

GUIDE FOR MINIMUM STANDARDS FOR ARCHAEOLOGY AND PALAEOLOGY REPORTS SUBMITTED TO HERITAGE WESTERN CAPE¹ - June 2021

1. HERITAGE RESOURCES MANAGEMENT

The heritage resources of South Africa have lasting value in their own right and provide evidence of the origins of South African society. These heritage resources are valuable, finite, non-renewable and irreplaceable and they must be managed carefully and sustainably to ensure their conservation.²

The National Heritage Resources Act, 1999 (Act no 25 of 1999) (the NHRA) provides an integrated system for the identification, assessment and management of the heritage resources of South Africa. The Act makes provision for the general protection of heritage resources: for example, Section 34 in respect of built environment; Section 35 in respect of archaeology, palaeontology and meteorites; and Section 36 in respect of graves and burial grounds. Section 38 provides for heritage resources management, and all applications made in terms thereof must be accompanied by an impact assessment report, should the responsible heritage resources authority determine that there is reason to believe that heritage resources will be affected by the development outlined in the application. If disturbance is permitted by the appropriate authority, the heritage resource/s must be mitigated to ensure the recovery and recording of information about that heritage resource or site.

Reports resulting from the assessment of impacts to heritage resources, or their mitigation, may determine the future management of the resources or become the final record regarding these heritage resources. It is necessary to ensure that the quality and content of such reports accurately identify, describe and record the resources prior to alteration or destruction, as well as reflect their significance and provide proposals for their management or a narrative of their alteration.

2. MINIMUM STANDARDS FOR ARCHAEOLOGY AND PALAEOLOGY REPORTS

This document sets out the Minimum Standards required for specialist archaeological and palaeontological reports submitted to Heritage Western Cape (HWC) and specifically to the Archaeology, Palaeontology and Meteorites Committee (APM) in respect of activities carried out under **s.35**, **s.36** and **s.38** of the NHRA.

Given the broad spectrum of reporting required by s 35/6 and 38 of the NHRA, consistency in the quality and content of reports is essential to:

- Allow HWC to make efficient and informed decisions;
- Avoid unnecessary delays caused by requiring further basic information from applicants; and

¹ Approved: HWC Council June 2016

² The National Heritage Resources Act No. 25 of 1999, Section 5(1)(a).

- Ensure the maintenance of a comprehensive archive of archaeological and palaeontological mitigation and other work related to the management of heritage resources in Western Cape.

3. REPORTS TO WHICH THESE MINIMUM STANDARDS ARE APPLICABLE

These minimum standards are applicable to the following reports

1. **S.35** and **s.36** research permit reports;
2. **S.38** archaeological and palaeontological specialist reports³ produced during the impact assessment process;
3. **S.38** workplan (i.e. mitigation) reports;
4. **S.38** monitoring reports;
5. **S.35** destruction permit reports; and
6. **S.27** filming reports.

The specific requirements for each report type are provided in the Table at the end of these guidelines.

1) TITLE PAGE

The title page identifies the report. It must include:

- Project name;
- Unique cadastral information and geographic location of the site/project (i.e. street address, erf number, town or farm name and number, and the nearest town. (e.g. Brakkekloof, Farm 392 Durbanville (City of Cape Town)). Large projects may need to reference full cadastral information elsewhere (**s.38**). In the case of **s.35** Destruction permits, appropriate provenance must be provided;
- HWC case number and if available DEADP/DEFF/DMR case number;
- Report author(s);
- Name of client (**s.38**); and
- Date of report (e.g. month and year).

2) EXECUTIVE SUMMARY

All archaeology and palaeontology reports must include an Executive Summary of not more than 1500 words. The Executive Summary should include the following:

- A short description of the project;
- A summary of the results; and
- Full conclusions/ recommendations.

3) TABLE OF CONTENTS

All archaeology and palaeontology reports submitted to APM must include a table of contents if the report is longer than 10 pages.

³ Where specialist reports recommend mitigation, a Workplan application will be required in terms of s.38 (10); or a permit application in terms of ss.35 and 36 for submission to HWC for approval.

4) CURRICULUM VITAE OF SPECIALIST

A short Curriculum Vitae (biosketch) of the lead specialist or author and declaration of independence (**s.38**) must be included in all reports.

5) INTRODUCTION

The introduction must include:

- Site name, description and location (**s.35/36** reports) or study area location (**s.38**), including street address(es)/farm name(s), town, district, erf/farm number and GPS coordinates; and
- Locality maps (an extract from the relevant 1: 50 000 topographic map and aerial/satellite photography showing the research site (**s.35/36**) or study area (**s.38**) in its wider context and in detail as appropriate).

6) DEVELOPMENT PROPOSAL

This section briefly describes the development proposal. Plans or maps should be provided as required. Note that a full, detailed description must appear in the HIA (**s.38**).

7) DESCRIPTION OF PROPERTY /AFFECTED ENVIRONMENT

This section describes the site/study area and should provide:

- A description of the site and surrounds (**s.36**) of the study area and its surrounds (**s.38**).

8) DESCRIPTION OF METHODOLOGY

This section must describe:

- How the research/investigation was undertaken, and how data was acquired;
- Contributors to the project or report, such as fieldworkers and their role;
- Any restrictions/limitations on the study and assumptions made (**s.38**);
- The extent to which restrictions/limitations/assumptions affect the conclusions and recommendations (primarily for **s.38** reports);
- The specialist studies undertaken (**s.38**);
- Public consultation (where relevant); and
- The source of any necessary metadata such as details of data standards used for analysis, illustrations, mapping, digital resources, photography, etc.

9) DESKTOP STUDY

This section must provide the archaeological/palaeontological context for the project and should include:

- A literature review of other local work/research (this must be relevant to the study area);
- Where necessary, mapping and description of known resources that have a bearing on the study (in **s.38** reports these can also be included in the findings of the report);
- Relevant maps and figures (see also next section);
- Context of the relevant resources; and
- Anticipated impact of the development.

10) DESCRIPTION OF PROJECT RESULTS / HERITAGE RESOURCES

This section is the heart of the report and presents the results of the project. It must include identification and description of **all** the archaeological and palaeontological resources (to a level of detail suitable to the type of report), including cultural affinities, approximate age and significant features.

In the case of **s.35/6** reports the results section should include the following:

- Maps;
- Site/locality plans;
- Stratigraphic drawings;
- Drawings and/or photographs of artefacts, fossils, etc; and
- Any other relevant illustrations.

In the case of **s.38** reports, the identification of all resources that will be directly or indirectly impacted must include an assessment of the potential and if possible cumulative impact of the development on the heritage resources. The findings must include:

- Mapping of survey paths (GPS tracks);
- Mapping of the locations of all heritage resources relative to the project footprint;
- Photographs of a representative sample of the heritage resources. Photographs of heritage resources (artefacts/fossils) must be of sufficient resolution to allow identification of the materials and a scale (demarcated in SI units) must be present; and
- Any other relevant illustrations to assist with decision-making.

11) STATEMENT OF SIGNIFICANCE

This section will be based on the application of heritage criteria as defined in **s.3(3)** of the Act and the definitions of cultural significance in **s2(ii)(vi)** of the Act. Recommendations for grading consistent with **s.7(1)** of the Act and relevant HWC guidelines (*Grading: Purpose and Management Implications*, dated March 2016) must also be made.

12) CONCLUSIONS AND RECOMMENDATIONS

The conclusion summarises the results described in the report. In the case of **s.35/6** reports, this should include:

- Discussion of the contribution made to science;
- Temporary or permanent closure of the site as relevant; and
- Any future research plans.

For **s.38** reports the feasibility of the development relative to the potential impacts and mitigation proposals should be discussed.

Recommendations arising out of the work must guide the way forward as necessary. In the case of **s.38** reports the recommendations should provide:

- Support (or not) for the development project;
- Any 'No-Go' areas that must be observed;
- Any mitigation measures that must be implemented (potentially including for archaeological or palaeontological resources which are regarded as "Not Conservation Worth"); and

- Any alternatives in the development that should be considered or supported in order to conserve heritage resources.

The report may propose a Conservation or Heritage Management Plan with the aim to conserve heritage resources which are being retained within the development footprint.

13) REFERENCES

Reports must include appropriate references to sources cited.

14) APPENDICES

Appendices may include:

- Copies of any additional specialist reports commissioned as part of the archaeological or palaeontological assessment (**s. 38**);
- Unabridged copies of comments received;
- Supporting documents, surveys, inventories, tables and gazetteers, conservation management plans, draft heritage agreements etc;
- The SAPS Protocol for the human remains (accidental); and
- Stakeholder engagement notes/minutes/reports related to human remains finds.



ILifa leMveli leNtshona Koloni
Erfenis Wes-Kaap
Heritage Western Cape

	s.35 and s.36 Research Permit reports	s.38 AIA and PIA reports produced as part of impact assessment process	s.38 Workplan (i.e. mitigation) report (must include initial AIA/PIA reports)	s.38 Monitoring reports (must include initial AIA/PIA reports)	s.35 Destruction reports	s.27 Filming permit
Title Page	✓	✓	✓	✓	✓	✓
Executive Summary	✓	✓	✓	✓	✓	
Table of Contents (report is longer than 10 pages)	✓	✓	✓	✓	✓	
Short CV of specialist	✓	✓	✓	✓	✓	✓
Declaration of Independence		✓	✓	✓		
Introduction	✓	✓	✓	✓	✓	✓
Development Proposal		✓	✓	✓		
Description of Property/environment	✓	✓	✓	✓		
Description of site/object	✓			✓	✓	✓
Methodology	✓	✓	✓	✓	✓	✓
Desktop Study	✓	✓	✓	✓	✓	
Project Results	✓				✓	
Description of heritage resources		✓	✓	✓		
Statement of Significance		✓	✓	✓		
Conclusions	✓	✓	✓	✓	✓	✓
Recommendations		✓		✓		
References	✓	✓	✓	✓	✓	
Appendices	✓	✓	✓	✓	✓	

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