral or central to their identity or way of life. Indicate how the importance of the place to tangata whenua has been demonstrated.

Places that are integral to the identity and traditions of tangata whenua may be represented or referred to in waiata (songs), whakataukī (proverbs), karakia (prayers), kōrero tuku iho (stories of the past/traditions), oral histories or mihimihi (greetings).

Tangata whenua may be the guardians of the place or take an active role in its guardianship. The place may continue to be used or its use or importance is recalled through ceremonies or events. The place may also be tapu.

Avoid

- Stating only that the place is of significance to Māori. This criterion prioritises tangata whenua and their relationship with places of significance within their rohe. A case for places of significance to Māori more generally may still be made under other criteria.
- Ascribing significance under this criterion
  - To places that are primarily of utility or amenity value, or that are owned by Māori but are held solely as financial assets. This criterion is about cultural and historic heritage. Tangata whenua should have special associations with a particular place, and experience a sense of loss if it were to be replaced with another serving a similar function
  - If the meaning that the place might once have had for tangata whenua no longer forms part of the existing values of the place for tangata whenua. Be aware, however, that intangible values and wāhi tapu may remain regardless of changes to the place or the landscape
  - If the association between the place and tangata whenua is weak. For instance, if the place is located within a very broad area that is of importance to tangata whenua but the place itself does not reflect the values of the broader area.

96 Australia ICOMOS, *Understanding and assessing cultural significance,* November 2013, p. 4.

Examples – criterion (d)

Tangata whenua consider **Customhouse (Former)**, Russell (Category 1, List No. 67) a site of sacred value. It forms part of a broader landscape connected with significant events in tribal history, including the so-called 'Girls' War', considered to be the last major inter-tribal conflict in the Bay of Islands. The customhouse is a place where tangata whenua have made representations to the government about issues of political significance and made statements about adherence to the Treaty of Waitangi. The latter took place as part of the commemorations to Tamati Waka Nene, an important and respected Ngāpuhi leader.

Karioi Native School (Category 2, List No. 7590) in Kariori near Ohakune has been of importance to tangata whenua Ngāti Rangi throughout its history. It was constructed at the request of Ngāti Rangi in 1898 and was attended by their children for 42 years. Since its inception, Ngāti Rangi adopted the school as their own, showing great interest in the school's progress and even requesting that their name be incorporated onto the school's flag. Although no longer used as a school, many of the resident community have a direct connection to the school and are working to preserve its history and physical fabric.

The **Rewi Maniapoto Memorial and Reserve**, Kihikihi (Category 1, List No. 748) has special value to tangata whenua for containing the remains of an important ancestor, Rewi Maniapoto. He held a leadership role during the fight to retain traditional lands after invasion by colonial government forces and was also heavily involved in post-war negotiations. The place also has special importance to tangata whenua as the only land that was returned to Ngāti Maniapoto within the area confiscated by the government after the Waikato War. The memorial and reserve are cared for by a committee made up of Ngāti Maniapoto people.

Te Awamate at Parewanui in the Rangitikei (Category 1, List No. 6234) is of importance to Ngāti Apa, who consider it a wāhi tapu. It is associated with conflict within Ngāti Apa and between Rangitāne and Ngāti Apa during the late 18th and early 19th centuries and subsequently with Ngāti Toa during the 1820s.The site is also connected with people of importance to Ngāti Apa.

Image: Francis Vallance, vallancephotography@xtra.co.nz

Port Levy now has few permanent residents but it remains a place of importance to Ngāi Tutehuarewa hapū of Ngāi Tahu. Regular rūnanga meetings and other activities such as church services occur there, as the rūnanga is eager to record and celebrate the **Site of Māori Church, Te Whare Karakia Ki Puari**, Port Levy, Banks Peninsula (Category 2, List No. 7468) where the first church services took place.

Ōnuku Church (Anglican) (Category 1, List No. 265) at Akaroa is situated within the historic settlement of Ōnuku, the home base for the Ngāi Tahu hapū of Ngāi Tarewa and Ngāti Irakehu. Established in 1878 as a non-denominational church for use by both Māori and Pākehā, the church is the only tangible reminder of a once thriving Māori community that was the centre of Māori life on Banks Peninsula in the later 19th century and 20th centuries. It is the sole remaining Māori church on the Peninsula. Its importance to tangata whenua is demonstrated by the Māori-led restoration project to coincide with Akaroa's centenary in 1940, and its ongoing careful maintenance.[97]

Image: Shellie Evans – flyingkiwigirl, flickr.com

97 This example has been expressly written for the purpose of this guide. Ōnuku Church (Anglican) was entered on the List in 1985, prior to the introduction of the legislated criteria. The criterion (d) statement was written with reference to the original citation prepared at the time of entry in 1985 (available online at www.heritage.org.nz/the-list/details/265), as well as Ōnuku Marae, Christchurch City Libraries, https://my.christchurchcitylibraries.com/ti-kouka-whenua/onuku-marae/

Criterion (e): the community association with, or public esteem for, the place

'The place has to be important because of the community's attachment to the place … it is people, within a particular community or cultural group, that collectively have the strong or special associations …'[98]

This criterion considers how important the place is to the general public or to an existing community, and may draw on your assessments made under aesthetic, cultural, social, spiritual or traditional significance. 'Public' in this sense means 'of or relating to the people as a whole; that belongs to, affects, or concerns the community or the nation.'[99]

Consider whether the place is held in esteem – is it 'regarded favourably, with respect or held in regard' by the general public?[100] Or, is there a particular community that has an association – a 'meaningful connection' with or attachment to the place?[101] A community can be defined as a group of people who consider themselves to be part of an identifiable community and that share a common sense of purpose or identity.[102]

While not everyone in the community or amongst the public will have the same association with or esteem for a place, the association with or esteem should be generally held, shared or recognised by the public or the community you have identified.

Note: this criterion is similar to criterion (d) and may be satisfied if the place is primarily of significance to communities other than tangata whenua.

Threshold for inclusion

Category 1: There is evidence that the place makes a special or outstanding contribution to an existing community or to the public, and the high value or esteem placed on it has been clearly demonstrated by that community or the public.

Category 2: It can be demonstrated that an existing community has a current association with the place or that the public holds the place in esteem, and there is evidence that the community or the public would experience a sense of loss if that association ceased or if the place was lost.

Key questions to consider

1. Does the public have esteem for the place or is there a community that has an association with it?

State whether the place is of importance to the general public or to a particular community.

If you are identifying a particular community, it must be an existing community with a current association with the place. A place may have meaning to more than one community and places may have different meanings for different communities. For instance, when the Anglican Church proposed the demolition of the earthquake-damaged Cathedral Church of Christ in 2011, protests against the proposal indicated that the building had meaning for a wider community beyond those who used it for worship. Make sure you identify and describe each community that has an association with the place.

A community may include professional groups, such as architects, historians or archaeologists, but it must be demonstrated that they feel a deep sense of ownership or connectedness to the place (as opposed to valuing it through specialist assessment).

2. What gave rise to the public's esteem for it? What is the community's association with the place?

Identify how and why the community has an association with the place or why the public holds it in esteem. How the community or the public have used or interacted with the place may give clues as to why it has become important. Many places that are assessed under this criterion are places of 'essential community function' for which a 'special attachment' has developed over time.[103] Significant attachments may develop for one or several reasons, including the examples listed below.

The place may

- Be the reason that the community has formed or come together and it may still be central to its identity for this reason. Communities may form around sources of work

98 Australian Heritage Council, *Guidelines for the assessment of places for the National Heritage List,* 2009, p. 43, www.environment.gov.au/system/files/resources/8b50f335-42e8-4599-b5e0-ac643f75475f/files/nhl-guidelines.pdf

99 'public, adj. and n.' *OED Online,* accessed 14 December 2014.

100 'esteem, n.' *OED Online,* accessed 14 December 2014.

101 To 'associate' is to connect – to link one thing with another, to unite them in idea, to see them as part of the same group, and to see a meaning in the connection; 'associate, v.' *OED Online*, accessed 27 July 2014; ICOMOS New Zealand Charter, 2010, p. 9.

102 Walker, 1998, p. 17.

103 Department of Environment and Heritage Protection, 2013, p. 60.

such as factories and major industries, along transport routes or near scenic attractions

- Have become an integral part of the way that the people in the community currently function, interact or build their common identity.[104] These places allow people with similar lifestyles, work, backgrounds or stages of life to come together to socialise, interact and learn, or carry out activities that support, maintain or express their common way of life. Farmers' markets and A&P showgrounds, lodges and clubs, picture theatres, pubs and social halls, the school gate, department stores and shops, parks, gardens, sports facilities and playgrounds all create opportunities and spaces for people with common interests to interact and establish or build a sense of community
- Have been created to express a common identity or common feeling about what is important to the community and continues to express values held by it such as churches, mosques, synagogues or lodges
- Be where the community marks key life events or ceremonies such as birth or baptism, the beginning of romances, marriages, deaths and funerals
- Be a source of pride that contributes to the community's identity
- Be a symbol of a collective loss experienced by the community and a place that continues to reinforce the shared identity of its members affected by that loss
- Be a central physical feature of the environment in which the community functions and has become associated with its identity.

3. Has the public esteem for, or the importance of the community's association with, the place been demonstrated?

'As a rule of thumb a building can be considered to have public esteem if in the opinion of the recorder the building's demolition or unsympathetic alteration would be a matter for public concern.'[105]

Places that are significant under this criterion are places communities would feel a collective sense of loss for if they were no longer able to use, see, experience or interact with them in the way they had been used to doing.[106] To make a case, you need evidence of a substantiated attachment or association by that community.[107] Where there is a very strong association between the community and the place and you are able to demonstrate this clearly, the place may be of special or outstanding significance.

Indicate how public esteem or a community's association with the place has been demonstrated. Gauging whether or how greatly a community might experience this sense of loss is difficult for people who are not part of that community. Often, evidence that the place is important to a community has been based on the significant or sustained actions when the place has been threatened with change, or demolition or a change of use, such as demonstrations or protests. The scale of the action taken must be significant. Short-term, minor or isolated opposition to the loss of a place may not be sufficient to make a strong case under this criterion. Where places have not been threatened, other evidence can be found. Indicators that have been used in the past include

- Significant or sustained
  - Action by the community to protect, maintain or restore the place or evidence that the community has a strong sense of responsibility for the place
  - Demonstrations of community pride in the place, especially over a long period of time.
- Continuing use by the community over a long period of time
- Use of the place as a symbol of the community.

Avoid

- Basing your case
  - On communities that no longer exist, or are no longer associated with the place, and on public opinions and views that are no longer held. The community must be an existing, current community
  - On a single family view (communities are larger and more diverse than a single family group).
- Presuming that the place must be of importance to the public or to a community. If you cannot find a demonstration of public esteem for the place, or evidence of a particular association of a community with it, do not ascribe value under this criterion. The place may still qualify under other criteria
- Ascribing value under this criterion if the place could be replaced with another that served the same or a similar function without the community experiencing a sense of loss. The value needs to be associated with an attachment to the particular place and its characteristics. As Chris Johnston has observed

'Each of us can think of a local place – such as the supermarket – which has value to us because it exists in our neighbourhood, but the value relates to our need for that function rather than our attachment to the fabric of that place … If all supermarkets disappeared to be replaced by another form of shopping, we may feel considerable nostalgia for the lost practice of 'supermarketing' just as we have for the disappearing corner store. In turn we may argue to save the last supermarket, arguing that its loss would represent the loss of a way of life, a custom and cultural practice. Such a place may be said to have social value because it provides the setting within which a cultural practice (or function) can occur.'[108]

104 Australia ICOMOS, *Understanding and assessing cultural significance,* November 2013, p. 8

105 'Guidelines for the classification of 'C' and 'D' buildings'.

106 Australian Heritage Commission, *What is social value?*, 1992, p. 14, www.contextpl.com.au/wp-content/uploads/2014/06/What_is_Social_Value_web.pdf

107 Department of Environment and Heritage Protection, 2013, p. 58; Walker, 1998, p. 101.

108 Australian Heritage Commission, 1992, pp. 13-15.

Examples – criterion (e)

There is a strong community association with **Hangar No.2 and Hangar No.3 RNZAF Base Ōhakea** (Category 1, List No. 9009) due to the huge impact that their presence, and that of the entire base, has had on local communities. The base itself is a community in which the two hangars are well-regarded and important functional buildings.

Fleming's Creamoata Mill complex, Gore (Category 1, List No. 7470) is important for its association with the Creamoata brand and mascot Sergeant Dan, enduring icons familiar and beloved by generations of New Zealanders. The mill is especially important for Southlanders who connect it to both the development of Gore as a rural service town and the evolution of an important long-term agricultural industry.

Image: Shellie Evans – flyingkiwigirl, flickr.com

Strong community association with **Ardneil**, Invercargill (Category 1, List No. 2549) is reflected in its status as a Southland landmark. The house has a high media profile. It has been painted, photographed and written about in various published formats. It is considered one of Southland's best homes and a significant legacy to the historical treasures of the region.

Image: Phil Braithwaite, PhilBee NZ, flickr.com

The Theatre Royal, Nelson (Category 1, List No. 3341) has a strong community association going back nearly 140 years. The opening night of the Theatre Royal in 1878 attracted approximately one-sixth of the Nelson population. At several critical times in its history, fundraising efforts have been needed either to enable purchase or refurbishment of the building to keep it as a functioning theatre. Prominent local citizens have been part of these efforts. The theatre has also been a venue for performances to benefit other local organisations, such as schools, sports clubs and the RSA.

Image: Shellie Evans – flyingkiwigirl, flickr.com

The local community have continued to use **ANZAC Memorial Bridge**, Kaiparoro (Category 1, List No. 3969) as the site for their ANZAC Day commemorations, and have demonstrated their high esteem for it by protesting when it was threatened with demolition, and then through several community-driven restoration projects.

Alexandra Bridge (Former), Alexandra (Category 1, List No. 349) is held in high public esteem, as shown by the formation of a working group to consider the future of the surviving structures. It was built as a result of community agitation, showing the importance of the structure to the town and region. Its retention after the removal of the decking and cables as a memorial to the town also shows its significance. Esteem is further shown by the use of images of the bridge as an icon of the town.

Image: Shellie Evans – flyingkiwigirl, flickr.com

Criterion (f): the potential of the place for public education

This criterion relates to places that have the ability to be interpreted or understood by people without specialist knowledge. This is what James Semple Kerr calls the place's 'ability to demonstrate', requiring you to consider the 'significance of a site in terms of its "ability to demonstrate" a way of life, taste, function, custom or process of particular interest.'[109] Places should have characteristics that are likely to make them particularly able to convey information about significant aspects of New Zealand history. Having several characteristics can mean a high potential to convey information.[110]

This criterion may assist in determining whether a place meets the threshold for Category 1, particularly for places assessed under historical, architectural or technological significance, as in some cases the potential ability to convey information can appear to be so great that the place could be considered to be of special or outstanding significance. Key factors in determining whether a place has the potential for public education are intactness, integrity and authenticity.[111]

Threshold for inclusion

Category 1: The place has special characteristics that, when compared with other examples, place it amongst the country's most important sources for the public to learn about a special or outstanding aspect of New Zealand history.

Category 2: The place has characteristics that mean it could provide important information to the public about a significant aspect of New Zealand history.

Key questions to consider

1. How accessible is the place to the public?

'Potential' in this criterion relates to the qualities of the place and the extent to which they could be understood or interpreted by the public. A place's potential to be interpreted or understood by people without specialist knowledge does not depend on whether it is currently accessible or not. Places could qualify under this criterion, regardless of whether the public can currently access them, if they have other characteristics that mean they would be easily understood by people without specialist knowledge. If a place is not currently accessible to the public, move on to the next question and consider whether it has other characteristics making it of potential value to the public.

Experiencing a place 'in the flesh' can contribute significantly towards the understanding of a place and public access to it has generally been discussed under this criterion. Some places are more accessible to the public than others and, through location or size for instance, can create opportunities for the public to learn about aspects of New Zealand history. Aspects of accessibility that are integral to the place could therefore be discussed here. Where possible, avoid discussing aspects of accessibility that are primarily dependent on the management of the place, such as opening hours.

Consider the following

- How accessible is the place?
  - Is it open to the public?
  - Is it in an area where the public are likely to come across it?
  - Is it in a highly populated area?
  - Is it a place whose reputation currently attracts visitors?
- How visible is it to the public?
- Is it a landmark (i.e. easily recognisable and visible to the public)?[112]

2. What significant aspects of New Zealand history could the place potentially convey to the public?

While public access is often a consideration under this criterion, access alone is not enough – the place must have the potential to teach the public about significant aspects of New Zealand history. To make a strong case under this criterion, it is important to assess the nature and quality of the information that could be conveyed to the public visiting the place.

The first step is to identify the significant aspects of New Zealand history the place could inform the public about. This will draw on your assessments under historical criteria.

109 Kerr, 2000, p. 8, quoted in NSW Heritage Office/NSW Heritage Council, 2009, p. 9.

110 Potential means possible as opposed to actual, having or showing the capacity to develop into something in the future, latent; prospective; 'potential, adj. and n.' *OED Online,* accessed 5 May 2014.

111 Refer to the definitions of these terms in the 'Introduction' section of this guide.

112 Landmark is used here in the sense of 'an object or feature of a landscape or town that is easily seen and recognized from a distance, especially one that enables someone to establish their location'. 'landmark, n.' *Oxford Living Dictionaries – English*, https://en.oxforddictionaries.com/definition/landmark, Oxford University Press, 2017, accessed 16 March 2017.

3. What characteristics make this place likely to be particularly useful for educating the public?

The next step assesses the quality of the educational experience that the place might offer. Identify aspects that make the place a particularly useful example for the public. Characteristics such as original condition, intactness, authenticity, integrity, context and supplementary evidence could be used to justify a case for special or outstanding significance under this criterion.

Consider the following

- Can the place's history be understood more easily because it has a high level of integrity and is a particularly complete example of its kind?
- Does it have a high level of authenticity?
- Is it little altered or, if it has been altered, were the alterations completed in an appropriate way that does not detract from the values of the place?
- Is the place largely intact or close to its original form and layout?
- Are there objects at the place directly related to its significance that add further opportunities for understanding the place?
- Is it part of a wider area that has preserved its original context?
- Is the place still being used for the purpose that makes it significant?
- Is there other supporting material available that could help with the analysis of the place?

4. How does the place compare to others that might teach the public about these aspects of New Zealand history?

This last question relates to how the potential educational experience at the place might compare to experiences at other sites. Indicate whether there are many other places where the public could be informed about these particular aspects of New Zealand history. Rarity could be used to justify a case for special or outstanding significance under this criterion.

Avoid

- Providing details on the particular groups or individuals who might benefit from access to the place, such as students. This level of detail is not needed
- Speculating about ways that the place could become accessible to the public in the future
- Placing weight on the condition of a place when determining significance. A place may be in a ruinous condition, but may still be intact and have a high level of integrity
- Discussing
  - The presence, absence or adequacy of existing interpretation. The focus in this criterion is on the ability of the place itself to convey information. Interpretation is generally not considered an integral part of the heritage fabric of a historic place except in rare cases where it has become heritage fabric. Your aim is to assess the 'potential' to educate the public about significant aspects of New Zealand history, regardless of whether the place has already been interpreted or not
  - The connection with or use of the place as a traditional education institution such as a pre-school, primary or secondary school, tertiary or training institution, library or museum. Public education in this criterion relates to the ability of the place itself (its fabric and context) to provide information about the aspects of New Zealand history that contributed to its creation and development.

Examples – criterion (f)

The **Tasman Street Wall**, Wellington (Category 2, List No. 7758) and the former police station together offer a considerable opportunity for public education on the former uses of the Mt Cook Reserve, prison brick-making and the general changes to the area. The wall is publicly accessible and the best place in Wellington to view prison bricks.

The **Otago Pioneer Quartz Mine Complex** at Waipori, Otago (Category 1, List No. 9692) has high interpretive value in its landscape, providing a vivid sense of what life and work would have been like for miners in this isolated and harsh environment. This site is very accessible and has the potential to easily illustrate quartz mining archaeology to the public.

Fort Buckley, Wellington (Category 1, List No. 7544) has considerable educational potential. As the least altered of all of the original 'Russian Scare' forts, Fort Buckley provides a unique opportunity to expand knowledge about this early period of coastal defence. The construction of the anti-aircraft battery provides an insight into the change in technologies used and required between 1885 and 1945.

Image: Brenda Wallace – Br3nda, flickr.com

The **War Memorial**, Kaitaia (Category 1, List No. 10015) has the potential for public education about the immense impact that events at Gallipoli (and more generally World War I/II and subsequent conflicts) have had had on communities, particularly small rural ones and Māori communities, and also the relationships between Māori and Pākehā.

Te Henui Vicarage, New Plymouth (Category 1, List No. 892) has the potential to tell of the ways people lived at the time of colonial settlement of New Plymouth, as well as the development of religion in New Zealand. As the showroom of the New Plymouth Potters, and a heritage building marked with a plaque, the site attracts many visitors.

Criterion (g): the technical accomplishment, value, or design of the place

This criterion is about places that are significant for creative excellence, innovation, or technical accomplishment in design or construction.[113] It will draw on assessments you have made under aesthetic, architectural and technological significance and assist you to determine the extent of the significance. Authenticity and intactness are key factors which should be considered when ascribing value under this criterion.

Technical accomplishments may include a technological breakthrough, a creative solution to particular environmental conditions, or innovative construction techniques, engineering design or use of materials. For design, it may include the advancement or development of an architectural style, or particular excellence in construction or in the execution of an architectural style.

Focus on assessing the significance or quality of the design or technical accomplishment, rather than describing the place. Don't stop at stating that a place reflects a particular style or design or the work of a particular architect or engineer – evaluate the quality of the execution of the style, design or work. Look for excellence and innovation. Often, places of special or outstanding significance under this criterion will be acknowledged as 'seminal firsts' or 'breakthroughs' in design or construction.[114]

Technological or design failures may be included under this criterion, but only if can be demonstrated that we learned something as a result of the failure.

Threshold for inclusion

Category 1: The place includes features that reflect special or outstanding technical accomplishment or value, or demonstrate excellence in design, and those features have been retained and been particularly influential or acclaimed by experts in the field.

Category 2: The place includes features that reflect significant technical accomplishment or value, or significant design values.

Key questions to consider

1. What technical accomplishment, value or design does the place demonstrate?

Identify the technical accomplishment or value of the place or describe what is important about its design.

2. What physically demonstrates the technical accomplishment, value or design excellence?

This criterion focuses on physical aspects of the place. Identify the physical aspects of the place that demonstrate its technical accomplishment, value or excellence in design.

It is important that the technical accomplishment or aspects that made the design significant are still there. Changes that have obscured or removed these aspects will affect the significance. The fewer changes there have been to the aspects that made the place technically accomplished or important, the stronger your case will be.

3. How has its technical accomplishment, value or excellence in design been demonstrated, acknowledged or acclaimed?

As proof of technical accomplishment or excellence in design of the place, refer to evidence such as

- Acknowledgement of its importance from peers through, for instance, coverage in professional journals, or awards from the professional group, especially at the time it was designed or constructed, or as a result of the perspective of time
- Comparison with other similar examples
- Widespread adoption of a technical solution, design or construction technique.

113 Department of Environment and Heritage Protection, 2013, p. 55

114 Department of Environment and Heritage Protection, 2013, p. 55.

Avoid

- Simply using an adjective to describe the design, such as 'accomplished' or 'elegant'. Explain why it deserves the adjective.
- Ascribing significance under this criterion if the place
  - Is important for its potential to provide information about typical or important construction methods or techniques in New Zealand. It may yet have value under criteria that focus on information potential instead
  - Is primarily significant for its association with an important individual (e.g. the architect), rather than for its particular accomplishment or excellence, you need to make a more effective case under a criterion that focuses on people
  - Is well-preserved and reflects a standard style, design or construction method that is typical in New Zealand, but does not display technical accomplishment or excellence in design. You may be able to make a stronger case under criteria that focus on representativeness. For instance, a case for speculatively-built villas or the standard cob cottage might be weak under this criterion. Yet, given their prevalence in the New Zealand landscape, a strong case could potentially be made for these building types under 'The extent to which the place reflects important or representative aspects of New Zealand history'.

Examples – criterion (g)

Image: Roger T Wong – Wikimedia Commons

The **Citizens' War Memorial**, Christchurch (Category 1, List No. 3693) marks an important change in the Trethewey style away from direct military representation and towards the symbolic figure. It is arguably the dynamic and dramatic quality of the Citizens' War Memorial that elevates its quality to that of a nationally significant monument, both as a work of art and as a memorial.

The design of the **Raurimu Spiral** (Category 1, List No. 7588) demonstrates outstanding technical accomplishment. By traversing a drop of 217 metres on a manageable gradient of 1 in 50, the spiral design allowed the construction of the North Island Main Trunk Line through the Central Plateau. The pick and shovel construction of the line adds to its technological value.

Image: Ref: WA-42886-F, Alexander Turnbull Library

Alington House, Wellington (Category 1, List No. 7698) employs a unique post and beam structural system that moves away from the standard lightweight timber-frame construction that typifies most of New Zealand's residential buildings. The thorough integration of the technological, functional and aesthetic qualities into a meaningful work of architecture marks Alington House out from other residential work in this country.

Image: Crown Copyright, Department of Conservation Te Papa Atawhai (Alan Macrae)

The **Cape Maria Van Diemen Lighthouse** on Motuopao Island (Category 2, List No. 3289) is an example of Marine Engineer John Blackett's use of timber for the construction of lighthouses. This was an innovative response to the relative impoverishment of the colonial Treasury and the abundance of timber in New Zealand. The designs he developed to enable the use of timber attracted worldwide attention from lighthouse engineers.

Old Coach Road, Wellington (Category 1, List No. 7396) has distinctive technological, engineering and design values. The original design and construction of this road is remarkably intact after nearly 160 years, and has had only minimal modifications within this timespan – it is of outstanding significance from a civil engineering design point of view.

Grove House, Auckland (Category 1, List No. 4508) has technical value for the high standard of its Arts and Crafts design, and for the quality of its detailing and craftsmanship which includes stonemasonry, shingling, brick fireplaces and lead-light glasswork. The place has value for its relatively little-altered exterior design and for surviving aspects of the bungalow floor plan.

Criterion (h): the symbolic or commemorative value of the place

A symbol is something that 'stands for, represents, or denotes something else (not by exact resemblance, but by vague suggestion, or by some accidental or conventional relation), especially a material object representing or taken to represent something immaterial or abstract, as a being, idea, quality, or condition …'[115]

'To symbolise' is to 'be a symbol of; to represent or stand for, as a symbol; to typify …To make into or treat as a symbol; to regard as symbolic or emblematic.'[116]

When considering whether to assess a place for its symbolic qualities, think about whether the place is used as a symbol and is generally or widely recognised for its symbolic quality.

Commemoration is to 'mention as worthy of remembrance; to make eulogistic or honourable mention of; to celebrate …'[117]

Commemoration is a deliberate, conscious act. Commemorative places encourage people to recall a person, people or an event and portray them as being worthy of remembrance. In most cases, such places clearly intend to inspire an emotive response in those viewing them.[118]

Commemoration is the primary purpose of some places commonly assessed for their heritage value. Monuments and memorials, including war memorials, cemeteries, headstones and disaster memorials, should be considered under this criterion. Places that include memorials should also be considered. For instance, Anglican churches commonly include memorials to parishioners inside the church on the floor or walls and in stained glass windows.

This criterion may draw on assessments you have made under cultural, historical, social or spiritual significance and assist you to determine the extent of the significance.

Threshold for inclusion

Category 1: The place was designed for commemoration or is widely acknowledged as a symbol of people, events or ideas of special or outstanding significance in New Zealand history, and its special association with them make it particularly able to fulfil this function when compared to others throughout the country.

Category 2: The place was designed for commemoration or is acknowledged as a symbol of people, events or ideas of significance in New Zealand history, and it has characteristics that mean it has been or continues to be used and valued for its commemorative or symbolic function, especially over a long period of time.

Key questions to consider

1. Is the place commemorative? Is it a symbol?

The place must either have commemorative or symbolic value. It may have both.

What makes it commemorative?

- Was it built or designed as a commemorative structure?
- Has it been dedicated to someone or something?
- Does part of the place have a commemorative function?

What makes it symbolic?

- Has it become a symbol over time?
- Is it used as a symbol? (By whom?)
- Is it recognised as a symbol? (By whom? How widely is it recognised? What evidence is available to support this?)

2. Does the place symbolise or commemorate someone or something of importance in New Zealand history?

It is not enough simply to show that the place has a commemorative or symbolic function. You need to demonstrate that the place commemorates or stands as a symbol for something of significance, or of special or outstanding significance, in New Zealand history or is a significant representation of New Zealand culture or society. Where you consider the aspect of history is of low significance, you may decide that this criterion is not satisfied.

The assessment should outline whom (or what) the place commemorates or symbolises and state why they are of significance (or it is of significance).

3. Does the place have a recognisable connection to what is being commemorated or symbolised?

The stronger the connection, the stronger your case is likely to be. The difference between whether the case has been made or not will often rest on the strength of this connection. What makes the place a meaningful symbol or gives it its commemorative power?

115 'symbol, n.1.' *OED Online*, accessed 24 December 2014.

116 'symbolise, v.1.' *OED Online,* accessed 18 May 2014.

117 'commemorate, v.' *OED Online*, accessed 18 May 2014.

118 Department of Environment and Heritage Protection, 2013, p. 52.

The symbolic or commemorative power of places may evolve or change over time. For instance

- Places may have greater symbolic power if the quality that ties them to the people, events or ideas they symbolise is rare or has a unique quality
- Places may have greater commemorative power if they have a direct physical or historic connection to who or what they are commemorating.

Consider the following

- The location or setting and whether it was chosen for its symbolic or commemorative power
- The materials or fabric of the place and whether they have a particular connection to the people, events or ideas being commemorated or were chosen for a particular symbolic or commemorative effect
- The date it was built and whether it was intended to commemorate a particular anniversary or event
- Whether and how long the place was, or is, actively used for commemorative services or as a symbol
- Whether a community has demonstrated that it values the place through the continuing care, protection or enhancement of its commemorative or symbolic values.

Avoid

- Ascribing significance under this criterion if there is no evidence that the place is used or recognised as a symbol prior to your assessment. While representative places may become symbols over time, having a 'symbolic quality' may not mean the same as being 'representative of' something[119]
- Basing your case on use of the place as a museum – commemorating objects from the past
- Repeating the same statements that you have already used to convey the place's representative or historic value.

119 Department of Environment and Heritage Protection, 2013, p. 52.

Examples – criterion (h)

Image: Liezel Jahnke, Ruapehu District Council

The **Tangiwai Historic Reserve** (Category 1, List No. 7591) is the site at which commemorative gatherings of families, friends and others associated with those killed in the accident have met on an annual basis since 1953. Despite its simple nature, which allows the terrain and the climate to set the scene, the memorial conveys the impression of 'sacred space' and demonstrates the importance of that space to those who funded the structure.

As one of a very small number of war horses to return to New Zealand after World War I, Bess stood as a representative of the 3817 horses that originally served with the New Zealand Mounted Rifles. As such, the **Memorial to Bess**, Bulls (Category 1, List No. 7571) has significant commemorative value for the soldiers who were unable to bring their horses home.

Image: Shellie Evans – flyingkiwigirl, flickr.com

St Paul's Church (Presbyterian), Invercargill (Category 2, List No. 2517) features many memorial tributes to individuals. However, the Roll of Honour on the entrance porch has broader commemorative value and is reflective of the general outpouring of grief and anxiety within New Zealand during, and immediately following, each of the two World Wars of the 20th century.

The **One Tree Hill Obelisk**, Auckland (Category 1, List No. 4601) has considerable significance as a symbol of biculturalism and respect between Māori and Pākehā and lies on a site of great importance to Māori. It commemorates a prominent early pioneer who gifted the land to the city for public use, preserving a large part of the pā for posterity.[120]

120 The One Tree Hill Obelisk was entered on the List in 1989, prior to the introduction of the legislated criteria. The statement of significance under criterion (h) has been taken from the 2001 upgrade report completed for this List entry, accessed via the List Online (see www.heritage.org.nz/the-list/details/4601).

There are few structures with greater symbolic and commemorative significance to the people of Hastings than the **Clock Tower** (Category 1, List No. 1075). The structure is not only a symbol of the triumph of the human spirit in the aftermath of a disaster, but a memorial to the 93 people who were killed in the city by the 1931 earthquake.

Image: Nick-D, Wikimedia Commons

The **Executive Wing**, Wellington (Category 1 historic place, List No. 9629), more commonly known as the Beehive, has outstanding symbolic value. Images of the Beehive's unique and distinctive conical form are widely used by New Zealanders as a universally understood symbol for the government. Its iconic form is frequently employed in cartoons and media graphics to represent in shorthand the complex collection of buildings, people, policies and legislation that comprises our central government. Sir Basil Spence stated the circular and conical form of the design itself represented Parliament's status as 'the hub or universal joint' of New Zealand; it being a 'hive of political activity' is also inferred.

Criterion (i): the importance of identifying historic places known to date from an early period of New Zealand settlement

This criterion is about settlement. New Zealand was one of the last places in the world to be settled. It is the birthplace and home of Māori culture, and was the subject of large-scale settlement in the 19th century by people seeking a new life and new opportunities. Understanding these major trends in settlement is central to understanding New Zealand history.

This criterion elevates places dating from an earlier period of settlement above those created at a later date. A period is a 'length of time in history characterized [sic] by some prevalent or distinguishing condition, circumstance, or occurrence …'[121] Places that may satisfy this criterion include those relating to:

- The initial wave of settlement of New Zealand currently thought to be before or around the start of the 14th century[122]
- The period of pā construction by Māori from the 16th century
- The initial contact period between Māori and Pākehā through to circa 1840 (sealing and whaling, trade, missionary activity)
- The period of large-scale organised Pākehā settlement from the 1840s to late 1860s.

You may be able to strengthen your case further if you can demonstrate that the place belongs to a more specific, defined and recognised period prior to the mid-late 19th century, and can also demonstrate that a place represents an early example from this period.

Keep in mind that the focus of this criterion is nationwide – places must date from an early period of settlement 'in New Zealand'. It is not enough for the place to date from an early period of settlement for a particular region or locality if that region or locality was settled well after the early phases of Pākehā settlement. Similarly, it is not enough for a place to be an early example of a particular building type such as a picture theatre if it does not date to an early period of settlement.

What is the latest date that could still be considered an 'early period of New Zealand settlement'? Strong cases have been made under this criterion for places dating up until the late 1860s. A small number of assessments have related to places dating from the 1870s, and there are a very few dating from the 1880s. While there may be exceptions, it is likely to be difficult to argue successfully under this criterion if the place dates after the late 1860s. Places with physical fabric dating through to the early 1850s have generally been recognised as having special or outstanding significance under this criterion, although later places may also be considered of special or outstanding significance under this criterion in particular circumstances.

This criterion is unlikely to sit alone; generally it will support other section 66(3) criteria such as (a), (b), (c) and (j). It may also assist you to determine whether the place meets the threshold for Category 1, particularly for places assessed under archaeological, architectural, historical, technological or traditional significance.

Threshold for inclusion

Category 1: The place dates from an early period of settlement (from the initial human settlement of New Zealand through to the late 1860s), includes a significant proportion of fabric from this period and, when compared to other examples remaining from this period, can be shown to date to the earliest phase of that period, or be a particularly rare or intact example.

Category 2: The place dates from an early period of settlement (from the initial human settlement of New Zealand through to the late 1860s) and retains a significant proportion of fabric from this period.

Key questions to consider

1. What period or date was the place created, used, formed or constructed?

Identify the date or a date range or settlement phase to which the place, or part of the place, relates.

2. Is there existing physical fabric dating back to this period or date?

The place must include physical fabric that dates to that early period. Identify the physical fabric being assessed. If only part of the place dates to the early period, focus on this fabric only. If only a very minor part of the place dates to the early period, then your assessment under this criterion may be weak. While you can refer to the techniques and evidence used in your report to establish the date range of a place, you should not go into detail in the assessment. Note that if there is not enough evidence to establish a date or a date

121 'period, n., adj., and adv.' *OED Online,* accessed 24 December 2014.

122 There is considerable debate about when New Zealand was first settled. For a recent summary see: Irwin, Geoff and Walrond, Carl, 'When was New Zealand first settled? – the date debate', *Te Ara – the Encyclopedia of New Zealand,* updated 22 September 2012, www.TeAra.govt.nz/en/when-was-new-zealand-first-settled/page-1

range, and if the place is likely to have been created near the end of, or possibly after, the 1860s, then a case made under this criterion is likely to be weak. The place may still qualify under other section 66(3) criteria.

3. How does the place compare to other sites from the period?

Even if the place can be shown to date to an early period of settlement in New Zealand, demonstrating that it has special or outstanding significance may still be affected by a combination of factors. Compare the place to other places remaining from the same period or date range in New Zealand. Does the place have characteristics making it a particularly strong or important example? State how the place compares with other remaining examples from the same early period of settlement.

Consider the following

- Is the place a particularly early example from the period in New Zealand?
- Is the place a rare remaining example from the period in New Zealand? Focus on comparing the place to other remaining examples in this country dating from a similar time period.
- Is the place a particularly intact example from the period?
    - Does it include more fabric or particular types of fabric from the period that are in especially good condition?
    - Does it include collections or chattels that are associated with the place, that also date from the time period?
    - Is it close to its original form, layout or design?
    - Or does it feature typical changes from the time period more clearly than other places?

Avoid

- Ascribing significance under this criterion
    - If the place is suspected to have physical fabric from an early period. There is no provision for 'potential' under this criterion. If you have strong reason to suspect that the place incorporates early elements that cannot be seen, or that the site contains evidence dating back to this early period, consider assessing this aspect of the place under criteria that allow for 'potential' to be taken into account, such as archaeological or scientific significance, or the 'potential to provide knowledge of New Zealand history' (criterion (c))
    - If you do not have firm evidence that the place dates to an early period of New Zealand settlement. If the place is likely to have been built in the late 1860s or later, but you cannot be sure of this after a review of the documentary evidence or a physical analysis of the place, your case under this criterion is likely to be very weak
    - If the place is an early example of a particular building type, unless the place also dates to an early settlement period in New Zealand
    - If the place was built in an area that was settled well after the first waves of Pākehā settlement, even if the place was one of the first to be built in that area.

Examples – criterion (i)

While certainly not our earliest shore whaling station, **Te Kahuoterangi Whaling Station**, Kāpiti Island (Category 1, List No. 7662) appears to have been operating in the late 1830s to early 1840s, which means it dates from the earliest period of European settlement. Its intact nature means that it also has the potential to provide valuable information about the way of life of these early residents.

Pipiriki Flourmill, Pipiriki (Category 2, List No. 7589) was constructed between 1854 and 1857. This was shortly after imported crops, such as potatoes, wheat and maize, were first planted in the Whanganui River region and during the initial phase of Pākehā settlement, which had begun in the area in 1840 after the signing of the Treaty of Waitangi.

Image: Crown Copyright, Department of Conservation Te Papa Atawhai (Jonathan Welch, 2005)

1500 AD is widely regarded as the approximate date at which pā construction began. Radiocarbon samples indicate that **Ōtātara Pā**, Napier (Category 1, List No. 6418) was occupied by the start of the 16th century thereby suggesting that it is an early example.

Image: Shellie Evans – flyingkiwigirl, flickr.com

Archaeological evidence indicates that the **Pleasant River Mouth Site**, Palmerston (South Island) (Category 1, List No. 5699) was occupied during the early phase of Māori settlement in New Zealand. Radiocarbon dates show that Māori repeatedly inhabited the site during the 14th to 16th centuries.

Image: David Brailsford

French Farm House, Akaroa Harbour (Category 1, List No. 7708) dates from the early 1840s and represents a very early era of New Zealand's colonial history. It is the only building remaining from the early period of French presence in Akaroa Harbour, is the oldest related to the French settlement and probably the oldest in Canterbury. It is also amongst the oldest surviving buildings in the South Island.

Site of Māori Church, Te Whare Karakia Ki Puari, Port Levy, Banks Peninsula (Category 2, List No. 7468) is the site of the first Anglican church in Canterbury. The church was built in 1844, some six years before the formal settlement of the province in 1850.

Image: Francis Vallance, vallancephotography@xtra.co.nz

Criterion (j): the importance of identifying rare types of historic places

Your aim here is to show that a place is rare and why that matters. Rarity alone is not sufficient – the place must be related to a significant aspect of New Zealand history for rarity to be significant. This criterion identifies where places representing important aspects of New Zealand history are uncommon or 'few and far between'.[123]

For a place to be rare, you need to show that there are very few other places that represent the same significant aspects of New Zealand history. This criterion requires you to compare the place against the original and existing group of places that represent the same aspects of New Zealand history. In your assessment you will show how the place is similar to these other places and what makes it stand out.[124]

Some important aspects of New Zealand history have always had a very limited number of places that represent them. Others aspects of history may have been well represented once but, as times have changed, examples have been lost. Places that were once common, but are now rare, may be of importance for their representative value.[125] The more limited the number remaining compared to the original group, the more likely you are to be able to make a case for special or outstanding significance under this criterion.

This criterion may assist you to determine whether the place meets the threshold for Category 1 and may be relevant under any of the section 66(1) criteria ascribed to the place.

Threshold for inclusion

Category 1: The place is the only or one of a very few places throughout the country that represent a special or outstanding aspect of New Zealand history, and it has characteristics making it particularly able to represent those aspects when compared to other remaining examples.

Category 2: The place is one of a reduced number of places left in an area that represents significant aspects of New Zealand history.

Key questions to consider

1. What makes the place rare?

Consider the characteristics making the place rare. This will help define the group of places that represent the same aspects of New Zealand history.

Commonly used characteristics include a specific early time period (e.g. the 1840s), a location (e.g. in Wellington), construction materials (e.g. concrete), style (e.g. Carpenter Gothic), and association with particular events, people or ideas (e.g. associated with the signing of the Treaty of Waitangi). The characteristics you choose will differ from place to place. Be as precise as you can when identifying these characteristics. For instance, noting that a place belongs to the 'Victorian era' or 'early colonial period' is less useful than a specific date or date range, such as '1840-1855'. Vague descriptions can make it more difficult for you to convey the how important the place is.

Choosing what characteristics to include can be challenging and you should only include those that are essential and meaningful. If you choose too many characteristics, the group of other places that represent the same aspects of history will be very limited. This will help you to show that the place is rare within the group that you have defined, but you are likely to find that it is difficult to show that that group has significance.[126] On the other hand, if not enough characteristics are considered, the group that you are comparing the place with will be very large. You may miss the opportunity to highlight the special qualities of the place that should be taken into account.[127]

2. What significant aspects of New Zealand history does the rarity relate to?

Before going any further, you need to show that it matters that the place is rare. The aim is *not* to collect one of each 'type' or variation on that type. The aim is to identify where significant aspects of New Zealand history are represented by a very small number of places. Consider the characteristics you have identified that make the place rare. Is the rare group of places that it belongs to connected to significant aspects of New Zealand history? What are they? The more significant the aspect of history is, the more it matters that the place is one of the few that represent it. In some cases, you may decide the group is not of sufficient significance to satisfy this criterion even if the place is technically rare in that group.

3. Over what geographic area were other examples once spread?

One important way in which rarity is established is through geographic spread. Where were other examples once distributed? Make sure you indicate the geographic location

123 'rare, adj.1 (and int.), adv.1, and n.' *OED Online*, accessed 16 June 2014.

124 Marshall, 2011, p. 32.

125 Department of Environment and Heritage Protection, 2013, p. 10.

126 ICOMOS, *The World Heritage List – what is OUV? Defining the outstanding universal value of cultural world heritage properties*, an ICOMOS study compiled by Jukka Jokilehto, with contributions from Christina Cameron, Michel Parent and Michael Petzet, Berlin, 2008, p. 15, www.icomos.org/publications/monuments_and_sites/16/pdf/Monuments_and_Sites_16_What_is_OUV.pdf

127 ICOMOS, 2008, p. 15.

where other examples in the group were originally found and the area in which the place could be considered rare.

Consider the group of other places with the same characteristics. Over what geographical area could other examples in the group originally be found? In most cases, places will have existed throughout New Zealand, except where the group resulted from an activity specific to a particular region or local area. In some cases, you may have to expand beyond New Zealand and consider overseas examples.

Now, consider whether the place is rare throughout the original geographic area where examples were originally found. If you can show this, you will have a much stronger case for demonstrating that the place is of special or outstanding significance for its rarity value.

In some cases, you may find that the place is only rare as a regional or local example of its kind. This means that there are likely to be other examples in other places in the country. This will affect how significant the place is perceived to be, except if rarity in that particular location is important in demonstrating an aspect of New Zealand history.[128]

4. How many other examples used to exist and how many exist now?

Consider the original size of the group of places that represented that aspect of history and compare it to the size of the group today. Rarity depends on demonstrating that the places that represent a particular aspect of history are few in number. How abundant were these places?[129] How abundant are they now? Indicate how common it once was for similar places to exist, and the extent to which this original group remains.

The strength of your case depends on whether you can prove that you have accurately identified the original size and the existing size of the group. In New Zealand, where there are often few comparative studies to draw on, it can be difficult to find enough evidence to answer this question effectively. If your research has not allowed you to identify the exact number of original or remaining examples, you may still have sufficient evidence to make general but informed statements about the size of the original group and the likelihood of other places remaining.[130]

5. How does the place compare to other examples?

Describe how the place compares with the other remaining examples. If the place is the only remaining example, you do not need to answer this question.[131] Does the place have characteristics making it a particularly strong or important example? If it does, you may have a strong case for special or outstanding significance.

Consider the following:

- Is the place a particularly early example?
- Is the place a particularly intact or complete example?
- Does it include more fabric or particular types of fabric from the period of significance that are in particularly good condition?
- Does it include collections or chattels that are associated with the place that also date from the time period?
- Is it close to its original form, layout or design or does it feature typical changes from the time period more clearly than other places?
- Is the place connected more closely with a historic event, person or idea than other examples?

Avoid

- Using the word 'unique' where possible. If something is unique it means there is nothing else like it – it is the only one in its group. Proving that something is actually unique can be very difficult. If you can prove something is unique and that it is also important, you may have a strong case for special or outstanding significance[132]
- Limiting your group in ways that are not meaningful for comparative analysis. For instance, would you consider a place was significant if it was the only timber villa from the 19th century in Masterton with a red door?
- Suggesting a place is rare because it is under-represented on the List. This can be a reason why the place should be prioritised for assessment, but is not evidence the place is rare. The List is a useful starting point for identifying other examples, but it should not be the only source used to find other examples
- Reproducing your comparative analysis in your assessment. It is not always necessary to include a full list of all other examples that remain. Consider summarising the list of other examples by indicating numbers, or by referring to key examples only
- Dismissing other examples in order to make the chosen example seem more important (making 'negative comparisons'). Negative comparisons frequently undermine a case for significance[133]
- Ascribing significance under this criterion if the place is not currently rare. It is not enough that it may become rare in the future.

128 Department of Environment and Heritage Protection, 2013, p. 31.

129 Australian Heritage Council, 2009, p. 25.

130 ICOMOS, 2008, p. 15; Marshall, 2011, p. 70; Department of Environment and Heritage Protection, 2013, p. 31.

131 HCOANZ, 2009, p. 48.

132 Kerr, 2013, p. 17.

133 Duncan Marshall, pers. comm, April 2013.

Examples – criterion (j)

The **Tīnui ANZAC Memorial Cross Site**, Tīnui (Category 1, List No. 9306) is a rare form of memorial within New Zealand, which has the added significance of being the only known cross dedicated to ANZAC losses during World War I.

Pilot's House at Spring Creek (Category 1, List No. 7748) is significant as a rare surviving example of a pre-1900 pilot's house. Pilots were employed in many harbours around the country and although once numerous, hardly any pilots' residences from the pre-1900s remain today. The in situ location of the Pilot's House increases its rarity value, as other former pilot residences are known to have been moved off-site.

The **Ruru Railway Station**, Ruru (Category 1, List No. 7236) is a survivor of what was the most common type of railway station built by New Zealand Railways, and they accounted for 44% of all stations in the country. Of an estimated 600 built before 1945, few remain on site, and Ruru is thought to be the finest surviving example.

Image: Brian Robinson – brian nz, flickr.com

The **Chelsea Sugar Refinery and Estate**, Auckland (Category 1, List No. 7792) has outstanding importance as one of few surviving 19th century sugar refineries in Australasia, and of these it appears to be amongst the best preserved. It is the only sugar refinery in New Zealand.

Image: Tasman District Council

The hop industry in New Zealand is unique to the Nelson/Tasman region. Where once there were many hop kilns, these are now dwindling in number. The **Harvey Hop Kiln and Worker's Hut**, Mahana (Category 2, List No. 9308) is an excellent and rare example of a wooden hop kiln in good condition. Many others having been destroyed or deteriorated due to neglect.

Strong's Watchmaker Shop, Naseby (Category 1, List No. 2270) is a rare survivor of a goldfield's era commercial premises. No other commercial premises have been identified that have the same integrity of age, use and tell the story so poignantly of this important period of Otago's development.

Image: Shellie Evans – flyingkiwigirl, flickr.com

Criterion (k): the extent to which the place forms part of a wider historical and cultural area

This criterion is about how the environment outside the boundary of the place enhances its significance. High concentrations of places with similar values within a limited area strengthen the values of each individual place. Look for places around the place that have similar values or stories. Are these places inter-related and within a definable area?

An area, in heritage terms, is generally made up of inter-related places. In common usage, areas are spaces with clearly definable boundaries.

Under the Historic Places Act 1993, 'landscape' was used instead of 'area'. Replacing the term 'landscape' with 'area' in the current Act creates a greater focus on concentrated groups of places in spaces that are more defined. Previously, 'landscape' was sometimes used interchangeably with 'area' in assessments. In some cases, the 'wider landscape' was a historic area that had been entered onto the List.[134] However, 'landscape' was also used to assess the contribution of a single place to groups whose high concentration across wide regions shaped the environment and the landscape. These assessments do not fit as comfortably under 'area'.
For instance

'the country churches affiliated with Anglicanism and other denominations which dot the landscape throughout the Nelson province mark the historical progress of the New Zealand Company settlement and are indicative of its spread, development, and maturing during the mid to late 19th century.'[135]

This criterion may assist you to determine whether the place meets the threshold for Category 1 and may be relevant under any of the section 66(1) criteria ascribed to the place.

Threshold for inclusion

Category 1: The place forms part of a defined area that contributes to our understanding of the values of that place in New Zealand history to a special or outstanding degree by clearly demonstrating the place's original context, importance or impact.

Category 2: The place forms part of a defined area that makes a significant contribution to our understanding of the place's importance in New Zealand history.

Key questions to consider

1. Does the place form part of a wider historical and cultural area?

Look outside the boundaries of the historic place you are considering. Are there other places that exist today that are historically and culturally related to it? Are these places nearby and within a broadly definable boundary? Or, are there several places spread over a wider area that collectively form part of a group?

Consider how to define the wider area and ensure the boundaries of the area and the various parts of it are described. Commonly used boundaries include geographic boundaries such as valleys or beaches or areas of swamp, and settlement boundaries such as streets, suburbs and towns. Other boundaries include areas where an industry operated or a particular activity took place and had an impact. If there are a large number of individual places in the area, consider providing a more general description of the group rather than listing them all.

Describe what makes the area cohesive and creates a relationship between its various parts.

Consider the following

- How intact the area is and how much of it has been retained. If there is very little left in the wider area, or if what is left has been severely damaged or modified, the place may not have importance under this criterion. Be sure to indicate how the place forms part of the area
- Whether the place is one of several from a similar period, of a similar style, purpose or background that dominate in an area
- Nearby places that exist because of the place
- Networks of places that operated together within a defined area.

134 For instance, the 'wider landscape' that the Sacred Heart Catholic Church in Reefton (No. 1689) was considered to form part of was the Reefton Historic Area, List No. 7050 (see: www.heritage.org.nz/the-list/details/7050).

135 St Alban's Church (Anglican), St Alban's Church (Anglican), Category 2, List No. 1654 (see: www.heritage.org.nz/the-list/details/1654).

2. How does the wider area enhance the significance of the place? How does the place contribute to the wider area?

While this criterion considers the wider area, your case is for the place, not for the area. For this reason, focus your statements on demonstrating how the place's role in the wider area enhances the significance of the place. Consider why it matters that the place is part of a wider area. If the place is central or a major contributor to the values of the wider area, you may be able to make a case for special or outstanding significance.

Consider the following

- Does the wider area preserve the original context from the period when the place became important? Groups of places with similar backgrounds or stories collectively provide a more comprehensive view of the past. Consider how well the original context has been preserved and the contribution that the place makes to this context
- Does the area help explain the wider system within which the place operated? If the place was part of a network, the retention of other sites helps to demonstrate how the place functioned as part of the network. How important was this network or system and why? How many of the original places in the system have survived? How intact are they? How central was the place for understanding this system or network?
- Does the wider area show the impact that the place had on the wider environment? Does the wider area help you to demonstrate the influence that the place had?
- Does the wider area demonstrate the scale of the event that the place was part of? The preservation of a series of places connected with an event or the preservation of a high concentration of places connected to it within an area can make it easier to understand the event or different aspects of it. How big was the event? Does what is left from it reflect it accurately? How important is the place in demonstrating the scale of the event?
- Does the wider area provide other examples that put the place into context? High concentrations of other places with similar values provide variety and a broader view of the context in which the place was created. How concentrated are these examples? Are they representative or important examples? Does the place stand out amongst these examples as being particularly important or central to the group?

Avoid

- Places linked solely by form or type, for instance, unless they also have a direct geographical and historical relationship with each other
- Treating this assessment like a comparative analysis exercise. If, for instance, the place is significant as an important example of an architect's work, it may not be appropriate to treat other works by that architect as being part of a wider area unless they form a geographic grouping or dominate an area
- Ascribing value under this criterion
  - If the historical or cultural context of the place no longer exists. In this context, 'historical' does not mean 'once existed' or 'in the past'. It means an area with historical values
  - If the wider historical or cultural area is included within the boundary of the place.

Examples – criterion (k)

The elite urban residence of **Sonoma**, Auckland (Category 2, List No. 7730) is one of significant group of five adjoining houses that reflect the creation of a well-to-do neighbourhood in the 1870s and 1880s. Sonoma and its neighbours form part of a wider historical and cultural landscape of outstanding importance, which encompasses places of significance to Māori and significant heritage linked to its history as the epicentre of British administrative and military power in New Zealand.[136]

136 Note that some of the examples refer to a wider 'landscape' rather than 'area' as they were entered on to the List under the Historic Places Act 1993, where criterion (k) referred to the former term, as previously detailed.

Skippers Road, Skippers (Category 1, List No. 7684) is part of a large and important heritage landscape exhibiting evidence of 140 years of continuous human occupation. Gold mining, and later farming and tourism, have all left their mark on the landscape, with mining in particular having altered the environment dramatically.

Image: Bernard Spragg, flickr.com

Oāmaru Harbour Breakwater and Macandrew Wharf, Oāmaru (Category 1, List No. 4882) are key elements within the Oāmaru Harbour Historic Area (List No. 7536), which recognises New Zealand's only surviving authentic Victorian/Edwardian deepwater port. The Oāmaru harbour is the key to understanding the historical, economic and social heritage of Oāmaru and its hinterland.

The **Warkworth Town Hall** (Category 1, List No. 7709) has high significance as one of a group of sites in Warkworth that reflect pioneering developments in the history of construction materials in New Zealand. The group also includes the ruins of Wilson's Cement works, Nathaniel Wilson's house 'Riverina', an early reinforced concrete Manager's House on Wilson Road, and 1880s lime kilns on the northern side of the Mahurangi River.

The **Dunedin Prison (Former)** (Category 1, List No. 4035) forms part of the Anzac Square/Railway Station Heritage precinct. Although the railway station predominates, the Dunedin Prison and the surrounding judicial buildings also feature prominently in the space. The precinct incorporates a range of architecturally impressive heritage buildings and provides a picture of early settlement and the heyday of historic Dunedin.

Image: Benchill, Wikimedia Commons

Image: Ralph Allen

Ray Cottage, Bannockburn (Category 2, List No. 7594) is an important part of the local historical landscape, namely the Bannockburn hydraulic sluicings and the surrounding goldfields landscape. The cottage is one of the early houses associated with gold mining that has survived to illustrate the existence of gold miners in Bannockburn who shaped the settlement and history of the area.

Glossary

[All definitions are from the HNZPT Act (sections 6 and 65) unless otherwise noted].

Archaeological site

Archaeological site means, subject to section 42(3),—

(a) any place in New Zealand, including any building or structure (or part of a building or structure), that—

(i) was associated with human activity that occurred before 1900 or is the site of the wreck of any vessel where the wreck occurred before 1900; and

(ii) provides or may provide, through investigation by archaeological methods, evidence relating to the history of New Zealand; and

(b) includes a site for which a declaration is made under section 43(1).

Chattels

Chattels are movable objects associated with a historic place, such as church pews, a grandfather clock or workshop tools. Chattels do not include items which are part of, and physically affixed to, a place.[137]

Criteria

Criteria are tools that break the significance of a historic place or area down into separate values so that the nature of that significance can be identified, isolated, analysed, compared and explained.[138]

Fabric

All the physical material of a place, including subsurface material, structures, and interior and exterior surfaces including the patina of age; and including fixtures and fittings, and gardens and plantings.[139]

Historic area

A historic area means an area of land that:

(a) contains an inter-related group of historic places; and

(b) forms part of the historical and cultural heritage of New Zealand; and

(c) lies within the territorial limits of New Zealand.

Historic place

A historic place means:

a) any of the following that forms a part of the historical and cultural heritage of New Zealand and that lies within the territorial limits of New Zealand:

(i): land, including an archaeological site or part of an archaeological site;

(ii): a building or structure (or part of a building or structure);

(iii) any combination of land, buildings, structures, or associated buildings or structures (or parts of buildings, structures, or associated buildings or structures); and

(b) includes anything that is in or fixed to land described in paragraph (a).

Historic place – Category 1

A place of special or outstanding historical or cultural heritage significance or value.

Historic place – Category 2

A place of historical or cultural heritage significance or value.

Landmark

An object or feature of a landscape or town that is easily seen and recognised from a distance, especially one that enables someone to establish their location.[140]

Mana moana

Authority over the sea and lakes.[141]

Mana whenua

Customary authority exercised by an iwi or hapū in an identified area.[142]

Open-area excavation

A type of excavation in which large horizontal areas are opened, especially where single-period deposits lie close to the surface. Also referred to as 'area excavation'.[143]

Tangata whenua

Tangata whenua means, in relation to a particular place or area, the iwi or hapū that holds, or at any time has held, mana whenua in relation to that place or area.

The List

The List refers to the New Zealand Heritage List/Rārangi Kōrero under the HNZPT Act. It is the same as the Register established under section 22 of the Historic Places Act 1993.

137 Heritage New Zealand Statement of General Policy, 2015, p. 25.

138 Collections Council of Australia, 2009, p. 38; Kerr, 2013, p. 11; Australia ICOMOS, 2004, p. 79.

139 ICOMOS New Zealand Charter, 2010, p. 10.

140 'landmark, n.', *Oxford English Living Dictionaries,* https://en.oxforddictionaries.com/definition/landmark, accessed 16 March 2017.

141 'Mana moana', *Māori Dictionary,* https://maoridictionary.co.nz/word/14983, accessed 16 March 2017.

142 Resource Management Act 1991, section 2.

143 Renfew, Colin and Paul Bahn, *Archaeology: Theories, Methods and Practice* (second edition), Thames and Hudson Ltd, London, 1996, p. 544.

Threshold indicators

Threshold indicators are factors such as authenticity and integrity, representativeness, rarity, intactness, strength of connection and age which help establish the degree of significance for a historic place or area.[144]

Wāhi tapu

A wāhi tapu is a place sacred to Māori in the traditional, spiritual, religious, ritual, or mythological sense.

Wāhi tapu area

A wāhi tapu area is land that contains one or more wāhi tapu.

Wāhi tūpuna

A wāhi tūpuna is a place important to Māori for its ancestral significance and associated cultural and traditional values, and a reference to wāhi tūpuna includes a reference, as the context requires, to:
(a) wāhi tīpuna;
(b) wāhi tupuna;
(c) wāhi tipuna.

144 As detailed in the 'Introduction' section of this guide, p. 7.

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Appendix 4

ARCHAEOLOGICAL GUIDELINES SERIES No. 2

Writing Archaeological Assessments

HERITAGE NEW ZEALAND
POUHERE TAONGA

July 2019
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Cover image: Excavations at Mangahawea Bay, January 2019 (HNZPT 0114).

Below image: Drone image of excavations at Mangahawea Bay, January 2019 (Hans-Dieter Bader 2019, 0019).

1. Introduction

These guidelines have been prepared by Heritage New Zealand Pouhere Taonga (HNZPT) to assist the archaeological community with the preparation of archaeological assessments. They are not prescriptive, but are intended to convey the HNZPT's view on appropriate standards. The guidelines have been developed within the current framework of best practice for archaeological and heritage management in New Zealand, as promoted in international ICOMOS charters, national legislation, government heritage policy and codes of ethics for archaeological practice in New Zealand.

Archaeological assessments are usually commissioned in response to projects or developments where archaeological sites may be affected. They are best commissioned early during the planning stages, to ensure that sites can be avoided and protected or adverse effects minimised and that the relevant legislation is complied with. These assessments may then form part of the information requirements for applications for archaeological authorities required under the Heritage New Zealand Pouhere Taonga Act 2014 (HNZPT Act), or contribute to AEEs (Assessment of Environmental Effects) required for resource consent applications made under the Resource Management Act 1991 (RMA).

The guidelines follow a suggested layout, which may be adapted at the author's discretion. The guidelines also include a checklist of information and matters to be addressed that should be provided in all reports of archaeological assessments submitted as part of archaeological authority applications. The checklists are located at the end of each section. A checklist drawn from this guidance is also available online.

It is recognised that assessments produced following these guidelines will vary in length and complexity depending on the scale of the project or development under consideration. For small projects some sections, for example, Project Outline and Environmental Setting, may be included within the introductory section. All matters in the checklist however should be addressed, if only by a statement explaining why the matter is not relevant in the particular case.

The guidelines focus on the requirements of the HNZPT Act, but where relevant the guidance may be applicable to assessments required under the RMA. The HNZPT Act and RMA are effects-based and require consideration of methods to avoid or mitigate adverse effects. It is HNZPT policy that RMA and HNZPT Act processes are aligned where possible, and so assessments submitted for the RMA process may be used for an Archaeological Authority application, as long as the information required for the Application process is provided.

2. Guideline

2.1. Executive Summary

An executive summary, containing key points and findings, may be useful for long and complex assessments.

2.2. Introduction

The introduction should set out the background and purposes for the assessment, commission details and the location of the area of land under consideration, including the legal description. A map showing the boundaries of the assessment should support the description of the location.

The introduction may include a summary of the physical environment and the project or proposed development, or this may appear elsewhere in the body of the report, depending on the scale of the project. The date and author of any survey or development plans referred to in the assessment should be noted.

Checklist

- □ Commission details (contracting organisation or individual and authors of report)
- □ Project outline / proposed development, or separate section if large scale. Purpose of assessment
- □ Description of location
- □ Map of location, showing boundaries of project /archaeological assessment.

2.3. Statutory Requirements

This section should outline any legislation relevant to the assessment. An example of appropriate wording is provided below.

There are two main pieces of legislation in New Zealand that control work affecting archaeological sites. These are the Heritage New Zealand Pouhere Taonga Act 2014 (HNZPT Act) and the Resource Management Act 1991 (RMA).

Heritage New Zealand Pouhere Taonga administers the HNZPT Act. The HNZPT Act contains a consent (archaeological authority) process for any work affecting archaeological sites, where an archaeological site is defined as

a. Any place in New Zealand, including any building or structure (or part of a building or structure), that-
    i) was associated with human activity that occurred before 1900 or is the site of the wreck of any vessel where that wreck occurred before 1900; and
    ii) provides or may provide, through investigation by archaeological methods, evidence relating to the history of New Zealand; and

b. includes a site for which a declaration is made under section 43(1)

Any person who intends carrying out work that may damage, modify or destroy an archaeological site, or to investigate a site using invasive archaeological techniques, must first obtain an Archaeological Authority from Heritage New Zealand Pouhere Taonga. The process applies to sites on land of all tenure including public, private and designated land. The HNZPT Act contains penalties for unauthorised site damage or destruction.

The archaeological authority process applies to all sites that fit the HNZPT Act definition, regardless of whether:

- The site is recorded in the New Zealand Archaeological Association (NZAA) Site Recording Scheme or Listed by HNZPT,
- The site only becomes known about as a result of ground disturbance, and/ or
- The activity is permitted under a district or regional plan, or a resource or building consent has been granted.

Heritage New Zealand Pouhere Taonga also maintains The New Zealand Heritage List Rārangi Kōrero of Historic Places, Historic Areas, Wahi Tupuna/Tipuna, Wahi Tapu and Wahi Tapu Areas. The List Rārangi Kōrero includes some significant archaeological sites. The purpose of The List Rārangi Kōrero is to inform members of the public about such places and to assist with their protection under the Resource Management Act (1991).

If the assessment is being provided for RMA purposes the following summary may be useful.

The RMA requires City, District and Regional Councils to manage the use, development, and protection of natural and physical resources in a way that provides for the wellbeing of today's communities while safeguarding the options of future generations. The protection of historic heritage from inappropriate subdivision, use, and development is identified as a matter of national importance (section 6f).

Historic heritage is defined as those natural and physical resources that contribute to an understanding and appreciation of New Zealand's history and cultures, derived from archaeological, architectural, cultural, historic, scientific, or technological qualities.

Historic heritage includes:

- historic sites, structures, places, and areas
- archaeological sites;
- sites of significance to Maori, including wahi tapu;
- surroundings associated with the natural and physical resources (RMA section 2).

These categories are not mutually exclusive and some archaeological sites may include above ground structures or may also be places that are of significance to Maori.

Where resource consent is required for any activity the assessment of effects is required to address cultural and historic heritage matters (RMA 4th Schedule and the district plan assessment criteria [if appropriate]).

The assessment should state the heritage places under consideration, for example, is it restricted to archaeological sites as defined in the HNZPT Act, or a wider range of historic heritage features. What is the timeframe for places under consideration, for example, pre- World War II?

Checklist

□ Summary of relevant legislation

□ Definition of places considered in assessment

2.4. Methodology

This section should document the methods and techniques used to obtain information during the course of the assessment. Possible documentary sources of information include: land titles, early maps and surveyors records, local histories, theses, other published and archival resources, aerial photography, local authority heritage lists, HNZPT List Rārangi Kōrero and the NZAA Site Recording Scheme.

The discussion of field techniques should specify the methods used. For example, were transects walked at specified intervals, along ridgelines or randomly? Remember that invasive techniques such as test pitting in the area of known archaeological features will require an Archaeological Authority from HNZPT.

Checklist

- □ Information sources consulted
- □ Field techniques

2.5. Physical Environment or Setting

This section should consider the broad physical context of the area/ place being assessed and may include relevant elements such as geology, topography, climate and vegetation in rural settings, and streetscape and curtilage in urban settings. The elements should be considered in terms of their relationship to the human history of the area and to the purposes of the assessment.

Substantive changes in the environment during the time of human settlement that have affected occupation and land use patterns should be addressed. The present day environment may also have implications for the field techniques used. For example, dense vegetation cover will make ground-based field survey difficult and less effective.

Checklist

- □ Environmental factors relevant to assessment, e.g. geology, topography, climate, vegetation.
- □ Urban setting.
- □ Current land use if implications for assessment.

2.6. Historical Background

This section should provide a general overview of the human history of the area. The scope will depend on the nature of the area and the project. This section should place the assessment within the context of what is known about the history of the area, therefore establishing a framework for the kinds of archaeological sites that may be present in the project/ development area.

Even if no archaeological research has taken place in the area, a broad history should still be presented. In urban environments, the history section may draw on land titles and survey plans and archival information from sources such as council rating records. In rural settings, the history may include accounts of Maori settlement and use from sources such as tribal histories and Maori Land Court records, followed by a discussion of European settlement and major industries such as pastoralism, forestry or mining.

The majority of historical research for urban sites should be carried out as part of the assessment, not during the exercise of any archaeological authority or at the completion of on-site work. Historical information can greatly assist with the decision making process and the setting of appropriate conditions.

Checklist

□ Overview of the history of area

2.7. Previous Archaeological Work

This section should consider what previous archaeological work has been carried out in the project/ development area. The history of previous archaeological survey should be outlined and implications for the current project considered. For example, what were the purposes of past surveys, were the sites recorded on an ad hoc basis or was the area subject to systematic survey? Would the survey techniques have resulted in the identification of most of the sites, or if the survey was based on aerial photography, just large earthwork sites?

Any archaeological investigations of sites in the project area should be identified and the results summarised.

Any previous archaeological authorities granted in the project/ development area and the effects of any work undertaken on sites as a result should be identified. This information is available from the appropriate HNZPT Area Archaeologist in the area of proposed works. The results of any archaeological work carried out as a condition of the archaeological authority should also be noted, particularly if they are relevant to the current assessment, for example, radiocarbon dates and analysis of material recovered from sites.

Checklist

□ Site recording history.

□ List of recorded sites (to include NZAA Site Record Number, site type, date recorded, date of last visit) with copies of Site Record Forms in appendix.

□ Map of recorded sites in relation to project area.

□ Results of any archaeological investigations.

□ Any archaeological authorities granted and outcomes?

2.8. Archaeological Context

This section describes the outcomes of the information-gathering phase of the assessment. Any constraints on fieldwork or other methods of inquiry should be noted. The use of photographs and drawings is encouraged, as is the use of tables for conveying large amounts of information. All archaeological sites in the project area, whether already recorded or newly discovered, should be shown on a map.

This section should include a list or table of any sites recorded in the NZAA Site Recording Scheme (NZAA SRS) in the area and a map showing the recorded sites in relation to the project/ development area. Copies of Site Record Forms should be included in an appendix.

This section should state if any previously recorded sites were relocated, and the possible reasons if they were not. Updated records for these sites should be submitted to the NZAA SRS and included in an appendix.

This section should describe any newly discovered sites, in accordance with the NZAA Site Recording Handbook. Newly discovered sites should be recorded in the NZAA SRS and site record forms included in an appendix. Site numbers for newly recorded sites should be included in the assessment.

This section should also note if any sites are on the HNZPT List Rārangi Kōrero of Historic Places, Areas, Wahi Tapu and Wahi Tapu Areas, and if relevant, in any RMA planning documents.

The extent of the visible features of any sites encountered should be stated, along with their condition at time of field survey, including evidence of any historical damage if visible or other notable features. The results of any other fieldwork, such as test pitting, should also be described. Where possible, photos should be provided.

This section should conclude with a consideration of any issues arising from the fieldwork and research carried out for the assessment. Do the results provide a comprehensive coverage of the area? Is there potential for unrecorded sites to be present? Explanations for the absence of sites should be considered.

This section should also consider any sites in the project area in a wider context, both from a geographical and research perspective. How do the sites fit in with the current archaeological knowledge of the area? What is their potential to contribute new or important information to areas of current research interest?

Checklist

- □ State any constraints on fieldwork.
- □ Whether the recorded sites were relocated, and if so updates to NZAA SRS.
- □ Whether any new sites were located, and if so NZAA SRS site record numbers and forms.
- □ Whether there are any registered and/ or scheduled places in the project area.
- □ Outcomes of research, potential for unrecorded sites? Consideration of sites in wider geographical context.
- □ Consideration of sites in terms of current research themes or questions. Map of any archaeological sites in the project area.

2.9. Archaeological and Other Values

This section should consider the archaeological values, and any other relevant values, of the archaeological sites or groups of sites identified during the research phase. Other relevant values could include historical, technological, architectural and cultural. Statements as to the importance or otherwise of sites should be justified with reference to evidence collected during the research phase of the assessment and current archaeological and historic heritage knowledge.

Archaeological values relate to the potential of a place to provide evidence of the history of New Zealand. This potential is framed within the existing body of archaeological knowledge, and current research questions and hypotheses about New Zealand's past. An understanding of the overall archaeological resource is therefore required.

The following matters should be taken into account when assessing archaeological value: The values section may summarise information from elsewhere in the assessment, e.g. condition, and consider the following range of factors as a whole, to determine the archaeological values of the site(s).

- The condition of the site(s).
- Is the site(s) unusual, rare or unique, or notable in any other way in comparison to other sites of its kind?

- Does the site(s) possess contextual value? Context or group value arises when the site is part of a group of sites which taken together as a whole, contribute to the wider values of the group or archaeological, historic or cultural landscape. There are potentially two aspects to the assessment of contextual values; firstly the relationship between features within a site, and secondly, the wider context of the surroundings or setting of the site. For example, a cluster of Maori occupation sites around a river mouth, or a goldmining complex.
- Information potential. What current research questions or areas of interest could be addressed with information from the site(s)? Archaeological evaluations should take into account current national and international research interests, not just those of the author.
- Amenity value (e.g. educational, visual, landscape). Does the site(s) have potential for public interpretation and education?
- Does the site(s) have any special cultural associations for any particular communities or groups, e.g. Maori, European, Chinese.

The HNZPT Act requires an assessment of Maori values as part of archaeological authority applications. Generally, HNZPT prefers that such an assessment be provided by tangata whenua.

In some instances documentary or verbal information regarding Maori values may be available to the author and incorporated into an archaeological assessment, however, this is not a requirement. If known, any groups associated with the site(s) may be noted in the Cultural Associations section (see matters to be considered above).

Checklist

□ Statement of archaeological and any other relevant values, with supporting evidence.

2.10. Assessment of Effects

The assessment of effects section should identify the direct effects of the project/ development proposal, as described in the Introduction or Project Outline sections of the assessment, on the archaeological and other relevant values of the site(s). The Ministry for the Environment has prepared a basic guide for preparing assessments of environmental effects that includes discussion on the nature of environmental effects.

Effects on the values of the sites should be explicitly considered, not just effects on the physical features of the site. It is important to be aware that the recovery of information is a method of mitigating the loss of archaeological information, not for the loss of the site itself. Site destruction, although preceded by archaeological investigation, will result in the destruction of any contextual, educational or landscape values the site may have possessed. Conversely, planting trees on a site may not greatly affect surface features, but has the potential to disturb stratigraphy, hence affecting the future condition and information potential of the site. It may also reduce visibility, hence affecting interpretative and landscape values.

Any effects on other relevant values identified in the assessment should also be considered.

Matters to be considered include:

- How much of the site(s) will be affected, and to what degree, and what effects this will have on the values of the site(s).
- Whether the proposed work may increase the risk of damage to the site(s) in future. For example, change from farming to residential use may make sites vulnerable to increased pedestrian and vehicular activity.

- Whether a re-design may avoid adverse effects on the site(s). It is recognised that detailed evaluation of alternatives may be beyond the scope of the archaeological assessment, however, some consideration of alternatives should be considered where possible.
- Possible methods to protect sites, and avoid, minimise or mitigate adverse effects should be discussed. These will form the basis of any recommendations in the final section.

Appropriate methods may include:

- Specifying sites to be avoided by earthworks.
- Specifying methods of protecting sites from accidental damage during works, such as no vehicle crossings, taping, signage, fencing.
- Specifying methods of protection for the long term
- Mitigation for information loss, including investigation, recording, analysis and reporting by an archaeologist prior to or during earthworks. Where archaeological investigation is recommended, a research strategy may be appended to the assessment, to establish the research aims of the investigation for the HNZPT and to set out the costs for the client.
- Briefing of contractors by an archaeologist before works commence.
- Accidental discovery protocol for contractors to follow, if sites are discovered unexpectedly.
- Legal protection for significant sites, such as covenants or consent notices.
- Interpretation or public display of historic artefacts on site.

Checklist

□ Identification of actual and potential effects on values of site.

□ Consideration of alternatives.

□ Methods to protect sites, or avoid, minimise or mitigate adverse effects.

2.11. Conclusion & Recommendations

This section should summarise the key findings of the assessment: what sites are present and the likelihood of unrecorded sites, their values and the effects of the proposal on those values. Recommendations regarding compliance with relevant legislation and to avoid, minimise or mitigate adverse effects should be provided as a list at the end of this section.

Where sites have been positively identified, or are known to exist, the requirements of the HNZPT Act should be stated. Alternatively, the client may be advised to seek clarification from the HNZPT where there is some ambiguity of results. The recommendation should specify under which section of the HNZPT Act the application should be made: section 44 or 56. NZHPT archaeologists can provide guidance about which section would be most appropriate in particular cases.

Where an archaeological authority is required, the recommendations are likely to form the basis of discussions between the client and HNZPT about site protection and what is appropriate given the values of any affected site(s). The final decision maker is the HNZPT, however the views of the consultant archaeologist are an important source of information. The assessment should provide the opinion of the author, as an independent expert, as to the most appropriate course of action. "Sitting on the fence" is unhelpful for both the client and HNZPT. Recommendations should be well considered and specific to the proposal, not simply repeated from other archaeological authority conditions.

Checklist

- □ Summary of key findings.
- □ Is an archaeological authority required? If so, under what section of the HNZPT Act?
- □ Recommended methods to avoid, minimise or mitigate adverse effects on archaeological site(s).

2.12. References

See Section 3 Style guides.

2.13. Appendices

Copies of all SRFs.

3. Style Guides and Standards

3.1. References

The Harvard system is the recommended style for references. References should be cited in the text and listed at the end of the assessment in alphabetical order.

Checklist

□ Are all references cited in the text present in the Bibliography? Are all references complete and in the same style?

3.2. Map and Plan Standards

Checklist

□ Title Date Author North Scale Legend

□ Legibility if reproduced

Symbology on maps should be able to be reproduced in black and white with no loss of information. For example, it can be difficult to differentiate between red, blue and green lines or dots in a black and white photocopy. The use of different styles of dotted lines and symbols can overcome this problem.

4. Further Reading

Gumbley, W. 1995. '*Guidelines for the provision of archaeological information and assessment for authority applications under section 11 or 12 of the Historic Places Act 1993'*. Archaeology in New Zealand 38(2): 100-105.

Heritage New Zealand Pouhere Taonga. 2015. *'Statement of general policy. The Administration of the Archaeological Provisions under the Heritage New Zealand Pouhere Taonga Act 2014'.* http://www.heritage.org.nz/resources/statements-of-general-policy

Ministry for the Environment. 1999. *A guide to preparing a basic assessment of environmental effects.* http://www.mfe.govt.nz/publications/rma/basic-aee-prep-guide- mar99.pdf

NZ Historic Places Trust. 2004. *Heritage Management Guidelines for Resource Management Practitioners.* http://www.historic.org.nz/publications/HM_guidelines.html

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VOLUME 11 ENVIRONMENTAL ASSESSMENT
SECTION 3 ENVIRONMENTAL TOPICS

PART 2

HA 208/07

CULTURAL HERITAGE

SUMMARY

This Advice Note provides guidance on the assessment of the impacts that road projects may have on the cultural heritage resource. The cultural heritage resource is sub-divided for the purposes of this guidance into three Sub-Topics: Archaeological Remains, Historic Buildings and Historic Landscape, which are treated in more detail in Annexes 5, 6 and 7.

INSTRUCTIONS FOR USE

1. Remove contents pages from Volume 11 and insert new contents pages dated August 2007.

2. Remove 'Cultural Heritage' document dated August 1994 from Volume 11, Section 3.

3. Insert new Advice Note HA 208/07 into Volume 11, Section 3.

4. Please archive this sheet as appropriate.

Note: A quarterly index with a full set of Volume Contents Pages is available separately from The Stationery Office Ltd.

DESIGN MANUAL FOR ROADS AND BRIDGES

HA 208/07
Volume 11, Section 3,
Part 2

THE HIGHWAYS AGENCY

TRANSPORT SCOTLAND

WELSH ASSEMBLY GOVERNMENT
LLYWODRAETH CYNULLIAD CYMRU

THE DEPARTMENT FOR REGIONAL DEVELOPMENT
NORTHERN IRELAND

Cultural Heritage

Summary: This Advice Note provides guidance on the assessment of the impacts that road projects may have on the cultural heritage resource. The cultural heritage resource is sub-divided for the purposes of this guidance into three Sub-Topics: Archaeological Remains, Historic Buildings and Historic Landscape, which are treated in more detail in Annexes 5, 6 and 7.

Volume 11 home page

REGISTRATION OF AMENDMENTS

Amend No	Page No	Signature & Date of incorporation of amendments	Amend No	Page No	Signature & Date of incorporation of amendments

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VOLUME 11 ENVIRONMENTAL ASSESSMENT
SECTION 3 ENVIRONMENTAL TOPICS

PART 2

HA 208/07

CULTURAL HERITAGE

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4. Potential Impacts, Design Objectives and Mitigation
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6. Reporting
7. Enquiries

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Annex 2 Designations and Statutory Requirements

Annex 3 The Regulatory and Advisory Framework

Annex 4 Professional Standards, Government Guidance and Codes of Practice

Annex 5 Cultural Heritage Sub-Topic Guidance: Archaeological Remains

Annex 6 Cultural Heritage Sub-Topic Guidance: Historic Buildings

Annex 7 Cultural Heritage Sub-Topic Guidance: Historic Landscape

Annex 8 The Devolved Administrations' Procedures

Annex 9 Glossary

Annex 10 Bibliography

1. INTRODUCTION

1.1 This Section should be read in conjunction with the Design Manual for Roads and Bridges (DMRB), Volume 11 Sections 1 and 2, which set out the framework for the environmental assessment process. Section 3 considers the Environmental Topics and this Part 2 is concerned with the Cultural Heritage Topic. The cultural heritage resource is sub-divided for the purposes of this guidance into three Sub-Topics: Archaeological Remains, Historic Buildings and Historic Landscape, which are treated in more detail in Annexes 5, 6 and 7.

1.2 Chapter 2 defines cultural heritage, the regulatory and policy background, and draws out the relationships between cultural heritage and other topic areas considered in DMRB Volume 11, notably Townscape and Landscape, but potentially any of the other environmental topics. Chapter 3 outlines the overall assessment process. Chapter 4 describes sources of potential impacts, the development of design objectives and mitigation strategies.

1.3 Chapter 5 describes the framework for Scoping, Simple and Detailed Assessments. The requirements for reporting are set out in Chapter 6.

1.4 The annexes provide details of statutory bodies (Annex 1), designations (Annex 2), regulatory and advisory framework (Annex 3), and standards and guidance (Annex 4). Sources of information, detailed methods of assessment and references specific to the specialist cultural heritage sub-topics are set out in Annexes 5, 6 and 7. Arrangements involving the devolved administrations are set out in Annex 8, a glossary is provided in Annex 9 and a bibliography in Annex 10.

1.5 Consultants, contractors and managing agents (if appropriate) are to consult with the Overseeing Organisations in the devolved administrations of Wales, Scotland and Northern Ireland regarding the application of this advice.

2. DEFINING CULTURAL HERITAGE

Definition of Cultural Heritage

2.1 The Council of Europe, in the *Framework Convention on the Value of Cultural Heritage for Society* (Faro 2005), has defined cultural heritage as:

> '…a group of resources inherited from the past which people identify, independently of ownership, as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions. It includes all aspects of the environment resulting from the interaction between people and places through time.'

2.2 For the purposes of this guidance the historical and archaeological aspects of this wide-ranging definition are adopted. 'Cultural heritage', as used here, is synonymous with the terms 'historic environment' and some uses of the 'built environment'.

2.3 The Cultural Heritage Topic in the guidance encompasses the sub-topics of **Archaeological Remains**, **Historic Buildings** and **Historic Landscapes**. Each of these sub-topics contains a range of assets that may survive as upstanding or buried remains, which may be more or less extensive, and, while acknowledging that cultural heritage is a seamless resource, these sub-topics are identified because techniques for their study and the mitigation of impacts on them require different specialist approaches.

2.4 **Archaeological Remains** are the materials created or modified by past human activities that contribute to the study and understanding of past human societies and behaviour – archaeology. Archaeology can include the study of a wide range of artefacts, field monuments, structures and landscape features, both visible and buried. For the purposes of this guidance the sub-topic generally excludes historic buildings and historic landscapes, always accepting there may be important archaeological aspects to these sub-topics. A fuller definition is included in Annex 5.

2.5 **Historic Buildings** are architectural or designed or other structures with a significant historical value. These may include structures that have no aesthetic appeal, and the sub-topic includes, in addition to great houses, churches and vernacular buildings, some relatively modern structures, such as WWII and Cold War military structures, early motorway service stations, industrial buildings, and sometimes other structures not usually thought of as 'buildings', such as milestones or bridges. Annex 6 sets out in more detail the approach to this resource.

2.6 **Historic Landscapes** are defined by perceptions that emphasise the evidence of the past and its significance in shaping the **present** landscape. The definition encompasses all landscapes, including the countryside, townscapes and industrial landscapes as well as designed landscapes, such as gardens and parks. As the whole of the UK's (and most of the world's) landscape has been modified by past human activities, it all has an historic character. However, just as all old materials are not necessarily archaeologically significant merely by virtue of their age, so not all landscapes are equally historically significant. Annex 7 gives more detail of the variety of historic landscapes and the methods for evaluating them. The chapters on the Landscape and Townscape Topics should also be consulted.

2.7 A cultural heritage **asset** is an individual archaeological site or building, a monument or group of monuments, an historic building or group of buildings, an historic landscape etc., which, together with its setting, can be considered as a unit for assessment.

2.8 The cultural heritage resource comprises the totality of archaeological remains, historic buildings and historic landscapes, which have been split for the purposes of this guidance into sub-topics only to assist the exposition of the appropriate methods of study. The cultural heritage resource is a continuum, and the cultural heritage assessment is concerned with effects on the whole resource.

2.9 The cultural heritage of the United Kingdom encompasses the evidence of human interaction with the environment since people began to occupy Britain. Subject to regional variations, the archaeological and historical periods referred to in this guidance, taken from the Archaeological Periods List of the Forum on Information Standards in Heritage (FISH), are:

- Palaeolithic:
  - Lower Palaeolithic;
  - Middle Palaeolithic;
  - Upper Palaeolithic.

- Prehistoric:
  - Early Prehistoric;
  - Later Prehistoric;
  - Prehistoric or Roman.
- Mesolithic:
  - Early Mesolithic;
  - Late Mesolithic (7000 – 4000 BC).
- Neolithic (4000 – 2200 BC):
  - Early Neolithic (4000 – 3000 BC);
  - Middle Neolithic (3500 – 2700 BC);
  - Late Neolithic (3000 – 2200 BC).
- Bronze Age (2500 – 700 BC):
  - Early Bronze Age (2500 – 1500 BC);
  - Middle Bronze Age (1500 – 1000 BC);
  - Late Bronze Age (1000 – 700 BC).
- Iron Age (800 BC – AD 43):
  - Early Iron Age (800 – 400 BC);
  - Middle Iron Age (400 – 100 BC);
  - Later Iron Age (100 BC – AD 43);
- Roman (AD 43 – 410).
- Early Medieval or later.
- Early Medieval (AD 410 – 1066).
- Medieval (AD 1066 – 1540).
- Post Medieval (AD 1540 – 1901).
- Modern (AD 1901 to present).

2.10 The general term 'Palaeolithic' covers the whole of the period before and during the last ice age, that is, prior to about 10,000 years ago. 'Prehistoric' covers the period between the retreat of the ice and the coming of the Romans (between 10,000 and 2,000 years ago). The 'Prehistoric or Roman' category is for use where Roman or earlier periods are evident but more precision is not possible. The following additional sub-divisions to the post-medieval and modern periods are also used:

- 16th Century;
- 17th Century;
- 18th Century;
- 19th Century;
- 20th Century;
- World War I (1914 – 1918);
- World War II (1939 – 1945);
- Post War (1945 – present).

The Regulatory and Advisory Framework for Cultural Heritage

2.11 Cultural heritage is more than a matter of antiquarian interest – it shapes how people relate to places and cultures. Archaeological monuments, historic buildings, and historic landscapes can provide a sense of place and stability to a community. The care of the cultural heritage resource is generally considered to contribute to the livelihood of communities, and to the cultural and economic well-being of a society. Its value for society is reflected in statutory and other forms of protection extended to important aspects of the cultural heritage resource.

2.12 The UK government has ratified and adopted the United Nations Educational, Scientific and Cultural Organisation (UNESCO) *Convention Concerning the Protection of the World Cultural and Natural Heritage* (1972), the International Council on Monuments and Sites (ICOMOS) *International Charter for the Conservation and Restoration of Monuments and Sites* (1964) the Council of Europe *European Cultural Convention* (1954), the *Convention for the Protection of the Architectural Heritage of Europe* (1985), the *European Convention on the Protection of the Archaeological Heritage* (1992) and the *European Landscape Convention* (2000), thus committing the UK government and its agencies to measures that balance the need for development against the requirement to protect and enhance our national cultural heritage resource as far as is practicable.

2.13 Some cultural heritage features are the subject of legislation. For archaeology, the principal Acts are the *Ancient Monuments and Archaeological Areas Act* 1979 (applying to England, Wales and Scotland), and the *Historic Monuments and Archaeological Objects (Northern Ireland) Order* 1995, which cover scheduled monuments and archaeological areas. The *Planning (Listed Buildings and Conservation Areas) Act* 1990, the *Planning (Northern Ireland) Order* 1991 and the *Planning (Listed Buildings and Conservation Areas)(Scotland) Act* 1997 (as amended 2006), control activities related to Listed Buildings and Conservation Areas.

2.14 Some resources are nationally designated for their value but are not statutorily protected (for

instance, World Heritage Sites, registered historic parks and gardens, and battlefields). Local planning authorities may also identify sites or areas of cultural heritage value in development plans, which may be material considerations in development plans decisions. Other assets may not be designated but are included in local or regional planning authorities' records and registers (Sites and Monuments Records or Historic Environment Records). Other historic features, such as hedges and field boundaries, may not be recorded as cultural heritage assets at all, but they may nonetheless make an important contribution to historic landscape character. Annex 2 provides a description of designations, and guidance on restrictions, arrangements and contact details to be considered when historic sites may be affected by a scheme.

2.15 Cultural heritage assets are the subject of government guidance regarding their protection and treatment in development proposals, including roads. Annex 4 lists the standards and codes of practice adopted by cultural heritage professionals.

2.16 Procedures, statutes and regulations relating to cultural heritage in England are not always applicable to the devolved administrations of Scotland, Wales and Northern Ireland. Annex 8 includes information about these separate arrangements, where applicable. Consultants, contractors and agents should consult the relevant Overseeing Organisation regarding the application of this advice to road schemes in the devolved administrations.

2.17 The principle that underpins government and professional guidance is that archaeological and other cultural heritage assets are non-renewable resources and that their physical preservation **in situ** when possible should be the primary goal of cultural resource management. Furthermore, government planning guidance is that, in the case of nationally important remains, whether designated or not, there should be a presumption in favour of their physical preservation and the preservation of their settings.

2.18 In cases where preservation **in situ** is not feasible or where there are other overriding factors, a process of systematic investigation, analysis, interpretation and dissemination may be an acceptable alternative. For the purposes of cultural heritage assessment, the Overseeing Organisations (the national roads authorities in England and the devolved administrations) have adopted the principles contained in the relevant government planning advice notes, subject to the different legislative frameworks governing development covered by the planning acts and works under highways legislation.

2.19 The activities of the national highways authorities are governed in England and Wales by the *Highways Act* 1980, in Northern Ireland by the *Roads (NI) Order* 1993 and in Scotland by the *Roads (Scotland) Act* 1984. The environmental impact assessment requirements of EU directive 85/337/EEC as amended by 97/11/EC are incorporated (for England) in *Highways (Assessment of Environmental Impacts) Regulations* of 1988 and 1999 respectively.

2.20 Annex 1 sets out the statutory bodies charged with overseeing cultural heritage together with the National Trusts which have statutory powers, and Annex 3 provides a list of the principal pieces of legislation governing its protection, including those of the devolved administrations.

Overlaps Between Cultural Heritage Sub-Topics

2.21 The cultural heritage resource is not neatly divided into archaeological remains, historic building and historic landscapes. In some schemes one or more of the sub-topics will not be sufficiently significantly affected and so would be ruled out in the scoping procedure, with no further work undertaken on them. In other schemes two or more of the Cultural Heritage Sub-Topics as defined in this advice may apparently overlap. For example, an historic colliery site will contain historic buildings (Historic Buildings Sub-Topic), the physical remains of industrial processes (Archaeological Remains Sub-Topic), and the wider landscape (Historic Landscape Sub-Topic), and a single historic feature may play a part in all these aspects of the cultural heritage resource.

2.22 There should, however, be no 'double counting', so historic industrial buildings that appear in the Historic Buildings Sub-Topic assessment, for instance, should not be counted again in the archaeological remains assessment, unless there is a specific archaeological issue that would not be captured by the buildings investigations, for instance the presence of buried remains of earlier structures on the site. The combination of historic building evidence and associated archaeological evidence would, however, probably enhance the value of both in the assessment. This is particularly relevant for the Historic Landscape Sub-Topic, where the physical assets that contribute to historic landscape character need to be appreciated but are not themselves the subject of the study (see Annex 7). This will require liaison between the specialists

studying the resource at an early stage, in order to eliminate overlaps, identify gaps and remove confusions.

2.23 The three sub-topics should be combined in an overall Cultural Heritage Assessment. More guidance on achieving this is given in Annexes 5, 6, and 7.

Overlaps Between Cultural Heritage and Other Topics

2.24 As a general rule, the Cultural Heritage Topic includes consideration of:

- the presence or absence, character, condition, setting and value of archaeological remains, historic buildings, and historic landscapes;
- all designations related to cultural heritage, including those where cultural heritage values may play a part in a broader citation (e.g. Areas of Outstanding Natural Beauty, National Parks, etc.);
- historical legibility (i.e. the way in which a historic monument or landscape can be 'read' through an understanding of the development of its features, character, setting and context through time);
- time-depth and phases of development (i.e. the evidence for the character and processes of change on a site or landscape over time).

2.25 The criterion for undertaking a Cultural Heritage Topic assessment is that there should be a potential for a significant effect on the cultural heritage resource, as defined in paragraphs 2.4 – 2.6, which can be distinguished from the effects on other environmental topics, and which requires the attention of appropriate cultural heritage specialists. However, many other topics within an environmental assessment may touch on cultural heritage issues or use cultural heritage data, and environmental coordinators should be aware of when to involve cultural heritage specialists.

2.26 For instance, a town may have a medieval street layout, a good assemblage of 19th century street furniture, and significant historic facades. All these are historic elements in the present street scene and their contribution to the Townscape will be assessed within the Townscape Topic. But there may also be buried remains of earlier phases of settlement under the roadway, timber frames hidden behind rendered facades, and multi-phased historic buildings along the route. If there were to be effects on the **historic** value of these assets, as opposed to the **visual** aspect assessed in the Townscape study, then specialists with cultural heritage skills would be required, and their study would contribute to the Cultural Heritage Topic, and be taken account of in the Townscape assessment.

2.27 It is important to be aware of scheme mitigation proposals that may involve other topic specialists, such as planting, installation of noise screening, or lighting. Activities that fall outwith the road corridor, such as haul roads, access road re-alignments, borrow pits, drainage works, ground investigations, utilities realignments, retention ponds etc. may also have cultural heritage effects. Conversely, cultural heritage requirements, such as archaeological mitigation excavations, may, for example, disturb important wild life habitats. It is important that topic specialists work together to share data and consider topic specific mitigation measures and their implications.

3. THE ASSESSMENT PROCESS

Introduction

3.1 United Kingdom legislation includes the obligation to undertake an Environmental Impact Assessment (EIA) for proposed road schemes that fall into the appropriate categories defined in the relevant European Directives (see Sections 1 and 2 for fuller details of these requirements). These tend to be large schemes or proposals that have large environmental impacts, and Screening establishes the requirement to undertake a formal EIA. Smaller schemes that could have significant effects but which would not be subject to a formal EIA may still require a cultural heritage assessment to inform decisions as to their effect on the environment. This can extend to some minor schemes or maintenance operations, and the Overseeing Organisation's environmental databases and management plans should be consulted where relevant.

3.2 It is important that each assessment is tailored to the characteristics of the relevant scheme, and is carried out at the appropriate level of detail. For each level of assessment, the process should focus on issues that are needed to inform the decision that is to be taken, and on the risks and opportunities associated with the scheme.

3.3 The assessment must, therefore:

- feed into the design process at the appropriate stages;
- assist the decision-maker, who may be at government level or within the Overseeing Organisation;
- meet the requirements of the appropriate statutory processes;
- assist the Design Organisation in achieving the environmental design objectives for the scheme;
- describe and characterise the cultural heritage resource;
- assess its value;
- identify the potential impacts;
- identify appropriate mitigation measures;
- assess the magnitude of the mitigated impact; and
- assess the significance of the effect.

The Assessment Framework

3.4 DMRB Volume 11, Sections 1 and 2 set out the assessment framework common to all topics. Screening establishes whether there is a need for a formal EIA and Environmental Statement (ES). All schemes, whether subject to an EIA or not, should be subject to Scoping to establish the need for, and detail of, any further study. There are three levels of assessment: Scoping, Simple Assessment, and Detailed Assessment. The following chapter outlines their application to the Cultural Heritage Topic. It is important to note that these levels of assessment are not **sequential**, in that one must follow another, but they should be regarded as **consequential**, in that the results of one determines what further work, if any, is required.

Scoping

3.5 The objective of Scoping is to determine whether any further study is required, beyond the desk-based collection and analysis of readily available information undertaken for the Scoping study itself, and if it is required, then at what level of detail. The scheme will need to be at a stage that indicates its approximate form before Scoping can be carried out. Scoping typically relies on generalised thresholds and readily available data sources. The results may indicate that no further cultural heritage studies are necessary, or that a Simple Assessment is needed, or alternatively that a Detailed Assessment is needed.

3.6 The results of Scoping studies will need to be sufficiently robust to ensure a confident decision. There may be a need for different levels of further assessment, or none, for each of the Cultural Heritage Sub-Topics. Further advice is contained in Chapter 5.

Simple Assessment

3.7 If Scoping indicates that it is only necessary to carry out a **limited** assessment then a Simple Assessment is required. The purpose of a Simple Assessment is to address critical unknown aspects revealed by scoping in order to reach an appropriate understanding of the effects of the proposed scheme

and complete its design and assessment, or to reach an understanding that identifies the need for a Detailed Assessment. For a Simple Assessment to be sufficient it should clearly establish the value of the affected assets, the impact of the scheme, and determine satisfactory mitigation measures or enable the need for mitigation to be discounted. A scheme will need to have been designed to a stage that indicates its objectives and general form but design flexibility may remain in many elements. Simple Assessment may involve new non-intrusive fieldwork, such as geophysical survey or field walking, to confirm the conclusions of desk-based studies.

3.8 The Simple Assessment may have to be explained at a Public Inquiry and/or included in an ES or form part of the Overseeing Organisation's requirements, such as the Highways Agency's Record of Determination.

Detailed Assessment

3.9 This is required where there is the potential for significant effects on cultural heritage resources. The studies may require new fieldwork, either non-intrusive or intrusive, to clarify uncertainties about the location, character, extent, survival or value of cultural heritage assets, that may be affected by the scheme, or the magnitude of the impact upon them. The scheme will need to have been designed in sufficient detail to confirm that it could be constructed and mitigation measures delivered, although certain elements may remain flexible to accommodate enhanced environmental performance and the contractor's legitimate design innovations.

3.10 The process should be seen as iterative. It is possible, following a decision to undertake Simple Assessment only, or even not to proceed any further than the Scoping studies, that new information indicates that detailed work is in fact required to inform decision-making. In such a case Detailed Assessment should be undertaken. Whether Scoping, Simple, or Detailed, each assessment is 'stand-alone' and must be reported separately in the appropriate Scheme Assessment Report or similar document. The assessment may have to be explained at a Public Inquiry.

Practitioners

3.11 Each level of assessment, and the sub-topic studies, may be carried out by different personnel within the Overseeing Organisation's range of agents, contractors and consultants, depending on how a scheme is to be delivered. However, appropriately qualified and experienced specialists should carry out all cultural heritage studies, including Scoping. The names of the specialists who carried out the studies, and their qualifications, should be recorded in reports.

Consultation with Statutory and Other Bodies

3.12 For all levels of assessment, the source of definitive information and opinion on statutorily protected archaeological sites, historic buildings and historic landscapes will be the national heritage agencies. They should be consulted and their responses reported within the assessment (see Chapter 6: Reporting). Local planning authority advisors hold the most detailed records of cultural heritage resources within their area's Sites and Monuments Records/ Historic Environment Records (SMRs/HERs), and they should be consulted at an appropriate stage in order to arrive at an informed view of the cultural heritage resource. The aims and objectives of the consultation will vary according to the level of assessment and the requirements of each scheme.

3.13 In England, at the Scoping level, an opinion should be sought from English Heritage for all cases involving nationally designated assets, and where uncertainty exists as to the need for scale or of further assessment. Wales, Scotland and Northern Ireland have separate arrangements for heritage advice to their national roads authorities (see Annex 8). Early consultation with local planning authority cultural heritage advisors is also recommended.

3.14 For Simple and Detailed Assessments, the national heritage agencies should be consulted about nationally designated assets, and national and regional research priorities and strategies. In England the relevant planning authorities' cultural heritage advisors should be approached for information and advice on matters within their authority's area. The devolved administrations have separate arrangements for consultation and advice, which are set out in Annex 8.

4. POTENTIAL IMPACTS, DESIGN OBJECTIVES AND MITIGATION

Potential Impacts

4.1 Impacts on the cultural heritage resource, in this guidance, are defined as **changes to the cultural heritage resource caused by the mitigated scheme**. Mitigation here means agreed and confirmed measures to lessen adverse impacts, which will be incorporated into the scheme design and methodology. Potential impacts are changes that may occur as a result of a scheme, and which may be identified before agreed mitigation has been taken into account. In the preparation of the baseline data for a scheme assessment, many assets may be identified which ultimately will not be affected by it. It should be possible to collate this information and then, in the assessment of the effect, omit assets which are unaffected by the proposed scheme, and assess only the effects on those that would be. However, at certain stages scheme designs may not be developed sufficiently for the impact to be confidently predicted, or the resource may not be sufficiently well understood, or measures to mitigate a potential impact on a known resource may not be confirmed, nor agreed. This may lead to a situation in which it is only possible to consider potential impacts - changes that could happen if unresolved aspects of the scheme design were to be developed in such a way as to affect valuable assets, or if assets of uncertain value proved to be significant, or if the options for mitigation proved to be limited.

4.2 In England, for the Highways Agency, potential impacts are considered but not reported in terms of magnitude of impact or significance of effect, as they may include many possible changes that will not happen. If scheme proposals are insufficiently detailed for impacts to be identified confidently, this should be acknowledged. If the presence, value, location, state of preservation etc. of assets is unknown or incompletely understood (for the purposes of the assessment) then again, this should be noted. It is clearly not possible to predict the magnitude of the impact of the finished scheme if these factors are unknown, but the risk they represent should be identified. It is important to be aware of potential impacts at all stages of a scheme, so that surveys needed to better understand the resource, or work to clarify design details to establish the magnitude of the impact, or negotiations to confirm mitigation measures, are undertaken appropriately.

4.3 If the design is sufficiently detailed and the assets well enough understood to establish the impact, but mitigation proposals are not confirmed and agreed, then the magnitude of impact assessment should discount them, and report the impact as it would be for scheme without them. In this way, as mitigation proposals are confirmed and agreed, their effect will be reflected in amendments to the magnitude of impact assessments, thereby contributing to a realistic record of the predicted effects of the proposals as they stand at the time of the assessment.

4.4 In Northern Ireland, Wales and Scotland the potential impacts should be reported, and residual effects identified after mitigation has been taken into account. Annex 8 describes the procedures to be followed in the devolved administrations in more detail.

Impacts

4.5 Impacts are changes that arise from the mitigated scheme. The baseline from which they are assessed should be the situation that would exist if the scheme were not pursued. Therefore, the baseline is the condition of assets at the commencement of construction coupled with the predicted trajectory of their condition through the construction period if the scheme did not take place. So if, say, the condition of an historic building adjacent to a road is deteriorating and would continue to deteriorate in a ‘do nothing’ scenario, then the impact from a scheme that affects it would be any change to that scenario, which may be an acceleration of the deterioration, or it could be an improvement in its predicted condition. The opening date of the scheme is taken as the date at which the baseline condition should be measured.

4.6 Scheme proposals should be reviewed alongside data on cultural heritage assets in order to identify sources of potential impacts. Impacts may arise from both the construction and the operation of the road or scheme. Relevant scheme information can include land-take, vertical and horizontal alignments, construction methods and programming, details of temporary and permanent works, predicted traffic volumes, and mitigation works related to other environmental topics, depending on the nature of the scheme.

4.7 Impacts can be positive, negative; direct, indirect, secondary; short-, medium- or long-term; temporary or permanent, and cumulative. Impacts may affect assets materially, or their settings.

4.8 Temporary impacts may be short-, medium- or long-term but they are reversible; irreversible impacts are described as permanent. Short-term would normally mean impacts that did not last longer than the construction period, medium-term impacts would persist beyond the construction period, but no more than 15 years, while long-term impacts would be longer than 15 years but are still reversible. For instance, a mitigation planting scheme might mature sufficiently in 12 years to achieve its purpose, and so the impact it is intended to mitigate would be medium-term, whereas a mitigation procedure that entailed the preservation by burial of archaeological remains under the carriageway would be long-term but not permanent, as, theoretically at least, the site would be intact and retrievable at some future date.

4.9 Permanent impacts can arise from many of the activities that take place from the first day of site clearance. It should be noted that a temporary element of the construction process might still cause a permanent impact on some cultural heritage assets, while being a temporary impact on others. For example, a haul road may entail topsoil stripping, which could cause permanent damage to archaeological remains, but when the land is restored at the end of the construction period its impact on the historic landscape might also cease. Archaeological remains and historic buildings cannot be authentically replaced or regenerated if they are physically damaged or destroyed. All damaging impacts on the fabric of archaeological remains and historic buildings are, therefore, permanently negative.

4.10 The sources of such permanent impacts can include geotechnical investigations, tree and hedgerow removal, demolition or alteration of buildings, topsoil stripping, excavations for borrow-pits, drainage and communications, the movement and installation of heavy machinery and plant, and mitigation works in connection with other environmental topics. A major source of negative impacts on buried archaeological remains is a change in ground water conditions, and drainage proposals should be considered carefully in relation to the biochemical environment of buried archaeology. The impact of construction compounds, access roads and storage areas should also be considered in relation to the cultural heritage resource, although these elements may be subject to planning controls rather than highways procedures. If the location of these facilities is not known, then sensitive areas may be identified in order to inform construction contractors.

4.11 Activities undertaken in connection with other environmental disciplines, such as ecological topsoil translocation, landscape planting, noise barriers, and landscaping, should also be examined. Consultation with environmental, design and construction teams may be necessary to ensure that details such as the phasing, methods and depths of excavations, the likely impacts of piling, drainage, and potential pollution of soils are taken into consideration. Some constructional impacts may be positive, for instance, improved access to historic assets made available by 'greening' an existing road may halt a process of vandalism or neglect.

4.12 Operational impacts are those that would arise from the use of the road once built. Sources of negative impacts could include new lighting, noise, dust, vibration, and visual intrusion by traffic, while positive impacts could be the removal of any of these from the vicinity of sensitive cultural heritage features. Temporary operational impacts may arise, for instance, as a result of noise caused by traffic diverted during predictable maintenance or other traffic management operations.

4.13 Negative impacts can arise from new effects, or an increase in the rate of existing deterioration over what would otherwise be the case.

4.14 Positive impacts may arise from the cessation of erosion, intrusion or damage that would continue if the scheme were not built. For historic buildings the removal of passing heavy traffic as a result of a new bypass, for instance, may slow down the deterioration of the fabric, or increase their economic viability. The integrity of historic landscapes may be improved, for instance by the reduction or removal of intrusive traffic or roads and road furniture, or the better integration of an existing road into a pattern of historic fields.

4.15 Direct impacts are those that arise as straightforward consequences of the scheme. For archaeological remains and historic structures, this can mean physical damage to, or physical improvement of, the fabric of the asset, but it can also mean impacts on the setting of cultural heritage assets. For an historic building, for instance, an increase in noise and pollution as a result of the scheme would constitute a direct impact.

4.16 The damage caused by increased traffic - or its corollary, the removal of traffic from the vicinity of historic features leading to the arrest of damage that

would otherwise continue – these would be classed as direct impacts, as would the impact of changed traffic flows on historic landscape character. It may be necessary to consider the predicted increase or decrease in an impact over a number of years from particular sources, such as air pollution related to predicted traffic volumes or the effect of maturing tree cover.

4.17 An indirect or secondary impact is an impact arising from the scheme via a complex route, where the connection between the scheme and the impact is complicated, unpredictable or remote. For instance, an impact on historic landscape character could arise from a scheme that severs an agricultural holding, leading to changes in farming viability and thence to changes in historic land-use patterns in areas away from the scheme. Hydrological changes affecting important palaeoenvironmental deposits a distance away from a scheme as a result of the effects of a highway scheme on local land drainage could be an indirect impact on archaeological remains. The fact that an impact is 'indirect' does not necessarily mean it is less damaging than a 'direct' effect. For instance, dewatering peat and the consequent degradation of valuable environmental evidence is considered to be one of the most significant sources of cultural heritage loss in the UK today. The important point is that the impact of the scheme should be fully considered, regardless of the mechanism through which it operates. See Barber, J., Clark, C., Cressey, M., Crone, A., Hale, A., Henderson, J., Housley, R., Sands, R. and Sheridan, S. (eds), 2007 *Archaeology from the Wetlands: Recent Perspectives. Proceedings of the 11th WARP Conference, Edinburgh 2005*. Edinburgh, Society of Antiquaries of Scotland.

4.18 Cumulative impacts can arise from **multiple effects** of the same scheme on a single asset, **different multiple effects** of the scheme and other schemes on the same asset, or **incremental effects** arising from a number of actions over time. Interactions may arise from activities related to other topics, such as drainage schemes, endangered species relocation, sound attenuation measures or access arrangements, taken together with any cultural heritage impacts. The forms of cumulative impact are discussed in Section 2, Part 5, Chapter 1, with advice on how to consider the certainty of outcome and the probability of the predictions.

4.19 Setting is a material consideration in government planning policy relating to archaeological remains, historic buildings and historic landscapes. Setting is part of the asset's intrinsic value. Establishing a definition of 'setting', what constitutes an impact on setting and how to measure it is the subject of considerable professional debate. In considering the definition of setting and its application, it is helpful to consider both setting and context:

- For the purposes of this guidance, the setting of an asset is, broadly speaking, the surroundings in which a place is experienced, while embracing an understanding of perceptible evidence of the past in the present landscape.

- Context is a part of setting, like topography and views. Context embraces any relationship between a place and other places. It can be, for example, temporal, functional, intellectual or political, as well as visual, so any one place can have a multi-layered context. The range of contextual relationships of a place will normally emerge from an understanding of its origins and evolution. Understanding context is particularly relevant to assessing whether a place has greater value for being part of a larger entity or group.

4.20 Setting and context should be considered together rather than separately. In summary a combination of the archaeological and historical context, the visual appearance and the aesthetic qualities of the site's surroundings play an important role in modern perceptions of the site.

4.21 Changes to those qualities have the potential to impact on the character and value of the asset itself and should be considered holistically, rather than simply as a list of impacts on the factors – topography, views, vegetation, context etc. – comprising the surroundings. The crucial point is that the asset remains the focus of the assessment.

4.22 For instance, the setting of a listed mansion may include its extensive parkland, some of which may be out of sight of the building itself, but integral to its original purpose, and to its appreciation today. Changes in the fabric of the park that affect that relationship would reasonably be considered to be an impact on the appreciation of the historic building, even if the changes were not visible or audible from the house. Such a change may also, of course, constitute an impact on the historic landscape character of the parkland in its own right.

4.23 An archaeological example would be where knowledge about invisible buried remains related to an upstanding monument adds to its significance, and where a scheme that disrupted that relationship, even if not affecting the remains themselves, could be considered to degrade the significance of the asset.

4.24 For historic landscapes the entire landscape is historic, so as a whole it cannot be said to have a 'setting'. Nonetheless, individual historic landscape character **units** may be affected by what takes place in neighbouring character units, so the term 'setting' may be used in relation to the appropriate historic landscape character unit. The view of, say, an area of historic pre-enclosure landscape character, may be affected by the intrusive presence of a new road nearby, and this could constitute an impact on the setting of the enclosure landscape character unit.

4.25 For the purposes of this guidance government policy informs the weight given to matters of setting (including context), taking account of the contribution of the asset and its setting to the quality and understanding of the country's cultural heritage resource (see paragraphs. 5.26 – 5.31).

4.26 The Design Manual for Roads and Bridges Volume 10, Environmental Design, Section 6, has further advice on setting.

4.27 No detailed advice is given here on methodologies for establishing the impact on setting. Various systems and approaches have been proposed and each has its champions, but no consensus currently exists. Methodologies used to assess impacts on setting should be transparent, clearly described and supported by professional standards where available. In developing or adopting methodologies for assessing the role of an asset's setting the specialist undertaking the study should bear in mind the principles discussed above and summarised below:

- an asset's setting is its **relevant** surroundings;
- settings have **physical factors** which can be changed by a scheme, but it is the effect these changes have on the character and value of the asset that is assessed;
- **context** is an aspect of setting where a relevant aspect of knowledge, belief or relationships may not be visible (or audible) at the site;
- **professional judgement** is required, using criteria measured against government policy and, where relevant, the scheme's Cultural Heritage Design Objectives.

Design Objectives

4.28 Cultural Heritage Design objectives are essential for the production of efficient and useful assessments, and for monitoring the effectiveness of work undertaken to achieve them. They form part of the wider scheme environmental objectives. Design Objectives should be developed for the scheme at an early stage but should be reviewed as required, as information becomes available. Design Objectives are likely to become more detailed as the scheme progresses. They must be agreed with the Overseeing Organisation and be developed in conformity with the scheme brief issued by the transport authority. They should enable the success of the scheme to be assessed against stated aims linked to national, regional and local policies, priorities and objectives. For cultural heritage, assessment criteria may vary over time and from place to place, and linking Design Objectives to published or acknowledged research or policy priorities is important in establishing the significance of the effect of a scheme. Design Objectives will inform the assessment and design process and should always include avoiding or minimising adverse change to the cultural heritage resource where practicable and cost effective.

4.29 The development of scheme specific Cultural Heritage Design Objectives should be informed by, and sit within, a hierarchy of environmental design objectives. These will relate to some that are defined at an international or national level, encompassing others that are more regional, local, and, eventually, scheme specific.

4.30 At the international level are the United Nations Educational, Scientific and Cultural Organisation (UNESCO), International Council on Monuments and Sites (ICOMOS) and Council of Europe conventions regarding cultural heritage which have been ratified and put into effect by the UK government (see Annex 3). These set higher level objectives, which are reflected at the national level in the government's statutes and planning and development control policies as they affect the cultural heritage resource, together with government advice on their application. The Overseeing Organisations' own manuals and environmental strategy and policy statements will guide the institutional environmental objectives. Scheme specific topic objectives, and the sub-topic objectives, will be informed by this hierarchy of priorities.

4.31 The scheme specific design objectives should take account of national cultural heritage research agendas, priorities and frameworks, and the priorities of national advisory bodies, like those of English Heritage, the Commission for Architecture and the Built Environment (CABE), and specialist organisations such as the Prehistoric Society and the Society for Medieval Archaeology for instance. Regional research

frameworks or priorities, where they exist, should also be taken into account. Local plans, local heritage initiatives, village plans, and management plans for heritage sites etc. may contain valuable priorities for local objectives.

4.32 There should be a clear statement of how the scheme, through mitigation, is expected to contribute to the value of, or the understanding and dissemination of, the cultural heritage resource, and how this is to be achieved. These objectives should be capable of being monitored and validated.

Mitigation

4.33 Mitigation avoids or reduces the potential adverse effects of the scheme, and powers to undertake mitigation are enshrined in the relevant highway legislation. Mitigation is guided by the Design Objectives. The consideration of appropriate mitigation is necessary for all schemes where there is a potential adverse impact. The assessment of the magnitude of impact, and therefore, the assessment of the significance of effects, must take into account the extent to which agreed mitigation measures reduce adverse impacts.

4.34 Mitigation should be considered at all levels of assessment to ensure that appropriate measures are agreed, deliverable, cost effective, and incorporated in the design at the earliest opportunity. Understanding the likely performance of mitigation measures, as well as how they may impinge on other topics is an important aspect of assessment. Annexes 5, 6 and 7 together with DMRB Volume 10 contain advice on mitigating impacts on cultural heritage resources, including historic landscapes. If there were areas of uncertainty, either regarding the value of the resource or the impact of the scheme, it may only be possible to establish a mitigation **strategy**, that is, a statement of the objectives and the methods proposed for achieving the design objectives.

4.35 The scale and type of mitigation should be commensurate with the value of the resource; elaborate and expensive measures directed at insignificant assets may divert resources from more productive activities. Mitigation measures should be identified on a case-by-case basis, and can include, for instance: avoidance, burial or excavation in the case of archaeological remains; relocation, photographic or measured surveys in the case of historic buildings; and information panels, or landscaping works in the case of impacts on historic landscapes.

4.36 Mitigation that addresses an adverse effect through advancing knowledge, such as the archaeological investigation of a site that is to be destroyed, should not be counted as a **beneficial** effect, despite any contribution such an investigation may make to Design Objectives. Mitigation serves to limit the negative impact of the destruction.

4.37 The assessment of the magnitude of the impact should only take account of mitigation measures that have been fully agreed, are incorporated in the design and construction process, and are deliverable by the Overseeing Organisation. Any proposed mitigation measure that is not agreed, or which may not be so certainly delivered, should not be used to reduce the assessment of the magnitude of impact, although it may be noted separately as an aspiration.

4.38 The assessment should provide indicative costings for agreed mitigation, to a degree of detail appropriate to the level of assessment, and with enough information to enable an opinion to be formed as to its likely effectiveness and deliverability. It may be possible to agree mitigation **strategies** in circumstances where the assessment, or the scheme itself, has not progressed to a stage where a detailed costed mitigation **design** can be established.

4.39 Further information on specific mitigation methods related to archaeological remains, historic buildings and historic landscapes is contained in Annexes 5, 6 and 7. Guidance is also given in DMRB Volume 10, Section 6.

5. SCREENING, SCOPING, SIMPLE AND DETAILED ASSESSMENTS

Screening

5.1 Screening is used to decide whether an Environmental Impact Assessment (EIA) of a scheme is required. The procedures for establishing this are set out in Design Manual for Roads and Bridges (DMRB) Volume 11, Section 2, Part 3. If screening shows that the scheme does not require a formal EIA there may still be a requirement for cultural heritage studies to inform the Overseeing Organisation through, for instance, the Highways Agency's Record of Determination (RoD) or similar record of decision making.

Scoping

5.2 Regardless of whether or not Screening establishes a requirement for a formal EIA by virtue of its size or type, a scheme still may have a significant effect on cultural heritage. However, it may be that only one or two of the three cultural heritage sub-topics would be affected. Scoping should establish the need for, or exclude issues from, further assessment, as well as indicate the level of detail that any further work should pursue.

Scoping – Baseline Data Gathering

5.3 Information gathering for Scoping should consist of a desk-based study of readily available information, such as that held by English Heritage for statutorily designated assets and in the local authority Sites and Monuments Record/Historic Environment Records (SMR/HERs). It is aimed at identifying major constraints, such as the presence of statutorily designated archaeological sites, listed buildings and registered historic parks, gardens, and battlefields, Conservation Areas, World Heritage Sites, National Trust Inalienable Land and any other relevant designations, important assets and important historic landscapes that may be affected by the scheme and may require further study, or which can be discounted at this point in the process.

5.4 The Scoping exercise must be focussed on informing the decision-making process. No work should be carried out which does not directly assist the decision about whether further work is necessary, and if it is, what the appropriate level of assessment required for the next stage of the scheme should be. If the answer to any of the following questions is 'yes', then the relevant specialist sub-topic is likely to need further assessment:

- Archaeological Remains:
  - Are any designated or other important archaeological remains in the footprint of the scheme or within 300m of it?
  - Is the setting of any designated or other important archaeological remains affected by the scheme?
  - Will there be new land-disturbance associated with the scheme?
  - Could ground conditions conceal potential archaeological remains?
- Historic Buildings:
  - Are any designated or other important historic buildings in the footprint of the scheme or within 300m of it?
  - Is the setting of any designated or other important historic building affected by the scheme?
  - Is an area of historic built environment (even partially) inside the footprint?
  - Will the scheme lie within the setting of an area of historic built environment?
- Historic Landscapes:
  - Will the scheme affect designated historic landscapes or other important historic landscape?
  - Will the scheme affect the setting of designated or important historic landscapes?
  - Will the scheme affect National Trust Inalienable land?

Scoping – Consultation

5.5 In England, if nationally designated assets may be affected, English Heritage should be consulted. Otherwise, unless there is uncertainty about the existence of major constraints, such as the extent of a scheduled monument or a registered historic park, garden or battlefield, or there are likely to be issues of controversy or public concern, it is not usually necessary to seek a formal opinion from English Heritage but the local authority SMR/HER officer or equivalent should be approached for information in order to complete the scoping process. The devolved administrations have separate procedures for consultation, and these should be carefully followed (see Annex 8).

Scoping – Results

5.6 Following the Scoping exercise, if a cultural heritage sub-topic has been 'scoped out' no further work will be required on that sub-topic unless conditions change, for instance if the scheme design changes or if there are relevant new discoveries. If there are any doubts, or there is insufficient information to draw a reliable conclusion, the relevant sub-topic should be assessed in more detail through Simple or Detailed Assessment.

5.7 If Scoping studies show that further work is required, the selection of Simple or Detailed Assessment will depend on the consideration of:

- the scheme decision stage;
- the nature of the scheme (for example, a scheme with no new land take in previously disturbed ground is unlikely to need detailed appreciation of buried archaeological remains, although the extent of previous destruction may need to be explored);
- the reliability of the baseline data that is available;
- the findings of the Scoping exercise;
- the level of detail of any previous assessments undertaken for the scheme, and whether the data were collected recently, or whether previous results are considered to be robust;
- access to the site for field surveys;
- the value of the receiving environment.

Simple Assessment

5.8 A Simple Assessment has three functions:

i) to address unknown aspects of the Scoping Assessment; or

ii) to reach an understanding of the effect and complete the design and assessment; or

iii) to reach an understanding of the likely effect that identifies the need for a Detailed Assessment.

5.9 As a Simple Assessment may be appropriate for a wide range of types of scheme it is necessary at the outset to confirm the scope of the studies, as recommended in the Scoping Report. Information should not be collected and analysed if it would not contribute to the decisions to be made concerning the scheme.

Simple Assessment – Baseline Data Gathering

5.10 Information obtained in the Scoping study should be reviewed. The study should also consider other relevant specialist databases.

5.11 The study may need to collect more detailed information on historic landscape character mapping, World Heritage Sites and National Trust Inalienable Land potentially affected by the proposals. Historical maps and aerial photographs, relevant books, journals, previous reports and appropriate geotechnical data may also need to be consulted.

Simple Assessment – Field Survey

5.12 If the desk-based studies indicate that there are significant gaps in the information required, it may be necessary to undertake new field surveys. Field surveys would normally include a preliminary walkover of the area or route, to familiarise the surveyor with the lie of the land, to check current land-use, identify any visible cultural heritage assets, confirm relevant historic landscape character mapping and briefly check the condition of known assets.

5.13 Specialist field survey for Simple Assessment may take the form of non-intrusive work, such as systematic field-walking. This differs from a walkover survey, which is a rapid observation of the land, albeit often recorded on pro-forma field sheets. Field-walking is a systematic archaeological technique that entails a team of archaeologists walking a surveyed grid while collecting and recording artefacts from the surface of ploughed fields, to map the distribution of artefacts.

5.14 Other specialist surveys that might be undertaken for a Simple Assessment are the external or internal examination and photography of buildings, geophysical surveys, analysis of existing LIDAR surveys, or plotting existing aerial photographic surveys. Prior to Compulsory Purchase Orders intrusive surveys where the ground is broken (trial trenching for instance), or the fabric of a building disturbed (for instance to confirm timber framing behind modern render), normally require the landowner's permission and may involve the payment of compensation, and would not be expected for a Simple Assessment.

Consultation

5.15 The national heritage agencies will be consulted. In the devolved administrations different arrangements apply to those used in England (see Annex 8). Local planning authority heritage officers and other relevant sub-topic specialists shall be consulted where appropriate.

Simple Assessment – Reporting

5.16 The Simple Assessment report should be set within the reports required at the relevant Scheme Stages (see Section 2, Part 6, Chapter 3). The study will include a database or gazetteer with associated mapping at an appropriate scale, and an analysis of the cultural heritage resource. The studies will result in a report on the findings of the assessment (see Chapter 6). The data should also be provided in a form suitable for incorporation into the Overseeing Organisations' own environmental databases. The procedures for this in England are set out in DMRB Volume 10, Section 0.

5.17 The Report will include a statement assessing the confidence level to be accorded to the results, taking into account the quality of the data, comparable situations, and any other relevant factors, and identifying significant gaps in the available data or procedures. The Report will contain a statement setting out whether or not a Detailed Assessment is required. Any risk to the scheme posed by cultural heritage issues should be clearly stated.

5.18 Any new information or research that is not subsequently incorporated in further works and their publication, should be disseminated through appropriate channels, which may range from providing information to the local SMR/HERs to undertaking detailed post investigation analysis and publication.

Detailed Assessment

5.19 Detailed Assessment would be applied where there is the potential to cause significant effects on environmental resources, and where the extent of this is unclear after the previous study, and a detailed study is required to obtain sufficient information for an appropriate assessment. The aim is to establish a robust in-depth understanding of the beneficial and adverse cultural heritage consequences of the scheme, when the cultural heritage resource is potentially important, and/or the impact on it is potentially large, but where sufficient information is lacking to determine one or both of these parameters, and detailed investigations are necessary to remedy the deficiency. Where these factors are already established, and sufficient information is available to determine any necessary mitigation and the significance of the effect then Detailed Assessment will not normally be required.

5.20 Full descriptions of Detailed Assessment procedures for each of the Cultural Heritage Sub-Topics are given in Annexes 5, 6, and 7. A summary only is given here.

Detailed Assessment – Baseline Data Gathering

5.21 National sources, such as the National Monument Record (NMR) and national aerial photograph collections, must be consulted where appropriate. Lists of designated sites, buildings and landscapes should also be consulted. Local SMR/HERs, probably the most comprehensive records of the cultural heritage resource, are an invaluable source of detail. There are many other national, specialist and local databases, and consultants should research relevant ones to ensure that appropriate information is collected for the purpose of the study.

Detailed Assessment – Field Survey

5.22 Where desk-based studies suggest that available information is inadequate for the purpose of the assessment, it may be appropriate to undertake field surveys to enhance the data. These surveys may take many forms: some do not break the ground or damage the fabric of structures while others are intrusive. As a general rule the former can be undertaken under statutory rights of access for road based surveys, while intrusive surveys, such as trial trenching or the removal of masking materials in historic buildings, will need the landowners' or householders' permission until the relevant land and/or properties are compulsorily purchased. Where intrusive surveys are necessary for the effective evaluation of the resource the landowners' or property owners' permission must be sought, and the

request recorded. If permission is refused it may be important to be able to show that all reasonable efforts have been made to obtain the necessary information.

Assembling and Analysising the Data

5.23 Each relevant aspect of the cultural heritage resource should be recorded in a database or gazetteer. The recording system should be flexible and capable of accommodating additional information as the scheme progresses, bearing in mind that some schemes have long preparation programmes, and several different agencies and contractors may be involved in the course of its development.

5.24 Depending on the objectives of the scheme and the assessment, sophisticated assembly techniques, such as computerised databases, overlays, phase plans or Geographical Information System (GIS) should be considered, in order to provide greater facility for interrogation, interpretation and presentation. In-house specialised computer applications should be avoided, as results may need to be run on other agencies' computer platforms.

Evaluating the Cultural Heritage Resource

5.25 Having identified the existence and character of known and potential cultural heritage assets which may be affected by the scheme, the next step is to establish their value.

5.26 The evaluation of the resource should be considered in relation to statutory designations, and priorities or recommendations published in national, regional and local research agendas, priorities or frameworks. These should be set out in the scheme specific Design Objectives, which should establish the criteria for evaluating the cultural heritage assets affected by the scheme. In all cases the source and rationale for value judgements should be made explicit.

5.27 Cultural heritage assets may be valued for a number of reasons: for instance they may be rare or particularly well preserved examples, or typify a class of asset. Other features, not remarkable in these terms, may nonetheless be valuable for a particular community, especially if they are accessible and contribute to local distinctiveness or identity. Clearly many of these values are interrelated, and contribute to a complex mesh of perceptions which is continually changing. A newly discovered research technique, for instance, may lead to previously unconsidered trifles becoming highly significant (for instance, consider DNA sampling, not available a decade or so ago). Statutory issues will remain paramount.

5.28 For the purposes of assessment, cultural heritage assets should be considered principally with reference to their value to the quality and understanding of the country's cultural heritage resource, as set out in national, regional and local cultural heritage legislation, priorities and frameworks. Other environmental topics may be more appropriate for examining some of their other values. The Community Topic for instance, may better encompass the importance of historic features to the local economy. Aesthetic qualities may be more appropriately considered within the Landscape and Townscape Topics. However, these values can often be related to cultural heritage values and the relevant specialists should liaise to ensure that their assessments are co-ordinated.

5.29 The cultural heritage value of some assets may already be formally recognised through designation (see Annex 2). Other valuable assets may not be designated, possibly because they are newly discovered, or their significance only recently recognised, or because designation is not an appropriate response to their situation, or their value has not yet been formally assessed. There may be useful existing indications of value in the citations of World Heritage Sites, National Park and Area of Outstanding Natural Beauty citations, development plans, Historic Landscape Character or Historic Land Use studies, Conservation Area citations, in townscape and urban characterisations, or in village plans. The Assessment should take these into account as appropriate. Where no such previous evaluations are available for cultural heritage assets, the factors taken into account by the relevant authorities for designating archaeological remains, historic buildings and historic landscapes should be considered in assessing value.

5.30 The value of all the known and potential assets that may be affected by the scheme should be ranked, whether they are archaeological remains, historic buildings or historic landscapes. The value of each asset should be ranked according to the following scale:

- very high;
- high;
- medium;
- low;
- negligible.

5.31 For some circumstances an 'Unknown' value

may be all that can be entered. This would usually indicate that some risk remains, but the scale of this risk should be estimated and a strategy for managing it proposed (see paragraph 5.43). Annexes 5, 6 and 7 set out the factors to be considered in determining values for the different sub-topics.

Magnitude of Impact

5.32 The magnitude of impacts is the degree of change that would be experienced by the asset and its setting if the scheme were to be completed as compared with a 'do nothing' situation. This assessment must take into account any mitigation that is part of the design, is deliverable and is agreed. Sources of potential impacts, before mitigation, should be identified but the assessment of their magnitude must include agreed mitigation.

5.33 To identify the magnitude of impact the scheme design needs to be established as well as the presence and character of the cultural heritage resource. There are many potential sources of impact on cultural heritage assets arising from road schemes, and the identification of them will become more precise as schemes progress. The scheme design should be advanced enough to identify the sources of potential impacts. The following scheme information should be examined, where relevant to the specialist topic in question:

- general details contained in the scheme design about the nature and extent of proposed ground works and below-ground disturbance, including site investigations, site clearance, topsoil stripping, peat excavation, landscaping, drainage, landscaping, planting, groundworks for the installation of lighting and other services, and the extent of landtake;
- previous or existing disturbance which may have already affected any assets;
- design proposals which may have a direct impact, such as increased pollution, noise, vibration, visual intrusion, or the possibility of collision damage;
- off site works such as compounds, borrow pits, haul roads etc.;
- design proposals that may affect setting, context or legibility, such as lighting, signage or bunds; and
- aspects of the scheme that have the potential for indirect impacts, such as drainage that might lead to desiccation, or severance leading to decreased economic viability of historic resources and subsequent detrimental changes.

5.34 The magnitude of the impact (degree of change) can be negative or positive, and should be ranked without regard to the value of the asset. The total destruction of a Low Value asset will have the same magnitude of impact on the asset as the total destruction of a High Value asset; the value of the asset is factored in when the significance of the effect is assessed. The magnitude of impact should be ranked according to the following scale:

- major;
- moderate;
- minor;
- negligible;
- no change.

5.35 The factors to take into account in establishing magnitude of impact for the different sub-topics are set out in Annexes 5, 6 and 7.

Significance of Effects

5.36 Assessing the significance of the effects of the scheme brings together the **value** of the resource and the **magnitude of the impact** (incorporating the agreed **mitigation**) for each cultural heritage asset, using the matrix illustrated in Table 5.1. The adverse or beneficial significance of effect should be expressed on the following scale:

- very large;
- large;
- moderate;
- slight;
- neutral.

5.37 Table 5.1 overleaf illustrates how information on the Value of the asset and the Magnitude of Impact are combined to arrive at an assessment of the Significance of Effect. The choices allowed in the matrix indicate that the significance of effect can be ascertained.

Table 5.1 – Significance of Effects Matrix

VALUE						
	Very High	Neutral	Slight	Moderate/ Large	Large or Very Large	Very Large
	High	Neutral	Slight	Moderate/ Slight	Moderate/ Large	Large/Very Large
	Medium	Neutral	Neutral/ Slight	Slight	Moderate	Moderate/ Large
	Low	Neutral	Neutral/ Slight	Neutral/ Slight	Slight	Slight/ Moderate
	Negligible	Neutral	Neutral	Neutral/ Slight	Neutral/ Slight	Slight
		No change	**Negligible**	**Minor**	**Moderate**	**Major**
		MAGNITUDE OF IMPACT				

5.38 This process, although apparently mechanical, is not quantitative, but relies upon professional judgement at each step. The factors considered in arriving at the various rankings of value and magnitude of impact are observable facts (i.e. numbers of assets, spatial relationships, designations, impacts), and it is essential that the conclusions based on them are robust, and, if necessary, be capable of explanation in a Public Inquiry. The procedure identifies each step taken to arrive at the final assessment of the significance of effect, and they can be re-examined and modified if project details change or if they lead to unreasonable conclusions. The process may indeed reveal a valid significance of effect greater or lesser than the one that might otherwise have been expected.

Assessing the Significance of Effect on the Overall Cultural Heritage Resource

5.39 The significance of the effects on the cultural heritage resource must be described, considering all the sub-topics involved in the assessment. This can be a complex matter but it is essential for producing a useful contribution to the decision making process. Some guidance can be given here but professional judgement on a case-by-case basis will be required.

5.40 The intention is to establish, as far as possible, parity in the assessment of values, impacts and significance of effects across the three sub-topics, so a high value archaeological site, a high value historic building and a high value historic landscape will all be considered of equal worth, and a similar magnitude of impact should result in a similar judgement of the significance of the effect.

5.41 If all the effects on all assets were adverse then the highest reading on the Significance of Effect matrix would normally be taken to be the significance of the overall cultural heritage effect, but judgement is required to ensure that this does not distort the assessment. A scheme with wholly beneficial effects, however, would not normally be assessed at the highest beneficial reading, as the precautionary principle should be adopted, to avoid over-optimistic assessments of benefits. Again, judgement is required on a case by case basis.

5.42 In an Environmental Statement differences of effects across the sub-topics may be expressed as there is no requirement to produce a single overall score for the Topic (as there is in Appraisal Summary Tables). If there were adverse **and** beneficial effects (for instance on different cultural heritage assets or in different cultural heritage sub-topics) these will need to be brought out in the assessment, and not obscured by balancing them off against one another. For example, a bypass proposal with a Moderate Beneficial Effect on the historic buildings in a village, might also have a Moderate Adverse Effect on rural archaeological assets. If these were offset against one another to produce an overall Neutral assessment score this would be misleading. An alternative route, or even no new route, with no adverse or beneficial effects, would also have a Neutral score, but clearly these options would not be equivalent in their effect on cultural heritage. The

effects of the different options and their respective scores should be described in the text, to make the differences clear.

Confidence Level

5.43 For archaeological remains in particular, and for the other sub-topics to a lesser extent, there is the risk that their presence, or their value, or the degree of impact on them, may remain uncertain despite applying appropriate methods of identification, prediction and evaluation. It may be the case that the scope of the information gathering or predictive techniques is limited, for instance as a result of the requirements of a particular scheme or the decision making stage. It is important to identify sources of uncertainty, and assess the effect of uncertainty on the conclusions.

5.44 All assessments should include a statement of the degree of confidence in the results. This should address the reliability of the assessment methods and the scope of the data, in order to identify areas of uncertainty and to highlight parts of the route, or types of resource, or scheme impacts, for which information is insufficient. Possible or potential outcomes (risk) in the absence of further investigation should also be identified, and incorporated in any formal risk assessment process undertaken by the Overseeing Organisation.

6. REPORTING

6.1 The results of the studies may be intended for inclusion in Environmental Statements, and to document and support decision making, and should be capable of bearing public scrutiny and debate. The results of the studies must therefore be robust enough to withstand such scrutiny, and records of surveys, consultations, analyses and conclusions should be comprehensive, meticulous and consistent.

6.2 The studies will produce reports in various formats for different purposes. Technical reports on data collection or fieldwork may often be stand-alone documents, but they should be prepared bearing in mind that certain aspects of the studies, such as constraints mapping or databases, may contribute to the environmental plans or management plans (or equivalent) for the scheme. This requirement may dictate the format and scale of mapping, and the format of gazetteers and databases.

6.3 Some schemes may utilise GIS procedures, and the way in which cultural heritage information is incorporated into such a system will need to be determined early in the scheme cycle. Reports should conform to the Overseeing Organisation's preferred style or formatting, and observe any protocols for the presentation of electronic documents.

6.4 Reports should be prepared on the results of all assessments, whether at Scoping, Simple or Detailed level, giving careful consideration to how much detail is required for the particular stage in scheme delivery and decision making process.

6.5 The study should ensure that cultural heritage information collected during the assessments contributes to the Overseeing Organisation's environmental databases and cultural heritage databases (in England see Design Manual for Roads and Bridges (DMRB) Volume 10, Section 0). There may also be scheme specific databases that combine information across multiple environment topics, which will assist in identifying topic boundaries, areas of potential double counting and the coordination of consultations, surveys and proposals for mitigation.

Screening

6.6 The Overseeing Organisation will confirm in writing any recommendation for the need to proceed to formal Environmental Impact Assessment (EIA). If an EIA is not obligatory there may still be a requirement, in England, to prepare a Record of Determination, setting out significant cultural heritage effects.

The Scoping Report

6.7 The Scoping Report, as part of the overall scheme scoping report, should define:

- the scheme;
- the study area;
- the potential receptors and impacts;
- the known data;
- the scheme objectives;
- the scope of data gathering and and/or fieldwork;
- the proposals for consultation;
- the proposed methods for the evaluation of the resource;
- the proposed method for assessment of impact;
- the significance criteria to be used;
- a statement of the degree of confidence in the results.

6.8 The description of the scheme should be included in the overall scheme Scoping Report, but the remaining headings should be topic specific.

6.9 The draft Cultural Heritage Scoping Report should be sent to the Overseeing Organisation for approval prior to its submission to consultees for comment. Thereafter the Scoping Report remains as a document that may be modified in the light of subsequent investigations, setting the framework for subsequent assessment.

6.10 The report should include an OS based key plan at an appropriate scale showing the locations of cultural heritage assets and areas, as well as any areas of high risk.

Simple Assessment Reporting

6.11 The report on the Simple Assessment should contain the following key chapters:

a) Introduction/Overview: information on the scheme background and context.

b) Method Statement: a summary of the assessment sources, and methods adopted for data gathering, fieldwork, evaluation, assessment of impacts, and mitigation.

c) Regulatory and Research Framework: the relevant legislation, policy and codes of practice, and the results of relevant consultations, together with a statement of the cultural heritage Scheme Objectives.

d) Baseline conditions: the identification and characterisation of cultural heritage assets, to an appropriate level of detail, including the results of any surveys carried out.

e) Evaluation of the cultural heritage assets.

f) Assessment of the magnitude of the impact of the scheme, taking into account agreed mitigation measures or strategies, including the likely effectiveness of the mitigation. In Wales and Scotland the impact of the unmitigated scheme should also be reported. There should be a description and discussion of potential alternatives.

g) Significance of effects: the assessment of the significance of the effects on the cultural heritage resource, based on the evaluation and the assessment of the magnitude of the impacts, taking agreed mitigation into account (in Wales and Scotland the significance of the effect of the unmitigated scheme should be reported). There should also be a statement identifying any remaining risks or uncertainties.

h) Summary: a short description of the significance of the effects on cultural heritage.

6.12 The report will be illustrated to show the locations of the relevant assets, to take the form of (as appropriate):

- OS based key plan showing Scheduled Monuments, Listed Buildings, Conservation Areas, Registered Historic Landscapes, Historic Parks and Gardens, Historic Battlefields, historic landscape character mapping and other relevant designated and undesignated assets;
- a map at an appropriate scale showing the Zones of Visual Influence or the appropriate visual envelope related to historic buildings and monuments;
- detailed route plans (OS based) at 1:2500 showing the locations of all cultural heritage assets to include:
  - areas of cultural heritage potential;
  - an indication of where, and what, further cultural heritage fieldwork is required;
  - areas of potential impacts, where known.

Detailed Assessment Reporting

6.13 The draft report should be submitted to the Overseeing Organisation prior to circulating it to consultees. The final report will include the results of consultations.

a) Introduction/Overview: information on the scheme background and context.

b) Method Statement: a description of the information sources, and methods adopted for data gathering, fieldwork, evaluation, assessment of impacts, and mitigation.

c) Regulatory and Research Framework: the relevant legislation, policies and codes of practice, and the results of relevant consultations, together with a statement of the cultural heritage Scheme Objectives.

d) Baseline conditions: the identification and characterisation of cultural heritage assets, to an appropriate level of detail, including the results of any surveys carried out.

e) Evaluation of the cultural heritage assets.

f) Assessment of the magnitude of the impact of the scheme, taking into account agreed mitigation measures or strategies, including the likely effectiveness of the mitigation measures. In Wales and Scotland the impact of the unmitigated scheme should also be reported. There should be a description and discussion of potential alternatives.

g) Significance of effects: the assessment of the significance of the effects on the cultural heritage resource, based on the evaluation and the assessment of the magnitude of the impacts, taking agreed mitigation into account. In Wales and Scotland the significance of the effect of the unmitigated scheme should also be reported. There should be a statement identifying any remaining risks or uncertainties.

h) Summary: a short description of the significance of the effects on cultural heritage.

6.14 The Report will be illustrated by:

- a key plan (OS based) showing Scheduled Ancient Monuments, Listed Buildings, Conservation Areas, Registered Historic Landscapes, Historic Parks and Gardens, Historic Battlefields, historic landscape character mapping and other relevant designated and undesignated assets;

- detailed route plans (OS based) at 1:2500 showing the locations of all cultural heritage assets, to include:

  – areas of cultural heritage potential;

  – an indication of where, and what, cultural heritage mitigation has been agreed.

Reporting Incomplete or Abandoned Schemes

6.15 Normally the results of original documentary or survey work undertaken for an assessment are incorporated into the final reports of subsequent works on the scheme. In the event of a scheme not progressing, or elements of it being shelved so that no further cultural heritage work is undertaken beyond the assessment stage, it is still necessary to complete the appropriate analysis and publication, including popular dissemination, of any original cultural heritage work that has been carried out. The form and detail of this dissemination should be commensurate with the significance of the new material. This requirement should be made clear in contract documents governing the works. In England the final publication should accord with the principles of English Heritage's *Management of Archaeological Schemes (MAP 2,* 1991) and *The Management of Research Projects in the Historic Environment* (*MoRPHE* 2007), adapted if necessary to encompass historic buildings and historic landscape investigations, and take account of any other relevant government or English Heritage guidance and advice documents. Studies undertaken for the devolved administrations' should adopt the appropriate publication arrangements in consultation with the national heritage agencies. In Scotland this information should be lodged with the Royal Commission on the Ancient and Historical Monuments of Scotland (RCAHMS), who have their own reporting requirements (see Annex 8).

7. ENQUIRIES

All technical enquiries or comments on this Advice Note should be sent in writing as appropriate to:

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S SMITH
Divisional Director (Asset Performance Division)

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Roads Service
Clarence Court
10-18 Adelaide Street
Belfast BT2 8GB

R J M CAIRNS
Director of Engineering

ANNEX 1 THE STATUTORY BODIES

England

1.1 English Heritage (EH) – the Historic Buildings and Monuments Commission for England – was set up in 1984 to manage many of the monuments and buildings in public ownership, provide grants in support of privately owned heritage properties, promote heritage and advise Government in England on heritage matters.

Scotland

1.2 Historic Scotland (HS) is an Agency within the Scottish Executive and is directly responsible to Scottish Ministers for safeguarding the nation's historic environment and promoting its understanding and enjoyment. All functions performed by the Agency are carried out on behalf of Scottish Ministers.

Wales

1.3 Cadw is the Welsh Assembly Government's historic environment division. Its aim is to promote the conservation and appreciation of Wales's historic environment. Created in 1984, it carries out duties in respect of the protection of ancient monuments, buildings of special architectural or historic interest and sites on the Register of Historic landscapes, Parks and Gardens in Wales.

Northern Ireland

1.4 The Environment and Heritage Service (EHS) is an Agency within the Department of the Environment of the Northern Ireland Assembly. It has responsibility for identifying, recording and protecting archaeological sites and monuments, and buildings and other structures of architectural or historical interest. Protection is carried out by scheduling, under the Historic Monuments Act (NI) 1971, or by listing, under the Planning (NI) Order 1991.

National Trust

1.5 The National Trust for England, Wales and Northern Ireland and the National Trust for Scotland (NTS), although not statutory bodies, are included in this annex because they have the statutory power to declare their land and properties 'Inalienable'. This statutory power means that such inalienable Trust property cannot be removed from the Trust's ownership except by special Parliamentary Procedure.

1.6 Where Inalienable Land is likely to be affected by a proposed scheme, the relevant Trust should be consulted in confidence in the same way as the statutory bodies. References to consultation with the statutory bodies should, therefore, be taken to include the NT where Inalienable Land is affected.

ANNEX 2 DESIGNATIONS AND STATUTORY REQUIREMENTS

NB. In England and Wales, the system of statutory and non-statutory designations described below is currently (2007) undergoing reform of the systems used to describe, select, and manage historic assets.

International Designations

World Heritage Sites

2.1 World Heritage Sites are designated under the United Nations Educational, Scientific and Cultural Organisation (UNESCO) Convention for the Protection of the World Cultural and Natural Heritage (1972). Each country that is a party to the Convention nominates a list of sites, which it considers to be of outstanding universal value, generally major cultural and natural sites. In England, Scotland, Wales and Northern Ireland there are currently (2007) 23 World Heritage Sites inscribed for their cultural heritage importance.

Responsible body: Department of Culture, Media and Sport (DCMS).

Statutory designation: No statutory designation in its own right. Could be an Ancient Monument or Grade I Listed Building, or within a Conservation Area, or other statutorily designated area, or may be otherwise undesignated. World Heritage Sites are most likely to contain a combination of these elements which themselves have a degree of statutory protection. World Heritage Sites are a material consideration in planning decisions.

National Designations

Ancient Monuments

2.2 Under the Ancient Monuments and Archaeological Areas Act 1979, the relevant Secretary of State in England, and Welsh, Scottish and Northern Irish Ministers can schedule (i.e. designate) any building, structure or other work above or below ground, or in territorial waters, which appears to be of national importance because of its historic, architectural, traditional, artistic or archaeological interest. The non-statutory criteria for the scheduling of Ancient Monuments are appended to this Annex. Inclusion of a site in the schedule of Ancient Monuments does not affect its ownership, but is binding on successive owners. The Secretaries of State and the devolved administrations' Ministers have powers to acquire Ancient Monuments by gift or purchase, as do Local Authorities.

2.3 Once a monument is scheduled any development that would affect it requires the consent of the Secretary of State or Ministers. In this context, 'affect' means works which would have the impact of demolishing, destroying, damaging, removing, repairing, altering, adding to, flooding or covering up the monument, and includes the use of geophysical remote sensing devices, including metal detectors (see Planning Policy Guidance (PPG) 16, Annex 3, or Scottish Historic Environment Policy 2). A system of Scheduled Monument Clearance operates for Crown developments carried out by Government Departments that follows very similar procedures to Scheduled Monument Consent.

2.4 In England, under DoE Circular 18/84, the Overseeing Organisation's Scheme Manager will notify the DCMS, and will also consult English Heritage (EH). On receiving details of the proposals, the DCMS will consult EH before deciding whether or not clearance, or conditional clearance, should be granted. In Scotland, under SDD Circular 21/1984, the Overseeing Organisation must notify Historic Scotland (HS) who will advise on the need for formal scheduled monument clearance and determine the outcome of applications made. In Wales, the Overseeing Department will notify Cadw of any proposed works that will affect a scheduled ancient monument. Cadw may consult other outside bodies, as it does with consent applications, before determining whether or not clearance should be granted.

Responsible bodies: EH
EHS: HMB
HS
Cadw.

Statutory designation: Ancient Monument.

Areas of Archaeological Importance (England Only)

2.5 The historic town centres of Canterbury, Chester, Exeter, Hereford and York have been designated as Archaeological Areas of Importance under Part II of the Ancient Monuments and Archaeological Areas Act 1979. Within these areas potential developers are required to give six weeks notice to the relevant planning authority of any proposals to disturb the ground, tip on it, or flood it. The Secretary of State nominates an investigating authority for the area – usually the archaeological unit of the relevant local authority – that then has the power to enter the site and, if necessary, to excavate it for up to four and a half months before development may proceed. The future of this designation is under review and no more designations are planned. Part II of the Ancient Monuments and Archaeological Areas Act 1979 has not been brought into force in Scotland.

Responsible body: Local Planning Authority.

Statutory designation: Area of Archaeological Importance.

Listed Buildings

2.6 In England under Section 1 of the Planning (Listed Buildings and Conservation Areas) Act 1990, the Secretary of State is required to compile lists of buildings of special architectural or historic interest, on advice from EH. In Wales, the same authority is vested in Welsh Assembly Government Ministers, on advice from Cadw. The lists are compiled on the merits of the building by reference to national criteria recommended by EH and Cadw. In Scotland, the same authority is vested in the Scottish Ministers by section 1 of the Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997; listing is undertaken using national criteria prepared by HS. The Memorandum of Guidance provides advice on listed buildings and conservation areas. In Northern Ireland listing is carried out by EHS:HMB under the Planning (NI) Order 1991. The DOE(NI) Town and Country Planning Service consults EHS:HMB on applications for Listed Building Consent.

2.7 In selecting buildings, particular attention is paid to their importance in illustrating economic and social history, their architectural quality, their association with well-known historical events, characters or works of literature, and their group value. Some listed buildings are also scheduled monuments, and where this is the case scheduling takes precedence over listing, and scheduled monument consent is required for works that would affect them, but not listed building consent.

2.8 Listed Buildings are classified in grades (or categories in Scotland) to show their relative importance. In England and Wales, listed buildings are classified (in descending order of importance) as:

- Grade I – buildings of exceptional interest (only about 1.4% of listed buildings are in this category);
- Grade II* – particularly important buildings of more than special interest (some 4% of listed buildings);
- Grade II – buildings of special interest (the remaining 94%).

2.9 In Northern Ireland the grades, in descending order of importance are:

- Grade A – which corresponds to Grade I in England and Wales and covers 2% of listed buildings in Northern Ireland;
- Grade B+ – equivalent to Grade II* in England and covering 3% of listed buildings;
- Grade B – equivalent to Grade II; and
- Grade C – equivalent to the former Grade III in England.

2.10 In the Scottish classification the listing categories are defined in the Memorandum of Guidance as follows:

- Category A – buildings of national or international importance, either architectural or historic, or fine, little altered examples of some particular period, style or building type.
- Category B – buildings of regional or more than local importance, or major examples of some particular period, style or building type which may have been altered.

- Category C(S) – buildings of local importance; lesser examples of any period, style or building type, as originally constructed or altered, and simple traditional buildings, which group well with categories A and B or are part of a planned group, such as an estate or an industrial complex.

2.11 Listed buildings are afforded protection as an extension of planning control. This means that a developer cannot, without penalty, demolish, alter or extend a listed building in any way that affects its architectural or historic character, unless listed building consent has been obtained from the local planning authority. Unlisted buildings in conservation areas are also protected from demolition, and conservation area consents must be sought from the local authority before demolition can proceed. In some instances applications for listed building consent may be referred to the relevant Secretary of State or Minister for approval. In England, central government responsibility rests with the DCMS. A Crown developer does not need listed building consent but is nevertheless obliged to follow formal procedures devised for Government Departments under DoE Circular 18/84 (Scotland no longer has Crown immunity; this means that, where required, the Overseeing Organisation must apply to the relevant planning authority for Listed Building consent). Where a private developer would need consent, the Overseeing Department must consult with the local planning authority, which will advertise the proposals and notify EH, EHS:HMB, Cadw or HS as appropriate and other interested bodies. Full details of this procedure are to be found in the above-mentioned Circulars. DoE Circular 20/92 (DNH Circular 1/92) may also be helpful. It applies only to England and sets out the split of responsibilities between DoE and DNH for conservation policy and casework.

2.12 At present works (including partial demolition) to ecclesiastical buildings in use, or where the use will resume once the work is complete, are exempt from listed building control but consent is generally required for the total demolition of an ecclesiastical building. In England for demolition of Church of England churches, buildings, yards or consecrated cemeteries a faculty must be obtained from the Chancellor of the Diocese in addition to consent from the local planning authority. The exception is where the church is a redundant church of the Church of England, which is being demolished in pursuance of a pastoral, or redundancy scheme made under the Pastoral Measure 1983 legislation. The rules on ecclesiastical exemption are currently being revised. Where church land (of any denomination) containing burials or cremation remains is required for Compulsory Purchase Order, the Home Office must also be contacted for permission to exhume.

Responsible bodies: EH
EHS: HMB
HS
Cadw.

Statutory designation: Listed Building (except Grade III in England and Grade C in Northern Ireland which are non-statutory designations).

The National Trusts in England, Wales, Northern Ireland and Scotland

2.13 The National Trust for England, Northern Ireland and Wales, and the National Trust for Scotland were established to promote the permanent preservation, for the benefit of the nation, of lands and buildings of historic or national interest or natural beauty. The Trusts have the power, given to them by Act of Parliament, to declare their properties inalienable; that is, to declare them objects which the Trusts hold in perpetuity and which cannot be removed from Trusts' ownership without their consent except by special Parliamentary procedure.

2.14 The National Trust for Scotland also has a power unique in Scotland, given to it by its 1938 Act of Parliament. This power enables landowners voluntarily to enter into legal agreements, usually known as Conservation Agreements, with the Trust making all or part of their land subject to binding conditions restricting the planning, development or use of that land, in conformity with the statutory purposes of the Trust.

Responsible bodies: National Trust for England, Northern Ireland and Wales
National Trust for Scotland.

Statutory designation: Inalienable land.

Building Preservation Notices

2.15 If a local planning authority considers that a non-listed building in its area is of special architectural or historic interest and is in danger of demolition or alteration in such a way as to alter its character, it can serve a Building Preservation Notice. The Notice becomes effective immediately it has been served and remains so for six months, unless during that period the Secretary of State or Ministers list the building or notify the planning authority that they do not intend to do so. The effect of the Notice is as if the building had been

listed (see Section 3 of the Planning (Listed Buildings and Conservation Areas) Act 1990 for England and Wales or Section 3 of the Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997 as appropriate).

Responsible bodies: Local planning authority
In Scotland the Planning Authority.

Statutory designation: Building under a Building Preservation Notice.

Parks and Gardens of Special Historic Interest

2.16 In England EH compiles a non-statutory Register of Parks and Gardens of Special Historic Interest. Its purpose 'is to record their existence so that highway and planning authorities, and developers know that they should try to safeguard them when planning new road schemes and new developments generally', (DoE Circular 8/87, paragraph 15). Inclusion on the register does not involve any new restrictions on development, nor does it affect the statutory listing or planning controls on any listed building within a registered park or garden. It is, however, a material consideration for planning purposes. The grading terminology employed for listed buildings is also used for parks and gardens, defined as follows:

- Grade I – parks and gardens which by reason of their historic layout, features and architectural ornaments considered together make them of exceptional interest;
- Grade II* – parks and gardens which by reason of their historic layout, features and architectural ornaments considered together make them, if not of exceptional interest, nevertheless of great quality;
- Grade II – parks and gardens, which by reason of their historic layout, features and architectural ornaments considered together make them of special interest.

2.17 In Scotland, HS compile and publish an 'Inventory of Gardens and Designed Landscapes in Scotland'. Sites are included on the Inventory by reference to criteria defined by HS, and considered to be of national importance. However, the Inventory does not apply a grading system in the same manner as the English and Welsh registers. Design Organisations should consult with HS at an early stage on any proposals affecting these sites.

2.18 The Town and Country Planning (General Development Procedure) (Scotland) Order 1992, as amended in 2007, requires Planning Authorities, Transport Scotland and other developers in Scotland to consult HS in respect of development proposals – which may include road proposals, works to bridges etc – affecting Gardens and Designed Landscapes included in the Inventory (Site List 2007) (reference SO Circular 6/92).

2.19 Cadw has compiled a non-statutory 'Register of Landscapes of Historic Interest in Wales' of which parks and gardens comprise Part 1. Design Organisations should consult with Cadw and CCW at an early stage on any proposals affecting landscapes included in the Register.

2.20 For Northern Ireland, the Environment and Heritage Service is compiling a Register of Historic Parks, Gardens and Demesnes of Special Interest.

Responsible bodies: EH
HS
EHS
Cadw.

Statutory designation: Non-statutory.

Historic Battlefields

2.21 In England English Heritage can register important battlefields. There are currently 43 Registered Historic Battlefields. This is a non-statutory designation, and the sites are not graded, but the presence of a registered battlefield is a material consideration in determining development proposals.

2.22 In Scotland, Historic Scotland is currently (2007) preparing a policy for the protection of battlefields in Scotland, which includes proposals to create a battlefields inventory. However, this work is still in the early stages of preparation. Design Organisations should consult the HS website for further information.

Responsible bodies: EH
HS.

Statutory designation: Non-statutory.

Local Designations

Conservation Areas

2.23 Local authorities may designate as conservation areas sections of land or buildings within their

jurisdiction. They must be of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance. Section 72 (1) of the Planning (Listed Buildings and Conservation Areas) Act 1990 requires authorities to have regard to the fact that there is a conservation area when exercising any of their functions under the Planning Acts and to pay special attention to the desirability of preserving or enhancing the character or appearance of conservation areas. Although a local designation, conservation areas may nevertheless be of national importance and significant developments within a conservation area are referred to EH, in England, and to Cadw in Wales. In Scotland the Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997 extends similar provisions to the designation of conservation areas and recognition of their importance. Demolition of unlisted buildings in conservation areas requires Conservation Area Consent.

Responsible bodies: Local planning authority
DOE(NI) Town and Country Planning Services.

Statutory designation: Conservation Area.

Non-Designated Buildings and Sites

2.24 Buildings of historic or architectural interest may not be listed, or included within a conservation area, but may still be sufficiently important to merit special assessment. This is also true of historic landscapes and battlefield sites.

2.25 The Sites and Monuments Records (SMRs) (sometimes referred to as Historic Environment Records (HER)) are the records curated by, or on behalf of, Local Authorities. They comprise a list of known archaeological sites. The information in the SMR is used to inform the preparation of development plans as well as decisions on new development. They are often also used for other purposes, such as for interpreting the archaeological resource, for education and for land management. All SMRs generate their own data but also draw information from a number of other sources. All SMRs are accessible to the public, either on-line or by arrangement.

2.26 Cadw, has included 58 outstanding or special areas of historic landscape in Part 2 of its non-statutory *Register of Landscapes, Parks and Gardens of Special Historic Interest in Wales*. Design Organisations should consult with Cadw and CCW at an early stage on any proposals affecting landscapes included in the Register.

APPENDIX

NON-STATUTORY CRITERIA FOR SCHEDULING ANCIENT MONUMENTS

In England and Wales

The following criteria (which are not placed in any order of ranking in PPG 16) are used for assessing the national importance of an ancient monument and considering whether scheduling is appropriate. The criteria should not, however, be regarded as definitive; rather they are indicators which contribute to a wider judgement based on the individual circumstances of a case.

(i) **Period**: all types of monuments that characterise a category or period should be considered for preservation.

(ii) **Rarity**: there are some monument categories, which in certain periods are so scarce that all surviving examples that still retain some archaeological potential should be preserved. In general, however, a selection must be made which portrays the typical and commonplace as well as the rare. This process should take account of all aspects of the distribution of a particular class of monument, both in a national and a regional context.

(iii) **Documentation**: the significance of a monument may be enhanced by the existence of records of previous investigation or, in the case of more recent monuments, by the supporting evidence of contemporary written records.

(iv) **Group Value**: the value of a single monument (such as a field system) may be greatly enhanced by its association with related contemporary monuments (such as a settlement and cemetery) or with monuments of different periods. In some cases, it is preferable to protect the complete group of monuments, including associated and adjacent land, rather than to protect isolated monuments within the group.

(v) **Survival/Condition**: the survival of a monument's archaeological potential both above and below ground is a particular important consideration and should be assessed in relation to its present condition and surviving features.

(vii) **Diversity**: some monuments may be selected for scheduling because they possess a combination of high quality features, others because of a single important attribute.

(vi) **Fragility/Vulnerability**: highly important a single ploughing or unsympathetic treatment can destroy archaeological evidence from some field monuments; vulnerable monuments of this nature would particularly benefit from the statutory protection which scheduling confers. There are also existing standing structures of particular form or complexity whose value can again be severely reduced by neglect or careless treatment and which are similarly well suited by scheduled monument protection, even if these structures are already listed historic buildings.

(viii) **Potential**: on occasion, the nature of the evidence cannot be specified precisely but it may still be possible to document reasons anticipating its existence and importance and so to demonstrate the justification for scheduling. This is usually confined to sites rather than upstanding monuments.

* Taken from PPG 16, Archaeology and Planning, (November 1990, Department of the Environment; November 1991 Welsh Office).

In Scotland

Criteria for and Guidance on the Determination of 'National Importance' under the terms of the Ancient Monuments and Archaeological Areas Act 1979
Preamble (extract from SHEP 2)

1. The Ancient Monuments and Archaeological Areas Act 1979 provides for the scheduling of ancient monuments, the sole criterion being that they are of national importance. A definition and operational guidance on how to determine whether or not a monument is of national importance was approved by the (former) Ancient Monuments Board for Scotland in 1983. The criteria and guidance offered here are an updated version that has taken account of the development of treaty, charter and practice in the UK and abroad and has been informed by the consultation exercise carried out in 2004. While based on the 1983 text, it also reflects the principles of Scotland's *Stirling Charter* (2000), which has been informed by, and builds on, the body of international conservation charters already in being. One of the most influential of these is

the *Burra Charter* (current edn 1999), which introduced the now widely accepted concept of 'cultural significance'. While taking into account national and international developments, this revised guidance has been prepared with the welfare of Scotland's archaeological and built heritage in mind. The primary aim of this document is to provide guidance in determining whether monuments are unequivocally of national importance.

Role of Historic Scotland

2. The process of scheduling is undertaken on behalf of Scottish Ministers by HS. HS is an executive agency directly accountable to Scottish Ministers with the remit of protecting Scotland's historic environment. The selection of monuments and the scheduling process is undertaken by professional staff within HS applying the policies, criteria and guidance set by Scottish Ministers.

3. The first step in considering whether a monument is of national importance is to identify and understand its cultural significance. The concept of 'cultural significance' will apply widely and to different degrees to all of Scotland's historic environment, and should not be confused with the establishment of 'national importance', which is a separate process. For a monument or a class of monuments to be considered as being of national importance it must, first, have a particular cultural significance – artistic; archaeological; architectural; historic; traditional (factors listed in the 1979 Act); aesthetic; scientific; social – for past, present or future generations. Such significance is inherent in the monument itself, its fabric, setting, use, associations, meanings, records, related monuments and related objects.

4. For most of Britain's and Scotland's past, there are no 'national' prehistories or histories, as reflected in the built heritage. Instead, there is an aggregation of related prehistories and histories of different regions, which may have wider national or international links. It is through these linked regional histories and prehistories that the history of Scotland and the UK can be understood.

5. Cultural significance of any monument, whether of national importance or more local significance, can be characterised by reference to one or more of the following; the characteristics are in three groups:

- **Intrinsic** – those inherent in the monument;
- **Contextual** – those relating to the monument's place in the landscape or in the body of existing knowledge; and
- **Associative** – more subjective assessments of the associations of the monument, including with current or past aesthetic preferences.

Intrinsic characteristics include:

a. the condition in which the monument has survived. 'Condition' includes the potential survival of archaeological evidence above and below ground, and goes beyond the survival of marked field characteristics;

b. the archaeological, scientific, technological or other interest or research potential of the monument or any part of it;

c. the apparent developmental sequence of the monument. Monuments that show a sequence of development can provide insights of importance, as can places occupied for a short time;

d. the original or subsequent functions of the monument and its parts.

Contextual characteristics include:

e. the present rarity or representativeness of all or any part of the monument, assessed against knowledge of the archaeology of Scotland and of the region in which the monument occurs;

f. the relationship of the monument to other monuments of the same or related classes or period, or to features or monuments in the vicinity. This is particularly important where individual monuments, themselves perhaps of limited immediate significance, form an important part of a widespread but varied class. The diversity of the class should be a material consideration in making individual decisions;

g. the relationship of the monument and its parts with its wider landscape and setting.

Associative characteristics include:

h. the historical, cultural and social influences that have affected the form and fabric of the monument, and vice versa;

i. the aesthetic attributes of the monument;

j. its significance in the national consciousness or to people who use or have used the monument, or descendants of such people; and

k. the associations the monument has with historical, traditional or artistic characters or events.

6. Understanding of cultural significance may change as a result of the continuing history of the monument, or in the light of new information, or changing ideas and values.

National Importance

7. The primary purpose of scheduling under the 1979 Act is the preservation of, and control of works on, monuments, the survival of which is in the national interest. The provisions of the 1979 Act are consistent with the principles of minimal intervention to ensure that the characteristics that make a monument of national importance are preserved as far as possible in the state in which it has come down to us, and is passed on to future generations in as unchanged a state as is practicable, in accord with the principles of sustainable development. In general, those principles will only be set aside in circumstances where wider considerations are deemed, on balance, to be of greater importance to the national interest, rather than to any sectoral or local interest; in individual cases such considerations may include the needs of research into Scotland's past.

8. It should be noted that no period of Scotland's past and no part of Scotland's land is inherently more or less likely to produce monuments of 'national importance' than another.

9. The purpose and implications of scheduling are issues that require to be taken into consideration when assessing monuments for scheduling. Scheduling may not be the only, or the most appropriate, mechanism to secure the future of all sites, even those that may otherwise meet the criteria.

10. The particular significance needed to define the monument as of 'national' importance may be established in terms of one or more of the following:

a. its inherent capability or potential to make a significant addition to the understanding or appreciation of the past;

b. its retention of the structural, decorative or field characteristics of its kind to a marked degree;

c. its contribution, or the contribution of its class, to today's landscape and/or the historic landscape;

d. the quality and extent of any documentation or association that adds to the understanding of the monument or its context;

e. the diminution of the potential of a particular class or classes of monument to contribute to an understanding of the past, should the monument be lost or damaged; and

f. its place in the national consciousness is a factor that may be considered in support of other factors.

ANNEX 3 THE REGULATORY AND ADVISORY FRAMEWORK

Acts, Statutory Instruments, Orders, International Conventions

Acquisition of Land Act 1981
Sets out the procedure for the acquisition by the Secretary of State (in England or Wales) of any ancient monument and land adjoining it or in the vicinity by compulsory purchase.

Ancient Monuments and Archaeological Areas Act 1979
Replaced earlier acts. Formalised a schedule of monuments that required 'scheduled monument consent' Does not apply to Northern Ireland.

Ancient Monuments (Class Consents) Order 1994 (S.I. No. 1381)
Introduced new classes of works for which 'scheduled monument consent' is not required.

Ancient Monuments (Class Consents) (Scotland) Order 1996 (S.I. No. 150)
Amendments to the 1994 Class Consents Order to cover the lack of statutory body equivalent to English Heritage.

Ancient Monuments (Applications for Scheduled Monument Consent) (Welsh Forms and Particulars) Regulation 2001 (WSI 1438 (W100))
Transfer of responsibility to the National Assembly for Wales.

Burial Act 1857
Introduced requirement for a licence to remove human remains, except from one area of consecrated ground to another.

Coroners Act 1988
Covers the role of Coroners in dealing with possible 'Treasure'.

Crown Estate Act 1961
The hereditary estates of the Crown were placed in the hands of Commissioners. These estates were exempt from many aspects of planning law.

Disused Burial Grounds Act 1884
Prohibits building on disused burial grounds, except for places of worship, without statutory authority.

Disused Burials Grounds (Amendment) Act 1981
Introduces provisions to allow building following removal of human remains.

EEC (European Economic Community) 1985: Council Directive of 27 June 1985 on the Assessment of the Impacts of Certain Public and Private Schemes on the Environment (85/337/EEC) as amended by 97/11/EEC.
Requires environmental impact assessments to be carried out for certain schemes.

Environment Act 1995
Includes archaeological obligations for National Park Authorities and protection for hedgerows. Does not apply to Scotland.

Environmental Impact Assessment (Scotland) Regulations 1999 (Scottish Statutory Instrument No. 1)
Part III deals with EIA of trunk roads.

Forestry Act 1967
Outlines exemptions from need to notify authorities prior to cutting down or extensively pruning trees within Conservation Areas.

Hedgerow Regulations 1997 (England and Wales only).

Highways Act 1980 (England and Wales only)
Introduced requirement for environmental impact assessment for highway construction and improvement schemes.

Highways (Assessment of Environmental Impacts) Regulations 1988 (SI No 1241)
Amendments to the Highways Act 1980.

Highway (Assessment of Environmental Impacts) Regulation 1999 (SI No 324)
Amendments to the Highways Act 1980 and the 1988 Regulations.

Historic Buildings and Ancient Monuments Act 1953.

Historic Monuments and Archaeological Objects (Northern Ireland) Order 1995 (S.I. No. 1625)
Consolidated planning legislation relevant to historic and archaeological features. Established the Historic Buildings Council.

Land Drainage Act 1991
Excludes from the provisions of the act any work that would contravene the current Ancient Monuments Act.

Merchant Shipping Act 1995
Exempts material from wrecks from classification of 'Treasure'. Provides for a Receiver of Wrecks to administer salvage and finds from wrecks.

National Heritage Act 1983, amended 2003
Established English Heritage. Contained some amendments to AMAA.

Planning Etc. (Scotland) Act 2006
Minor amendments to Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997.

Planning (Listed buildings and Conservation Areas) Act 1990 (England only)
Consolidation of legislation relating to listed buildings and conservation areas.

Planning (Listed Buildings and Conservation Areas) (Scotland) Act 1997
Sets out legislative requirements regarding listed buildings and conservation areas.

Planning (NI) Order 1991
Places a duty on the Dept of the Environment to compile lists of historic buildings in Northern Ireland.

Planning and Compensation Act 1991
Sets out development control measures and enforcement powers involving, inter alia, listed buildings and conservation areas.

Planning (Compensation etc) Act (NI) 2001.

Planning and Compulsory Purchase Act 2004
Removes Crown Immunity from development control, and modifies planning measures.

Protection of Military Remains Act 1986
Offers protection to military sites, vessels and aircraft.

Protection of Wrecks Act 1973
Offers legal protection to designated wreck sites.

Roads (Scotland) Act 1984
Introduced requirement for EIA of road construction and improvement schemes in Scotland.

Town and Country Planning (Assessment of Environmental Effects) Regulations 1988 S.I. No. 1199)
Includes requirement for environmental statements to include 'Cultural Heritage'.

Town and Country Planning (Assessment of Environmental Effects) (Amendment) Regulations 1992 (S.I. No. 1494)
Amendments to requirements for cultural heritage element of environmental assessments.

Town and Country Planning (Environmental Assessment and Permitted Development) Regulations 1995 (S.I. No. 417)
Details of environmental assessment requirements.

Town and Country Planning General Development Order 1988 (SI No 1813) (Article 18(1))
Lists those bodies, which should be consulted under the planning EIA regulations.

Town and Country Planning (General Development Procedure) Order 1995 (SI No 419)
Requirement for English Heritage to be consulted on demolition or major alteration to Listed buildings.

Town and Country Planning (General Development Procedure) (Scotland) Order 1992 (SI No 224):
Requirement for consultation in Scotland for planning applications affecting A-listed buildings, scheduled monuments and designed landscapes in the 'Inventory'.

Town and Country Planning (General Development Procedure) (Scotland) Amendment (No 2) Order 1994 (S 192): Extends consultation to the setting of scheduled monuments and A-listed buildings.

Town and Country Planning (General Development Procedure) (Scotland) Amendment Order 2007 (SSI 177): Includes revised interpretation of Inventory of Gardens and Designed Landscapes for purpose of consultation with HS.

Town and Country Planning (General Permitted Development) Order 1995 (SI No 408)
Sets out limits to requirements for planning permission for listed buildings and conservation areas.

Town and Country Planning (Scotland) Act 1997
Replaced the 1972 Act. Contained four statutes covering the same areas as the 1990 legislation in England.

Town and Country Planning (Listed Buildings and Buildings in Conservation Areas) (Scotland) Regulations 1987 (SI 1987/1592).

Transport and Works Applications (Listed Buildings, Conservation Areas and Ancient Monument Procedure) Regulations 1992 (SI No 3138).

Procedures for applications for planning permission for works covered by an order under the Transport and Works Act 1992.

Treasure Act 1996
Replaced treasure trove. Clearer definitions of what qualifies.

Tribunals and Inquiries Act 1992
Requires Secretary of State to provide reasons for refusal of 'scheduled monument consent'.

Treaties and Conventions

International Charter for the Conservation and Restoration of Monuments and Sites (ICOMOS) 1964 Venice.

The European Convention on the Protection of the Archaeological Heritage (CE) 1969 London.

Convention Concerning the Protection of the World Cultural and Natural Heritage (UNESCO) 1972 Paris
Provides for establishment of World Heritage Sites.

European Convention on the Protection of the Architectural Heritage of Europe (CE) 1985 Granada
Commitment to a series of initiatives to ensure the protection of monuments, groups of buildings and their sites.

European Convention on the Protection of the Archaeological Heritage (revised), (CE) 1992 Valletta
Recognises the importance of heritage and the need to take steps to protect it.

European Landscape Convention (CE) 2000 Florence
Convention that places landscape within the scope of cultural heritage.

Convention on the Protection of the Underwater Heritage (UNESCO) 2001 Paris.

Framework Convention on the Value of Cultural Heritage for Society (CE) 2005 Faro (the UK is not yet (2007) a signatory).

ANNEX 4 PROFESSIONAL STANDARDS, GOVERNMENT GUIDANCE AND CODES OF PRACTICE

Standards, Guides, and Codes of Practice

Institute of Field Archaeologists codes, standards and guidance

Code of Conduct 2006

Code of approved practice for the regulation of contractual arrangements in field archaeology 2002

Standard and guidance for archaeological desk-based assessment 2001

Standard and guidance for archaeological field evaluation 2001

Standard and guidance for an archaeological watching brief 2001

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ANNEX 5 CULTURAL HERITAGE SUB-TOPIC GUIDANCE: ARCHAEOLOGICAL REMAINS

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5.1 Introduction

5.1.1 Archaeology involves the study of the material remains of human activity from the earliest periods of human evolution to the present. Archaeological remains may comprise the buried traces of human activities or visible monuments, or moveable artefacts. Archaeological investigations can encompass the remains of buildings, structures, earthworks and landscapes; human, animal or plant remains, or other organic material produced by or affected by human activities, and their settings.

5.1.2 For the purposes of this guidance, however, archaeological remains and their settings have been distinguished from historic buildings and historic landscapes, to acknowledge that for practitioners there are specialist techniques and methods for studying each of these categories of the cultural heritage resource. Archaeology can involve the study of the material remains of walls, structures, field banks, monuments etc. from the past, and while historic buildings and historic landscapes are also formed of such materials, they are also subject to their own specialist approaches. Historic buildings are considered in Annex 6 and historic landscape is the subject of Annex 7. These sub-topics, however, are inter-related aspects of cultural heritage, and the sub-topic studies will need to be integrated to arrive at an assessment of the significance of the effect of a scheme on the cultural heritage resource.

5.1.3 It is likely that many schemes will not require equally detailed consideration of all three cultural heritage sub-topics. This Annex is intended to provide freestanding detailed guidance concerning the methodologies and sources of information specific to the Detailed Assessment of archaeological remains. Details of procedures for Scoping and Simple Assessment for all Cultural Heritage Sub-Topics can be found in the main Cultural Heritage guidance in Chapter 5.

5.1.4 A list of current guidance and standards documents is set out in Annex 4 and devolved administration procedures in Annex 8. Any departures from government guidance and standards should always be discussed with the relevant national heritage agencies, and approved by the Overseeing Organisation.

5.2 The Assessment Process

5.2.1 The detail of the archaeological assessment will depend on the stage of scheme delivery, and the nature of information required for decision making at a particular stage in the design process. Sections 1 and 2 of Design Manual for Roads and Bridges (DMRB) Volume 11 set out the framework for determining the appropriate type of assessment.

5.2.2 The Detailed Assessment will need to review the data obtained for the Scoping exercise or Simple Assessment, and consider the need to research more detailed or specialist sources or undertake fieldwork. A higher degree of detail in the evaluation and analysis is normally required in Detailed Assessments, in order to identify the significant constraints, and to obtain reliable indications of archaeological potential.

5.2.3 Assessing the archaeological implications of mitigation proposed by other studies (e.g. remediation of contaminated land, or landscape planting) forms an important part of the liaison with other topics. The same is valid for the other topic specialists, who should consider the effects of proposed archaeological mitigation on their topic areas, such as a route option that avoids important archaeological assets but impacts upon significant landscape views or ecologically protected areas.

5.3 Consultation

5.3.1 Chapter 3 of the main Cultural Heritage Topic guidance sets out the nature of consultations with statutory and other stakeholders appropriate for each type of assessment. The national heritage agencies have their own arrangements for the relationships between the statutory consultees and the highway authorities (see Annex 8) and these should always be followed. In England early consideration of English Heritage (EH) views is advised to assist in the identification of matters of national concern.

5.3.2 Detailed Assessments will usually involve consultations with local planning authorities' heritage advisors to discuss any archaeological issues potentially raised by the proposals.

5.3.3 If either, or both, the Historic Buildings and Historic Landscape Sub-Topics were also identified for further investigation by the Scoping Report or the Simple Assessment, then close liaison with the relevant sub-topic specialists would be required. The same may be the case with the Landscape, Townscape, Ecology and Nature Conservation and, if necessary, other topic specialists as well, as there may be significant areas of common interest between them. Consultation with other stakeholders should take account of any specialist

knowledge, and the sensitivity of the archaeological resource. Ongoing consultation with the design engineers is also essential, as early archaeological advice should inform the design process and the proposed design will be critical to the analysis of the data.

5.3.4 Investigations may include consideration of the aspirations of local amenity groups and local residents, as expressed in village plans or similar documents.

5.4 Defining the Study Area

5.4.1 The assessment should define a Study Area appropriate to each scheme, according to the sensitivity of the receiving environment, the potential impacts of the road scheme and the type of assessment. For a new road, if a preferred route were not yet defined, the Study Area may need to include the proposed route corridor plus 500m on either side. Once route options have been identified the Study Area for archaeological remains would usually comprise the scheme options and any new land-take, plus an area extending at least 200m either side of them. Issues of setting may need the consideration of the visual or aural envelope of monuments or even more distant aspects of the asset's surroundings.

5.4.2 In considering an extensive and well-preserved archaeological landscape, of prehistoric ritual monuments for example, the extent of the study should allow predictions to be made of the type, density and location of associated archaeological remains expected within the environs of the scheme and potentially affected by it. Predictions about the archaeological potential of the area may also be derived from the consideration of the historic landscape character units affected by the scheme.

5.5 Gathering data on archaeological remains

5.5.1 The two modes of investigation used to collect archaeological data are desk-based studies and fieldwork. General advice on the procedures is given below, but each scheme needs to be approached individually.

5.6 Desk-based studies

5.6.1 The study should collect relevant information on all significant archaeological remains and their setting, whether designated or not. Designated sites, such as Scheduled Monuments, World Heritage Sites, National Trust Land, Historic Parks and Gardens, Historic Battlefields, and all other designated archaeological sites should be located and assessed for their archaeological potential. If the historic buildings and historic landscape sub-topics are also being studied then the data collected by the respective specialists may be relevant to the understanding of the archaeological potential and should be consulted.

5.6.2 For undesignated sites the most detailed source of information is likely to be the local Sites and Monuments Record/Historic Environment Record (SMR/HER) held by the local planning authority. If the proposed route traverses the territory of more than one planning authority then several SMR/HERs may need to be consulted, and the study should make clear any disparities between the different records, and consider the implications these may have for the assessment.

5.6.3 Access to local SMR/HERs based on a Geographical Information System (GIS) can greatly assist data collection. Similarly, county or regionally based Historic Landscape Characterisation (HLC) or similar studies can help in understanding the archaeological development of an area and the likely survival of archaeological remains. The study should gather data in a manner compatible with the need for subsequent collation and mapping. Where possible and practicable researchers should obtain data in digital form. This will also help in the production of reports where the Overseeing Organisation requires electronic document submission.

5.6.4 To identify the potential for further archaeological remains the assessment may need to consider:

- historic maps to identify any features that do not appear on the SMR/HER. Detailed map regression may be carried out with the aim of identifying potential archaeological features, and former land-use (such as common land) that may have an implication for archaeology;
- aerial photographs and plot soil and cropmarks, if not already incorporated in the SMR/HER data;
- any information collected for the historic landscape and historic building studies, for instance, historic boundaries, settlement foci, historic activities and historic routes;

- relevant books, journals and other published and non-published material to assist an understanding of the overall archaeological potential;
- geological, topographical and hydrological maps, as well as available ground investigation information for details of previous ground disturbance and ground conditions;
- details of previous archaeological excavations in, or relevant to, the Study Area;
- published or unpublished national and regional archaeological research agendas, priorities and frameworks.

5.6.5 The engineering history of the route, where available, may be important for assessing the likely survival of buried archaeological remains, as past construction activities may have affected archaeological survival. The study should ensure that the results of any previous programmes of road-related archaeological investigations are considered. The archaeology topic may be screened out at any stage of the assessment process if it can be demonstrated that previous disturbance of the route has completely removed all archaeological potential. Such a conclusion may need to be tested by field survey.

5.7 Field Survey

5.7.1 Desk based studies may provide sufficient information for the decision making process. Recorded archaeology, however, only represents the known portion of the resource. Road schemes involving ground disturbance have the potential to affect remains whose presence is not yet known. The study should consider the potential for unknown archaeological remains in the light of the known data and the history of the area, and if necessary a programme of field surveys should be prepared to test the conclusions.

5.7.2 The purpose of field survey is to improve the information about the presence or absence, character, extent, date, integrity, quality and state of preservation of remains affected by a scheme. Field survey strategies should be designed to provide sufficient information for the purposes of the assessment. All methods must reflect the nature of archaeological remains likely to be present, and should be reasonable in terms of the scale of the threat, land use, presence of buildings, value for money etc. The availability of access, or the season, or the costs in comparison to the likely benefits, may constrain the methods, timetable or extent of field surveys that can be reasonably undertaken.

5.7.3 Field surveys should be undertaken on the basis of a written scheme of investigation for each survey, approved by the Overseeing Organisation, which clearly sets out the known archaeological data, the justification for the work, and the aims and objectives of the work, related to the proposed scheme.

5.7.4 The Study should always include a walkover survey. The walkover should enable the surveyor to:

- check the condition of visible assets within the Study Area, and record any that have not been previously noted;
- note indications of ground disturbance, made ground, colluvium, alluvium, etc. which might obscure or complicate the ability to detect sites;
- identify sites of palaeo-environmental potential (e.g. dry valleys, stream valleys, upland bogs, lowlands, etc);
- record current land-use and ground conditions;
- locate overhead cables and pylons that could constrain proposals for further work; and
- inform decisions about further field survey techniques to be applied, if necessary.

5.7.5 If further information is required the study will need to consider the range of field survey techniques available, some of which break the ground surface (‘intrusive’), and some of which do not (‘non-intrusive’). The distinction is made because in England and Wales the 1980 *Highways Act* does not include powers to enter and survey land for intrusive archaeological surveys; the same applies in Scotland. The landowner’s permission is required to undertake such surveys before Compulsory Purchase Orders (CPO) transfer ownership of the relevant land to the Secretary of State. In choosing the appropriate survey methods the surveyor will take into account the purpose of the assessment, the existing information, access and cost-effectiveness. There may be compensation issues to consider in the decision. In all cases where an intrusive survey is deemed necessary before a CPO is issued, a formal approach should be made to the landowner and occupier, through the appropriate channels, and the response recorded.

5.7.6 Non-intrusive survey methods include:

- topographical survey;
- geotechnical watching brief;
- geophysical survey; and
- field-walking.

5.7.7 A topographical survey may already have been prepared for the designers, and this may be sufficiently detailed and extensive for archaeological purposes. Engineers and archaeologists should liaise to see if archaeological information requirements can be met through the topographical survey. However, detailed annotation or specialist survey may still be required, for instance in cases where subtle surface indications have escaped the existing survey, or where specialist knowledge is required to recognise their significance. The use of LIDAR, a specialist photographic survey technique, may reveal patterns of micro-relief indicating buried archaeological potential, and in some cases LIDAR resources may already exist as part of the data collected for the scheme design. It will require specialist archaeological analysis and interpretation.

5.7.8 The geotechnical watching brief – the archaeological monitoring of test pits and boreholes carried out primarily for ground investigation purposes – is included as a 'non-intrusive' survey in archaeological terms because geotechnical investigation **can** be undertaken under powers of entry granted by the 1980 *Highways Act* and the *Roads (Scotland) Act* 1984. Archaeological consultants, together with the scheme's geotechnical consultants, should consider whether archaeological interests, as well as geotechnical ones, could be served when planning the location and analysis of test pits or boreholes.

5.7.9 In responsive environments geophysical surveys can locate and show the layout of complex sites through a variety of techniques. Geophysical surveys for archaeological purposes are generally non-intrusive. Although resistivity surveys involve shallow probes this disturbance is so minimal that it is generally ignored. Geophysical surveys may, however, result in crop damage, or be impractical in areas of growing crops. Metal detector surveys may be considered intrusive **or** non-intrusive depending upon the surveyors' response to positive readings – if anomalies are investigated by digging a hole then the survey technically becomes intrusive, but if they are merely recorded and mapped then it is non-intrusive. As with field-walking (see below), there is an issue of finds' ownership if an intrusive metal detector survey is carried out prior to the CPO. In the case of scheduled monuments, any geophysical survey (including the use of a metal detector, as well as other activities) undertaken without Scheduled Monument Consent is a criminal act.

5.7.10 Field-walking involves the systematic examination by archaeologists of the surface of a ploughed fields to collect, record and analyse the artefacts visible on its surface. It is, therefore, only possible where the ground is ploughed and still bare, preferably a little weathered. This usually sets seasonal limits, although sometimes ploughing can be arranged to facilitate the study. The technique can be effective for locating areas of human activities, and indicating their period. It can, however, be misleading in suggesting the presence of sites that do not survive. Field-walking is usually considered to be a non-intrusive technique, because it involves removing artefacts only from the **surface** of the field, not digging below it. However, in England such material belongs to the landowner, and, prior to CPO its removal would require a formal agreement with the landowner regarding its ownership, treatment and ultimate disposal (in Scotland such material belongs to the Crown; see Annex 8). In addition, field-walking could be considered intrusive in that it disturbs the artefact status of the ground in a way that other non-intrusive surveys do not. Each case needs to be considered in the light of the situation on the ground.

5.7.11 Intrusive methods of field survey include:

- borehole/probe/auger survey;
- test-pitting;
- trial trenching.

5.7.12 The study of borehole logs recorded for ground investigation purposes may be sufficient to alert the archaeologist to the palaeo-environmental potential of an area. Archaeologically targeted boreholes, probes and auger surveys are sometimes undertaken to establish the location and character of more or less extensive palaeo-environmental deposits and to assist in geo-archaeological modelling, and detailed palaeo-environmental information is likely to come only from boreholes specifically undertaken for archaeological purposes. They usually differ from geotechnical boreholes in both their depth (usually archaeological boreholes are shallower) and in the analysis of the core samples.

5.7.13 Test pits for archaeological purposes differ from geotechnical ones in that they are usually small (typically 1m x 1m) and normally only penetrate a little below the top of the uppermost archaeologically sterile layer. They are hand dug, and the soil is usually sieved in order to assess the artefact density or character of the topsoil, where this cannot be achieved through field-walking (for instance in permanent pasture). They are unlikely to reveal much about the plan or extent of archaeological sites, except by chance. Like field-walking, the technique can suggest the presence of a buried site or demonstrate remains which exist only in the topsoil. It can also be valuable for establishing the depth of topsoil or overburden in the absence of ground investigation data.

5.7.14 Trial trenching is undertaken to examine a sample area through archaeological excavation, and can be a guide to the presence/absence, condition, period and type of remains. The proportion of the proposal area to be trenched should be chosen on a case-by-case basis, but in studies of areas of known archaeology it has been shown that the optimum percentage is between 5% and 10% of an asset. Trial trenching is good for assessing the location, complexity, character, condition of assets and the quality of artefacts. It is less effective for revealing the layout of buried remains. The timing, location and percentage of the area to be trial trenched should be discussed with consultees and agreed with the Overseeing Organisation.

5.7.15 Strip map and sample is an archaeological mitigation technique that entails stripping extensive areas under archaeological supervision, then planning and selectively excavating significant deposits. It should not be adopted as an alternative to effective evaluation, nor as a form of watching brief where little is known. It is most effective where the information usually sought by evaluation – namely the location, extent, survival and character of archaeological deposits – is already known, and therefore, where further evaluation is redundant, although confirmation by evaluation may be prudent before committing to a strip map and sample programme.

5.7.16 There may be opportunities to investigate the impact of schemes through stripping selected areas of topsoil under archaeological supervision at the start of an earthworks contract. For instance, haul roads may traverse the length of a scheme and expose a narrow window onto the underlying archaeology that can be widened to accommodate full investigations where required. This technique, however, is a variation of the strip map and sample mitigation strategy, and should not be used as an alternative to evaluation, nor should it be confused with a watching brief.

5.8 Assembling the Data

5.8.1 Many schemes will have a long life, and consideration should be given to the collection and presentation of data in a way that can continue to be used and modified at later stages, possibly by different contractors.

5.8.2 The archaeological data should be recorded on maps accompanied by a descriptive gazetteer. The maps will show the location of archaeological remains, possibly on the same maps as historic building and historic landscape data. The presentation should distinguish areas of archaeological potential from known sites.

5.8.3 Detailed data may need to be collated in database or spreadsheet form. The data fields should include appropriate OS grid references, and sites should be categorised in accordance with recognised national data standards. The study should also, where possible, refer to relevant national monument description systems (such as the English Monument Protection Programme Monument Class Descriptions, compiled by English Heritage).

5.9 Analysis

5.9.1 The purpose of the data collection and analysis is to assist the scheme decision-making process. The location, value and vulnerability of the archaeological resource and its setting are the key issues to be examined, and, as far as practicable, sufficient data should be collected to enable conclusions to be drawn with confidence. The study should also identify the risks, both to the scheme and to the archaeology. The analysis should, therefore, be directed to understanding where significant archaeological material may potentially be affected by the scheme, the mitigation that is to be applied, the impact of the scheme and the significance of the effect.

5.10 Evaluating the Archaeological Resource

5.10.1 The analysis of the archaeological data must include an assessment of the value of the resource, including its setting. Designated assets will have a value recognised in their citations, but undesignated assets may match or outstrip these values. The current designated status of archaeological sites and

monuments may not represent their value, or their potential. In addition, archaeological assets may be of uncertain value until tested through further evaluation.

5.10.2 Assessments of value should consider how far the asset(s) contribute to an understanding of the past, through their individual or group qualities, either directly or potentially. This will require a consideration of whether the asset belongs to a group or a subject of study that is of acknowledged importance, and how far it retains the characteristics that can contribute to an understanding of that group or subject, or whether it offers the potential for such understanding. The community that values the asset is a factor to be taken into account. For instance, is it internationally known, or locally valued? Is the asset appreciated by specialists or by a wider public? Is the subject area to which it contributes of major concern or is it a minority matter? These factors need to be balanced, and a reasoned assessment reached in each case.

5.10.3 These are professional judgements, but they should be guided by legislation, national policies, acknowledged standards, designations, criteria and priorities. The study should consider development plans, archaeological research frameworks, characterisation initiatives and current research interests in order to inform the assessment of the value of assets. These should form part of the consideration in setting the Scheme Design Objectives. It is inevitable that these will be subject to change in response to new information and concerns, and the assessment should work with the standards of best practice pertaining at the time of the study.

5.10.4 Government policy requires that an asset's 'setting' is taken into account when considering the effects of development upon it. In the broadest terms the setting of an asset comprises the objects and conditions around it, and within which it is perceived; and in this sense all assets have settings. Not all settings, however, contribute to the value of the assets they encompass. The setting will be a combination of views, other historic features and their relationships to the asset, ambience (topography, vegetation, sound, other sensual experiences) and context (what is known or thought about the asset, but not immediately experienced through the senses).

5.10.5 The criteria taken into account when considering proposals for scheduling can be a useful guide to the value of all archaeological remains, and undesignated sites may be assessed using these factors. The English and Scottish criteria are reproduced in Annex 3. These should not be simply aggregated, but rather treated as factors to be taken into account, bearing in mind the issues noted in paragraphs 5.10.2 – 5.10.4 above.

5.10.6 Procedures such as those used in the Monument Class descriptions prepared for the English Monuments Protection Programme (MPP) can also be useful for assessing the value of different types of monument.

5.10.7 The use of number scoring is not recommended, as this tends to introduce an element of spurious accuracy that can be misleading. The scale of values to be used for archaeological assets is:

- Very High;
- High;
- Medium;
- Low;
- Negligible.

5.10.8 An 'Unknown' value may sometimes be all that can be determined, particularly in the early stages of a project. In these cases there should be an estimate of the risk of there being valuable archaeological remains that could be affected, and how this risk is to be managed.

5.10.9 The 'Very High Value' category is intended for sites of international concern or status, and is expected to be invoked only rarely. More advice on these terms can be found in Section 2, Part 5, Chapter 2.

5.10.10 The following table is a guide for assessing the value of archaeological assets:

Table 5.1

Factors for assessing the value of archaeological assets	
Very High	• World Heritage Sites (including nominated sites). • Assets of acknowledged international importance. • Assets that can contribute significantly to acknowledged international research objectives.
High	• Scheduled Monuments (including proposed sites). • Undesignated assets of schedulable quality and importance. • Assets that can contribute significantly to acknowledged national research objectives.
Medium	• Designated or undesignated assets that contribute to regional research objectives.
Low	• Designated and undesignated assets of local importance. • Assets compromised by poor preservation and/or poor survival of contextual associations. • Assets of limited value, but with potential to contribute to local research objectives.
Negligible	• Assets with very little or no surviving archaeological interest.
Unknown	• The importance of the resource has not been ascertained.

5.11 Mitigation

5.11.1 The impact of a scheme is judged taking into account agreed mitigation measures. Mitigation aims to avoid or lessen the effect of negative impacts on the archaeological resource. Once the presence and value of archaeological remains have been established, or the potential for them, mitigation of any potential impacts on them is an iterative design process, and mitigation measures should be considered at all stages of the design. Cost effectiveness of mitigation in relation to the value of the resource is a factor in establishing an appropriate mitigation programme.

5.11.2 Mitigation strategies should take into account the objectives defined according to Chapter 4 in the main Cultural Heritage Topic guidance. Mitigation measures can be seen as a hierarchy, from 'best' – prevention of impacts at source – to 'worst' – offsetting impacts that cannot be avoided by providing improvements elsewhere. The prevention of potential impacts at source can be achieved by design, through vertical or horizontal alignment. Preservation of archaeological remains **in situ** is usually the option preferred on cultural heritage grounds, but proposals that adopt this option should be monitored to ensure that the measures do actually protect the remains in practice. The reduction of the effects of impacts that cannot be avoided could include the screening of assets. Only for significant remains that cannot be avoided, should the option of archaeological excavation be adopted. In such a case it is the effective investigation, recording, analysis, interpretation and appropriate dissemination of the results which constitutes mitigation – in that it addresses the effect of the scheme, as compared to the destruction of the site without understanding it. Although the site is still destroyed, archaeology is the understanding of our past through the study of material remains, not the remains themselves, so destruction without understanding is the worse option, and effective investigation, analysis and interpretation ameliorates the loss to archaeology. The corollary is that merely recording sites with inadequate analytical and interpretive input, does not constitute mitigation.

5.11.3 The increase of knowledge gained through such an investigation should not normally be counted as a benefit, but should be offset against the loss of the information that would otherwise occur if a site were to be damaged or destroyed unrecorded. Further guidance on archaeological mitigation is given in DMRB Volume 10.

5.11.4 Opportunities may exist to improve the setting of archaeological remains. This could include, for instance, enhancing the appearance by opening archaeological features to view, by improving the view from monuments, by screening or removing existing intrusions or improving the experience of the site in other ways.

5.11.5 Access and amenity may be improved by providing new routes or car parking for visitors to monuments, or by enabling improved management of the archaeological resource as part of road maintenance (e.g. fencing, security coverage, regular inspection and maintenance, trimming vegetation). Schemes to interpret and improve access to monuments, while ensuring that they are protected from damage, can also enhance the value of archaeological assets to the public.

5.12 Assessing Magnitude of Impacts

5.12.1 An impact is defined as a change resulting from the scheme that affects the archaeological resource. The baseline from which this change is measured should be the condition that would prevail in a 'do-nothing' scenario, that is, it should take into account changes that would happen anyway if the scheme was not built (insofar as this can be predicted). Consideration must be given to the types of potential impacts – negative or positive, permanent, temporary, short, medium or long term, constructional or operational, direct and indirect, and cumulative – as set out in Chapter 4 of the main Cultural Heritage Topic guidance. Impacts can be on the physical material of the archaeological remains (loss, damage) or on their setting.

5.12.2 The magnitude of the impact should be assessed taking into account any agreed mitigation. See Annex 8 for assessing magnitude of impact in Wales and Scotland.

5.12.3 Ongoing communication with design engineers regarding the potential sources of impacts of a scheme is essential, although accurate calculations of the area of the scheme may not be available before the detailed design is prepared. The locations of 'off-site' activities such as contractors' compounds, borrow pits, haul roads, soil storage etc. are also frequently undetermined until relatively late in the contractual process. Nevertheless, these factors can be key considerations in assessing archaeological impacts, and designers' estimates of new land-take are needed for each route option as early as possible. In the absence of information about off-site activities, maps should be prepared showing areas of archaeological sensitivity so that these may be avoided during the construction period. Some sources of potential impacts are listed in Table 5.2 below. This list is not exhaustive.

Table 5.2: Sources of Impacts

Stage	Activity	Impacts: negative	Impacts: positive
Ground investigations	Trial pits Boreholes	• removal of archaeological deposits (loss, damage)	
Site clearance	Removal of trees and vegetation	• removal of archaeological deposits (loss, damage) • impact on setting	
	Fencing	• removal of archaeological deposits (loss, damage) • impact on setting	
	Traffic movement	• dust damage to historic monuments • compaction of archaeological deposits	
Road construction	Topsoil removal	• removal of archaeological deposits (loss, damage)	
	Excavations for demolition, drainage, shallow foundations, borrow pits, decontamination etc.	• removal of archaeological deposits (loss, damage) • desiccation of waterlogged archaeological deposits	

Table 5.2: Sources of Impacts (continued)

Stage	Activity	Impacts: negative	Impacts: positive
Road construction (contd)	Construction traffic movement	• collision damage to upstanding monuments from construction traffic • damage through rutting of superficial deposits	
	Siting of construction sites	• compaction of archaeological deposits • removal of archaeological deposits (loss, damage)	
	Piling	• removal of archaeological deposits (loss, damage) • damage caused by changes to hydrology and chemical alteration • vibration causing damage to historic monuments	
	Chemical decontamination	• removal of archaeological deposits (loss, damage)	
	Drainage and recharge	• desiccation of waterlogged archaeological deposits • change of chemical conditions/regime • removal of archaeological deposits (loss, damage)	
	Landscaping Earth-mounding	• removal of archaeological deposits (loss, damage) • compaction of archaeological deposits • impact on setting of historic monuments	Screening improving setting
	Spoil disposal	• impact on setting of historic monuments • compaction of archaeological deposits • removal of archaeological deposits through topsoil stripping of storage areas	
	Pollution	• damage to assets by pollutants	
	Structures, Installation features (bridges, signage, fencing etc.)	• removal of archaeological deposits (loss, damage) • impact on setting of historic monuments	
	Installation of lighting scheme	• removal of archaeological deposits (loss, damage) • impact on setting of assets	Improvement of lighting ambience
	Road alignment	• impact on setting of assets • severance causing dereliction or neglect of historic monuments or reduction of group value	Removal of traffic from sensitive areas
	Planting	• removal archaeological deposits (loss, damage • damage to archaeological deposits through root action • impact on setting of assets	Screening of assets

Table 5.2: Sources of Impacts (continued)

Stage	Activity	Impacts: negative	Impacts: positive
Operational	Maintenance of drainage ditches	• removal of archaeological deposits (loss, damage)	
	Lighting	• impact on setting of assets	Improvement of lighting ambience
	Traffic movement	• damage to assets by pollutants • noise intrusion	
	Maintenance	• damage to assets	Arrest of erosion or deterioration
Other Environmental Mitigation (not exhaustive)	Ecological pond creation	• removal of archaeological deposits (loss, damage)	
	Landscape planting Other screening	• removal of archaeological deposits (loss, damage)	Screening of assets
	Noise reduction panelling	• impact on setting of assets • removal of archaeological deposits (loss, damage)	

5.12.4 The magnitude of the impact is assessed without regard to the value of the resource, so the total destruction of a Low Value site is the same magnitude of impact as the destruction of a scheduled monument. The value of the asset is subsequently factored-in to calculate the significance of the effect (see paragraph 5.13).

5.12.5 The judgement of the magnitude of an impact should be based on the principle that physical preservation is preferred. The worst impact (archaeologically) would usually be the physical destruction of the archaeological resource. Other types of impact, such as an impact on setting, need to be ranked in relation to this, and the relationship explicitly described.

5.12.6 It may be possible to assess physical impacts in terms of percentage loss for some types of asset, for instance, extensive homogenous deposits, but complex sites will almost certainly require more sophisticated criteria, taking into account the capacity of the asset to retain its character (whatever that might be) after sustaining the damage.

5.12.7 The assessment of the impact on the setting of archaeological assets should study how changes in the environs of a cultural heritage asset would affect that asset. This issue is discussed generally in the main text in paragraphs 4.19 – 4.27 and the principles are summarised below:

- an asset's setting is its **relevant** surroundings;
- settings have **physical factors** which can be changed by a scheme, but it is the effect these changes have on the perception of the asset that is assessed;
- **context** is an aspect of setting where a relevant aspect of knowledge, belief or relationships may not be visible (or audible) at the site;
- **professional judgement** is required, using criteria measured against the scheme's Cultural Heritage Design Objectives.

5.12.8 This will mean considering the factors that comprise the setting – for example, views, topography, structures, vegetation, sound environment, approaches, context – and how the impact of the scheme on them affects the asset of which they form the setting. Liaison with the Landscape and Noise Topic specialists may be important in identifying the sources of some impacts.

5.12.9 Context is a component of setting. Context embraces any relationship between a place and other places. It can be, for example, temporal, functional, intellectual or political, as well as visual, so any one place can have a multi-layered context. The range of contextual relationships of a place will normally emerge from an understanding of its origins and evolution. Understanding context is particularly relevant to assessing whether a place has greater value for being part of a larger entity or group.

5.12.10 There is currently (2007) no generally recognised procedure for establishing impacts on setting. For the purposes of this guidance government policy and, where relevant, the cultural heritage objectives set out in the Scheme Design, informs the weight given to matters of setting (including context), taking account of the contribution of the asset and its setting to the quality and understanding of the country's cultural heritage resource.

5.12.11 The contribution of an asset's setting to its character will vary from case to case, and the assessment of how far the change to the setting is an element in the impact as a result of a scheme will also vary. For instance the setting of a stone circle in open country, with views to the horizon where possible prehistoric astronomical markers are visible, could be affected by a new road on an embankment hundreds of metres away if it were to obscure the horizon and compromise the astronomical aspect of the monument. In such a case the horizon is part of the setting that contributes to the understanding and character of the asset, and the loss of this part of its setting could be a significant impact. In another case, a similar stone circle in a modern Forestry Commission pine plantation could have a setting that contributes little to the understanding or character of the asset. The introduction of a new road nearby could dramatically change the setting and introduce a new source of noise and visual distraction, but the impact on the character of the monument could be less than would be the case in the first example.

5.12.12 The study should also assess the impact on the archaeological resource as a result of changes in access. For instance, if the scheme changes the previous use of, or access to, an archaeological asset so that it becomes more liable to vandalism or erosion then that would be an negative impact. Alternatively, opening up a previously inaccessible site could promote moves for its better management, and lead to a positive impact. Improved opportunities for the appreciation of archaeological features, such as information boards in lay-bys near monuments, new access or signage to describe or explain features, could also be positive impacts. Changes that may involve archaeological remains but that do not result in changes to the archaeological character of assets may be more appropriately a subject for the Community and Private Assets Topic. Discussions between the appropriate Topic Specialists should ensure that the issue is properly considered.

5.12.13 The scale of the magnitude of impacts is:

- Major;
- Moderate;
- Minor Adverse;
- Negligible;
- No Change.

5.12.14 The factors to be considered in the assessment of the magnitude of impact are set out in Table 5.3. It does not set out a prescription for ranking, as each scheme assessment must establish the magnitude of the impact caused by these factors on a site by site basis, and the weighting to be accorded to each of them. Further advice is contained in Section 2, Part 5, Chapter 2.

Table 5.3: Factors in the Assessment of the Magnitude of Impact

Factors in the Assessment of Magnitude of Impacts	
Major	Change to most or all key archaeological materials, such that the resource is totally altered. Comprehensive changes to setting.
Moderate	Changes to many key archaeological materials, such that the resource is clearly modified. Considerable changes to setting that affect the character of the asset.
Minor	Changes to key archaeological materials, such that the asset is slightly altered. Slight changes to setting.
Negligible	Very minor changes to archaeological materials, or setting.
No Change	No change.

5.13 Assessing the Significance of Effects

5.13.1 Assessing the **significance of the effects** of the scheme combines the **value** of the resource and the **magnitude of the impact** (incorporating the agreed **mitigation** in England), for each cultural heritage asset.

5.13.2 The significance of effect should be expressed on the following scale:

- Very Large;
- Large;
- Moderate;
- Slight;
- Neutral.

5.13.3 Table 5.4 illustrates how information on the Value of the asset and the Magnitude of Impact are combined to arrive at an assessment of the Significance of Effect. The matrix is not intended to 'mechanise' judgement of the significance of effect but act as a check to ensure that judgements regarding value, magnitude of impact and significance of effect are reasonable and balanced. If the matrix indicates a significance of effect that is clearly unreasonable, then the value and impact decisions should be revisited to ensure that they are justifiable.

Table 5.4: Significance of Effects Matrix

VALUE/SENSITIVITY						
	Very High	Neutral	Slight	Moderate/ Large	Large or Very Large	Very Large
	High	Neutral	Slight	Moderate/ Slight	Moderate/ Large	Large/Very Large
	Medium	Neutral	Neutral/ Slight	Slight	Moderate	Moderate/ Large
	Low	Neutral	Neutral/ Slight	Neutral/ Slight	Slight	Slight/ Moderate
	Negligible	Neutral	Neutral	Neutral/ Slight	Neutral/ Slight	Slight
		No change	**Negligible**	**Minor**	**Moderate**	**Major**
		MAGNITUDE OF IMPACT				

5.14 Assessing Significance of Effects on the Overall Cultural Heritage Resource

5.14.1 It will be necessary to provide an overview of the significance of the effect on the combined cultural heritage resource (archaeological remains, historic buildings and historic landscapes) over the scheme as a whole. For Environmental Statements it is not necessary to reduce this assessment to a single overall score (as it is in Appraisal Summary Tables), but the effects on individual assets in each sub-topic should be discussed, and their relative significance considered. The intention is that the ranking of value, impact and significance should be comparable across the sub-topics, so that their relative contribution to the overall assessment is reasonably transparent.

5.14.2 For an individual cultural heritage asset there may be differing degrees of effect related to each sub-topic. An historic structure in an industrial landscape may be more important in the historic landscape assessment than its relevance to archaeology. In these cases the highest reading should be taken as the significance of effect for that asset, and it should not be 'double counted'.

5.14.3 If all the effects on all assets were adverse then the highest Significance of Effect reading will also normally be taken to be the overall cultural heritage effect, but judgement should be exercised to ensure that this does not distort the assessment. A scheme with wholly beneficial effects, however, would not necessarily be assessed at the highest beneficial reading, a precautionary attitude should be adopted so as not to overstate benefits. Again, judgement is necessary.

5.14.4 If there are adverse **and** beneficial effects these will need to be brought out in the assessment, not obscured by balancing them off against one another. If there are both adverse and beneficial effects they should be recorded separately. For example, a bypass proposal with a Moderate Beneficial Effect on the cultural heritage assets in a town centre, might also have a Moderate Adverse Effect on rural archaeological sites. If these were offset against one another to produce a neutral assessment score this would be misleading. An alternative route with no adverse or beneficial effects, or one with different "balancing" effects, would also have Neutral scores, but clearly the schemes would not be **equivalent** in their effect on the cultural heritage resource. The effects of the different options should be described in the text, to make the differences clear.

5.15 Reporting

5.15.1 Guidance on reporting for Simple and Detailed Assessment is given in Chapter 6 of the main Cultural Heritage Topic guidance.

5.15.2 Dissemination requirements may not be determined in detail until the archaeological investigation has been completed and the results assessed. However, the predicted scale of, and approach to, post-fieldwork processing and the dissemination of the results must be established, and costed, in all proposals for fieldwork, bearing in mind that some schemes may not progress beyond the survey stage. The individual circumstances of the scheme should be taken into account so that the Cultural Heritage Design and mitigation strategy are formulated with its ends products – information to inform decision making and full and effective reporting, including post-excavation work – clearly in mind.

ANNEX 6 CULTURAL HERITAGE SUB-TOPIC GUIDANCE: HISTORIC BUILDINGS

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6.15 Reporting

6.1 Introduction

6.1.1 This section is intended to provide freestanding detailed guidance, methods and sources of information, which are specific to the Detailed Assessment of historic buildings. Procedures for Scoping and Simple Assessment for all Cultural Heritage Sub-Topics can be found in the main Cultural Heritage Topic guidance. Guidance on assessing archaeological remains and historic landscapes is contained in Annexes 5 and 7 respectively.

6.1.2 Historic buildings form part of the overall cultural heritage resource and there is a continuum linking the three cultural heritage sub-topics. For the purposes of this guidance historic buildings are distinguished from archaeological remains and historic landscapes, and defined as standing historic structures that are usually formally designed or have some architectural presence. The study of their design, construction, history and functions is generally the subject of historic buildings specialists. Some aspects of them may need to be elucidated using archaeological techniques, deployed in the service of historic building studies. If buildings are demolished, collapse or decay they may form the materials studied by archaeologists, and as they exist within the landscape they are elements in historic landscape studies.

6.1.3 Historic buildings may be of interest for many reasons. Their design or aesthetic character may be significant, their fabric may contain physical evidence of earlier phases or technologies, or the land beneath them may contain archaeological deposits, or they may be of historic significance by virtue of their role in historic events or processes. Buildings may be of historic significance because of their architectural quality, character, age or association with historic figures. Historic buildings comprise a wide range of buildings and structures, including dwellings, defences, industrial buildings, places of worship, and individual items ranging from tombs and railings to paving and milestones.

6.1.4 Historic buildings in the United Kingdom may date from the Roman period to the late 20th century, although the earliest examples are usually reduced to archaeological remains. Buildings may be recognised as being of special architectural or historic interest and be protected by statutory listing, and some may be Scheduled Monuments, or form part of historic designed landscapes. Some protection is given to buildings within the curtilage of a listed building, or by virtue of their location within a Conservation Area. However, many other important structures are not designated or protected by legislation or through the planning system.

6.1.5 The devolved administrations' procedures are set out in Annex 8. Any departures from government guidance and standards should always be discussed with the relevant government heritage agencies, and approved by the Overseeing Organisation.

6.2 The Assessment Process

6.2.1 The detail of the assessment will depend on the stage in scheme delivery, and the nature of information required at a particular stage in the design process. Chapter 3 of the main Cultural Heritage Topic guidance sets out the framework for determining the appropriate type of assessment. Further advice is contained in Section 2, Part 2.

6.2.2 The Detailed Assessment will need to review the data obtained for the Simple Assessment, and consider the need to research more detailed or specialist sources or undertake fieldwork. A higher degree of detail in the evaluation and analysis is normally required in Detailed Assessments, in cases where it is necessary to identify significant constraints, to obtain reliable indications of historic potential, potential impacts and their mitigation, the impact of the scheme and the significance of any effect.

6.2.3 Predicting the implications for historic buildings of mitigation proposed by other studies (e.g. remediation of contaminated land, or landscape planting) forms an important part of the liaison with other topics. The same is valid for the other topic specialists, who should consider how the proposed mitigation of impacts on historic buildings would impinge on their topic areas.

6.3 Consultation

6.3.1 Early consultation with national heritage agencies is important to assist in the identification of key areas of study. It is not normally expected that detailed local research would be undertaken for Scoping, but, with the agreement of the Overseeing Organisation, early contact with key non-statutory consultees is recommended. For Simple and Detailed Assessments, discussions with local planning authorities' advisors will be necessary for identifying historic building issues potentially affected by the scheme. Early consideration of statutory advisors' and stakeholders' views may avoid unnecessary assessment work and help identify key areas of interest.

6.3.2 The need for discussions with other interested parties, such as local historic buildings groups or national specialist groups, should be judged in the light of the type of the impact, the sensitivity of historic buildings as an issue, and the importance of particular historic structures affected by the scheme.

6.3.3 If either, or both, the Archaeological Remains and Historic Landscape Sub-Topics were identified for further investigation in the Scoping Report, then close liaison with the relevant sub-topic specialists would be required. The same may be the case with the Landscape. Townscape, and other Topic specialists, as there may be significant areas of common interest between them. Ongoing consultation with the design engineers is also essential, as early advice should inform the design process and the proposed design will be critical to the analysis of the data.

6.4 Defining the Study Area

6.4.1 Historic building studies will need a Study Area defined according to the sensitivity of the receiving environment, the potential impacts of the road scheme, and the type of assessment. Impacts on historic buildings may be restricted to assets within the visual envelope of the proposed works or those immediately adjacent, but the wider Historic Landscape Sub-Topic Study Area may be relevant in order to provide further information relating to setting, and liaison with the Historic Landscape sub-topic specialist should be sought.

6.5 Gathering Data on Historic Buildings

6.5.1 The amount of work required at the data gathering stage for the Detailed Assessment of historic buildings is dependent on the type and scale of the proposal, in particular the extent of new land-take, the types of impacts expected, and the character of the historic environment affected. At all phases of an assessment, consideration should be given to the most cost-effective approach to data gathering, under the particular circumstances of the scheme.

6.6 Desk-based Studies

6.6.1 Listed Buildings can be identified from the statutory lists and supplements issued by the Secretary of State in England and the devolved administrations' ministers, and from the mapping held by statutory advisors and planning authorities. A parish or group of parishes may also arrange lists.

6.6.2 Some planning authorities in England maintain 'local lists' of buildings that were once listed or were considered for listing but are not statutorily designated. Designations relating to the built environment, such as Conservation Areas, should be identified, together with any studies that have been undertaken for them. Some Scheduled Monuments are also listed historic buildings, but other important structures may not be included on the statutory lists, and these should also be identified. In particular, the study should be aware of emerging areas of historic significance, such as late 20th century structures, where designation may not fully represent their historic status. Many of these may be road transport related, and so be of particular interest but also at particular risk.

6.6.3 A map regression from recent OS mapping back to first edition 25" or 6" maps may be undertaken to confirm the existence and form of listed buildings, and identify other buildings that may survive from the 19th century that can then be inspected by fieldwork. The examination of printed historic maps and manuscript maps, such as tithe maps and estate maps to be found in national and local collections, may also be important in order to locate known buildings and reveal the existence of others that can be checked in the field for any potential interest. Sites and Monuments Record/ Historic Environment Record (SMR/HER) data held by planning authorities may include listed and other historic buildings and structures.

6.6.4 Published accounts of buildings may exist in national and regional guides (e.g. the *Buildings of England* series, or the *Victoria County History*), while for important buildings there may be detailed published accounts in monographs or specialist journals or periodicals. These may be held in local history libraries, or located through local or national bibliographies. Conservation or Management Plans for buildings or sites may contain valuable assessments and statements of importance, while for Conservation Areas character appraisals commissioned by Local Authorities may contain specific references to individual historic buildings.

6.6.5 There may be photographs or measured surveys of buildings in national buildings records (such as the English National Monument Record (NMR) or the RIBA library), or the local SMR/HER, or deposited in local authority building records. National and local museums, art collections, libraries and record offices may hold important visual sources of lost building features, such as old photographs and topographical drawings. Measured drawings for some buildings or structures (especially those commissioned by public

bodies e.g. railways and public buildings) may be deposited with planning authorities for purposes of building control.

6.6.6 In areas that possess them, planning authority Geographical Information System (GIS)-based SMR/ HER systems and/or historic landscape characterisation schemes can greatly assist the early stages of assessment. Detailed data may be readily obtainable for the whole study area, without duplicating work. In Scotland map-based data is available on PASTMAP (see Annex 8).

6.6.7 The wider context of regional building character (e.g. timber framing, or farm buildings) may be provided by published regional studies of buildings and building types, or by publications on individual buildings. On-line bibliographies and databases (e.g. NMR images of English listed buildings) may be of use.

6.6.8 All data should be gathered in a manner compatible with detailed collation and mapping. Where possible data should be obtained from sources in digital form to avoid unnecessary manual data input and manipulation. If either or both the Historic Landscape or Archaeological Remains Sub-Topics are included in the scope of the assessment the specialists should co-ordinate their researches to avoid duplicated effort.

6.7 Field Survey

6.7.1 Desk-based studies may provide sufficient information without new field surveys, and field survey will not normally be undertaken for Scoping and Simple Assessments. Some schemes have the potential, however, to affect historic buildings whose presence, character, extent, complexity and importance may not yet be known.

6.7.2 The study should consider the risk of an impact on potentially valuable historic buildings in the light of the known data and the history of the area. Detailed inspection and investigation, including the condition of the structure and fabric of buildings, may be necessary where a high degree of certainty is required about the age or significance of a building, or to assess the impact of a scheme or to inform mitigation measures, where these aspects are not apparent from documentary and visual research. If necessary a programme of field surveys should be prepared to test the conclusions, and the services of structural engineers or specialist buildings surveyors may be required to complement the historical studies.

6.7.3 The purpose of field survey is to provide the information about the presence or absence, character, extent, date, integrity, quality and state of preservation of buildings. Field survey, combined with documentary research, should be sufficient to enable decisions to be made confidently regarding the effects of a proposal. Field survey strategies should be designed to provide sufficient information for the purposes of the assessment. The effectiveness of the available techniques for this purpose should be judged in relation to the buildings under consideration and the scheme proposals. The availability of access may constrain the methods, timetable or extent of field survey (see Chapter 3 of main Cultural Heritage Topic guidance).

6.7.4 Field surveys should be undertaken on the basis of a written scheme of investigation, approved by the Overseeing Organisation, which clearly sets out the known data, the justification for the work, and the aims and objectives of the work, related to the proposed scheme. National advice on the conduct of building surveys (such as the Royal Commission on Historic Monuments (England) Guidelines) should be followed where appropriate.

6.7.5 A walkover survey should enable the surveyor to check the condition of historic structures within the study area, record any that have not been previously noted and inform decisions about further field survey techniques to be applied, if appropriate.

6.7.6 If further information is required the study will need to consider the range of field survey techniques available, some of which affect the fabric of the structure, some of which may require access onto private property, and others that can be undertaken from locations accessible to the public. In the choice of methods the surveyor will take into account the purpose of the assessment, the existing information, access and cost-effectiveness. In all cases a formal approach should be made to the landowner and occupier through the Overseeing Organisation.

6.7.7 Survey methods may include photographic survey, measured survey, remote sensing, investigations involving sample taking (such as dendrochronology), and the physical removal of accretions/alterations to reveal earlier features.

6.7.8 Field survey could involve internal inspection of key buildings and close external inspection of others. This survey may confirm the identification of unlisted historic buildings of sufficient importance to be included in the data. The assessment of setting issues should also be undertaken at this time.

6.7.9 The more detailed field investigation of buildings may involve looking inside roof-spaces to gather information on the age or importance of the building. Consideration should be given to the use of non-intrusive measures such as remote sensing to find timber framing or other obscured features. In some cases it may be advisable to avoid uncertainty by more intrusive inspection of fabric, such as the removal of plaster to expose the wall structure, or the sampling of timber for tree ring dating.

6.7.10 All inspections and investigations undertaken before Compulsory Purchase Orders (CPOs) that involve access onto private property or have a physical impact on the fabric of a structure must have the owners' permission, and be approved by the Overseeing Organisation. If the building is listed then all intrusive investigations must have prior listed building consent, whether or not the building has been the subject of a CPO.

6.8 Assembling the Data

6.8.1 The baseline data on historic buildings should be presented through maps and gazetteers. Mapping will be used to show the location of listed and other historic buildings. Typically the base map will be at a scale of 1:10,000 (OS based), though a larger scale may be required for a detailed appreciation of built-up areas. Historic areas such as Conservation Areas, and areas occupied or once occupied by significant numbers of buildings (e.g. dense settlement or industrial activity) may also need to be shown at a larger scale. Where large numbers of listed buildings occur on the edge of the study area or within a Conservation Area it may be appropriate to show them indicatively as a group.

6.8.2 The gazetteer will include the address and grid reference of each building, a short description of its building type, materials and date (the name of the architect may be included if relevant and known). The designation or any assessment of importance should be included (e.g. Category A listed (Scotland); unlisted building in Conservation Area, in curtilage of listed building; historic building of local interest etc.).

6.8.3 Many schemes will have a long life, and the study should collect and present the data in a way that can continue to be used and modified at later stages, if necessary by other contractors or specialists.

6.9 Analysis

6.9.1 The purpose of the analysis is to assist the scheme decision-making process. The location, value and vulnerability of the resource in relation to the proposals are the key issues to be examined, and, as far as practicable, sufficient data should be collected to enable confident conclusions to be drawn. The study should also clearly identify the risks, both to the scheme and to historic buildings. The analysis should therefore be directed to understanding where significant historic buildings may be affected by the scheme, the nature of the impacts, and the mitigation that would need to be applied.

6.10 Evaluating Historic Buildings

6.10.1 Analysis of the data must include an assessment of the value of the resource. The Design Objectives will set out the framework for establishing values. Designations will assist in this analysis, but undesignated buildings should be fully considered. The current designation status of buildings may not fully represent their value, or their potential, and some of the resource may be of uncertain value until tested through further evaluation. The study should consider research frameworks, characterisation initiatives and current research interests in order to assess the value of buildings or building types.

6.10.2 The scale of values to be used for each historic building is set out below:

- Very High;
- High;
- Medium;
- Low;
- Negligible.

6.10.3 An 'Unknown' value may sometimes be all that can be determined, particularly in the early stages of a project. In these cases there should be an estimate of the risk of there being valuable historic buildings that could be affected, and how this risk is to be managed. The 'Very High Value' category is intended for buildings of international concern or status, and is expected to be invoked only rarely. More advice on these terms can be found in Section 2, Part 5, Chapter 2.

6.10.4 These terms are intentionally qualitative rather than quantitative as numerical scores can give a misleading impression of precision. The assessment of buildings can usefully follow the Listed Building grades. As a guide, English and Welsh Grades I and II* (Scotland's Category A) would be 'high value', and Grade II (Scotland's Category B) buildings would be 'medium value'. Locally listed buildings (Scotland's Category C(S)) and other identified historic buildings and structures would normally be of 'low value'. The following table is a guide for evaluating the value of historic buildings:

Table 6.1: Guide for Establishing Value of Historic Buildings

Criteria for Establishing Value of Historic Buildings	
Very High	• Structures inscribed as of universal importance as World Heritage Sites. • Other buildings of recognised international importance.
High	• Scheduled Monuments with standing remains. • Grade I and Grade II* (Scotland: Category A) Listed Buildings. • Other listed buildings that can be shown to have exceptional qualities in their fabric or historical associations not adequately reflected in the listing grade. • Conservation Areas containing very important buildings. • Undesignated structures of clear national importance.
Medium	• Grade II (Scotland: Category B) Listed Buildings. • Historic (unlisted) buildings that can be shown to have exceptional qualities in their fabric or historical associations. • Conservation Areas containing buildings that contribute significantly to its historic character. • Historic Townscape or built-up areas with important historic integrity in their buildings, or built settings (e.g. including street furniture and other structures).
Low	• 'Locally Listed' buildings (Scotland Category C(S) Listed Buildings). • Historic (unlisted) buildings of modest quality in their fabric or historical association. • Historic Townscape or built-up areas of limited historic integrity in their buildings, or built settings (e.g. including street furniture and other structures).
Negligible	• Buildings of no architectural or historical note; buildings of an intrusive character.
Unknown	• Buildings with some hidden (i.e. inaccessible) potential for historic significance.

6.10.5 This guide is not intended to be prescriptive, professional judgement will need to be exercised in assessing the value of historic buildings. As a further guide, in England the main factors used by the Secretary of State in deciding which buildings to include on the statutory list are as follows:

- **architectural interest**: the lists are meant to include all buildings which are of importance to the nation for the interest of their architectural design, decoration, and craftsmanship; also important examples of particular building types and techniques (e.g. buildings displaying technological innovation or virtuosity) and significant plan forms;
- **historic interest**: this includes buildings which illustrate important aspects of the nation's social, economic, cultural, or military history;
- **close historical association**: with nationally important people or events;
- **group value**: especially where buildings comprise an important architectural or historic unity or a fine example of planning (e.g. squares, terraces or model villages).

6.10.6 Age and rarity are relevant factors, and in general (where surviving in anything like their original

condition) all buildings built before 1700 are listed, most from between 1700 to 1840, selectively from 1840 to 1914, and more selectively thereafter. Special criteria have been developed for 20th-century buildings. The principles of these criteria can be used for evaluating unlisted historic buildings (see Annex 8 for Scottish guidance related to the age of buildings).

6.10.7 Buildings may be valued by communities and special interest groups for a number of reasons, perhaps most often for their historical association (with local people and events) or their historic role in the community (e.g. schools or public houses).

6.10.8 Buildings may have associations with, and importance for, other Cultural Heritage Sub-Topic areas, for instance: Historic Landscape for houses built around former commons, or Archaeological Remains for standing buildings on historic sites.

6.10.9 Other Topic areas may also be relevant. Historic buildings in Conservation Areas may feature in the Townscape Topic, and the Landscape Topic will consider historic houses, and the Historic Building Sub-Topic specialist should liaise with the specialists undertaking the studies for these topics.

6.11 Mitigation

6.11.1 Assessment and design are parts of an iterative process, which together should lead to mitigation measures where possible. Mitigation should aim to avoid or lessen a negative impact on the heritage resource. Mitigation strategies should take into account the design objectives defined according to Chapter 4 in the main Cultural Heritage Topic guidance.

6.11.2 For historic buildings, as with archaeological remains, there is a general presumption in favour of preservation in situ. However, in some schemes a degree of impact may be unavoidable and there may be circumstances in which preservation is not possible and a programme of investigation and recording prior to removal is required in mitigation.

6.11.3 Important historic buildings should be avoided if reasonably possible, taking into account the value of the structure, the scheme and cost effectiveness. The loss of listed buildings is not envisaged in the legislation or guidance but may, exceptionally, become necessary. Such cases should be fully justified. There is a range of options for mitigating the loss of historic buildings, all of which have been used in recent years. These include:

- moving the entire building;
- rebuilding for re-use (commercial/domestic);
- rebuilding as a museum exhibit;
- partial recovery of historic fabric for museum use;
- recording prior to demolition or damage.

6.11.4 In all these cases the end use should be established prior to demolition, since the placing of buildings in storage has been shown to be an insecure option frequently leading to loss. The nature of the end use also has a bearing on the amount of recording that is necessary.

6.11.5 Where significant buildings will be lost, their importance must be established before and investigated during demolition by survey and a programme of recording at an appropriate level. This may range from summary recording by photography and basic plans, through fuller investigation and measured record, to full physical examination of structures during demolition, involving investigation, recording, analysis, interpretation and publication. The aims and objectives of undertaking detailed studies must be clearly understood and stated, so that resources can be effectively prioritised across the scheme.

6.11.6 Opportunities may exist to improve the setting of buildings. The setting is taken to mean the environs of a building which contribute to its character, and as such a setting may be relatively restricted or may be very extensive. The setting of a building is not confined to its original surroundings, such as an agricultural scene or streetscape, but can include subsequent developments unrelated to the original intentions of the builder, which give the current frame of reference. Improvements to setting could include opening features to view, or by improving the view from historic buildings by screening, down-grading or removing intrusive developments. In some cases the opportunities for rearrangement of landholdings may enable the setting of a building to be enhanced.

6.11.7 The primary mitigation measures will respond to the potential impacts of the scheme, but as the design develops further potential impacts may arise from mitigation measures related to other topics. Changes that affect the character of listed buildings (e.g. installation of new glazing) will in any case require listed building consent. It is therefore essential for the Historic Building Sub-Topic specialist to be aware of,

and if necessary involved in, these continuing design processes.

6.12 Assessing Magnitude of Impacts

6.12.1 An impact is defined as a change arising from the scheme that would affect the historic building resource. The baseline from which this change is measured should take into account changes that would occur anyway, if the scheme were not built (the 'do-nothing scenario'). Consideration must be given to the types of potential impacts – negative or positive, constructional or operational, direct or indirect, permanent or temporary, short, medium or long term, and cumulative – as set out in Chapter 4 of the main Cultural Heritage Topic guidance.

6.12.2 Ongoing communication with design engineers regarding the potential impacts of a scheme is essential. Accurate calculations of the area of direct scheme impact are rarely available before the detailed design is prepared. The location and design of 'off-site' activities, such as site compounds, borrow pits, haul roads etc, are also frequently undetermined until relatively late in the contractual process. Nevertheless, these may be a key consideration in assessing impacts, and designers' estimates of new land-take and the location, scale and design of off-site features are needed for schemes as early as possible. In the absence of information about the location of off-site activities maps should be prepared showing where such activities should not be sited if possible.

6.12.3 Obvious examples of settings that enhance the value of archaeological assets are the parks and gardens surrounding many historic country houses, designed or evolved over time to show off the particular character of the house. Possibly less obviously, the industrial surroundings of an historic workshop, for instance, can be integral to its appreciation, even in a state of dereliction.

6.12.4 Sources of potential impacts are listed in Table 6.2. This list is not exhaustive.

Table 6.2: Sources of Impacts

	Activity	Impact: adverse	Impact: beneficial
Site clearance	Removal of trees and vegetation	• damage to setting of historic buildings	Re-establishment of historic setting
	Fencing	• intrusion on setting	
Road construction	Demolition, drainage, shallow foundations, piling borrow pits, decontamination etc.	• damage to building fabric • effect on setting • vibration from piling: damage to historic structures	
	Landscaping/ earth mounding	• visual and noise intrusion on setting	Re-establishing historic setting Screening of intrusive elements

Table 6.2: Sources of Impacts (continued)

	Activity	Impact: adverse	Impact: beneficial
Road construction (contd)	Spoil disposal	• visual and noise intrusion on setting	Re-establishment of historic setting Indirect: screening of intrusive elements
	Structures, Installation features (bridges, signage, fencing etc.)	• visual and noise intrusion on setting	
	Installation of lighting scheme	• visual and noise intrusion on setting	Improved lighting systems can impact less on night time scene
	Road alignment	• demolition of or damage to historic buildings • severance causing dereliction or neglect of historic buildings • visual and noise intrusion on setting	Re-instatement of historic setting
Operational	Planting	• visual and noise intrusion on setting	Re-establishment of historic setting Screening of intrusive elements
	Traffic movement	• visual and noise intrusion on setting	
	Maintenance	• repairs to, or alteration of historic buildings	
Other Environmental Mitigation	Topsoil stripping	• damage to setting	
	Screen planting Other screening	• visual and noise intrusion on setting	Re-establishment setting screening of intrusive elements
	Noise reduction panelling	• visual and noise intrusion on setting	
	Noise reduction glazing	• visual and noise intrusion on setting	

6.12.5 The magnitude of the impact is assessed without regard to the value of the resource, so the total destruction of an insignificant building counts as the same degree of impact as the destruction of a high value building. The value of the asset is factored-in later to calculate the significance of the effect.

6.12.6 The judgment of the magnitude of an impact should be based on the overriding principle that the physical preservation of historic material and the setting is normally the best strategy. The worst impact would normally be the total destruction of the asset. The assessments of the magnitude of impacts on historic buildings and their settings need to be ranked in relation to this range of possibilities.

6.12.7 The quantitative assessment of vibration and noise impacts will derive from specialist studies in those topics (requiring consultation and data exchange with other consultants). Even where these impacts are calculated to be low it may be necessary to consider the cultural heritage effects of mitigation measures related to them (e.g. double glazing, secondary noise insulation).

6.12.8 The following scale of the magnitude of impacts should be used:

- Major;
- Moderate;
- Minor;
- Negligible;
- No change.

6.12.9 Impacts can be on the physical material of the building, or on its setting, or on amenity, or any combination of these elements. It may be possible to assess physical impacts in terms of percentage loss for simple structures, but most assessments will require more sophisticated criteria, taking into account the capacity of the structure to retain its historic interest after sustaining the damage.

6.12.10 Historic buildings not physically affected by a project may nonetheless experience impacts from changes to their settings. The setting of an historic building comprises its surroundings, and therefore all buildings have a setting. An assessment of the impact on the building includes the way its character would be changed by alterations to its surroundings caused by the project. This will mean considering the factors that contribute to the setting – including views, topography, structures, vegetation, sound environment, approaches, context – and how changes to these factors caused by the scheme affect the asset they encompass.

6.12.11 Most of these factors are self evident, but 'approaches' and 'context' may need further explanation. 'Approaches' refers to what people experience as they travel to the asset, usually as they near it, and can take into account the sequence of views, the character of the surroundings etc. 'Context' is applied to the knowledge about an asset that is not visible at the site, for instance the former extent of an abbey whose parent church still stands, but where the location of the buried cloister garth is now only known from published excavated evidence. A proposal which impinged upon this cloister area could compromise the ability to understand the abbey church (it may also, of course, have a physical impact on the archaeological remains of the cloister, and that impact would be considered within the Archaeological Remains Sub-topic). In another example, a proposed new dual carriageway might divide a manor house from its associated village, and although neither may be visible from the proposed road nor from one another, and the proposal might not affect any historic structures physically, it could nonetheless make it more difficult to appreciate their historic relationship.

6.12.12 Impacts on setting may be, in theory at least, reversible, and do not destroy the material of the resource itself. The study should explicitly describe and explain the weighting given to impacts on setting.

6.12.13 The Historic Building Sub-Topic assessment of impacts on the resource as a result of changes in amenity should consider the changes at the asset and changes to people's experience of the historical character of the asset. For instance, if the scheme changes the previous use of, or access to, an historic structure so that it becomes more liable to vandalism or erosion, then that would be a negative impact. Alternatively, opening up a previously inaccessible site may promote its better management, and lead to a positive impact. Improved opportunities for the appreciation of historic buildings would normally be positive, but this may need to be set against the risk of damage by greater visitor numbers, for instance. Changes in amenity that involve historic buildings but that do not ultimately result in changes to the fabric, setting, or historic appreciation may more appropriately be the subject of the Community and Private Assets Topic. Discussions between the appropriate Topic Specialists should ensure that the issue is properly considered.

6.12.14 Table 6.3 summarises the factors to be taken into account when assessing the magnitude of impact. It is not intended to be prescriptive, as each scheme assessment must establish the magnitude of the impact caused by these factors, and the weighting to be accorded to each of them, using professional judgement.

Table 6.3: Factors in the Assessment of the Magnitude of Impacts

	Factors in the Assessment of Magnitude of Impacts
Major	Change to key historic building elements, such that the resource is totally altered. Comprehensive changes to the setting.
Moderate	Change to many key historic building elements, such that the resource is significantly modified. Changes to the setting of an historic building, such that it is significantly modified.
Minor	Change to key historic building elements, such that the asset is slightly different. Change to setting of an historic building, such that it is noticeably changed.
Negligible	Slight changes to historic buildings elements or setting that hardly affect it.
No change	No change to fabric or setting.

6.13 Assessing the Significance of Effects

6.13.1 Assessing the **significance of the effects** of the scheme combines the **value** of the resource and the **magnitude of impact** (incorporating the agreed **mitigation** in England), for each cultural heritage asset.

6.13.2 The significance of effect should be expressed on the following scale:

- Very large;
- Large;
- Moderate;
- Slight;
- Neutral.

6.13.3 Table 6.4 illustrates how information on the **Value** of the asset and the **Magnitude of Impact** are combined to arrive at an assessment of the **Significance of Effect**. The matrix is not intended to 'mechanise' judgement of the significance of effect but act as a check to ensure that judgements regarding value, magnitude of impact and significance of effect are balanced. If the matrix produces a significance of effect that is clearly unreasonable, then the value and magnitude of impact judgements should be revisited to ensure that they are justifiable.

Table 6.4: Significance of Effects Matrix

VALUE/SENSITIVITY						
	Very High	Neutral	Slight	Moderate/ Large	Large or Very Large	Very Large
	High	Neutral	Slight	Moderate/ Slight	Moderate/ Large	Large/Very Large
	Medium	Neutral	Neutral/ Slight	Slight	Moderate	Moderate/ Large
	Low	Neutral	Neutral/ Slight	Neutral/ Slight	Slight	Slight/ Moderate
	Negligible	Neutral	Neutral	Neutral/ Slight	Neutral/ Slight	Slight
		No change	**Negligible**	**Minor**	**Moderate**	**Major**
		MAGNITUDE OF IMPACT				

6.14 Assessing Significance of Effects on the Overall Cultural Heritage Resource

6.14.1 It will be necessary to provide overview of the significance of the effect on the combined cultural heritage resource (archaeological remains, historic buildings and historic landscapes) over the scheme as a whole. For Environmental Statements it is not necessary to reduce this assessment to a single overall score (as it is in Appraisal Summary Tables), but the effects on individual assets in each sub-topic should be discussed, and their relative significance considered. The intention is that the ranking of value, impact and significance should be comparable across the sub-topics, so that their relative contribution to the overall assessment is reasonably transparent. The scales of value, impact and significance are intended to be similar across the three sub-topics, and indeed, across the other topics too, so effects on different types of asset should be capable of comparison.

6.14.2 For an individual cultural heritage asset there may be differing degrees of effect related to each sub-topic. For example, the role of an historic structure in the historic building sub-topic may be more important than it is in the historic landscape assessment, and its relevance to archaeology may be minimal. In these cases the highest reading should be taken as the significance of the effect on that asset.

6.14.3 The assessment of the significance of the effects on historic buildings should contribute to the assessment of the effect on the overall cultural heritage resource. If all the effects on all assets were adverse then the highest reading on the Significance of Effect matrix will also normally be taken to be the overall cultural heritage effect, but judgement should be exercised to ensure that this does not distort the assessment. A scheme with wholly beneficial effects, however, would not necessarily be assessed at the highest beneficial reading, a precautionary attitude should be adopted so as not to overstate benefits. Again, judgement is necessary.

6.14.4 If there were adverse and beneficial effects (normally on different cultural heritage assets) these will need to be brought out in the assessment, not obscured by balancing them off against one another. If there were both adverse and beneficial effects they should be recorded separately. For example, a bypass proposal with a Moderate Beneficial Effect on the cultural heritage assets in a town centre, might also have a Moderate Adverse Effect on rural archaeological sites. If these were offset against one another to produce a neutral assessment score this would be misleading. An alternative route with no adverse or beneficial effects, or one with different balanced effects, would also have neutral scores, but clearly the schemes would not be **equivalent** in their effect on cultural heritage. The effects of the different options and their scores should be described in the text, to make the differences clear.

6.15 Reporting

6.15.1 Guidance on reporting for Simple and Detailed Assessment is given in the main Cultural Heritage Topic guidance at Chapter 6.

6.15.2 Arrangements for the dissemination of the results of the investigations may not be determined in detail until the investigation has been completed and the results assessed. However, the general scale and approach to post-fieldwork processing and data dissemination must be established and costed at all stages of the work including in the initial mitigation proposals contained in the Environmental Impact Assessment (EIA). The individual circumstances of the scheme should be taken into account so that the cultural heritage design and mitigation strategy are formulated with their end products – the requirements of decision making and the need to ensure full and effective reporting, including post excavation work – clearly in mind.

6.15.3 Usually the publication of any significant results of preliminary works is incorporated into the publication of the results of the final investigations. If the scheme is shelved or delayed it will be necessary to ensure the appropriate publication of any significant results of the assessment.

ANNEX 7 CULTURAL HERITAGE SUB-TOPIC GUIDANCE: HISTORIC LANDSCAPE

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7.1 Introduction

7.1.1 The cultural heritage resource is not naturally split into the sub-topics of archaeological remains, historic buildings and historic landscapes; the sub-divisions in this guidance are intended to set out the different methodologies and approaches employed by different specialists. It is likely that many schemes will not require detailed consideration of all three Cultural Heritage Sub-Topics. This Annex is intended to provide freestanding guidance concerning the methodologies and sources of information specific to Detailed Historic Landscape Assessments. General advice on Screening, Scoping and Simple Assessment for all the Cultural Heritage Sub-Topics can be found in Chapter 5 of the main Cultural Heritage Topic guidance. Guidance on assessing archaeological remains and historic buildings is contained in Annexes 5 and 6 respectively.

7.1.2 The definition of historic landscape used in this guidance is derived from the European Landscape Convention (2000): *landscape is an area, as perceived by people, whose character is the result of the action and interaction of natural and/or human factors.* Historic landscape is defined by perceptions that emphasise the evidence of past human activities in the present landscape.

7.1.3 The appearance of the present countryside is the result of the interaction of human activities and the physical factors of climate, geology and topography. However 'natural' the landscape may seem, it has been modified and shaped by human interventions. These processes have modified the landscape over time, and because all landscapes have been subject to human change, all landscapes are historic.

7.1.4 Studies of historic landscapes are undertaken for a variety of reasons and take a variety of approaches. The discipline is developing rapidly and the concepts and terminology used in historic landscape studies are also evolving. In this document the following definitions have been adopted:

- historic landscape **characterisation** (HLC) seeks to describe representative or predominant historic characteristics of the present landscape over more or less extensive tracts of land – its *Historic Landscape Character*;
- historic landscape **analysis** seeks to understand the processes underlying the development of past landscapes, how this can be 'read' in the present countryside, and what this can tell us about the human and natural history of the present landscape;
- historic landscape **evaluation** considers the relative values of historic landscapes;
- historic landscape **assessment** involves the combination of characterisation, evaluation and the impact of a proposed development to arrive at a decision regarding the effect of the development on the historic landscape;
- landscape **archaeology** focuses on the physical remains of past landscapes, using archaeological methods of study and analysis at the landscape scale.

7.1.5 Landscapes have many qualities – for instance: **aesthetic** stimulation for the poet and artist, **economic** potential for the agriculturalist or industrialist; **wildlife** value for the ecologist; **recreational** opportunities, and potentially as many other qualities as there are groups and individuals to perceive them. It is people's uses and their perceptions of landscape that shape these conceptions of landscape quality. The perception that defines the historic landscape in this guidance is one that considers the evidence of human activities as agents of change visible in the current landscape.

7.1.6 Other qualities like those mentioned above may contribute to this perception. For instance, literary or aesthetic ideas may have motivated the manipulation of parts of the landscape in the past, such as the 18th century parklands designed in response to complex cultural ideologies. Technological, political or economic forces, such as the parliamentary enclosure movement or the railway boom, are important historic landscape themes. The presence of ecological markers of previous management regimes may also be evidence for reconstructing the development of the historic landscape. A multi-disciplinary approach is almost always necessary in historic landscape studies.

7.1.7 There may be significant overlaps between the three Cultural Heritage Sub-Topics, as all involve the evidence for past human activities, and indeed part of historic landscape studies relies upon the results of specialist researches into archaeology and historic buildings. The crucial distinction is that the study of archaeological remains and historic buildings are

concerned with **objects**, in the broadest sense, which can be measured, sampled, tested, etc. Even very large or extensive features, such as field systems, can be subjected to archaeological study – landscape archaeology has developed techniques to study such features. The historic landscape, although it contains archaeological and historic built features, is recognised as a result of choosing to attend to the historical significance of these at the landscape scale. The resulting description of the historic landscape is generally called its Historic Landscape Character, and it is the **character** of the historic landscape that is potentially affected by road schemes, whereas it is the **objects** of archaeological and historic buildings study that are the receptors in their case.

7.1.8 Clearly the objects of archaeological and historic buildings studies contribute to the character of the historic landscape they occupy (along with topography, landuse, geology, historic patterns of settlement and fields, etc.), and a scheme's effects on individual assets may therefore affect the historic landscape character, but historic landscape assessment is directed to understanding these effects on character rather than reiterating the effects on the objects. This can be likened to the difference between being concerned about either the individual flowers in a bouquet – their identification, state of freshness, rarity, colour, size etc. – or the effect of the bouquet as a whole, – is its character spring-like, sombre, casual, formal etc.? The character of the bouquet may be maintained even if many of the individual stems that make it up were to be changed, or conversely its character could be radically altered by the substitution of a few critical items, or by the rearrangement of the existing blooms. Similarly in historic landscape character studies it is the contribution of individual assets to the character of the area that needs to be appreciated, and the effects that changes to them would have on that character.

7.1.9 It follows that although there should be close involvement of the other Cultural Heritage Sub-Topic specialists and the Historic Landscape specialist, there should be no risk of double counting in the assessment process. For instance, earthwork remains of a deserted medieval village may figure in the archaeological remains assessment, and a surviving church at its centre may feature in the historic buildings assessment. The historic landscape assessment should be careful not merely to catalogue these elements again, but to consider their contribution to the historic landscape character and assess what the effect of the scheme under consideration might be on this character and its value, while the effect on archaeological remains and historic buildings will be assessed by the relevant sub-topic specialists.

7.1.10 There may also be significant overlaps between the Cultural Heritage Historic Landscape Sub-Topic and the Landscape and Townscape Topics (and probably other topics too), and the relevant specialists should maintain close liaison during the assessment. Many of the data used in the Landscape Topic assessment, for instance, may be useful in the Historic Landscape assessment, such as viewpoints, or the integrity of Landscape Character Areas. Care should be taken to ensure that there is no duplication of effort during data gathering and in the analytical process. Any relevant cultural heritage studies undertaken by the Landscape and Townscape Topic specialists should be taken account of appropriately in the Historic Landscape Sub-Topic assessment, and vice-versa.

7.1.11 Assessing the historic landscape implications of mitigation proposed by other studies (for example, remediation of contaminated land, or landscape planting) forms an important part of the liaison with other topics. The same is true for the other topic specialists, who should consider how the effects of proposed mitigation of effects on historic landscape would impinge on their topic areas.

7.1.12 If historic landscape were to be identified in the Scoping exercise as requiring assessment, it should be the subject of specialist Historic Landscape Sub-Topic study in the Cultural Heritage Topic. Competent practitioners should undertake historic landscape assessments. Appropriate specialists may be trained in historic landscape methods or come from an archaeological, geographical, historic building, landscape or other background, but so long as they are able to undertake the specialist historic landscape study effectively their professional title is a secondary matter. The practitioner's experience and ability to co-ordinate, assimilate, analyse and present a wide variety of data sources appropriately will always be the principal requirement.

7.1.13 Where appropriate, guidance from UK government departments, devolved administrations' heritage agencies, statutory bodies, professional institutes, specialist researchers and practitioners and planning authorities should be sought to establish the appropriate standards and methods of assessment. Devolved administrations' procedures can be found in Annex 8. Any departures from national heritage agencies' guidance and standards should always be discussed with the relevant statutory agencies and be approved by the Overseeing Organisation.

7.1.14 The cultural heritage agencies in different parts of the UK have different approaches to historic landscapes. English Heritage and Historic Scotland have adopted similar approaches that emphasise the historic character of the entire landscape, developing HLC in England and Historic Landuse Assessment (HLA) in Scotland. In Wales, Cadw and the Countryside Council for Wales (CCW) have developed a Register of Landscapes of Historic Interest. The Welsh approach defines *Areas of Outstanding Historic Landscape* and *Special Historic Landscapes,* and is accompanied by a methodology for establishing their value and the impact on them (*Assessment of Significance of the Impacts of Development on Historic Landscapes*, (ASIDOHL) published by Cadw and CCW). The Overseeing Organisation should consult with Cadw and CCW on the scope and detail of an ASIDOHL assessment. In Wales the LANDMAP process should also be followed. Annex 8 contains guidance on the requirements of the devolved administrations.

7.2 The Assessment Process

7.2.1 The purpose of assessing the historic landscape in connection with proposed road schemes is to inform the decision-making process, which includes decisions regarding mitigation of adverse impacts. The assessment should consider the impact on the historic landscape character of the proposal. The detail required at the data gathering stage is dependent on the type and scale of the road scheme and the requirements of the decision-making process.

7.2.2 The Detailed Assessment will need to review the data obtained for the Simple Assessment, and consider the need to research more detailed or specialist sources or undertake fieldwork. A higher degree of detail in the evaluation and analysis is normally required in Detailed Assessments, in order to identify the significant constraints, and to obtain reliable indications of potential impacts and their mitigation, the impact of the scheme and the significance of any effect.

7.3 Consultation

7.3.1 Chapter 3 of the Cultural Heritage topic guidance sets out the nature of consultations with statutory bodies and other stakeholders appropriate for each level of study. In the different Overseeing Organisations there are different arrangements for the relationships between the statutory consultees and the highways authorities (see Annex 8). For Scoping studies in England early consideration of English Heritage (EH) views is advised to assist in the identification of key areas of study. It is not normally expected that detailed local research would be undertaken but, with the agreement of the Scheme Sponsor, early contact with key non-statutory consultees is usually advisable.

7.3.2 For Simple and Detailed Assessment in England, EH should be formally approached for their views, and discussion with local planning authorities' advisors is recommended for identifying historic landscape issues potentially affected by the scheme. Timely consideration of national heritage agencies' and other stakeholders' views may avoid unnecessary assessment work and will help identify key areas of interest.

7.3.3 The need for discussions with other interested parties, such as local history groups or national specialist groups, should be judged in the light of the relevance of their input into the data collection or analysis.

7.3.4 If either, or both, the Archaeological Remains and Historic Buildings Sub-Topics were also identified for further investigation in the Scoping Report, then liaison with the relevant sub-topic specialists would be required. The same may be the case with the Landscape, Townscape, Ecology and Nature Conservation and other topic specialists, as there may be significant areas of common interest with them. Ongoing consultation with the design engineers is also essential, as early advice should inform the design process and the proposed design will be critical to the analysis of the data.

7.3.5 Consultation and data gathering may be required to define local distinctiveness and, in England, Quality of Life objectives. The issues may include the influence on historic landscape character arising from matters such as amenity, public awareness, accessibility, and local interests. Investigations regarding these aspects may include consideration of the aspirations of local amenity groups and local residents.

7.4 Defining the Study Area

7.4.1 Where the Scoping Report indicates that the historic landscape is an issue an appropriate study area will need to be defined. This will be determined on a case-by-case basis, to take account of the stage of the proposal, its scale and its likely effects, and the character of the historic landscape through which it passes. Although the Historic Landscape Sub-Topic

study area may be similar in scale to the Landscape Topic study area, the relevant historic land divisions – farm, estate, manor, township, parish etc. – may not coincide with the visual parameters adopted by Landscape Topic specialists, and the study area should be justified in historic landscape character terms.

7.4.2 As a project progresses to more detailed stages the study area may need to be refined, and broad brush characterisation and assessment appropriate to early route corridor investigations will usually need to become more focussed. The linear nature of many road schemes, and the linear factor that roads themselves contribute to historic landscape character units, should guide the choice of study area. The study area is not the same as the historic landscape character unit; a scheme may traverse many individual HLC units. In identifying the appropriate scale of the HLC unit a factor needing consideration is that a unit that is too large may experience an unreasonably minimal effect, while for one that is too small the effect may be misleadingly dramatic. The reasons for the choice of study area and scale of the HLC units should be explained and justified.

7.4.3 As far as practicable, the study should collect and analyse sufficient data at the appropriate level of detail from a wide enough area to enable decisions to be made with confidence about the effect of the proposed scheme.

7.5 Gathering Data on Historic Landscape

7.5.1 Gathering data on the historic landscape should contribute to the historic landscape characterisation, directed to the purposes of the scheme assessment. The information should help to:

- understand the processes that have created the historical landscape character;
- evaluate its quality;
- identify the changes to the historic landscape character potentially caused by the scheme (potential impact);
- develop measures to mitigate the impact;
- assess the magnitude of the mitigated impact;
- assess the significance of the effect.

7.5.2 The two general approaches to historic landscape studies may be crudely described as 'top-down' and 'bottom-up'. The top-down approach is to take generally accepted historic landscape descriptions and apply them broadly over wide areas, or to identify areas already defined or designated as having a particular historical character. It is an opinion-led approach. The bottom-up approach is to analyse the detailed evidence of surviving historical assets and progressively integrate them to construct an appreciation of the broader historical character of the landscape – an analytical approach. Usually a combination of the two approaches is the appropriate strategy.

7.6 Top-down Data Collection

7.6.1 The top-down approach can be used to assess a large area, using readily available designations and existing opinions. It can be an efficient way of rapidly establishing an overall sense of historic landscape character and quality over a wide area. The top-down approach uses existing descriptions, designations and characterisations and the judgements of acknowledged specialists to define historic landscapes, working from maps, published syntheses and consultations. In Wales, the Register of Landscapes of Historic Interest was initially compiled using a top-down methodology.

7.6.2 Using the top-down approach, for example, it is accepted that medieval-type open fields have a particular character, and any extensive surviving examples of open field strip farming are well known and recorded. Similarly, some extensive tracts of surviving prehistoric field systems and associated archaeological remains are also well studied and are precisely plotted in some regions. Such information is readily available, and the value of the landscapes generally agreed.

7.6.3 Historic landscape information may be gleaned from other sources. Some cultural heritage designations may include landscape-scale areas. World Heritage Sites (WHSs) frequently encompass large swathes of historic landscapes, and may be specifically inscribed for their historic landscapes value by the International Council on Monuments and Sites (ICOMOS) on the WHS list.

7.6.4 Designations involving important historic landscapes include the national registers of historic landscapes (in Wales); historic parks, gardens, and battlefields, and other designations (Conservation Areas, Registered Commons, etc.). Other landscape-scale designations, even when applied mainly for reasons other than cultural heritage interest, may

include historic landscape factors. Records of ancient woodlands, Sites of Special Scientific Interest related to historic landuse and other ecological designations that involve historic landscape issues should be consulted. National Parks and Areas of Outstanding Natural Beauty designations frequently cite specific historic qualities, and these should be taken into account. There may be other relevant historically focussed countrywide or regional summaries, and where available these should be consulted.

7.6.5 National and regional research agendas (where available) should assist the understanding of the relative priorities accorded to different historic landscapes.

7.6.6 The national countryside agencies' Landscape Character Assessment (LCA) or landscape information databases should be consulted, although it should be borne in mind that recording historic character is not the primary purpose of this mapping. Nonetheless the LCA methodology includes the consideration of heritage factors.

7.6.7 Targeted bottom-up data gathering may be advisable in order to check the validity of top-down evaluations.

7.7 Bottom-up Data Collection

7.7.1 If no appropriate 'top-down' study is available, or it is inadequate for the purpose, then a 'bottom-up' approach should be adopted. Care should be taken not to undertake an unnecessarily detailed study – all work should be directed towards scheme requirements.

7.7.2 The historic landscape contains features from the past that can be considered on an increasing scale and complexity. The bottom-up approach uses the collection and analysis of detailed information from the landscape to form the basis of historic landscape characterisation and analysis. It is the basis of county or regional HLC mapping, and can be taken to varying degrees of detail. There is currently (2007) no standardised terminology or definition for the categories and scales suggested above. Similarly there is no consistency in their application.

7.7.3 A useful model for analysing historic landscapes, developed by Stephen Rippon and published by the Council for British Archaeology (S Rippon, CBA 2004) identifies historical landscape features of increasing scale and complexity, from the smallest to the largest units. This model, slightly amended, identifies the following historic landscape units:

- **elements,** individual features such as *earthworks*, *built structures*, *hedges*, *woods*, *roads*, *tracks*, and *planned planting* in parks and gardens;
- **parcels,** elements combined to produce, for example, *farmsteads* or *fields*;
- **components,** larger agglomerations of parcels, such as *dispersed settlements*, or *straight sided field systems*;
- **types,** distinctive and repeated combinations of components defining generic historic landscapes such as *ancient woodland* or *parliamentary enclosure*;
- **zones,** characteristic combinations of types, such as *Anciently Enclosed Land* (a Cornish zone) or *Moorland and Rough Grazing* (a Scottish zone);
- **sub-regions** distinguished on the basis of their unique combination of interrelated components, types and zones (but see below);
- **regions,** areas sharing an overall consistency over large geographical tracts.

7.7.4 The term 'area' as used by Rippon is omitted in this guidance, as it is also used in the LCA system in its sense of a particular piece of land, and confusion could ensue, as the LCA system is well understood. It is suggested that the term '**sub-region**' is adopted in its place. The mid-scale range of **type** or **zone** is usually the appropriate scale to adopt for the purposes of roads assessment. The smaller units risk losing the generality required for the assessment, but the larger units may nonetheless be appropriate for strategic assessments.

7.7.5 Particular cases may suggest other ways of characterising historic landscapes, such as the Cadw list of 'types' related to function, such as administration, transport, defence, industry and so on. 'Themes' may be another appropriate approach. These issues must be considered carefully during the data search and analysis, and all the terms and criteria used in the assessment should be explicitly identified and defined.

7.7.6 The bottom-up approach starts with an OS based map showing landscape **parcels**, that is, groupings of **elements** into, for instance, fields and

farms. The mapping should be at a scale that shows at least all fields and buildings (a minimum of 1:25,000). Further integration of **parcels** into **components** or **types** is likely to be necessary to achieve the scale of historic landscape character unit appropriate for assessment.

7.7.7 A map regression analysis from recent OS maps back at least to the OS first edition 25" or 6" maps should be undertaken to confirm the existence and form of landscape **elements**, such as field boundaries, street patterns, ponds, woods, lanes and paths. Further information may be obtained from other printed historical maps, and manuscript maps, such as tithe maps and estate maps to be found in national and local archives. Other accessible records, such as terriers and surveys in estate records, may provide additional information about the form and use of the past landscape. Aerial photograph collections may be examined for additional data, while Sites and Monuments Record/Historic Evironment Records (SMR/HERs) include information on archaeological and historic assets crucial to understanding historic landscape character.

7.7.8 Published or unpublished historic town and village surveys may exist in SMR/HERs or local studies collections, and in England useful information may be published in the Victoria County Histories. Similarly there may be local or regional studies of place-names, historic gardens and designed landscapes in monographs or periodicals. These may be identified in local history libraries, or located through local or national bibliographies.

7.7.9 Important visual sources relevant to existing or former landscapes, such as old photographs and topographical drawings may be held by national and local museums, art collections, libraries and record offices.

7.7.10 If archaeological remains and historic buildings are part of the assessment, the specialists involved should ensure that there is sharing of data.

7.8 Field Survey

7.8.1 Field survey will not normally be undertaken for the Scoping Report and the Simple Assessment, but if the Historic Landscape Sub-Topic is identified as needing detailed study to assess the impact of the scheme, then the desk-based results may need to be augmented by fieldwork. As with the desk based study the aim is to understand the historic landscape character and the effect of proposal upon it.

7.8.2 An initial walkover should locate the boundaries of any designated historic landscapes and previously identified historic landscape character units, and confirm their character. Any historically significant sight lines or visual envelopes should be noted and discussed with the Landscape Topic specialist.

7.8.3 The historic character of the landscape may take in a wide range of experiences, not just visual ones. The presence of historic or archaeological remains that are not visible but which nonetheless may have influenced the contemporary historic character may need to be taken into account, so the walkover should be informed by desk based research undertaken by the archaeological remains and historic buildings specialists, as appropriate. The sounds experienced in the landscape may also have a bearing upon the historic landscape character and, if appropriate, should be noted. The simple volume of noise may be an issue, but attention should also be paid to its character. For instance, the sound of small prop-engined aircraft on a summer day, known as a **wokingham** (Adams and Lloyd, 1992), would be a characteristic feature of historic airfields, many of which still operate.

7.8.4 The results of field surveys carried out by the Archaeological Remains Sub-Topic and Historic Buildings Sub-Topic specialists should be taken into account in constructing the historic landscape characterisation, as should Landscape and Townscape Topic surveys as appropriate. Archaeological remains and historic buildings and the relationships between them, the natural world and human activities should be described to bring out their contribution to the character of the historic landscape, rather than being merely re-listed. Further field survey may involve a more detailed inspection, where a better understanding of the form, condition and importance of assets is required. Field survey may include the inspection and measured survey of historic landscape elements, or the mapping of features identified on aerial photographs, but this would be exceptional.

7.8.5 All fieldwork programmes should be agreed with the Overseeing Organisation in advance, and the access issues related to intrusive survey fully appreciated (see Annex 5).

7.9 Characterisation

7.9.1 The simple accumulation of data will not suffice for this Sub-Topic. It requires analysis and interpretation of the relevant relationships between objects, facts and perceptions. The data should be

analysed to produce an understanding of the historic character of the landscape through which the scheme would pass. There is currently no standard for the definitions or descriptions of historic landscape character, although many counties and regions have prepared HLC maps and descriptions. These, however, have often been produced for development control purposes and naturally emphasise factors related to areas rather than the linear character of road and transport corridors. The linear nature of transport corridors can be overlooked in the area-based HLC system.

7.9.2 The characterisation should identify the evidence for time-depth, and describe predominant and subordinate periods represented by the historic features and the main socio-economic themes represented. One of these themes in road schemes is likely to be transport related. Many road schemes will be in areas where roads with their ancillary features and historic developments make a significant contribution to the historic character, and possibly are the predominant historic elements. This should be born in mind when using existing Historic Landscape Characterisation studies which may under-emphasise roads as a factor in their historic character.

7.9.3 The study should identify the typical **elements/parcels/components** that reflect these themes, as well as patterns of temporal relationships, particularly those exhibiting continuity or change, patterns of spatial relationships, and relationships with the natural world.

7.9.4 The appropriate size of the character unit to be studied will be determined in each case by the scale and nature of the scheme and the development stage it is at, and the character of the historic landscape. It is likely to be at least at the level of the **type** or **zone**, and for larger or strategic studies the historic landscape character **sub-region** or **region** may be the appropriate unit. The analysis should make clear the distinctive historic landscape character units traversed by the scheme, and their boundaries.

7.9.5 With some exceptions, the historic landscape is a continuum, and usually changes gradually from one character unit to another. The edges of the historic landscape character units are often transitional areas where precise boundaries are difficult to identify, particularly at the larger scales. It may be possible to show these transitions as broad overlapping boundaries on maps, although this can be technically difficult. It may be simpler to indicate status of the mapped boundaries in the text or legend, but their 'fuzzy' nature should always be borne in mind.

7.9.6 Many schemes will have a long life, and data should be assembled and presented in ways that can accommodate changes at later stages without confusion.

7.10 Evaluating Historic Landscapes

7.10.1 The characterisation of historic landscapes is a preliminary step, but further analysis and evaluation will be required to establish the significance of any effects on the character areas identified in the study. Whilst all historic landscapes contain evidence of the processes that have formed them, some character types may be considered to be commonplace and of little special interest, while others may be highly valued. It is important that the value of historic landscape character units is addressed in the assessment and the reasons for judgements clearly set out. The attribution of 'high value' to selected historic landscapes exclusively with a view to protecting them can obscure the reality that all landscapes are changing all the time, and a more appropriate approach would be to establish how to manage change.

7.10.2 The approach to managing change can be either proposal led – 'does this particular proposal affect a particular character unit significantly and if so is it desirable?' or the approach can be development plan led – 'what sort of development would be appropriate to these particular character units'. The first would be the appropriate approach for road projects, where the type of development and its location are given; the second may be more appropriate for planning authority guidelines and planning frameworks.

7.10.3 The UK administrations differ in their approach to evaluating historic landscapes. In Wales the non-statutory Register of Landscapes of Historic Interest is the basis for any evaluation and Cadw has published the *Guide to Good Practice* for its evaluation, and in Wales this should be followed, in consultation with the Overseeing Organisation and Cadw. Elsewhere in the UK there is as yet no statutory or official government guidance on evaluating historic landscapes. The following suggestions are intended to assist in establishing the value of historic landscapes in territories where no systematic government register or evaluation guidance exists.

7.10.4 All historic landscapes are different, and grouping them into **types** or **zones** inevitably risks blurring their detailed individuality and local character.

This should be acknowledged, and where appropriate the evaluation should take account of the local distinctiveness of the character unit on which evaluation is focussed.

7.10.5 The principle to be borne in mind is that the evaluation is directed at the historic landscape **character** unit not at the archaeological remains or historic buildings that contribute to that character. Evaluating those is the work of the Archaeological Remains and Historic Buildings Sub-Topics. The question for the purposes of this study is 'how valuable is this historic landscape **character** unit?'.

7.10.6 Where there are useful landscape-scale designations the assessment should take into account any cultural heritage values cited in support of them, for instance in the official descriptions of National Parks and Areas of Outstanding Natural Beauty. Some designations relate to particular sorts of historic landscapes, such as designed landscapes. Where the designation grades the resource the assessment should consider the grades carefully. In England, for instance, Registered Parks and Gardens are currently graded I, II* and II. Other historic landscape designations – historic battlefields for example – may not be officially differentiated or graded, and in these cases judgement should be exercised, bearing in mind the weight given to these designations by national heritage agencies and planning authorities.

7.10.7 Individual historic assets, including archaeological remains and historic buildings contribute to historic landscape character, and the key assets should be identified together with an analysis of their contribution to the character of the unit. The value of individual historical or archaeological elements is not necessarily the determinant of the value of the historic landscape character unit to which they contribute. The presence of a scheduled monument (archaeologically 'high value'), for instance, does not necessarily confer great value to the historic landscape character unit in which it is found; and conversely, post-medieval walls ('low value', say, in historic building terms) may be crucial in a 'high value' historic landscape.

7.10.8 The study should consider local plans, relevant research frameworks, characterisation initiatives and research interests to assist in assessing the value of historic landscape character units. A useful guide is to consider whether changes to an historic landscape character unit would raise curatorial concerns at a national, regional, or local level.

7.10.9 Communities and special interest groups may value historic landscapes for a variety of reasons, for instance, for the amenity, social, spiritual and educational value of the resource, or the current or potential value of the resource for local visitor or tourism objectives. Evidence of values accorded to historic landscapes may be found in parish or village plans adopted by planning authorities in England, or in equivalent documents in the devolved administrations. Similarly, guidebooks and tourist recommendations may be sources of information on perceived values. The place of these factors in establishing the value of the historic landscape character unit should be carefully considered in the context of establishing issues of local distinctiveness, power of place, quality of life, and so on.

7.10.10 Relevant factors to take into account may include:

- local character, local distinctiveness (including local residents' perceptions);
- time-depth: rarity or special interest/typicality (as judged by local, regional and national standards);
- legibility (complexity of the elements/parcels/components and the completeness or articulation of the historic landscape, association of features, either of the same period or not);
- fragility/robustness (history of change, sensitivity to change, capacity to absorb change);
- cultural associations (including historical events, personages, literary or artistic connections, views);
- research potential (anticipation of further evidence).

7.10.11 These factors are not to be taken as necessary, nor exclusive, nor should they be merely aggregated, with more 'ticks in the box' automatically taken to mean more value (although that may sometimes be the case). For instance, an area with no cultural associations is not automatically devalued, and an area exhibiting only one period will necessarily lack time-depth, but in both these cases the value may be considerable. In particular cases there may be other relevant factors not listed above, and they should be identified, given their appropriate weight, and justified in the study.

7.10.12 Using the relevant factors, each historic landscape character unit (**type**, **zone** etc.) should be assigned a ranking within the national context. For instance it would be normal to assign a lower score to a wholly commonplace, modern historic landscape character unit with little or no earlier survivals (for example, late 20th century industrial estates) as compared with scarce, well-preserved historic landscape character units with good legibility and time-depth (for example well-preserved pre-18th century enclosure field systems, with fossil medieval furlong boundaries).

7.10.13 The scale of value to be used for assessing the historic landscape character units is set out below:

- Very High;
- High;
- Medium;
- Low;
- Negligible.

7.10.14 The following table is a guide for evaluating historic landscape character units:

Table 7.1: Evaluating Historic Landscape Character Units

Very High	• World Heritage Sites inscribed for their historic landscape qualities. • Historic landscapes of international value, whether designated or not. • Extremely well preserved historic landscapes with exceptional coherence, time-depth, or other critical factor(s).
High	• Designated historic landscapes of outstanding interest. • Undesignated landscapes of outstanding interest. • Undesignated landscapes of high quality and importance, and of demonstrable national value. • Well preserved historic landscapes, exhibiting considerable coherence, time-depth or other critical factor(s).
Medium	• Designated special historic landscapes. • Undesignated historic landscapes that would justify special historic landscape designation, landscapes of regional value. • Averagely well-preserved historic landscapes with reasonable coherence, time-depth or other critical factor(s).
Low	• Robust undesignated historic landscapes. • Historic landscapes with importance to local interest groups. • Historic landscapes whose value is limited by poor preservation and/or poor survival of contextual associations.
Negligible	• Landscapes with little or no significant historical interest.

7.11 Mitigation

7.11.1 Mitigation aims to avoid or lessen a negative impact on the resource. Assessment and design are iterative processes that together should suggest appropriate mitigation measures. Overall cultural heritage Design Objectives for the scheme should be established in line with the Overseeing Organisation's environmental objectives, and the approach to mitigation will be informed by these. Mitigation strategies should take into account scheme objectives defined according to Chapter 4 in the main guidance. Further detailed guidance on landscape mitigation, some of which are applicable to historic landscape matters, is given in DMRB Volume 10.

7.11.2 Approaches to the management of the cultural heritage resource include conservation, preservation, restoration, renovation, reconstruction, replication, rebuilding, alteration, and demolition or destruction. For the purposes of this guidance these are used as far as possible in line with their useage in the Burra Charter (1999) and other European and international documents, and as defined in the Standard and Guidance for the Stewardship of the Historic Environment (IFA, Institute of Historic Building Conservation, Association of Local Government Archaeological Officers, forthcoming).

Conservation is the process of managing change through strategies and tasks that sustain the significance of inherited historic assets and places so that they can be enjoyed now and in the future. **Preservation** is defined as 'to do no harm', and entails **maintenance** to keep the fabric of historic assets in their existing condition, or **repair** to reverse changes caused by decay or damage but not involving restoration. **Restoration** makes an asset or place conform to its known design or appearance at an earlier time. **Renovation** literally means making new again, but it usually requires some qualification to the scope of work. **Reconstruction** goes beyond repair or restoration in re-creating what no longer exits, and can be speculative. **Replication** makes an exact copy of all or part of an historic asset. **Rebuilding** is a general term for complete or partial replacement of a building or artefact through repair, restoration, reconstruction or replication. **Alteration** is a physical change that modifies function or appearance. **Demolition** or **destruction** is the physical loss of all or part of the historical asset.

7.11.3 Mitigation strategies may involve any of these approaches, or a combination of them. As well as preservation and conservation, with historic landscapes, there is the possibility of repair, restoration or reconstruction of features that contribute to historic landscape character

7.11.4 The mitigation of negative impacts on an historic landscape character unit may be different from the mitigation approaches appropriate to the Landscape Topic. Indeed, Landscape Topic mitigation proposals may constitute an negative impact on the historic landscape character, for instance, the provision of screening bunds or planting could run counter to the historical grain of the countryside, or disrupt an important historic field system or open-field pattern.

7.11.5 Mitigation of impacts on historic landscape character units may include design measures to minimise changes caused by noise and visual intrusion, and the avoidance of land-take that could affect significant features.

7.11.6 The loss of historic landscape elements through land-take may require full archaeological or historic buildings investigation, recording, analysis, interpretation and publication as mitigation. The appropriate sub-topic specialists will undertake these, but their results should inform the historic landscape study.

7.11.7 There should be liaison between the Landscape, Ecology and Cultural Heritage specialists throughout the design and mitigation process. Close liaison with the Landscape Topic specialists will be necessary to ensure that historic landscape concerns are taken into account in landscape mitigation proposals. The design of new landscaping and planting undertaken as part of the scheme or as part of the landscape mitigation measures may be able to consider factors relevant to the historic landscape character (e.g. local styles of hedging), and match new planting to the existing historic character. Where landscape features are to be changed (e.g. ponds, tree clumps) there may be opportunities to recreate them in their historic form and location, and this may be an area of mitigation also of interest to the Ecological Topic specialists.

7.11.8 Many of the **elements** that contribute to historic landscape character are highly transient, even in use, and would be renewed or repaired in the normal course of events. Walls fall down and are reconstructed; trees are felled and replanted; hedges grow old and are replaced; roads and tracks are widened and resurfaced; gates are replaced etc. Historic landscape character **may** be improved, for instance where a collapsed dry stone wall could be rebuilt, the better to restore the integrity of an historic field system, although the

collapsed wall might better contribute to the qualities of the historic landscape character in some circumstances and be best left alone. Decisions about the desirability of repair, reconstruction or *laissez faire* should be discussed with appropriate experts, clearly recorded and justified in historic landscape terms.

7.11.9 Land-use contributes to the character of the historic landscape, so enabling the recreation or restoration of characteristic historic land uses and their physical expression in hedges, field sizes, crop or pasture management, the disposition of trees and so on, could markedly improve the value of an historic landscape character unit.

7.12 Assessing Magnitude of Impacts

7.12.1 The impact of the scheme on the historic landscape character will need to be considered, taking into account agreed mitigation (see Annex 8 for Wales and Scotland). As historic landscapes are ubiquitous, it follows that they cannot be destroyed; impacts on them can change their character, but not leave a hole in the historic landscape map. An **impact** is, therefore, defined as a change as a result of the proposed scheme that would not otherwise have occurred, and which alters the historic landscape character.

7.12.2 Consideration should be given to the types of potential impacts – constructional or operational, direct or indirect, positive, negative, temporary or long-term, and cumulative – as set out in Chapter 4 of the main Cultural Heritage Topic guidance.

7.12.3 The impact can be seen as negative or positive, that is, changing the character unit to a more commonplace or a more valued type. Negative and positive impacts should be assessed using the evaluated historic landscape character units, not the **elements/ parcels/components** that contribute to the historic landscape character. The key assets contributing to the historic landscape character should have been identified in the evaluation stage, and any changes to these assets arising from the proposed scheme should be considered in relation to the changes in HLC that would result from impacts upon them.

7.12.4 The scale of the historic landscape character unit will need to be chosen on a case-by-case basis, bearing in mind that it should be sufficiently extensive to merit a landscape-scale description but not so extensive as to swallow up any changes, regardless of their scale. The choice of the historic landscape character unit that is to be subjected to the assessment should be clearly recorded and justified.

7.12.5 Constructional impacts may be temporary or long-term. Impacts likely to last longer than 15 years are considered to be long term. As with the Landscape Topic, the growth of new planting may mitigate some changes within this time frame, and this should be taken into account. Medium term impacts are those that would last for less than 15 years and short term impacts would last for the construction period only.

7.12.6 Direct impacts are those that arise from the scheme itself, indirect impacts arise away from the scheme or through complex pathways. Impacts on setting are direct impacts if they arise from the scheme in a straightforward way.

7.12.7 As historic landscape is ubiquitous it may seem unreasonable to suggest that there could be an impact on its setting, but there can be impacts on the setting of historic landscape character units, where it can be demonstrated that the character of the unit would be changed by the presence of the scheme outside it. This could arise most obviously where a scheme was outside, but within sight or sound of, a designated historic landscape such as a historic park, but it is equally possible that impacts on the setting of undesignated historic landscape character units may arise as a result of activities nearby. The setting is the environs of an asset, including the topography, views, vegetation, approaches, ambience (sound etc) and context (known or believed information where little or no visible evidence exists). Some historic battlefields are almost wholly appreciated through their context – that is, there are no visible structures dating to the battle period, the topography, field boundaries, roads, settlement patterns, vegetation may all have changed, the views may be completely altered, the modern sound environment may bear no relation to the period of the battle let alone the sounds of the battle itself – all that remains is the knowledge that an event happened at that spot, and even the precise location of that spot can sometimes be open to debate. Methodologies used to assess impacts on setting should be transparent, clearly described and supported by professional standards where available. In developing or adopting methodologies for assessing the role of an asset's setting the specialist undertaking the study should bear in mind the principles discussed above and summarised below:

- an asset's setting is its **relevant** surroundings;
- settings have **physical factors** which can be changed by a scheme, but it is the effect these changes have on the perception of the asset that is assessed;

- **context** is an aspect of setting where a relevant aspect of knowledge, belief or relationships may not be visible (or audible) at the site;
- settings are **experienced by people** as contributing to the understanding or appreciation of assets;
- **professional judgement** is required, using criteria measured against the scheme's Cultural Heritage Design Objectives.

A fuller discussion of setting and context is set out in paragraphs 4.19 – 4.27 of the main text.

7.12.8 Cumulative impacts can arise from **multiple effects** of the same scheme on a single asset, **different multiple effects** of the scheme and other sources on the same asset, or **incremental effects** arising from a number of small actions over time. Interactions may arise from activities related to other topics, such as drainage schemes, endangered species relocation, sound attenuation measures or access arrangements, taken together with any cultural heritage impacts. The forms of cumulative impact are discussed in Section 2, Part 5, Chapter 1, with advice on how to consider the certainty of outcome and the probability of the predictions.

7.12.9 Impacts caused by the scheme on many similar, possibly minor, historic elements may be cumulative, but for historic landscape character units such impacts may best be assessed as the totality of their impact on the historic landscape character unit. The assessment of such multiple impacts is not simply a matter of aggregating scores; it requires professional judgement to assess how these changes actually affect the character of the historic landscape unit.

7.12.10 The sort of impacts on historic landscapes that could be caused by road schemes are often those associated with linear developments. These involve such factors as vertical alignment (embankments, cuttings, terracing, grade separated junctions, revetments etc.), horizontal alignment with its associated issues of severance, boundary structures and juxtaposition with other alignments (fields, tracks, topography), lighting and its ancillary structures, the treatment of minor side road junctions, and massive constructions such as bridges and viaducts.

7.12.11 Impacts may arise from the proposed activities related to other topics, such as landscape screening, or balancing pond excavations. The historic landscape specialist should liaise with the specialists in other relevant topics to ensure that account is taken by all of them of the impacts of activities proposed by others.

7.12.12 Ongoing communication with design engineers regarding the potential impacts of a scheme is essential. Accurate indications of the area affected by the scheme may not be available before the detailed design is prepared, and even later for 'off-site' matters such as site compounds, borrow pits, etc. Clearly, however, the scheme design is a key consideration in assessing impacts, and designers' estimates of new land-take, structures, alignments etc. are needed as early as possible. Sources of potential impacts are listed in Table 7.2 (this list is not exhaustive).

Table 7.2: Sources of Impacts

	Activity	Impact: negative	Impact: positive
Site clearance	Removal of trees and vegetation	• change to historic landscape integrity	Re-establishment of historic landscape pattern
	Fencing	• intrusion of inappropriate elements	

Table 7.2: Sources of Impacts (continued)

	Activity	Impact: negative	Impact: positive
Road construction	Topsoil removal	• disturbance of historic landuse pattern	
	Excavations for demolition, drainage, shallow foundations, borrow pits, decontamination etc.	• visual intrusion	
	Landscaping/ earth mounding	• visual or aural intrusion	Re-establishment of historic patterns Screening of intrusive elements
	Spoil disposal	• visual or aural intrusion	Re-establishment of historic patterns Screening of intrusive elements
	Installation features features (bridges, signage, fencing etc.)	• disruption of historic landscape integrity	
	Installation of lighting scheme	• visual intrusion	Improved lighting systems impact less on night time scene
	Road alignment	• Disturbance, severance causing dereliction or neglect of historic patterns of landuse	Re-instatement of historic landscape pattern
	Planting	• visual intrusion on historic landscape	Re-establishment of historic landscape pattern

Table 7.2: Sources of Impacts (continued)

	Activity	Impact: negative	Impact: positive
Operational	Traffic movement	• visual intrusion	
	Maintenance	• small scale repairs and consolidation or alteration of historic landscape elements – cumulative impact	Re-establishment of historic landscape elements
Other Environmental Mitigation	Topsoil stripping	• damage to historic landscape elements	
	Screen planting Other screening	• visual intrusion	Re-establishment of historic landscape pattern
	Noise reduction panelling	• visual intrusion	

7.12.13 Cadw in Wales has published a method of assessing impacts on historic landscapes, and where such a systematic approved approach has been established this should be followed. Assessments in the devolved administrations' territories should be guided by the relevant authorities (see Annex 8).

7.12.14 The magnitude of the **impact/change** should be assessed without regard to the **value** of the resource, so a total change experienced by a commonplace (low value) historic landscape character unit is the same magnitude as a total change experienced by of a nationally important historic landscape character unit. The value is factored-in later to calculate the significance of the effect (see Chapter 4 of the main Cultural Heritage Topic guidance and Table 7.4).

7.12.15 The study should judge the magnitude of an impact bearing in mind the extremes that could occur, not just the range of changes that would occur on the scheme under consideration. The largest would be a total change to the historic character; the least would be no change to the historic character. The changes should be ranked in relation to these extremes. The scale of the magnitude of impact is as follows:

- Major;
- Moderate;
- Minor;
- Negligible;
- No change.

7.12.16 The factors to take into account in assessing the magnitude of the impact on historic landscape character include:

- how changes to archaeological remains and historic buildings would change the character of the historic landscape;
- changes affecting historic spatial patterns;
- changes of characteristic historic landscape elements;
- changes to vegetation;
- changes in vibration/visual intrusion/noise (including the nature of sounds);
- changes to landuse.

Particular cases may require the consideration of other issues.

7.12.17 The study should assess the degree to which important elements, parcels, components etc. of the historic landscape would be obscured or opened up, and from which viewpoints, how the views from them would be affected, and how this would change the character of the historic landscape. This should be

assessed in relation to locations not currently accessible to the general public as well as from public rights of way, as changes to legislation may make these accessible in the future. The Landscape Topic specialists should be consulted, as they are involved in establishing these factors. The focus should be on the magnitude of the change to the historic landscape character arising from changes to views.

7.12.18 The assessment should consider any changes in noise levels, and changes to the ambience at important locations in the historic landscape. The Noise Topic and Landscape Topic specialists will normally be consulted in relation to noise levels and the mapping of noise affected areas. As well as noise levels, the nature of the sounds should also be taken into account. The magnitude of the change in the historic landscape character caused by such alterations to the soundscape should be the focus of the study.

7.12.19 The important principle is the magnitude of the impact on the historic landscape character unit. If an historic landscape unit has been characterised as – say – a late 20th century transport and industrial corridor, then the addition of a new transport element may have little or no impact on its historic character, despite a large land-take and possibly considerable negative impacts on other cultural heritage assets. There could be little or no historic landscape character change. Conversely, a new dual carriageway, which may have no significant impacts on archaeological remains or historic buildings, built across an otherwise coherent and relatively untouched pre-enclosure landscape unit may change it into urban edge-land, a considerable alteration.

7.12.20 Table 7.3 summarises the factors to be taken into account when assessing the magnitude of impact.

Table 7.3: Magnitude of Impact: Summary of Factors

Factors in the Assessment of Magnitude of Change	
Major	Change to most or all key historic landscape elements, parcels or components; extreme visual effects; gross change of noise or change to sound quality; fundamental changes to use or access; resulting in total change to historic landscape character unit.
Moderate	Changes to many key historic landscape elements, parcels or components, visual change to many key aspects of the historic landscape, noticeable differences in noise or sound quality, considerable changes to use or access; resulting in moderate changes to historic landscape character.
Minor	Changes to few key historic landscape elements, parcels or components, slight visual changes to few key aspects of historic landscape, limited changes to noise levels or sound quality; slight changes to use or access: resulting in limited changes to historic landscape character.
Negligible	Very minor changes to key historic landscape elements, parcels or components, virtually unchanged visual effects, very slight changes in noise levels or or sound quality; very slight changes to use or access; resulting in a very small change to historic landscape character.
No change	No change to elements, parcels or components; no visual or audible changes; no changes arising from in amenity or community factors.

7.13 Assessing Significance of Effects

7.13.1 The significance of the effect - that is, the extent to which the change to the historic landscape character matters – is the result of the value of the historic landscape character unit combined with the magnitude of the impact on it (incorporating the agreed mitigation). A large negative impact on a valuable historic landscape character unit would matter more than a large negative impact on a commonplace character unit. For instance, a new road scheme might totally change a late 20th century industrial landscape (historic landscape value: negligible) into a 21st century transport and communications landscape (value also negligible), so despite the high magnitude of impact (major change), when combined with the low value it would result in a slight or neutral significance of effect.

7.13.2 The judgement of the significance of effect should use the following scale:

- Very Large;
- Large;
- Moderate;
- Slight;
- Neutral.

7.13.3 Table 7.4 illustrates how information on the Value and the Magnitude of Impact are combined to arrive at an assessment of the Significance of Effect.

Table 7.4: Significance of Effects Matrix

VALUE						
	Very High	Neutral	Slight	Moderate/ Large	Large or Very Large	Very Large
	High	Neutral	Slight	Moderate/ Slight	Moderate/ Large	Large/Very Large
	Medium	Neutral	Neutral/ Slight	Slight	Moderate	Moderate/ Large
	Low	Neutral	Neutral/ Slight	Neutral/ Slight	Slight	Slight/ Moderate
	Negligible	Neutral	Neutral	Neutral/ Slight	Neutral/ Slight	Slight
		No change	**Negligible**	**Minor**	**Moderate**	**Major**
		MAGNITUDE OF IMPACT				

7.13.4 The significance of effect should be included in the data entry for each asset. It should be classified according to whether it is caused by scheme construction or operation.

7.14 Assessing Significance of Effects on the Overall Cultural Heritage Resource

7.14.1 The Cultural Heritage resource is an integrated whole, divided into the three sub-topics in this guidance solely because of the differing methods required for their assessment. It will be necessary to provide overview of the significance of the effect on the combined cultural heritage resource (archaeological remains, historic buildings and historic landscapes) over the scheme as a whole. For Environmental Statements it is not necessary to reduce this assessment to a single overall score (as it is in Appraisal Summary Tables), but the effects on individual assets in each sub-topic should be discussed, and their relative significance considered. The intention is that the ranking of value, impact and significance should be comparable across the sub-topics, so that their relative contribution to the overall assessment is reasonably transparent.

7.14.2 Historic landscapes have associations and significance for other cultural heritage sub-topics, for example, they will form the setting of historic buildings, and the archaeological remains buried beneath them will have shaped the character of the landscape. Historic landscape character analysis can provide a powerful tool for predicting the presence of other cultural heritage assets. The assessment should aim to re-integrate the three cultural heritage sub-topics to arrive at an overall assessment of the significance of the effect on the cultural heritage resource over the whole scheme. This does not require there to be a single overall score, as required in Appraisals for Appraisal Summary Tables (see WebTAG).

7.14.3 For each cultural heritage sub-topic there may be differing degrees of effect. For example, an historic structure may be important in the historic building assessment but the historic landscape character evaluation may be low. In these cases the highest sub-topic score should be taken as the significance of effect for that asset.

7.14.4 If all the effects on all assets were adverse then the highest reading on the Significance of Effect matrix will also normally be taken to be the overall cultural heritage effect, but judgement should be exercised to ensure that this does not distort the assessment. A scheme with wholly beneficial cultural heritage effects would, however, not normally be assessed at the highest beneficial reading, as a precautionary attitude should be adopted to avoid an over optimistic assessment. Again judgement is required on a case by case basis.

7.14.5 If there were adverse and beneficial effects these will need to be brought out in the assessment, not obscured by balancing them off against one another. For example, a bypass proposal with a Moderate Beneficial Effect on the historic building assets in a town centre might also have a Moderate Adverse Effect on rural archaeological remains. If these were offset against one another to produce a Neutral assessment score this would be misleading. An alternative route with no adverse or beneficial effects, or one with different balancing effects, would also have neutral scores, but clearly the schemes would not be equivalent in their effect on the cultural heritage resource. The effects of the different options and the scores should be described in the text, to make the differences clear.

7.15 Reporting

7.15.1 Guidance on reporting the Scoping, Simple and Detailed Assessment is given in the main Cultural Heritage Topic guidance at Section 6.

7.15.2 Dissemination requirements may not be determined in detail until the investigations have been completed and the results assessed. However, the general scale and approach to post-fieldwork processing and data dissemination must be established, and costed, at all stages of the proposals, and included in the commitments and contracts to carry out the work. Post fieldwork analysis, archiving and dissemination for archaeological works are covered in DMRB Volume 10a, and similar arrangements should be made for original historic landscape work. The individual circumstances of the scheme should be taken into account so that the cultural heritage design and mitigation strategy are formulated with their end products – the requirements of decision making and the need to ensure full and effective reporting, including post excavation work – clearly in mind.

7.15.3 Particular care should be taken to ensure that any original research undertaken in connection with the scheme is appropriately disseminated if no further programme of work were undertaken into which it could be assimilated, for instance if the scheme were abandoned or postponed.

ANNEX 8 THE DEVOLVED ADMINISTRATIONS' PROCEDURES

Welsh Assembly Government – Transport Wales

8.1 The Welsh Assembly Government – Transport Wales supports the assessment procedure, processes and methodologies described in this guidance. Whilst the broad principles are acceptable, differences may exist in Wales for the procedures and arrangements for procuring, managing and delivering cultural heritage assessments and reports, and their integration with other Environmental Impact Assessment (EIA) topics. Design Organisations, Designers and Maintaining Organisations should satisfy themselves of the requirements of the Welsh Assembly Government – Transport Wales to ensure that current procedures and standards applicable to Wales are met.

8.2 The responsibilities for undertaking, managing and reporting on the cultural assessment described in this guidance will vary in accordance with the form of procurement adopted by Transport Wales (i.e., conventional design commission, design and build, Early Contractor Involvement, etc.). Transport Wales will consult with Cadw on the scope of the brief for cultural heritage assessment required for the scheme/ scheme. Transport Wales will include the brief in the Contract and Tender requirements and Works Information. The Design Organisation, Designer and Maintaining organisation will be responsible under the terms of the contract or commission for scoping the appropriate detail and extent of assessment required in accordance with the procedures and methodologies described in this guidance. The Design Organisation, Designer or Maintaining Organisation will be required to report to and confirm with Transport Wales and Cadw on the scope of assessment proposed. The Design Organisation, Designer or Maintaining Organisation will also be responsible for agreeing the Scheme Design, assessment reports, archaeological designs and mitigation measures with Transport Wales and Cadw.

8.3 The roles and responsibilities of the principal organisations to be consulted during the assessment process are summarised as follows.

8.4 **Cadw**. Cadw is the Welsh Assembly Government's historic environment division. Its aim is to promote the conservation and appreciation of Wales's historic environment. Cadw advises Transport Wales on cultural heritage matters. Guidance on cultural heritage matters is given in Planning Policy Wales and Welsh Office Circulars 60/96 and 61/96.

8.5 Cadw will be consulted to provide up-to-date information on nationally designated historic assets, i.e. scheduled monuments, listed buildings, registered historic landscapes, parks and gardens and World Heritage Sites. Cadw will provide advice on the direct and indirect impacts of any proposals affecting these assets. Cadw will be consulted upon and may advise on commissioning the different stages of work making up the cultural heritage assessment described in this guidance. It will approve the cultural heritage assessments included in Environmental Statements and Assessment Reports, and recommend what level of final publication of the results of investigative work is appropriate.

8.6 For schemes procured directly by Transport Wales through conventional contracts, the brief and programme for cultural heritage assessment and recording will be specified by Cadw and be approved by the Transport Wales's Scheme Manager. Cadw will advise on the selection of cultural heritage specialist contractors/consultants and assist in monitoring surveys, assessments, excavations and post excavation work.

8.7 For schemes procured by other forms of contract, particularly, Design and Build (DB) Early Contractor Involvement (ECI), and Design Build Finance and Operate (DBFO), Cadw's role will be limited to advising Transport Wales on the Scheme Brief, Scheme Design, assessment reports and the Cultural Heritage chapter of the environmental statements for these schemes.

8.8 For schemes that affect one of the 58 areas currently on the Register of Historic Landscapes in Wales, Cadw and the Countryside Council for Wales have published a Guide to Good Practice on Using the Register of Landscapes in Wales in the Planning and Development Process (rev. ed 2007). This describes the process of Historic Landscape Characterisation and Assessment for the registered areas, which can be applied elsewhere in Wales (see Annex 7).

8.9 The contact address for Cadw is:

Cadw
Plas Carew
Cefn Coed
Nantgarw
Cardiff
CF15 7QQ

Tel: 01443 336000
Fax: 01443 336001
E-mail: cadw@wales.gsi.gov.uk
www.cadw.wales.gov.uk

Welsh Archaeological Trusts

8.10 The four Welsh Archaeological Trusts work closely with Cadw and other national, regional and local bodies, to help protect, record and interpret all aspects of the historic environment for the whole of Wales. The Trusts' activities are organised into Adminstrative, Curatorial and Project Sections or Teams. The Curatorial Sections maintain the Regional Sites and Monuments Record – an archive and computerised database of all known archaeological or heritage related sites for their areas of responsibility, supported by excavation archives, records of land and building surveys, collections of air photographs and other cultural heritage information. The Trusts provide advice on and monitor the effects of development upon the archaeological resource to their local planning authorities and other agencies in their regions, in line with the Welsh Archaeological Trusts Curators' Code of Practice. The Project Sections undertake fieldwork and assessment schemes to a wide range of clients on a commercial basis.

8.11 Design Organisations, Designers and Maintaining Organisations will be expected to consult the relevant Trust and their Sites and Monuments Record in the scoping of assessments, and the development of the Scheme Design, assessment reports and Cultural Heritage Design for their schemes. The four Welsh Archaeological Trusts are:

The Clwyd-Powys Archaeological Trust
7a Church Street
Welshpool
Powys
SY21 7DL

Tel: 01938 553670
Fax: 01938 552179
Email: trust@cpat.org.uk
www.cpat.org.uk

Dyfed Archaeological Trust – Cambria Archaeology
The Shire Hall
8 Carmarthen Street
Llandeilo
Carmarthenshire
SA19 6AF

Tel: 01558 823121
Fax: 01558 823133
Email: cambria@cambria.org.uk
www.acadat.com

Gwynedd Archaeological Trust
Craig Beuno
Garth Road
Bangor
Gwynedd
LL57 2RT

Tel: 01248 352535
Fax: 01248 370925
Email: gat@heneb.co.uk
www.heneb.co.uk

Glamorgan-Gwent Archaeological Trust
Heathfield House
Heathfield
Swansea
SA1 6EL

Tel: 01792 655208
Fax: 01792 474469
Email: enquiries@ggat.org.uk
www.ggat.org.uk

Local Authorities

8.12 Currently, only two Welsh unitary authorities and the three National Parks in Wales employ archaeological staff with responsibilities for archaeology and development control. However each unitary authority and national park have at least one building conservation officer. Design Organisations, Designers and Maintaining Organisations should consult with these authorities for information and advice concerning listed buildings, conservation areas and any other local cultural heritage designations.

The National Monuments Record

8.13 The National Monuments Record (NMR) is maintained by the Royal Commission on the Ancient and Historical Monuments of Wales (RCAHMW). This

record is complimentary to the Regional Sites and Monuments Records, and has particular strengths in historic buildings and aerial photographs. There is a comprehensive on-line catalogue for the NMR, Coflein, but the supporting material needs to be consulted at:

The National Monuments Record
Plas Crug
Aberystwyth
Ceredigion
SY23 1NJ

Tel: 01970 621200
Email: nmr.wales@rcahmw.org.uk
www.rcahmw.org.uk/coflein.shtml

Northern Ireland

8.14 The Environment and Heritage Service (EHS) is an Agency within the Department of the Environment of the Northern Ireland Assembly. It has responsibility for identifying, recording and protecting archaeological sites and monuments, and buildings and other structures of architectural or historical interest. Protection is carried out by scheduling, under the Historic Monuments Act (NI) 1971, or by listing, under the Planning (NI) Order 1991.

8.15 The Monuments and Buildings Record (MBR), maintained by EHS, holds details of over 12,500 archaeological sites and monuments, and also identifies listed buildings, gardens, parks and demesnes, and sites of industrial heritage interest.

8.16 On environmental assessment, the statutory bodies will, for their respective areas:

(i) advise on the need for, or extent of, an assessment of archaeological remains, historic buildings or historic gardens and designed landscapes;

(ii) advise on sources of information and other possible consultees

(iii) comment on the implications of schemes for archaeological remains and historic buildings, and other aspects of the historic environment;

(iv) advise on the mitigation of adverse impacts.

Scottish Executive – Transport Scotland

8.17 The Scottish Executive supports the assessment procedure, processes and methodologies described in this guidance. Accordingly, assessment of the historic environment should follow the guidance set out in the remainder of Section 3, Part 2. This section of Annex 8 sets out, for Scotland, the roles and responsibilities of each of the parties at the different stages and provides a list of information sources for the historic environment.

Roles and Responsibilities

8.18 Historic Scotland (HS) is an Agency of the Scottish Executive and is directly responsible to Scottish Ministers for safeguarding the nation's historic environment, and promoting its understanding and enjoyment. All functions performed by the Agency are carried out on behalf of Scottish Ministers. For trunk roads, HS is responsible for providing policy advice and commenting on the implications of a trunk road scheme for the historic environment.

8.19 Transport Scotland (TS), as the Overseeing Organisation, is responsible for liaising with HS on trunk road matters, commissioning the environmental assessment and ensuring that, where necessary, the Design Organisation/consultant provides appropriately skilled staff.

General Principles which Apply to the Planning and Design of Trunk Roads

8.20 In principle HS would expect all new trunk roads to be planned to avoid damage to the site and setting of statutorily protected scheduled monuments and listed buildings identified within route study areas. This applies particularly strongly to sites of recognised national importance (primarily all scheduled monuments and others of similar merit and category A-listed buildings). The main policy consideration here, set out in paragraph 17 of National Planning Policy Guideline 5 ***Archaeology and Planning*** (NPPG 5), is that developments which would have an adverse effect on sites of national importance or on the integrity of their settings should not be permitted unless there are **exceptional circumstances**. The latter is not further defined in the NPPG. However, the more recent Scottish Historic Environment Policy 2 ***Scheduling: protecting Scotland's nationally important monuments*** confirms on page 15 that 'The primary purpose of scheduling under the 1979 Act is the preservation of, and control of works on monuments,

the survival of which is in the national interest. The provisions of the 1979 Act are consistent with the principles of minimal intervention to ensure that the characteristics that make a monument of national importance are preserved as far as possible in the state in which it has come down to us, and is passed on to future generations in as unchanged a state as practicable, in accord with the principles of sustainable development. In general, those principles will only be set aside in circumstances where wider considerations are deemed, on balance, to be of greater importance to the national interest...'.

8.21 Where Government-sponsored developments – including trunk roads – directly affect any statutorily protected features, the principles of scheduled monument and listed building consent which apply to all non-Crown development are still applicable. Formal application for scheduled monument clearance or listed building consent must be made, on the appropriate forms, to HS (for scheduled monuments) or to the Planning Authority (for listed buildings).

8.22 In relation to unscheduled archaeological features which do not meet the criteria of national importance, it is HS's preferred position, in accordance with policy set out in NPPG 5, that significant features of importance in a regional or local context should also be preserved in situ wherever feasible. The fact that archaeological sites are a finite and non-renewable resource is an important consideration and an issue for sustainable development. However, we accept that this is not always possible and where preservation is not feasible, archaeological excavation incorporating the recording and analysis of remains and publication of the findings may be an acceptable alternative, although always less preferable from the archaeological viewpoint. It is an important principle that sites of archaeological potential, however slight, should not be lost to development without an adequate record having first been made. In cases where it is agreed that archaeological excavation is the only acceptable mitigation, Trunk Roads: Infrastructure and Professional Services (TR:IPS) will agree with HS (which is also part of the Scottish Executive) an appropriate archaeological mitigation strategy. The costs of the necessary archaeological work will be met from within the scheme budget.

8.23 For gardens and designed landscapes it is HS's policy to seek to prevent any intrusive development which would detract from their integrity and historic landscape character. In road schemes every effort must be made at the route planning stage to avoid any historic landscape identified. In exceptional circumstances, where this is not feasible, all proposals must be fully discussed with HS. Any agreed routes which directly affect designed landscapes would require particularly careful design treatment to ensure that both individual landscape features (e.g. avenues, tree belts and plantations, hedges, policy walls, bridges, lodges and other built structures) as well as the overall historic landscape character and setting of the listed property are not adversely affected.

8.24 These general guidelines apply equally to all trunk road construction activity and ancillary works which cause ground disturbance. As well as the actual carriageway construction itself, all side roads and accesses, storage areas, borrow pits, soil dumps, temporary site accesses etc. and landscaping schemes beyond the road margins, particularly those involving earthmoving and tree planting, can damage or destroy fragile archaeological features and must be planned to avoid them.

Consultation Requirements

8.25 HS must be consulted where potential effects are identified for international (i.e. World Heritage Site) and national assets (i.e. scheduled ancient monuments, Category A-listed buildings, gardens and designed landscapes on the Inventory).

8.26 Local Authorities should be consulted about potential effects on Conservation Areas, and B and C(S) listed buildings.

8.27 Council Archaeologists should be consulted about potential effects on sites listed on the Sites and Monuments Records. They should also, at the Assessment stage, be asked for their view, based on local knowledge, of the likelihood of significant unrecorded archaeology being present in the land subject to assessment.

8.28 Other historic environment interest groups are to be consulted where appropriate.

Scoping

8.29 Scoping should be undertaken by staff within the Design Organisation/consultant team with appropriate knowledge/qualifications in historic environment issues. The Design Organisation/consultant should collect information about the known historic resource using the information sources identified in paragraphs 8.47-8.56 and identify relevant constraints. Baseline information is available online (see paragraphs 8.47-

8.56) and these sources should be consulted before approaching HS.

8.30 Data to be collected at this stage should include: scheduled ancient monuments; listed buildings; gardens and designed landscapes; Conservation Areas; Historic Land Use Assessment; National Monuments Record of Scotland (NMRS); and Sites and Monuments Record information.

8.31 Note that, where there is considerable known historic environment interest in an area, e.g. a number of SAMs, then it is more probable that archaeological remains will be encountered during any pre-construction excavation works.

8.32 HS should be consulted at the scoping stage, and will provide policy advice and advise (where necessary) on the issues to be taken forward to Simple or Detailed Assessment.

8.33 Results should be reported using an Ordnance Survey-based map (at 1:25 000 or 1:10 000 scale as appropriate) to identify constraints, accompanied by descriptions. The map should also identify potential archaeologically sensitive areas, as these have implications for scheme costs in terms of mitigation, survey and reporting.

Simple Assessment

8.34 Requirements for simple assessment will be based on the findings of the scoping exercise.

8.35 The assessment should set out the following information:

- baseline environmental characteristics;
- predicted impacts without mitigation;
- mitigation measures; and
- residual effects i.e. predicted impacts with mitigation.

8.36 Simple assessment work is to be commissioned and managed by TS as the Overseeing Organisation. TS will consult HS on the brief regarding the scope of the work, level of detail, and technical requirements.

8.37 HS will provide policy advice and review the results of survey work and assessment prior to its inclusion in a report/Environmental Statement.

8.38 Data to be used at this stage should include that collected during scoping, i.e. scheduled ancient monuments; listed buildings; gardens and designed landscapes; Conservation Areas; Historic Land Use Assessment; NMRS; and Sites and Monuments Record information. Where necessary, this data should be refreshed. Air photographs (available from Royal Commission on the Ancient and Historical Monuments of Scotland (RCAHMS)) may be consulted. Where appropriate, ground investigations may be observed by historic environment specialists.

8.39 Baseline data should be reported in a gazetteer or database, with a suitable scale of mapping (1:10 000 minimum for rural schemes and 1:2500 minimum for urban schemes).

Detailed Assessment

8.40 The assessment should set out the following information:

- baseline environmental characteristics;
- predicted impacts without mitigation;
- mitigation measures; and
- residual effects i.e. predicted impacts with mitigation.

8.41 Requirements for detailed assessment will be based on the findings of the scoping exercise and/or a simple assessment.

8.42 Detailed assessment work is to be commissioned and managed by TS as the Overseeing Organisation. TS will consult HS on the brief regarding the scope of the work, level of detail, and technical requirements.

8.43 HS will provide policy advice and review the results prior to its inclusion in a report/Environmental Statement.

8.44 Data to be used at this stage should include that collected during scoping/simple assessment, i.e. scheduled ancient monuments; listed buildings; gardens and designed landscapes; Conservation Areas; Historic Land Use Assessment; NMRS; and Sites and Monuments Record information. Where necessary, this data should be refreshed. Air photographs (available from RCAHMS) may be consulted. Where appropriate, ground investigations may be observed by historic environment specialists.

8.45 The field survey element of detailed assessment in Scotland is undertaken once land is in the possession of the Scottish Ministers i.e. after the Orders have been made. In Scotland this element of detailed assessment tends to be used as a mitigation measure, in terms of excavation and recording prior to the commencement of construction. Such mitigation commitments will be set out in the Environmental Statement. This work is carried out prior to the land being made available to the contractor.

8.46 Detailed assessment survey work is commissioned and managed by HS on behalf of TS in line with agreed inter-Agency procedures. If agreed between TS and HS, management may be delegated to a third party in line with agreed procedures.

Information Held on the Historic Environment

8.47 Background information on HS and general advice on data is available from the HS website at **www.historic-scotland.gov.uk**. Information on the historic environment is available from a variety of sources.

8.48 To comply with the Freedom of Information (Scotland) Act 2002, HS has published a publication scheme to provide access to information collected, held and used by HS. This publication scheme is a guide to the information which HS routinely makes available either electronically through its website, or via its offices. HS's publication scheme can be viewed on the HS website (**http://www.historic-scotland.gov.uk/foi_publication_scheme_feb05.pdf**).

8.49 Information on the location and details of scheduled ancient monuments and listed buildings (including supporting information) is provided on Pastmap (**http://www.PASTMAP.org.uk**), a free, interactive, map-based query system developed jointly by the RCAHMS and HS. Databases providing summary information on scheduled ancient monuments and listed buildings are also available on the HS website. The underlying scheduled ancient monument and listed building data displayed on Pastmap is also available, under licence, in GIS format (contact **hsgimanager@scotland.gsi.gov.uk**). Access to HS's spatial datasets on listed buildings, scheduled monuments and properties in care is also available directly at **http://hsewsf.sedsh.gov.uk/pls/htmldb/f?p=500:1:8448412299472048421**.

8.50 Information on the location of gardens and designed landscapes is provided on Pastmap. Detailed supporting information on gardens and designed landscapes is provided in the Inventory of Gardens and Designed Landscapes. The Inventory can be consulted at HS offices or is available online at: **http://www.historic-scotland.gov.uk/index/gardens/gardens_inventory_intro/gardens_search.htm**.

8.51 Information on all archaeological/historic sites, buildings and finds recorded in the NMRS is available on the RCAHMS website (**http://www.rcahms.gov.uk**). Locational and supporting information is provided on Pastmap.

8.52 Information on historic landscapes, in particular historic land-use assessment and NMRS data, can be obtained from the RCAHMS website (**http://www.rcahms.gov.uk**). The historic land-use assessment is a GIS-based analysis of past and present land-use, developed jointly by HS and RCAHMS. It can be found on the RCAHMS web-site at HLAMAP.

8.53 Information on cultural World Heritage Sites is provided on the HS website (**http://www.historic-scotland.gov.uk**).

8.54 Wrecks may be protected under the Protection of Wrecks Act 1973, scheduled as ancient monuments or identified as NMRS sites. Information on protected wrecks is available, under licence, in GIS format (contact **hsgimanager@scotland.gsi.gov.uk**).

8.55 Local authorities also hold information on the historic environment relevant to their areas. Their archaeological services can provide information on sites included in their Sites and Monuments Records (also available on Pastmap), whilst planning authorities can provide information on Conservation Areas. Contact details are provided on Pastmap and on the HS website.

8.56 Contact addresses:

Historic Scotland
Longmore House
Salisbury Place
Edinburgh
EH9 1SH

Tel: 0131 668 8600
www.historic-scotland.gov.uk

NMRS and RCAHMS
John Sinclair House
16 Bernard Terrace
Edinburgh
EH8 9NX

Tel: 0131 662 1456
www.rcahms.gov.uk

8.57 Under Scots law, any archaeological artefact to which no clear line of ownership can be determined belongs to the Crown. Therefore, if an archaeological artefact or assemblage of archaeological material is found during the course of site works, building operations or archaeological excavations, it must be reported to the Treasure Trove Unit (see the website at www.treasuretrove.org.uk for further details).

8.58 If the excavations are funded by Historic Scotland, reporting to the Treasure Trove Unit is carried out by Historic Scotland. If the excavations are not funded by Historic Scotland, the excavation Project Director must report the finds directly to the Treasure Trove Unit. If the discovery of the artefact or archaeological assemblage is made by someone working on the construction project or by a member of the public, they should report the find directly to the Treasure Trove Unit. If the archaeological artefacts are of sufficient importance, they will be claimed as Treasure Trove and allocated to a museum.

ANNEX 9 GLOSSARY

ACADEMIC REPORT – a report containing all the evidence, analysis and synthesis necessary to fulfil an ARCHAEOLOGICAL RECORDING PROGRAMME. See also the POPULAR REPORT.

ARCHAEOLOGICAL ASSESSMENT – the process of reviewing the material, which results from an Archaeological Recording Programme, before decisions regarding the appropriate level of post excavation analysis and publication are taken. The result is an Assessment Report leading to an UPDATED SCHEME DESIGN.

ARCHAEOLOGICAL CONTRACTOR – the archaeological organisation employed to carry out an archaeological recording scheme. Different archaeological contractors may undertake the EVALUATION and MITIGATION stages of the work.

ARCHAEOLOGICAL RECORDING – work commissioned for the purpose of investigating, analysing, interpreting and publishing important archaeological remains, which may be damaged or destroyed by a trunk road scheme.

ARCHAEOLOGICAL RECORDING PROGRAMME – the full sequence of mitigation of an impact on archaeological sites or remains through archaeological excavation and recording. A recording programme is not complete until ARCHAEOLOGICAL ASSESSMENT, analysis, dissemination and archiving is finished.

ASSET – the overall cultural heritage resource comprises individual assets, which may be archaeological remains, historic buildings or historic landscape character units.

Cadw – Cadw is the Welsh Assembly Government's historic environment division, its role and responsibilities are set out in Annex 8.

COI – Central Office of Information.

COMMISSION FOR ARCHITECTURE AND THE BUILT ENVIRONMENT (CABE) – CABE promotes good architecture, landscape architecture, urban design and spatial planning.

CONTEXT – knowledge or beliefs which supply the framework for appreciating historical assets and values, where tangible or visible evidence is lacking at the site.

COUNCIL FOR BRITISH ARCHAEOLOGY (CBA) – A UK-wide non-governmental organisation promoting knowledge, appreciation and care of the historic environment for the benefit of present and future generations.

COUNTY ARCHAEOLOGIST (England only) – (may also be titled Local Archaeological Officer, Heritage Advisor, Conservation Officer, Regional Archaeologist or Planning Archaeologist). The archaeologist charged with protecting and monitoring the archaeological resource across a county or planning authority. In relation to highways schemes, their role is to advise on the significance of the archaeological resource, offer advice on fieldwork methodologies and monitor the results of any fieldwork. In the devolved administrations the Welsh Trust and Regional Archaeologists in Scotland undertake this role.

CPO – Compulsory Purchase Order.

CURATOR – the archaeologists charged with protecting and monitoring the archaeological resource. In England this is usually the COUNTY ARCHAEOLOGIST, or for national issues ENGLISH HERITAGE. In Scotland, HISTORIC SCOTLAND is always the curator on trunk road schemes. In Northern Ireland the ENVIRONMENT AND HERITAGE SERVICE acts as the curator, while in Wales Cadw acts as the curator on trunk road schemes, whilst on other schemes this role is undertaken by the Welsh Archaeological Trusts. The exact role of the curator in relation to highways schemes varies across the Devolved Administrations, and more information is set out in Annex 8.

DB/DBFO – Design and Build/Design, Build, Finance and Operate; Form of contract; where a contractor or consortium undertakes to build and maintain/operate a road scheme commissioned by the Overseeing Organisation.

DESIGN ORGANISATION – the organisation commissioned to undertake the various stages of scheme preparation and supervision of construction. This includes specialist sub-consultants brought in to advise on specific areas of ASSESSMENT and MITIGATION.

DESIGN ORGANISATION'S CONSULTANT – the specialist sub-consultant employed by the DESIGN ORGANISATION to provide advice on cultural heritage and produce a SCHEME BRIEF for recording schemes where necessary; and monitor and report progress on all phases of such schemes including post-excavation analysis and the production of a report.

DESK-BASED ASSESSMENT – a data collection and analysis exercise utilising existing sources of cultural heritage data (such as SITES and MONUMENTS RECORDS, Listed Building data, historic maps etc.). The purpose is to identify relevant known cultural heritage resources.

DMRB – Design Manual for Roads and Bridges.

EVALUATION – the process of identifying cultural heritage resources, including the initial studies and fieldwork carried out to assess the cultural heritage potential and the effect of the SCHEME. Evaluation may form part of the assessment process.

EXCAVATION – form of archaeological fieldwork generally employed as MITIGATION. Usually involves topsoil stripping followed by detailed investigation, recording, analysis interpretation and publication of archaeological features or deposits.

FIELD SURVEY – fieldwork intended to provide additional information about known or potential cultural heritage resources, as part of the EVALUATION (assessment) process. It can include FIELD WALKING, GEOPHYSICAL SURVEY and TRIAL TRENCHING. Field survey is distinct from MITIGATION.

FIELD WALKING – a non-intrusive evaluation method involving a grid-based visual examination of, and artefact collection from, the surface of ploughed ground, in order to identify areas of archaeological finds.

FORESEEABLE FINDS – discoveries of significant archaeological material that occur in the MITIGATION and/or construction phases which reasonably could have been predicted using professional judgement from the information provided by the DESIGN ORGANISATION with the SCHEME BRIEF as part of the tender documents. The costs of these are likely to be borne by the contractor (see UNFORESEEABLE FINDS for definition for the alternative situation).

GEOPHYSICAL SURVEY – a non-intrusive EVALUATION method employing remote sensing techniques, which measure particular properties of the ground. These include resistivity (electrical conduction), magnetometry (magnetic properties) ground-penetrating radar, metal detecting and others.

HISTORIC ENVIRONMENT RECORD – (HER) see SITES AND MONUMENTS RECORD.

HISTORIC SCOTLAND – the agency of the Scottish Executive responsible to Scottish Ministers for safeguarding the nation's historic environment, and promoting its understanding and enjoyment. Its role and responsibilities are set out in Annex 8.

INSTITUTE OF FIELD ARCHAEOLOGISTS (IFA) – the IFA represents professional archaeologists and promotes good practice amongst archaeological contractors. IFA registered organisations are required to adhere to certain minimum standards of practice.

LIDAR – Light Detection and Ranging. A technique for detecting slight morphological changes, and in favourable circumstances capable of locating buried archaeological features, palaeochannels etc. as well as providing detailed photogrammetric records of buildings etc.

LISTED BUILDING – a statutory designation assigned to a built structure (not limited solely to buildings) of special architectural or historic interest.

MITIGATION – archaeological work intended to reduce the impact of a scheme, agreed with the OVERSEEING ORGANISATION following the EVALUATION phase. Mitigation may involve, amongst others, avoiding or screening important cultural heritage features, or burying or excavating and recording archaeological material (see ARCHAEOLOGICAL RECORDING PROGRAMME).

NATIONAL MONUMENTS RECORD (NMR) – a national record of cultural heritage sites, buildings, aerial photographs etc. held by English Heritage. The NMR for Wales is held by the Royal Commission on the Ancient and Historical Monuments for Wales (RCAHMW). See also SITES AND MONUMENTS RECORD.

NATIONAL TRUST (NT) – the National Trust acts as a guardian for the environment and heritage in England, Wales and Northern Ireland by the acquisition and protection of threatened coastline, countryside and buildings.

NORTHERN IRELAND ENVIRONMENT AND HERITAGE SERVICE (EHS) – an agency of the Northern Ireland Executive responsible for all aspects of environmental protection, including cultural heritage.

OVERSEEING ORGANISATION – the Organisation responsible for a scheme i.e. the Highways Agency (an Executive Agency of the Department of the Environment, Transport and the Regions); the Highways Directorate of the National Assembly for Wales; the Trunk Roads Divisions of the Scottish Executive; or in Northern Ireland, Roads Service, an Agency of the Department for Regional Development.

POPULAR REPORT – a publication or presentation designed to present the results of an cultural heritage investigation simply for a lay audience in an attractive format.

REGISTER OF PARKS AND GARDENS OF HISTORIC INTEREST– a non-statutory designation used by ENGLISH HERITAGE to identify parks or gardens of particular historical value.

RESEARCH AGENDAS – in England these are developed nationally by English Heritage, and regionally by various consortia, as a means of prioritising cultural heritage research. The intention is to focus work on periods or processes, which are of particular national or regional interest. These may be used to inform scheme-specific scheme designs and research objectives.

SCHEDULED MONUMENT – the designation by the respective Secretaries of State and Ministers advised by the Department of Culture, Media and Sport and ENGLISH HERITAGE in England, CADW in Wales, HISTORIC SCOTLAND in Scotland and the ENVIRONMENT AND HERITAGE SERVICE in Northern Ireland, of a site or area as worthy of protection under the terms of the Ancient Monuments and Archaeological Areas Act 1979. Scheduled Monuments are of national importance.

SCHEDULED MONUMENT CLEARANCE (SMC) – as a government agency the Highways Agency in England, and the other national highways authorities in Wales, Scotland and Northern Ireland, would apply for Scheduled Monument Clearance for work affecting a SCHEDULED MONUMENT (for non-government development Scheduled Monument Consent is required). Scheduled Monument Clearance must be obtained from the respective Secretaries of State or Ministers, advised in England by the Department of Culture, Media and Sport and ENGLISH HERITAGE, in Wales from CADW, in Northern Ireland from the ENVIRONMENT AND HERITAGE SERVICE and in Scotland from HISTORIC SCOTLAND, before any works can be carried out which may:

- result in the destruction or demolition of, or cause damage to any scheduled monument;
- involve removing or repairing a scheduled monument or any part of it or making alterations and additions thereto;
- any flooding or tipping operations on land in, on or under which there is a scheduled monument;
- entail any geophysical survey (including metal detecting) in, on, or over the scheduled area.

SMC is not required for operations that would affect the setting of Scheduled Monuments. Further information is available in Section 2 of the Ancient Monuments and Archaeological Areas Act 1979.

SCHEME – an improvement to, or extension of, the trunk road network.

SCHEME BRIEF – this defines the objectives of the cultural heritage Recording Programme and is the basis for the SCHEME DESIGN produced by the cultural heritage contractor.

SCHEME DESIGN – this is the equivalent of a specification, and is produced by an cultural heritage contractor to show how it is proposed to achieve the objectives of the SCHEME BRIEF. It will include methodologies, staffing, costs and timetable and forms the basis of the tender bid. It may be up-dated over the course of the scheme to reflect any change to the overall objectives (see UPDATED SCHEME DESIGN).

SETTING – the surroundings of an asset that are relevant to its value, understanding or appreciation.

SITES & MONUMENTS RECORD (SMR) – also known as HISTORIC ENVIRONMENT RECORD (HER) a database of cultural heritage resources. In England, each County/Unitary Authority maintains its own SMR. Details from individual SMRs are fed into the National Monuments Record (NMR), held by ENGLISH HERITAGE. In Scotland the SMRs are the records curated by, or on behalf of, Scottish Local Authorites. Contact details are available on PASTMAP. The National Monuments Record of Scotland (NMRS) is the national collection of material relating to the archaeological and architectural heritage of Scotland and is held by the Royal Commission on Ancient and Historical Monuments of Scotland (RCAHMS). In Wales the system is maintained by the four Welsh Archaeological Trusts. In Northern Ireland, the ENVIRONMENT AND HERITAGE SERVICE is responsible for the Monuments and Buildings Record (MBR).

STRIP, MAP and SAMPLE (SMS) – SMS is a mitigation technique. It is intended for use in areas where evaluation fieldwork is deemed unnecessary because archaeological remains are already known or are highly likely to occur. It is not intended as a 'catch-all' to avoid carrying out evaluation work, nor should it be used in place of targeted excavation.

TIME DEPTH – the extent to which evidence of the processes of change over time survive and can be used to construct a coherent understanding of past landscapes.

TOPSOIL STRIP MONITORING – (in Scotland) the archaeological supervision of the contractor's removal of topsoil, with agreed provision for means of removal and the time to be allowed for archaeological investigation of any features found during this process (see WATCHING BRIEF).

TRIAL TRENCHING – intrusive FIELD SURVEY technique intended to test for the presence or absence, character, survival, date and extent of potential archaeological resources.

UNEXPECTED FINDS – discoveries of significant cultural heritage assets, which were not identified in the SCHEME DESIGN. They may be either UNFORESEEABLE or FORESEEABLE (see below).

UNFORESEEABLE FINDS – discoveries of significant cultural heritage assets that occur in the MITIGATION or construction phases of a SCHEME despite the reasonable and professionally competent interpretation of all the documents and materials, including the Scheme Brief, made available by the DESIGN ORGANISATION to the ARCHAEOLOGICAL CONTRACTOR on which it based its SCHEME DESIGN and bid. The costs of dealing with these are likely to be borne by the OVERSEEING ORGANISATION (see FORESEEABLE FINDS definition for the alternative situation).

UPDATED SCHEME DESIGN – the revised SCHEME DESIGN that results from the ARCHAEOLOGICAL ASSESSMENT phase of an ARCHAEOLOGICAL RECORDING PROGRAMME.

WALKOVER SURVEY – an initial reconnaissance of a site or location.

WATCHING BRIEF – the monitoring of the construction by an archaeologist to identify and record UNEXPECTED FINDS. It should be specified in the SCHEME DESIGN and included in the contract documents together with a contingency sum to deal with any finds, which may be discovered.

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Appendix 6

Assessment of Heritage Values within the BOGP proposed Amendment or Revoking Area of the Bendigo Covenant

Dr Matthew Schmidt, Senior Heritage Advisor, Southern South Island, Department of Conservation,
19 March 2026

Context

Matakanui Gold Ltd are proposing revocation or an amendment to the Bendigo Covenant as part of its Fast Track application to undertake gold mining on Bendigo Station. The area of the Covenant proposed to be affected includes the heritage landscape of the Rise & Shine Creek. This heritage landscape (called "historic landscape" in the Covenant) is a culmination of numerous heritage mining sites dating from the 1860s through to the 1930s which collectively tell the story of the history of mining and communities at Bendigo. The heritage sites present include: sluicings and tailings; evidence of hard rock mining such as battery foundations, adits, drives, mullock heaps; huts and tent sites; water races, dams & reservoirs; rivetted tracks/roads, pack tracks etc. These tangible remains have an associated and highly significant intangible value reflected Dr Lloyd Carpenter's PhD and subsequent publications on the history of the Bendigo miners and their families.

Assessing Heritage Significance or Values in the affected Bendigo Covenant area

Heritage New Zealand ("HNZ") has already assessed the heritage values which encompasses almost all the Rise & Shine heritage landscape proposed to be affected by the mining proposal. The values present are a matter of national importance as identified in Section 6f of the Resource Management Act (1991). The assessment of values can be seen in the 2013 *New Zealand Heritage List / Rārangi Kōrero - Report for a Historic Area Bendigo Quartz Reefs Historic Area, Otago (List No. 9097)* where the criteria applied are:

- Aesthetic Significance or Value
- Archaeological Significance or Value
- Historical Significance or Value
- Technological Significance or Value.

The heritage landscape or historic area approach in assessing heritage significance or values more accurately reflects the true heritage values in the Bendigo Covenant and is not a new approach. This is illustrated by the *Bannockburn Heritage Landscape Study* (2004), a DOC publication, and the 2010 *New Zealand Heritage List / Rārangi Kōrero Lower Nevis Historic Area (List No. 7800)* listing.

The four assessment criteria noted above are applied to the Bendigo-Ophir Project Area in the New Zealand Heritage Properties ("NZHP") 2025 heritage assessment for the project, and they concur with the HNZ Historic Area which recognises the high value of the Bendigo heritage landscape in the Bendigo Covenant area.

An assessment criterion not applied to the Bendigo Historic Area by HNZ in 2013 was the criterion of Social Significance or Value. The threshold of inclusion of this criterion is:

"The place has a clearly associated community that developed because of the place, and its special characteristics. The community has demonstrated that it values the place to a significant degree because it brings its members together, and they might be expected to feel a collective sense of loss if they were no longer able to use, see, experience or interact with the place."

As the goal of archaeological research is to understand society through the physical and historical record, then this criterion can be applied to the community that was once present at Bendigo and does not necessarily have to apply to a living community as implied by the HNZ criteria inclusion. It must be remembered, for example, that one of the families lived at Bendigo for *ca.* 30 years and the community that lived there was known for its social occasions and events where these locations can still be seen today. Lloyd Carpenter's (2011, 2012, 2013, 2014) work on the social history of Bendigo and its direct relationship to the tangible remains also supports the application of this criterion. In addition, the local community today has a relationship with Bendigo hence one of the reasons the Historic Reserve was created and the Covenant provided for visitation to heritage sites in the Rise & Shine to ensure this relationship continued in perpetuity.

In my assessment of the cultural heritage significance or values of the heritage landscape in the Bendigo Covenant proposed to be affected by the Matakanui Gold Ltd mining below, I have applied the assessment of values from HNZs 2013 Historic Area Listing, which I concur with, and also applied the Social Significance or Value criteria.

Values that contribute to the cultural heritage significance or values of the heritage landscape of the Bendigo Covenant area proposed for amendment or revoking by Matakanui Gold Ltd

Criteria to assess significance or value	Values applicable to proposed areas to be affected	Impact on Values	Outcomes Sought
Aesthetic significance or value	HNZ Listing assessment: "The Bendigo Quartz Reefs Historic Area is located on the lower slopes of the northern face of the Dunstan Range with panoramic views to the Upper Clutha Valley to the mountain ranges beyond Lakes Hawea and Wanaka. The historic area is set in the stony outcrops and semi-alpine landscape. The location is not only scenic but gives a strong feeling of isolation, emphasising the 'ghost town' feeling of the reserve. All these factors give the Bendigo Quartz Reefs Historic Area special aesthetic significance."	The heritage landscape will be lost with the setting of the tangible values irrevocably gone.	Avoid Rise & Shine Creek heritage landscape.
Archaeological significance or value	HNZ Listing assessment: "The Bendigo Quartz Reefs Historic Area has archaeological significance. Contained within its boundary are scores of sites which illustrate almost the entire mining history of Bendigo – the sites represent alluvial mining, sluicing, quartz mining, residence sites and mining townships. The numerous stone building ruins within the Bendigo Reefs Historic Area provide evidence of nineteenth century vernacular stone construction methods. The sites have the potential to yield valuable archaeological information on the lifeways of miners and their families. This is one of the best and most accessible."	The interconnectedness of the heritage sites within the landscape will be lost. Piecemeal destruction of various sites will mean the full story of the community as seen through the archaeological record will be gone. Sites will not be able to be read in the landscape as key related elements will be destroyed.	Avoid Rise & Shine Creek heritage landscape.

	sites in Otago that illustrates quartz mining archaeology.		
Historical significance or value	HNZ Listing assessment: "Bendigo Quartz Reefs Historic Area has historical significance as the preeminent quartz mining area in Otago, and as an area that tells the story of 1860s alluvial mining through to the Depression mining of the 1930s. Gold mining is one of the major themes in New Zealand's history and has had a great impact on the New Zealand landscape. Central Otago was one of the principal areas of mining (along with the West Coast and the Coromandel). The history of the area plays out the initial optimism of the 1860s and the enthusiasm for quartz mining in the 1870s. The mining strike of 1881 is a significant moment in the labour history of New Zealand"	The tangible remains have a detailed and well known history. The sites seen today reflect the history of the Bendigo community and its story as well as the history of the different mining systems and technology over time. Loss of the heritage landscape will have a direct loss on the historic significance of Bendigo.	Avoid Rise & Shine Creek heritage landscape.
Social significance or value	The tangible values of the gold mining history of Bendigo can be associated with histories of the families and groups that lived and mined at Bendigo. The community here was close and interacted through mining activities, social occasions, education, the local shops and suppliers and even through times of strife such as strikes. Gold and water bound the community together with both resources influencing success and change. This community functioned from the 1860s to the 1930s and today nearby communities still have links to Bendigo and interact with the tangible history left behind.	The story of Bendigo and its mining community from the 1860s through to the 1930s and also the later sites related to Bendigo Stations pastoral history will be lost.	Avoid Rise & Shine Creek heritage landscape.

Technological significance or value	HNZ Listing assessment: “The Bendigo Quartz Reefs Historic Area has technological significance. The mining remains illustrate most stages of nineteenth century quartz mining technologies – prospecting on reefs, open costeens (surface trenches), shallow workings and deep shafts, as well as water races and reservoirs for the waterpower necessary to power the batteries. The historic area includes battery sites – including the restored Come In Time battery, which show the technology associated with hard rock quartz mining. This is the best and most accessible example of quartz reef mining in Otago and provides insight into the mining technologies.”	Bendigo is an excellent example of the changes in mining technology from sluicing to hard rock mining. This change is seen on the ground in a complete and authentic manner. The proposal cuts this history of technology into pieces as parts of sites are destroyed and some are not. This will make reading the technology in the landscape difficult.	

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Appendix 7

Appendix 7. Examples of poor presentation of heritage values in the BOGP Heritage Assessment (23 February 2026, J011821_HA_REV B) and two examples of missed heritage sites during the heritage assessment surveys.

Dr Matthew Schmidt, 20 March 2026

Examples of poor presentation of heritage values

Site G41/267 Hut

Site as depicted in Heritage Assessment and photographed in 2018. Note no hut photographed.

Figure 7-32. Looking south towards sites G41/266 and G41/267, with their approximate locations indicated by the red arrows.

Site G41/267 as recorded by Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. The hut was obvious on visiting. 10 mins work was all that was required to clear the vegetation.

Site G41/267 as recorded by Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. The hut was obvious on visiting. 10 mins work was all that was required to clear the vegetation. Not piece of fluming found next to the hut.

Site G41/589 Rivetted Road

Site as depicted in Heritage Assessment and photographed in 2018. Note no road photographed.

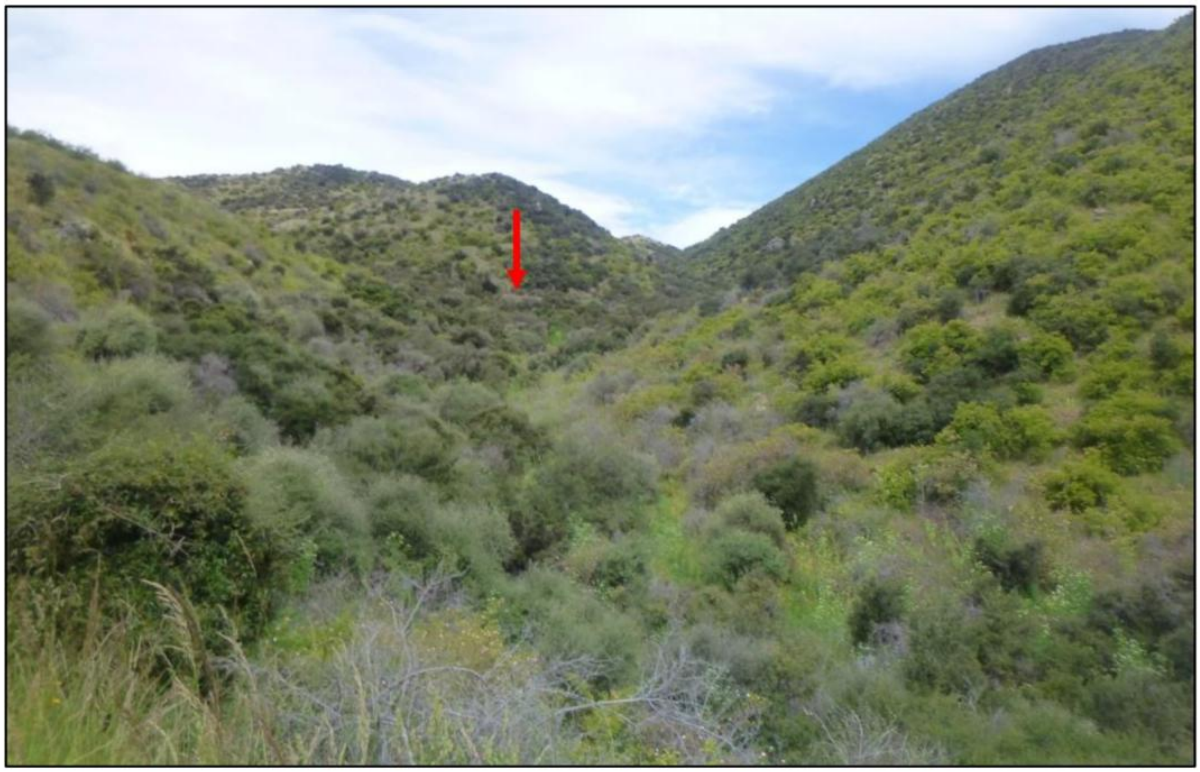

Figure 7-61. Photograph looking northeast at the revetted road recorded as G41/589 (red arrow).

Site G41/589 as recorded by Dr Neville Rictchie & Dr Matthew Schmidt in November 2025.

Site G41/589 as recorded by Dr Neville Rictchie & Dr Matthew Schmidt in November 2025.

Site G41/269 Rise & Shine Dam (Reservoir)

Site G41/269 Rise & Shine Dam as depicted in Heritage Assessment and photographed in 2017 & 2018.

Figure 7-38. Looking south at G41/269, November 2017.

Figure 7-39. Photograph looking south at the stone revetted bank of the dam recorded as G41/269, taken December 2018.

Site G41/269 Rise & Shine Dam as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025.

Site G41/269 Rise & Shine Dam as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Photographs below show the front of the two tiered stone reservoir (dam) wall. Views Northeast (top) and Southeast (bottom)

Site G41/269 Rise & Shine Dam as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Photographs: Top - front of the two tiered stone reservoir (dam) wall looking north. Bottom - view from on top of the dam wall looking north. Inside of the dam is to the right of the photo.

Site G41/269 Rise & Shine Dam as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Photographs: Top – inside of the dam looking Northwest to back of front wall. looking north. Bottom - view of stonework on the inside of the dam on its north wall. The structural stonework is not restricted to the front wall of the dam

Site G41/277 Rise and Shine Mine & Battery

Site G41/277 Rise and Shine Mine & Battery as depicted in Heritage Assessment and photographed in either 2018 or 2021.

Figure 7-44 Photographs looking southwest at mine recorded as G41/277. Photographs show concrete machine foundations, adit, stone faced dam and sluice face.

Figure 7-45 Photographs looking northwest (left) and north (right) of revetted tramway recorded as part of G41/277.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Pictures show general views of this large site showing sluice faces, gold tailings, mullock heaps and pastoral features such as the yards. Views below looking north from south side of Rise & Shine Creek.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Pictures show general views of this large site showing sluice faces, gold tailings, mullock heaps and pastoral features such as the yards. Views below looking south from north side of Rise & Shine Creek. Bottom photo – earlier sluicing lies in front of the later hard rock mining on the left side of the photo on the opposite of the creek.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. One of the battery areas. Mullock heaps with various stamper machinery bases and features.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top – back of battery area in the previous photos on the right of this photo. Left of the photo is shown a mine drive and far left more mining material. Bottom photo – second stamper mount on Thomsons Gorge Road across from battery area shown previously.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top – close view of stamper mount on Thomsons Gorge Road. Bottom – mine drives in behind the stamper.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top – close view of entrance to mine drive behind and near the stamper mount on Thomsons Gorge Road. Bottom – just inside the mine drives showing intact support timbers.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top – location of a mine shaft behind other workings. Thomsons Gorge Road is in the background. Bottom – close view of shaft.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top – second very large mine shaft, difficult to photograph, behind stamper base on Thomsons Gorge Road. Bottom – close view of shaft. Bottom – mine drive into old sluice face next to Thomsons Gorge Road.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top – location of large mine drive and mullock heaps on the north side of Thomsons Gorge Road. Bottom – the large mine drive under the north side of Thomsons Gorge Road.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top & bottom – working platforms and mullock heaps on the north side of Thomsons Gorge Road near the large mine drive under the north side of Thomsons Gorge Road.

Site G41/277 Rise and Shine Mine & Battery as recorded by Matt Sole, Dr Neville Rictchie & Dr Matthew Schmidt in November 2025. Top & bottom – post-mining pastoral features. Yards and abandoned dog kennels.

Examples of missed heritage sites during the heritage assessment surveys.

Hut terrace above sluicings of site G41/264 near Thomsons Gorge Road with pieces of fluming present.

Hut site in the sluicings of gold mining site G41/264 near Thomsons Gorge Road with artefacts present.

Hut site in the sluicings of gold mining site G41/264 near Thomsons Gorge Road with artefacts present.

Appendix 8

Bendigo-Ophir Gold Project, Matakanui Gold Ltd (MGL) Fastrack Application for mining – Example of a Project Based Heritage Compensation Proposal

Dr Matt Schmidt, Senior Heritage Advisor, Southern South Is – 19 March 2026

Introduction

Compensation for loss of heritage values is a last resort in terms of best practice heritage management. The primary and best outcome for any heritage site, place or landscape is for a project that will or may affect heritage values to simply avoid the heritage values present through other avenues such as project re-design on a landscape level down to avoiding heritage sites/places by establishing appropriate buffers around them. Only when all avenues have been exhausted should compensation for loss of heritage values be considered.

Compensation for Heritage Loss – Key Considerations

There are key considerations that need to be addressed when determining how to compensate for the loss of heritage. The considerations presented below have the ICOMOS Charter (Attachment 1) at its core and are also based on my and other heritage professionals experience in managing heritage at risk:

1. **Compensation must understand what heritage loss means & reflect the heritage values being lost.**

It is crucial there is a clear understanding that once heritage values are lost, this loss is permanent. Heritage cannot be replicated, bred or relocated and compensation with no direction or reason is not an acceptable approach. Consideration of the values which may be lost must not only focus an independent heritage assessment, but weight must also be given to the heritage values identified in other assessments or studies relative to the place and the wider area such as through Heritage New Zealand Pouhere Taonga Listings, Covenants, District Plans, and in legislation such as Section 6f of the RMA where heritage is a matter of national importance etc.

2. **Compensation needs to be project based with known outcomes.**

Rather than compensating for loss as either a one-off fund or annual amount in the hope that this will be directed to the appropriate heritage site, compensation must be outcome based and driven by identified projects. Project based compensation ensures that all parties are aware that the heritage projects identified do reflect the values lost and what funds are required to offset these losses.

The key risk in providing packages of money is that the conservation of highly significant heritage sites may not be achieved as you are limited by the size of the fund provided, whether this is either through a lump sum or annual fund, and this may not be enough to achieve meaningful conservation outcomes. The accumulation of funds over several years is also not desirable as many heritage projects are dependent on stages of work being completed within specific timeframes after a previous stage is completed. Waiting on the next package of money for the next stage can undo previous conservation work. It is also not uncommon for the final stage of a conservation project to be the most expensive and as such, funding this stage must be a certainty from the outset of the project.

3. **Compensation for heritage values lost is not just about the tangible remains being lost, it must also reflect the intangible values lost and collectively what these values represent.**

This is why project based compensation is so important when compensating for heritage loss. Restoring a hut ruin in another location because a hut ruin is being destroyed somewhere else does not necessarily reflect the totality of the values being lost. The hut proposed to be restored may be a common site with little known history and in addition, restoring one hut of a group of huts may not overall contribute to the conservation of the place. The loss of the remains of three gold stamper batteries, for example, does not mean that the conservation of the remains of another three stamper batteries on land nearby makes up for this loss. Those remains proposed to be restored may not be good reflections of the history and technology of stamper batteries locally or regionally and may also not be associated with key people, events or histories.

4. **Compensation for heritage lost should ideally be local but should not be restricted by artificial boundaries.**

In an ideal world, loss of a heritage site in one valley could be compensated by the conservation of a site of equivalent heritage value in a valley next door. But heritage does not fit into neat packages where equivalent values are necessarily located nearby. This is simply because the location of heritage sites revolves around past human behaviour of where people undertook activities which were often governed by local environments, resources, relationships etc.

By restricting compensation to within an artificial modern boundary such as a local government District boundary, the core reason for compensation is ignored i.e. to compensate for loss, sites of equivalent value that reflect an important aspect of our history and which is valued by a community must be conserved. We know, for example, when it comes to historic gold mining heritage that the location of gold mining heritage sites is a direct reflection of where gold was found in Otago which was a function of the local geology. There may not be a gold mining site of equivalent value remaining in a District due to this specific site type being restricted to particular geology. This is further complicated if many historic gold mining sites in a District have been lost to development over the years. Hence, finding a local solution to compensate for heritage lost within a local government boundary can be challenging.

5. **Locations of project based compensation must have long term legal protection of the heritage being conserved.**

Project based compensation has no meaning if the heritage site/place/landscape being conserved does not have any long term legal protection. Ideally, compensation for the loss of heritage values should focus on heritage sites located on DOC Historic Reserves, National Parks and heritage sites identified as Actively Conserved Heritage Places (ACHPs) in Conservation Management Strategies ("CMS"). Heritage located on Conservation Covenants can no longer be considered as having long term legal protection.

It is important to note that DOC CMS are out of date in many Regions with regards to the identification of heritage site/places with very high values, and so a heritage site identified as a location for compensation may not be an ACHP.

6. **What heritage to conserve as part of a compensation 'package' must not be driven by the entity proposing loss, heritage professionals with little experience in the local heritage or local communities & organisations.**

Advice on compensating for heritage loss and the identification of project based compensation heritage projects must be advised on by experts in the field to which the loss of the heritage applies.

Entities proposing loss should always consult with the right experts in determining how heritage loss can be compensated to ensure that the right information is captured. This consultation process should involve the group or organisation being affected by the loss. This approach ensures that all parties views are transparent and recorded. It is not up to the group or organisation experiencing the loss of heritage to direct or facilitate this consultation process as this will imply legitimacy is being given to the entity proposing the loss.

Only heritage experts with expertise in the field of the heritage being lost should be consulted with in developing any compensation 'package'. It cannot be presumed that the heritage consultant working with the entity proposing loss is an expert in this field. Heritage consultants vary in their expertise just like any other specialist field and so it cannot be presumed that they have a thorough knowledge of the local or regional heritage values.

It is often an easy road for entities proposing loss of heritage to go to local communities and organisations to ask what heritage is important to them and how do we compensate for loss. These groups often lack the heritage expertise required to consider compensation and outcomes can be swayed by their own views of what heritage is and what is important to the local community. This is not unlike going to a local group to ask what lizards or plants are important to conserve. People can only advise on what they know and in this example, it will often be only those species they are familiar with.

Personal beliefs, politics, lack of cultural awareness (e.g. focusing on Pakeha heritage sites with no awareness of local Māori and Chinese heritage) and the draw of 'champagne' heritage projects or events (easy win heritage projects based around leaving a legacy) can also muddy the waters when it comes local communities and organisations being asked on what heritage sites are important to conserve.

7. **The undertaking of any project based heritage compensation project must be by experts in their fields and not driven by the entity involved in the loss of heritage values.**

Once heritage conservation projects are agreed on as part of a compensation for heritage loss, the decision on who undertakes the work must not be made by the entity who is causing loss. In the case of heritage compensation projects on DOC land, DOC will make the decision on what heritage consultants and heritage conservation specialist are to be used. This is because ultimately, DOC is responsible for the management of these sites in the long term.

Proposed Heritage Sites/Places for Conservation as Compensation for Heritage Loss

The table below provides ideas on project based heritage conservation projects which may compensate for the loss of heritage values if the proposed Matakanui Gold Ltd Bendigo-Ophir Gold mining proposal at Bendigo was to go ahead.

The reasoning for the proposed projects is provided as well possible costs (these projects will need to be costed more accurately in the future) and ongoing maintenance costs.

Note:

a. This is not an exhaustive list. Typically, heritage projects proposed as part of compensation proposal would have been informed by discussions between the entity (Matakanui Gold Ltd) and other heritage experts during meetings facilitated by the Matakanui Gold Ltd. At a minimum, all the projects below would be a starting baseline as compensating for the effects of the proposal. However, compensating for the loss of heritage landscape is very difficult to quantify.

b. The projects have been costed based on either current knowledge of the projects by me or by comparing with the costs of similar projects over the last few years. For example, the Homeward Bound Battery Conservation Project build stage of the project can only be estimated at present (see below). More accurate pricing for this stage of the project is required with the various external contractors who need to do the work.

c. As the life of the mining operation is unknown, then more projects could be added to this list of projects.

Heritage Site/Place proposed to be conserved as compensation for heritage loss & NZAA Site No.	Relevant heritage sites of value being damaged/destroyed by Matakanui Gold Ltd proposal	Justification for compensation	Project description	Initial cost of Heritage Site/Place Conservation	Annual cost of Heritage Site/Place Conservation after initial conservation cork
Homeward Bound Stamper Battery, Macetown. Site F41/477	Rise and Shine Mine and Battery Site G41/277; Come-In-Time Battery Site G41/251; Alta Syndicate, potentially Come-in-Time syndicate Battery site G41/604 & heritage landscape values.	The mining proposal will destroy the history of these stamping operations which were crucial indicators of the changes in hard rock mining technology at Bendigo. The Alta site has a rare example of a Whitelaw Turbine present. They also have a known mining history.	This is the most significant gold stamper battery in the Central/QLDC Districts. Its fabric is all original and it is the best of its type in New Zealand. The project to conserve this stamper is at Stages 4 & 5: Stage 4 - Final design plans to be drawn for RC; Stage 5 – build work to stabilise and conserve the stamper. This conservation includes an enclosure around the stamper matching that which was once present.	$550K. This figure is based on a good knowledge of the cost of the final project outcome (Stage 5) from the previous 3 stages of work.	$5k/year
Logantown & Welshtown Stone Huts & Houses. **Note:** Site records here are not current. Logantown: 5 Hut site – site no's inclu G41/334 through to 344, 348; Welshtown: 6 Hut/House sites - sites no's inclu G41/185, 216, 217, 223.	Stone Huts G41/265, G41/266, G41/267, G41/273, G41/ 606; Tent site G41/784; Gold mining site G41/264 & 669; Reservoir G41/269 & heritage landscape values	Significant loss of hut sites related to the day-to-day lives of the miners living in the Rise & Shine. This is also impacted by the loss of the related gold mining sites and water races.	Stone huts sites at Logantown and Welshtown require Conservation & Stonework plans then stone conservation stonework undertaken. The initial assessment will also identify which structures need a roof to conserve them in the	$750k Conservation & stonework plans, stonework & up to three preservation roofs	$10k/year

			long term such gabled hut site G41/223.		
Aurora Track Huts	Stone Huts G41/265, G41/266, G41/267, G41/273, G41/ 606; Tent site G41/784; Gold mining site G41/264 & 669; Reservoir G41/269 & heritage landscape values	Significant loss of hut sites related to the day-to-day lives of the miners living in the Rise & Shine. This is also impacted by the loss of the related gold mining sites and water races.		$450k Conservation & stonework plans, stonework & one preservation roof.	$5k/year
Quartz Reef Point Herringbone Tailings, Northburn	Gold mining sluicings site G41/264 and sluicings at G41/277 & heritage landscape values	Significant loss and access to 19th century gold sluicings & lost heritage landscape values	Access boardwalk, interpretation, vegetation management and stone hut ruin conservation.	$400k	$5k/year
Bannockburn Sluicings, Pipeclay Gully	Gold mining sluicings site G41/264 and sluicings at G41/277 & heritage landscape values	Significant loss and access to 19th century gold sluicings & lost heritage landscape values	Vegetation clearance through Pipeclay Gully & Blacksmiths Shop	$120k ($60k vegetation clearance & $60 stonework on Blacksmiths Shop stonework conservation)	$5k/year
Come-In-Time Battery stone wall	Rise and Shine Mine and Battery Site G41/277; Come-In-Time Battery Site G41/251; Alta	The mining proposal will destroy the history of these stamping operations which were crucial indicators of the changes in hard rock	Stone retaining wall rebuild.	$60k	$1k/year

	Syndicate, potentially Come-in-Time syndicate Battery site G41/604 & heritage landscape values.	mining technology at Bendigo. The Alta site has a rare example of a Whitelaw Turbine present. They also have a known mining history. Lost heritage landscape values			