



Introduction

This checklist has been developed by the Heritage Council's State Heritage Register Committee to assist in the reviewing of Conservation Management Plans (CMPs) submitted for Heritage Council endorsement.

The purposes of the checklist are to:

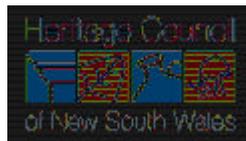
1. ensure consistent reviewing practise of CMPs by different reviewers,
2. provide measurable prompts for reviewers,
3. allow the review process to be transparent and accountable,
4. facilitate the preparation of CMPs in a manner consistent with Heritage Council policies and approaches, and
5. encourage CMP authors to review their own work before submitting it for Heritage Council review and endorsement.

The checklist is to be used with the following points in mind:

1. the aim of a review is not to get a 'tick' or 'yes' against every prompt,
2. every prompt should be considered for its relevance to the character and significance of the item subject to the CMP,
3. not every prompt will be relevant to every CMP,
4. reviewers are expected to use their professional expertise and discretion when using the checklist,
5. reviewers should clearly identify the specific sections or policies in the CMP under review when commenting upon it.

This checklist may be of use to anyone preparing or reviewing a CMP to ensure completeness in its investigations, assessments and conservation policy development, but it has been primarily developed for reviewing CMPs submitted for Heritage Council endorsement.

This Checklist was formally adopted by the Heritage Council's State Heritage Register Committee on Thursday 4th September 2003, and replaces the earlier version of the checklist dated November 1999.



CONSERVATION MANAGEMENT PLAN (CMP) ASSESSMENT CHECKLIST

September 2003 Version

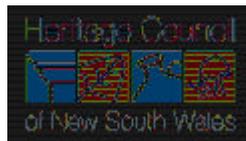
NAME OF THE PLAN:		
DATE OF VERSION OF THE PLAN:	AUTHOR(S) OF PLAN	
Reviewer:	Date of review:	File No.:

1. SUMMARY COMMENTS ABOUT THE PLAN: .

1.1 The Plan is acceptable and **can be endorsed**, OR

1.2 The Plan can be endorsed **subject to the following matters being addressed to the satisfaction of the Director of the Heritage Office** being made:

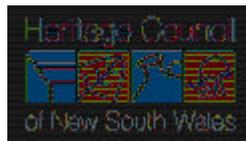
1.3 The Plan **cannot be endorsed** for the following reasons:



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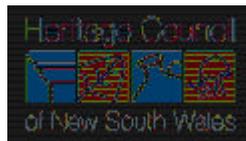
MATTERS BEING ADDRESSED	COMMENTS: Editorial issues	COMMENTS: Content issues
2. INVESTIGATION OF SIGNIFICANCE		
2A History		
2A.1 Have the <i>historical context(s)</i> been identified and-researched?		
2A.2 Has the pre-contact, contact and/or post-contact <i>Aboriginal history</i> of the item and its curtilage been investigated?		
2A.3 Has a <i>thematic approach</i> to historical analysis using the NSW and/or Australian historical themes been used, with relevant local historical themes developed?		
2A.4 If a <i>non-thematic</i> approach has been used, does it still enable the contribution of the item to NSW's history to be understood?		
2A.5 Can the development of the item <i>over time</i> be clearly understood?		
2A.6 Has the ability of the item to <i>demonstrate</i> the relevant historical themes been identified?		
2A.7 Are appropriate primary and secondary <i>documentary resources</i> used?		
2A.8 Are <i>historical images/maps/plans/drawings</i> adequate and well referenced?		
2A.9 Are all <i>text-based, oral and physical sources</i> referenced properly?		
2A.10 <i>General comments</i> on history:		



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2B. Fabric		
2B.1 Has the fabric been <i>investigated</i> ?		
2B.2 Has the fabric been adequately <i>identified</i> (eg materials, repairs, alterations, additions, contents, views, spaces, plant/animal species, manufactured/pre-fab elements, timber species, brick types, etc)		
2B.3 Has the fabric been usefully <i>analysed</i> ? (eg phases, ages, styles, techniques (vernacular, trade, etc), design, artisanship, etc?)		
2B.4 Have <i>architects/designers</i> and <i>builders/makers</i> been identified with a degree of certainty?		
2B.5 Have <i>contents/movable</i> elements been investigated and their provenance identified?		
2B.6 Has <i>archaeological fabric</i> been investigated and some degree of potential established?		
2B.7 Has the <i>method</i> used for the fabric investigation (eg non-intrusive observation) been identified, and is it acceptable?		
2B.8 Have clear/scale/measured <i>drawings</i> been provided?		
2B.9 Do any elements or areas need <i>further analysis</i> ?		
2B.10. <i>General comments</i> on fabric investigations		

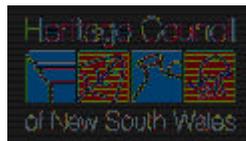


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3. Contributory matters (matters that, if addressed, should be integrated throughout the document)		
3.1 Has <i>natural</i> heritage potential been identified and investigated?		
3.2. Has the Heritage Council's policy on <i>natural</i> heritage been acknowledged or used?		
3.3 Has <i>Aboriginal</i> heritage potential been identified and investigated?		
3.4 Have the relevant* <i>Aboriginal</i> group or groups, and/or individual knowledge holders, associated with the place been identified and consulted?		
3.5 Has heritage potential for any <i>ethnic or cultural</i> community been considered?		
3.6 Have any Aboriginal, or other earlier, <i>place name(s)</i> associated with the place been identified and investigated?		
3.7 Has the relationship between the item and its broader <i>landscape</i> setting been identified and investigated?		
3.8 Has the <i>archaeological</i> potential of the site been identified and investigated?		
3.9 Are there any <i>other</i> relevant issues and have they been addressed? (eg industrial archaeology, gardens and plantings, particular materials, social values, maritime issues, public accessibility, ruinisation)		
3.10 <i>General comments</i> on 'contributory matters'		

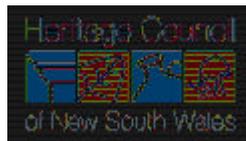
* 'Relevant Aboriginal group' and 'community organisation', in relation to Aboriginal heritage, includes but is not restricted to Regional or Local Aboriginal Land Councils, family ownership groups, custodians, Native Title holders and Native Title claimants, and may also include appropriate individual knowledge holders.



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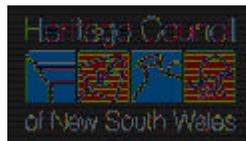
4. ASSESSMENT OF SIGNIFICANCE		
4.1 Is there sufficient information and analysis to enable the significance to be assessed?		
4.2 Is there a single, concise <i>statement of significance</i> that clearly addresses the question of 'why is this item significant'?		
4.3 Is the statement of significance <i>supported</i> by the research?		
4.4. Has the statement of significance been prepared with <i>input from all authors</i> of the Plan?		
4.5 Are there <i>sub-statements</i> of significance for each of the relevant SHR criteria? – a State significant item must meet one or more of these criteria under s.4A(3) of the <i>Heritage Act</i> and in accordance with the gazetted criteria of 23 April 1999 to be considered of state significance.		
4.5.1 <i>an item is important in the course or pattern of NSW's cultural or natural history</i>		
4.5.2 <i>an item has strong or special association with the life or works of a person, or group of persons, of importance in NSW's cultural or natural history</i>		
4.5.3 <i>an item is important in demonstrating aesthetic characteristics and/or a high degree of creative or technical achievement in NSW</i>		



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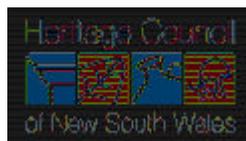
<p>4.5.4 an item has strong or special association with a particular community or cultural group in NSW for social, cultural or spiritual reasons</p>		
<p>4.5.5 an item has potential to yield information that will contribute to an understanding of NSW's natural or cultural history</p>		
<p>4.5.6 an item possesses uncommon, rare or endangered aspects of NSW's cultural or natural history</p>		
<p>4.5.7 an item is important in demonstrating the principal characteristics of a class of NSW's</p> <ul style="list-style-type: none"> • cultural or natural places; or • cultural or natural environments 		
<p>4.6 Has a comparative analysis been undertaken with the basis for the comparison made clear, and the comparators clearly identified?</p>		
<p>4.7 Does the comparative analysis identify state/regional/local levels of significance?</p>		
<p>4.8 Has a hierarchy of significance been identified for the elements of the item?</p>		
<p>4.9 If a complex site, has the significance of the site as a whole been assessed as well as the significance of its constituent elements?</p>		



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4.10. Has the <i>interaction</i> of natural and cultural heritage values with Aboriginal heritage values been assessed in the statement of significance?		
4.11. Has <i>natural</i> heritage significance been addressed in the statement of significance?		
4.12. Has <i>Aboriginal</i> heritage significance been addressed in the statement of significance?		
4.13. Has heritage significance to any <i>ethnic or cultural</i> community been addressed in the statement of significance?		
4.14 Has <i>archaeological</i> significance been addressed in the statement of significance?		
4.15 Has the significance of any <i>contents</i> or movables been addressed in the statement of significance, either individually or as contributory elements?		
4.16 Has an appropriate <i>curtilage</i> been established based on the statement of significance? (if appropriate)		
4.17 Has this curtilage been clearly <i>defined</i> by map or diagram?		
4.18 Has the listed (or proposed to be listed) curtilage been clearly distinguished from the broader <i>setting</i> ?		
4.19. Has the significance of the place as a contributory element to a broader <i>landscape</i> been assessed?		
4.20 <i>General comments</i> on the assessments		

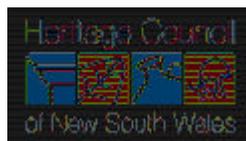


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5. OPPORTUNITIES & CONSTRAINTS	
5.1 Are opportunities and constraints identified?	
5.2 Do they appear to cover the <i>range</i> (statutory/non-statutory listings, owners requirements, continuing/re-use options etc)?	
5.3 Is the item listed on the SHR, an REP, LEP or other <i>statutory list</i> ?	
5.4 Has the impact of any other <i>legislative or policy</i> requirements been identified (such as SEPPs or BCA)?	
5.5 Is the item listed on the National Trust Register, RAI A List of 20C Buildings, IEA Engineering Heritage Register or other <i>community list</i> ?	
5.6. Have any requirements of the <i>owner/manager/trustee/custodian</i> been clearly identified?	
5.7. Have any proposals for <i>future uses</i> and changes been identified?	
5.8 Have the requirements of any relevant <i>local council, State agency, Aboriginal Land Council</i> or other statutory body or community organisation* been identified during the preparation of the Plan?	
5.9. Have the requirements of relevant individual <i>knowledge holders</i> been identified during the preparation of the plan?	
5.10 Are the requirements for any <i>archaeological permits</i> and approvals clearly identified?	
5.11. If the CMP is for an item which includes <i>Aboriginal</i> heritage values, does it address issues of cultural confidentiality, community protocols, site access and other relevant matters?	
5.12 <i>General comments</i> on constraints & opportunities	

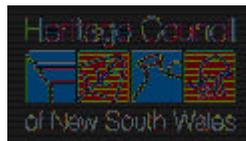
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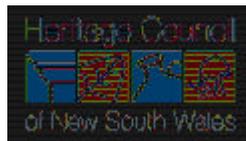
6. CONSERVATION POLICIES		
6.1 Does the plan include a conservation policy or guidelines section?		
6.2 Are the policies clearly <i>derived from the statement of significance</i> and investigation sections?		
6.3 Do the policies take account of the identified Constraints & Opportunities?		
6.4 Are the policies-presented in a <i>useful manner</i> (i.e. are they in plain English, with a logical layout and a coherent numbering or other identification system), supported by relevant graphic and illustrative materials?		
6.5 Do the policies providing for future work on the item (including within its curtilage) provide <i>clear guidance</i> for <i>assessing proposals for change</i> (or preservation) to the item or its elements?		
6.6 Is there evidence of a <i>predetermined outcome</i> (eg demolition, subdivision or a particular development proposal; or regular maintenance, change of ownership, etc)?		
6.7 Do the policies specifically identify conservation works and/or new development that is to be <i>exempted</i> from further Heritage Act approvals under <i>Standard Exemption No. 6</i> ?*		
6.8 Do the conservation policies provide for the <i>conservation</i> of the elements of the item identified as being <i>significant</i> ?		
6.9 If the policies provide for change to significant elements, do they also provide for <i>mitigation</i> measures?		
6.10 Do the policies identify a <i>potential for further development</i> , and if so, where and how could it occur?		



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6.11 Do the policies for new development provide guidance on <i>new design and physical characteristics</i> that are appropriate to the item's significance?		
6.12 Should any of the policies for new development be excluded from endorsement, and <i>remain subject to approvals under s60</i> of the Heritage Act? – if yes, why?*		
6.13 Is there a <i>schedule of conservation works</i> for the short, medium and long terms?		
6.14 Are there policies for works to meet the <i>minimum standards of maintenance</i> and repair identified (if relevant - for purposes of s.118 Regulation)?		
6.15 Is there any policy proposal to <i>vary</i> the existing listed curtilage boundaries?		
6.16. Is there a distinction between policies within the <i>listed curtilage</i> area, and policies for the <i>unlisted setting</i> ?		
6.17. Do the policies provide for any <i>changes in existing statutory listings or planning instruments</i> ? – if so, do they provide guidance on how this can be achieved?		
6.18. Has the potential for reinstating an <i>Aboriginal place name</i> , or other <i>earlier place name</i> , been considered, and/or has the appropriateness of using a <i>dual-name</i> for the place been considered?		
6.19 Is there a policy statement to prompt <i>future reviews</i> of the CMP?		
6.20 Is there a policy/guideline about the <i>public accessibility</i> of the CMP?		



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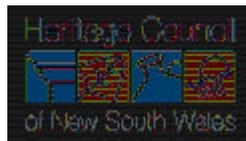
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6.21. Does the Plan include <i>inventory sheets</i> for elements of the item – if so, are the policies in the sheets consistent with those for the whole item?		
6.22 <i>General comments</i> on conservation policies		

* Prompt 6.7 - This matter must be specifically addressed and clearly identified in order to obtain any exemptions from approvals under s57 of the Act through endorsement of the CMP.

** Prompt 6.12 – It may be appropriate to exclude certain identified policies from an endorsement where there is a justifiable concern that the level of detail in the policy is such that it may be understood as a *de-facto* development application that should be properly considered through an application made under section 60 of the Act.

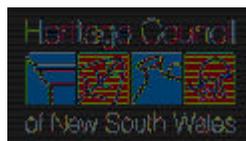
If a reviewer recommends such an exclusion, this must be clearly justified in the covering report.



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7. MOVABLES, CONTENTS & COLLECTIONS		
7.1 Has an inventory of movables, contents or collections been identified or proposed in the investigation sections?		
7.2 has a thematic approach been applied to the collecting, recording and presentation of movables and collections?		
7.3 Has the recording of the current locations of movables and contents been undertaken, or proposed, in the investigation section?		
7.4 Have any particular conservation or other management issues for movables, contents and collections been identified in the constraints & opportunities section (eg proposals to move or relocate contents, absence of storage or controlled environments, etc)?		
7.5 Have any existing collections (management) policies or disposal guidelines been identified and assessed in the constraints & opportunities section?		
7.6 Have any proposals to re-unite or disperse the elements of a collection been identified in the conservation policy section?		
7.7 Have any new or additional collections (management) policies been proposed in the conservation policies?		
7.8 Have any conservation policies specific to contents, movables and collections been developed in the conservation policy section?		
7.9 Should this CMP be referred to the Movable Heritage Panel or any other body of expertise for <i>further review</i> ?		
7.10 <i>General comments</i> on movables, contents & collections issues.		



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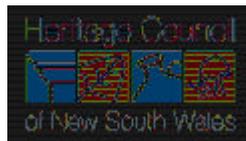
8. INTERPRETATION & EDUCATION		
8.1 Is the CMP for an item which will be actually or virtually <i>accessible to the public</i> ?		
8.2 Does the CMP include <i>policies</i> for the interpretation of the site; and/or provide for the <i>preparation</i> of an interpretation plan or strategy?		
8.3 Do the interpretation policies address all <i>significant phases and/or themes</i> in the item's development and occupation?		
8.4 Have issues of protocols, confidentiality, intellectual property, copyright and/or moral rights been <i>addressed and resolved</i> ?		
8.5 Is the plan to be <i>published</i> or otherwise launched and made publicly accessible?		
8.6 Has a leaflet or other <i>educational material</i> been prepared or proposed?		
8.7 Should the CMP be referred to any other person or body with interpretation expertise for <i>further review</i> ?		
8.8 <i>General comments</i> on interpretation and education		



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9. BASIC STRUCTURE OF THE PLAN		
9.1 Is there a <i>location plan</i> ? – is the location of the item legible?		
9.2 Is there a <i>site plan</i> ? – are all elements of the site clearly and consistently identified?		
9.3 Is there a <i>Table of Contents</i> ? – is it consistent with the actual page and/or section numbering?		
9.4. Is there a <i>logical flow</i> to the Plan? (the Plan should <i>not</i> be a set of separate reports bound together, but a holistic and considered approach to conserving the significance of the item and its curtilage)		
9.5 Have all <i>authors</i> been identified by name and profession or qualification?		
9.6 Have <i>appropriate professionals</i> contributed to the plan? (historian, archaeologist, architect, planner, other specialists relevant to the site characteristics, individual knowledge holders, etc)		
9.7 Have all of the authors/contributors <i>indicated their support</i> for the statement of significance and the conservation policies?		
9.8 Have the <i>owner(s), occupier(s) and commissioning body</i> been identified?		
9.9 Has the <i>local government area(s)</i> been identified?		
9.10. Have <i>property information details</i> been identified (i.e. Lot and DP numbers, Crown land identifiers, or Public Reserve numbers, with County & Parish names) as well as a street address?		



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9.11. If this CMP is for an item which includes Aboriginal heritage values, are there any significant or contentious issues that mean it should be referred to the <i>Aboriginal Heritage Committee</i> for its consideration?		
9.12. Are there any <i>confidential sections</i> in the Plan? – if so, is there a satisfactory method agreed upon by the relevant parties for maintaining that confidentiality and determining access?		
9.13 Are the measurements in the text and diagrams in <i>metric</i> (unless in quotes)?		
9.14. Are pictures, plans and other illustrations <i>clear and legible</i> ?		
9.15 Should this CMP be <i>referred</i> to any other of the Heritage Council's expert panels or other independent specialists for further review?		
9.16 Any further <i>general comments</i> on the Plan		