



Unexpected Heritage Finds Guideline

3TP-SD-115/2.0

Supporting Document – Applicable to Transport Projects
Delivery Office

Quality Management System

Status:	Approved
Version:	2.0
Branch:	Planning and Environment Services
Business unit:	Environmental Management
Date of issue:	14 April 2015
Review date:	14 April 2016
Audience:	Project Delivery/External TSR
Asset classes:	<input checked="" type="checkbox"/> Heavy Rail; <input checked="" type="checkbox"/> Light Rail; <input checked="" type="checkbox"/> Multi Sites; <input checked="" type="checkbox"/> Systems; <input checked="" type="checkbox"/> Fleets
Project delivery model:	TP Project/Alliance/Novo Rail
Project type:	Not Applicable
Project lifecycle:	<input type="checkbox"/> Feasibility; <input type="checkbox"/> Scoping; <input type="checkbox"/> Definition; <input checked="" type="checkbox"/> Construction readiness; <input checked="" type="checkbox"/> Implementation; <input checked="" type="checkbox"/> Finalisation; <input type="checkbox"/> Not applicable
Process owner:	Technical Director Planning and Environment Services

Document history

Version	Date of approval	Doc. control no.	Notes
1.0	11 July 2014	3164499_5	First issue
2.0	14 April 2015	3164499	Updated to be published to TfNSW website

Table of contents

1. Purpose	3
2. Scope	3
3. Definitions	3
4. Accountabilities	4
5. Legislative requirements	4
6. Unexpected heritage finds protocol	5
6.1. What is an unexpected heritage find?.....	5
6.2. Managing unexpected heritage finds	6
7. Related documents and references	8

1. Purpose

The purpose of this document is to provide guidance to site personnel in the event that an unexpected heritage find is encountered on a Transport Projects Delivery Office (TPO) site.

An 'unexpected heritage find' can be defined as any unanticipated archaeological discovery, that has not been previously assessed or is not covered by an existing excavation permit, and that has potential heritage value.

In New South Wales, there are strict laws to protect and manage heritage objects and relics. As a result, appropriate heritage management measures need to be implemented to minimise impacts on heritage values, ensure compliance with relevant heritage notification and other obligations, and to minimise the risk of penalties to individuals, TPO and its contractors.

2. Scope

In some instances, even when appropriate and robust cultural heritage assessments are undertaken during the environmental impact assessment process, some heritage objects or relics are not identified, and are subsequently found on a TPO site. This guideline outlines the procedure that should be followed in those circumstances.

This guideline includes references to some of the relevant legislative and regulatory requirements but is not intended to replace them. It is not intended to replace any requirements identified as part of the environmental impact assessment process

This guideline does not apply to:

- Aboriginal and non-Aboriginal cultural heritage objects or relics found during investigations undertaken to inform the environmental assessment, in accordance with relevant legislation and the [Guide for Planning and Environmental Approvals – 2TP-ST-051](#). These environmental impact assessments typically identify all heritage items before the project is implemented
- cultural heritage investigations undertaken to comply with conditions set out in any land use planning approval for a project
- archaeological investigations permitted under the *National Parks and Wildlife Act 1974* (NPW Act) or the *Heritage Act 1977* (Heritage Act).

3. Definitions

All terminology in this document is taken to mean the generally accepted or dictionary definition with the exception of the following terms which have a specifically defined meaning:

CEMP	Construction environmental management plan
EM	Contractor/alliance environment manager
EP&A Act	NSW <i>Environmental Planning and Assessment Act 1979</i>
EPM	TPO environment and planning manager
Heritage Act	NSW <i>Heritage Act 1977</i>
NPW Act	NSW <i>National Parks and Wildlife Act 1974</i>
NSW	New South Wales
OEH	NSW Office of Environment and Heritage

PME	Principal Manager Environmental Management
TPO	Transport Projects Delivery Office (TfNSW)
TSR	TfNSW Standard Requirement

4. Accountabilities

The Technical Director Planning and Environment Services is accountable for this document including authorising the document, monitoring its effectiveness and performing a formal document review.

Project directors are accountable for ensuring the requirements of this document are implemented within their area of responsibility.

Project directors who are accountable for specific projects/programs are accountable for ensuring associated contractors follow this document to the extent they are required under TSR E – Environmental Management and the contract.

Contractors are accountable for following this document, where this guideline forms a part of their contract.

5. Legislative requirements

Table 1 identifies some of the relevant legislation/regulations for the protection of heritage and the management of unexpected heritage finds in NSW. It should be noted that significant penalties exist for breaches of the listed legislation as a result of actions that relate to unauthorised impacts on heritage items. Further, it is noted that heritage that has been assessed and is being managed in accordance with an environmental impact assessment is exempt from these offences.

To avoid breaches of legislation, it is important that TPO and its contractors are aware of their legislative obligations under relevant legislation and that appropriate management measures are in place to avoid impacts on unexpected heritage items during construction. Contractors/alliances will need to ensure that they undertake their own due diligence to identify any other legislative requirements that map apply for a given project.

Table1 Legislation and guidelines for management of unexpected heritage finds

Relevant Requirement	Objectives and offences
<i>Environmental Planning and Assessment Act 1979 (EP&A Act)</i>	Requires heritage to be considered within the environmental impact assessment of projects. This guideline is based on the premise that an appropriate level of Aboriginal and non-Aboriginal cultural heritage assessment and investigations and mitigation have already been undertaken under the relevant legislation, including the EP&A Act, during the assessment and determination process. It also assumes that appropriate mitigation measures have been included in the conditions of any approval.
<i>National Parks and Wildlife Act 1974 (NPW Act)</i>	Provides for the protection and management of Aboriginal objects. An Aboriginal object is defined as: <i>'any deposit, object or material evidence (not being a handicraft made for sale) relating to the Aboriginal habitation of the area that comprises New South Wales, being habitation before or concurrent with (or both) the occupation of that area by persons of non-Aboriginal extraction, and includes Aboriginal remains'</i> .

Relevant Requirement	Objectives and offences
	<p>It is an offence to harm or desecrate an Aboriginal object or place. These are strict liability offences. An offence cannot be upheld where the harm or desecration was authorised by an Aboriginal heritage impact permit and the permit's conditions were not contravened.</p> <p>A person must notify the Heritage Branch of OEH if a person is aware of the location of an Aboriginal object.</p> <p>Penalties for some of the offences can include 2 years imprisonment and/or up to \$550,000 (for individuals), and a maximum penalty of \$1.1million (for corporations).</p>
<p>Heritage Act 1977</p>	<p>Provides for the care, protection and management of relics.</p> <p>A relic is defined as: <i>'any deposit, artefact, object or material evidence that: (a) relates to the settlement of the area that comprises New South Wales, not being Aboriginal settlement, and (b) is of State or local heritage significance.'</i></p> <p>It is an offence to disturb or excavate any land knowing or having reasonable cause to suspect that the disturbance or excavation will or is likely to result in a relic being discovered, exposed, moved, damaged or destroyed, unless the disturbance or excavation is carried out in accordance with an excavation permit issued by the Heritage Branch of the OEH.</p> <p>A person must notify the Heritage Branch of OEH, if a person is aware or believes that they have discovered or located a relic. Penalties for offences under the Heritage Act can include 6 months imprisonment and/or up to \$1.1million.</p>

6. Unexpected heritage finds protocol

6.1. What is an unexpected heritage find?

An 'unexpected heritage find' can be defined as any unanticipated archaeological discovery that has not been identified during a previous assessment or is not covered by an existing permit under relevant legislation such as the NPW Act or Heritage Act. The find may have potential cultural heritage value, which may require some type of statutory cultural heritage permit or notification if any interference of the heritage item is proposed or anticipated.

The range of potential archaeological discoveries can include but are not limited to:

- Aboriginal stone artefacts, shell middens, burial sites, engraved rock art, scarred trees
- remains of rail infrastructure including buildings, footings, stations, signal boxes, rail lines, bridges and culverts
- remains of other infrastructure including sandstone or brick buildings, wells, cisterns, drainage services, conduits, old kerbing and pavement, former road surfaces, timber and stone culverts, bridge footings and retaining walls
- artefact scatters including clustering of broken and complete bottles, glass, ceramics, animal bones and clay pipes
- archaeological human skeletal remains.

6.2. Managing unexpected heritage finds

In the event that an unexpected heritage find (the 'find') is encountered on a TPO site, the flowchart in Figure 1 should be followed. Table 2 indicates roles and responsibilities referred to in Figure 1.

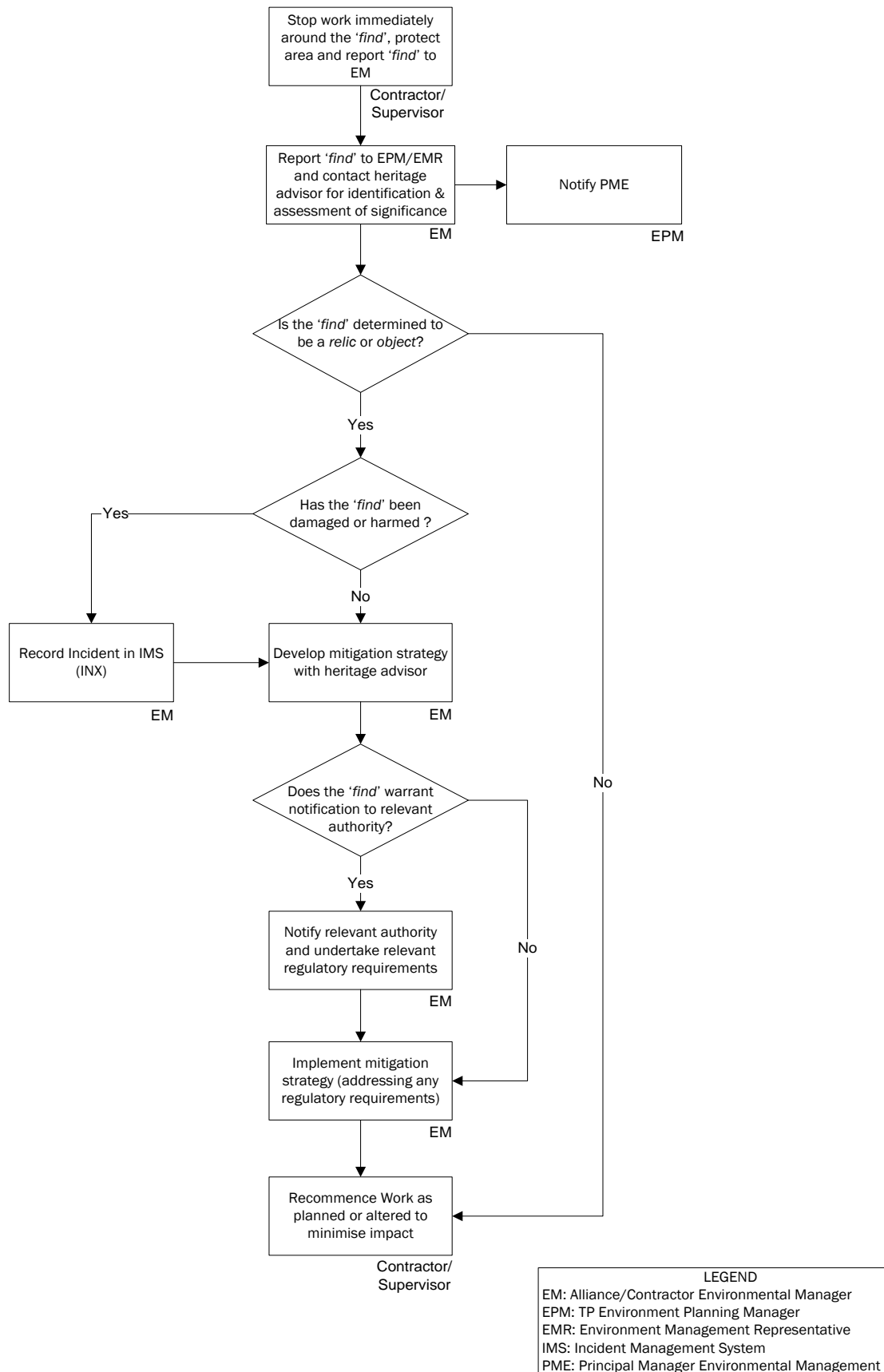


Figure 1: Unexpected heritage finds flowchart

Table 2: Roles and responsibilities within Figure 1

Abbreviation used in flowchart	Role	Responsibility or role under this Guideline
Contractor/supervisor	Contractor / supervisor	Stop work immediately when an unexpected heritage find is encountered. Cordon off area until EM advises that work can recommence.
EM	Contractor or alliance environment manager	Manage the process of identifying, protecting and mitigating impacts on the 'find'. Liaise with heritage advisor and relevant authorities on significance of the find, mitigation and regulatory requirements. Complete incident report and review CEMP for any changes required. Propose amendments to the CEMP if any changes are required. Advise Contractor / supervisor to recommence work.
Heritage advisor	Contractor's or project heritage advisor or consultant	Provide expert advice to the EM on 'find' identification, significance, mitigation, legislative procedures and regulatory requirements.
EPM	TPO environment and planning manager	Notify PME of 'find' and manage incident reporting once completed by EM.
Relevant authorities	Environment Protection and Regulation Group of OEH (for Aboriginal objects)	Regulate the care, protection and management of Aboriginal objects. Issue Aboriginal heritage impact permits.
	Heritage Branch of OEH (for relics)	Regulate the care, protection and management of relics. Issue excavation permits.

7. Related documents and references

Related Documents

[Environmental Incident Classification and Reporting – 9TP-PR-105](#)
[Guide to Environmental Control Map – 3TP-SD-015](#)