Best Practice in
Cultural Heritage Management
(Historic Heritage on Parks & Protected Areas)

ANZECC Working Group on National Parks and Protected Area Management
Benchmarking and Best Practice Program

February 2001

Lead Agencies
National Parks and Wildlife Service, New South Wales
and
Department of Natural Resources and Environment, Victoria

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Special Note:

This report is based upon the March 2000 report prepared by Hague Consulting Ltd and Michael Kelly. It has been re-formatted to align closer with other ANZECC benchmarking reports.

The re-formatting has largely been achieved without altering the text. Where the text of the March 2000 report has been significantly altered, or where text has been added, it is preceded by an *. This version is dated February 2001 to delineate it from the previous report.

Contents

Abbreviations and Definitions

Abbreviations

The following abbreviations are used throughout this report:

CMP   Conservation management plan

CHM   Cultural Heritage Management – the management of places and associated artefacts relating to cultural heritage. (*In this report CHM refers solely to the management of terrestrial, non-Indigenous cultural heritage*)

CSF   Critical Success Factor – a performance measure for an area in which satisfactory performance will ensure that the organisation meets the standards set by the best comparable organisations.

SOP   Standard Operating procedure

ICOMOS   International Council on Monuments and Sites

Definitions

The following definitions are used throughout this report

Active management   The terms 'active management' and 'actively managed' are used in this report to refer to places of cultural heritage significance where a management decision to take conservation action has been made and implemented. An actively managed place will have one or more of the following features:
- it is the subject of catch up maintenance
- it has a cyclical maintenance plan
- it is presented to the public
- it consumes CHM resources

Catch up maintenance   Remedial work required to stabilise, restore or adapt a structure to a level identified as desirable in a CMP or other planning document where a structure has not been maintained through a cyclical maintenance program.

CHM specialist   A person who has worked or is currently working in the area of cultural heritage and to which at least one of the following applies:
- has extensive practical CHM experience
- holds a relevant tertiary qualification
- has researched and published widely on CHM

Cyclical maintenance   Regular maintenance identified as necessary by a CMP or other planning document in order to prevent deterioration of a structure's fabric.

Passive management   'Passive management' describes places that have been identified and assessed but are not actively managed. Passive management may occur either due to lack of resources or due to a conscious management decision ('benign neglect').

Stakeholder   Any person or group who is perceived or perceives themselves to have an interest in CHM. Stakeholders may include parks staff, visitors, land owners, historical societies, local authorities etc.

State   The word "state" is used generically in this report to refer to the territorial area within which each organisation operates. It applies to the states and territories of Australia, the Commonwealth of Australia in respect of Australian federal agencies and the nation of New Zealand.

*1.0   Executive Summary

1.1 Background

In November 1999, New South Wales Parks and Wildlife Service commissioned Hague Consulting Ltd and Michael Kelly, heritage consultant, to conduct a benchmarking project for the ANZECC Working Group on National Parks and Protected Area Management. The project was jointly funded by National Parks and Wildlife Service in NSW and the Department of Natural Resources and Environment in Victoria, and was jointly steered by Sue McIntyre of NPWS and Ivar Nelsen of NRE. The scope of the project focussed on ANZECC agencies but allowed for benchmarking with non-ANZECC agencies.

The objectives of the project were to:
▪   use benchmarking to assess current practices for the delivery of cultural heritage conservation, and;
▪   make recommendations based on an assessment of best practice for the future delivery of effective cultural heritage conservation.

The term 'cultural heritage management' (CHM) is used throughout this report to describe the practices for the delivery of cultural heritage conservation. The study was limited in the brief to the examination of terrestrial non-Indigenous CHM by park agencies and excluded any inter-relationship between natural, Indigenous and non-Indigenous values.

1.2 Best Practice

The report developed the following Key Cultural Heritage Management Processes for the purpose of common reporting.

❑   Strategic Management

   Strategic CHM has emerged as a critical factor. The general lack of a coordinated strategic approach to CHM and the lack of dedicated CHM staff within most ANZECC agencies has resulted in an ad hoc approach to decision making, resource allocation and conservation practice.

   The competence of ANZECC cultural heritage managers is not the problem. The issue is that, in almost every case, they do not have the resources or support to implement standard CHM methodologies across the land they manage and to link those to a strategic plan.

   For specific **Strategic Management** Best Practice Indicators refer to Section **5.1**.

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❑   Identification and Assessment

Inventory will always be a key management tool in the area of **identification and assessment**.   The extent to which inventories are prepared varies considerably between agencies.

The principal best practice in assessing heritage is to have a thematic and individual value assessment procedure in place to justify long-term conservation of an asset. The aim of an identification and assessment process should be not only the identification of places, but also the establishment of a hierarchy of significant places under a thematic system.

For specific **Identification and Assessment** Best Practice Indicators refer to Section **5.2**.

❑   Allocating Resources

Allocating resources is an area that needs development. Only NPWS, NRE and PWST have distinct resource allocations for CHM. NRE and PWST each have well under AUS$1Million to fund a statewide cultural heritage operation. There is also wide discrepancy in the level and type of competencies of CHM specialist staff.

For specific **Allocating Resources** Best Practice Indicators refer to Section **5.3**.

❑   Protection

While **protection** of heritage places can be provided via statutory listing or reservation. Both these mechanisms are in place in most agencies. There are few opportunities or resources to acquire new heritage assets in order to protect them.

For specific **Protection** Best Practice Indicators refer to Section **5.4**.

❑   Conservation

Standards in **conservation** practice are already partly established in all member organisations through the use of the Australian ICOMOS *Burra Charter* and New Zealand ICOMOS Charter but there are other important initiatives in this area that should be pursued. In particular, each actively managed place should have a five year vision statement to guide overall management.

For specific **Conservation** Best Practice Indicators refer to Section **5.5**.

❑   Presentation

The provision of visitor facilities and interpretation is together known as

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presentation and a best practice report on the subject has previously been prepared for ANZECC.

For specific **Presentation** Best Practice Indicators refer to Section **5.6**.

❑   Monitoring

Monitoring of CHM is extremely limited at present. Physical monitoring of sites requires attention by several ANZECC agencies. Not all agencies have the expertise or networks to conduct such monitoring. Budgets seldom allow for sufficient supervision. Formal performance monitoring is in its infancy in CHM among ANZECC agencies - refer to **Critical Success Factors** below.

For specific **Monitoring** Best Practice Indicators refer to Section **5.7**.

1.3 Critical Success Factors

One of the tasks of a benchmarking project is to identify the critical success factors.
> *"Critical success factors are the limited number of areas in which results, if they are satisfactory, will ensure successful competitive performance for the organisation. They are the few key areas where 'things must go right' for the business to flourish."*
> from John F. Rockart <u>Chief executives define their own data needs</u>

CHM performance measurement is in its infancy and ANZECC partners need to take every opportunity to share innovation and review and update each others efforts.

The performance measures outlined in this report are simply a first attempt to develop workable measures based on the critical success factors identified in this project. No agency should simply adopt the measures presented here without first working through a strategic planning process.

For performance measures for the Key Cultural Heritage Management Processes, refer to Section **5.8**.

1.4 Recommendations

❑   *The Benchmarking and Best Practice report become the basis for a review of each ANZECC member agency's activities with the aim of embracing the best practice indicators noted above over time. In this regard the indicators are just that and may need to be modified or adapted to suit the particular circumstances of the agencies. As a suite of best practice indicators though, they will however provide a basis for consistency between agencies.

❑   *The Goat Island participants should reconvene sometime during 2001 to discuss the application of the Benchmarking and Best Practice report within their respective organisations and the future cross fertilisation of ideas and information. This second workshop should create the basis for periodic and regular reporting on the progress on the implementation of the report.

2.0 Introduction

2.1 ANZECC Benchmarking Program

ANZECC was established to provide a forum of Commonwealth, State and Territory governments to discuss common environmental issues and resolve problems. The ANZECC Benchmarking and Best Practice Program is an initiative in 1994 of the National Parks and Protected Area Management Working Group to establish best practice standards and models with the aim of sharing knowledge and information to improve practices and processes for a range of land management activities. Further explanation of the ANZECC Bench Marking Best Practice Program can be obtained from the Website: http://www.biodiversity.gov.au/protect/anzecc.index.htm.

In November 1999, New South Wales Parks and Wildlife Service commissioned Hague Consulting Ltd and Michael Kelly, heritage consultant, to conduct a benchmarking project for the ANZECC Working Group on National Parks and Protected Area Management. The project was jointly funded by National Parks and Wildlife Service in NSW and the Department of Natural Resources and Environment in Victoria, and was jointly steered by Sue McIntyre of NPWS and Ivar Nelsen of NRE. The scope of the project focussed on ANZECC agencies but allowed for benchmarking with non-ANZECC agencies.

The management of cultural resources on reserved land is an important aspect of the management of parks and protected areas. In most states and territories it is a statutory requirement that government agencies responsibly manage cultural heritage assets. The management of cultural resources within parks ;and reserved land has often been 'site driven'. This can limit an understanding with agencies of the wider historic themes represented in their protected areas and the way in which these themes contribute to the conservation of the state/territory or national heritage.

This project was a national benchmarking project on cultural resource management levels and standards in parks and protected areas. It focuses exclusively on non-Indigenous cultural heritage. Its objectives were to:
- use benchmarking to assess current practices for the delivery of cultural heritage conservation, and;
- make recommendations based on an assessment of best practice for the future delivery of effective cultural heritage conservation.

2.2 Opportunities and Constraints

The project has presented some specific opportunities and constraints, which have shaped the collection, analysis and presentation of information. These are presented here to provide a context for this report and to qualify its findings.

Opportunities included:
- participation of CHM professionals from 8 of the 10 ANZECC partners
- direct access to libraries in New South Wales and New Zealand

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- access to international information via the Internet
- the workshop with ANZECC member representatives, which offered a rare and valuable chance for CHM specialists to share ideas

Constraints included:
- the very broad scope of the project brief, covering all aspects of CHM
- the geographical size of the study area which prevented site visits and on site assessment of best practice within the project budget
- the lack of CHM performance measures among ANZECC partners
- differences in organisational structure among ANZECC partners
- the undeveloped state of some management practices in ANZECC organisations preventing gathering of comparative data eg. training, output definition, performance measurement, SOPs
- the lack of CHM specialists dedicated to CHM in some ANZECC organisations

The full co-operation of the participating ANZECC members has greatly assisted in the preparation of this report. The willingness of their CHM specialists to talk openly about their performance has allowed us to present a realistic and accurate appraisal of current practice. Those same specialists shared their respective visions for the future and kindly provided reports and draft planning and operational documents for review. That information has contributed significantly to the report's conclusions on best practice.

The wide scope of the project brief has permitted our enquires to range across all the key areas of non-indigenous CHM. While that has made for a very interesting project, it has constrained the depth of the study. We note that past ANZECC benchmarking and best practice projects have examined natural heritage through multiple studies, while this is the only project to specifically address CHM.

A particular constraint arises from both the broad scope of the project and the large geographical area covered in the study. It has not been possible in this project to provide for visits to each of the ANZECC agencies to view and assess their practices firsthand. This has been a distinct disadvantage as the consultants have not been able to fully explore resource allocation models, determine the level of uptake of standard operating procedures in the field, compare methods of presenting cultural heritage or make a number of other useful on-site observations. As a result, assumptions have had to be made about the effectiveness of some practices.

There is a common language among ANZECC CHM specialists and only occasional clarification of terms was required during the course of the project. A significant exception was the concept of advocacy – the public voicing of support for cultural heritage conservation. DOC accepts a limited advocacy role and PWST actually sets targets for advocacy work. NRE does some advocacy through an information sheet series. Other agencies either did not recognise the term or did not see advocacy as an appropriate activity for their agency. It is acknowledged that the existence of other organisations with a defined advocacy role (eg. Heritage Victoria, National Trust) contributes to that view.

There is little consistency to the allocation of CHM responsibilities within parks agencies. Some organisations took several weeks to decide whose responsibility it was to be involved in this project. There appears to be a perception among some parks managers that CHM is not the core business of parks and that they would rather see it handled by someone else.

2.3 ANZECC and Other Benchmarking Partners

ACTPC   **Australian Capital Territory** Parks and Conservation

AHC   Australian Heritage Commission (EA) **Commonwealth of Australia**

ANZECC   Australia and New Zealand Environment and Conservation Council

CALM   Department of Conservation and Land Management, **Western Australia**

DOC   Department of Conservation, **New Zealand**

EA   Environment Australia, **Commonwealth of Australia**

EPA   Environmental Protection Agency, **Queensland**

NPS   National Parks Service, **United States of America**

NPWS   National Parks and Wildlife Service, **New South Wales**

NPWSA   National Parks and Wildlife **South Australia**, Department for Environment Heritage and Aboriginal Affairs

NRE   Department of Natural Resources and Environment, **Victoria**

PV   Parks Victoria – provider of services to NRE, **Victoria**

PWCNT   Parks and Wildlife Commission, **Northern Territory**

PWST   Parks and Wildlife Service **Tasmania**, Department of Primary Industries, Water and Environment

QPWS   **Queensland** Parks and Wildlife Service, Environmental Protection Agency

3.0   Methodology

3.1 Approach

Hague views benchmarking as a results-driven, learning and change process, creating a highly focussed repository of knowledge. Benchmarking is a tool for analysing one's own best practices and the best practices of other organisations to drive change. That change will enable performance at or above the level of the best in the world.

There are many levels of benchmarking. This project primarily represents the second highest level of benchmarking which is the detailed comparison against associated organisations in like environments (the ANZECC agencies). Even so, the variations in organisational structure within the ANZECC member group do introduce complexities. Those differences need to be understood in order to place processes and performance measures in perspective. More detail on those differences is provided in section 4.1. Profiles of ANZECC CHM partners

The project followed the following timetable:

8/11/99	Week 1	Appointment of consultants, project start date
	Weeks 1-4	Literature survey, questionnaire design, booking interviews
25-26/11/99	Week 3	Initial progress report and meeting, Sydney site visits
01/12/99	Week 4	Questionnaire e-mailed to participants
22/12/99	Week 7	Questionnaire return date (fax or email)
	Weeks 7-12	Consultation (telephone interviews), analysis of data.
10/1/00	Week 10	Second progress report, tele-conference
07/02/00	Week 12	Goat Island workshop, Sydney
28/02/00	Week 15	Draft report emailed to reference group
06/03/00	Week 16	Draft report presentation to reference group, Sydney
5/04/00	Week 20	Comments on draft report received by project co-ordinator
13/04/00	Week 21	Collated comments on report forwarded to consultants
19/04/00	Week 22	Final report submitted, presentation to reference group Sydney, acceptance of final report

The view of benchmarking as a change management tool demands that the benchmarking project be viewed as more than pure research. The project must provide ideas for planning organisational improvements. Those ideas are best

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provided as high-level observations placed in the context of the environments from which they are drawn.

Those observations can then give rise to value propositions - hypotheses for actions to add value to the commissioning organisation. The value propositions (or draft best practices) formed the basis for peer review in the consultation phase, in the workshop and in the review of the draft report. The input of the workshop group has allowed the best practices to be presented in such a way that they become meaningful to a range of organisations in different circumstances.

The benchmarking methodology is process-based, examining the processes by which successful organisations create results that represent best practice. Examination of processes has included:
- procedures used within the process
- documentation used to control or support process activities
- training programs related to process requirements
- techniques, tools, equipment, and support services used in the process
- means of communication used within the process
- how stakeholder interactions are performed, monitored, and evaluated
- quality and accessibility of records and data supporting the process.

Sample documents were requested and received from each of the ANZECC partners to enable detailed examination of processes. This information was requested at the commencement of the literature survey.

The benchmarking project investigated:
- the concepts, methods, techniques, policies, procedures, and practices used by ANZECC partners that enable them to obtain superlative process performance
- approaches being used to align process, organisation, technology, and business objectives
- new approaches being employed in the processes under study, or innovative uses of old approaches
- the interrelationship between technology application and organisational structures
- approaches that didn't work as planned in ANZECC agencies
- considerations for organisations looking to adopt best practices given the differences among benchmark partners

The consultants undertook the project with full regard to the 1995 ANZECC code of conduct for the Best Practice Program.

3.2 Literature Search

❑   Introduction

A literature search was included as a requirement in the brief for this project and was restated as a major priority in the successful tender. Among the key purposes of the search was to identify and analyse as much relevant information as possible in order to gain an understanding of Australasian and international practices in CHM. It was

also required to collect as much information as possible about the structures, operations and activities of ANZECC member organisations, particularly within CHM.

It was intended that this work be used as a source for important material and as the basis of a bibliography of relevant publications and resources.

As the report's emphasis is self evidently on current or recent best practice, it was decided to concentrate, but not exclusively, on material written after 1990.

ANZECC organisations were the first port of call but beyond that it was decided to concentrate on material sourced from countries which had a similar government structure, culture and park based land management to those of ANZECC, and/or those with a long history of conservation and interpretation of built heritage. In most cases that has meant material published in Canada, United States and to a lesser extent Britain and South Africa, in addition to that found in Australia and New Zealand. An interesting exception to this was Norway.

❑　The search

1)　Libraries

Relevant secondary sources proved to be fairly elusive, as most land based heritage management is undertaken almost exclusively by specialist government organisations and the audience for the material they produce is generally confined to those organisations. Although a lot of material has been generated by those organisations, it became evident that, more recently, material has been disseminated electronically. Books, pamphlets and periodicals are no longer the favoured media.

The collections of the following places were searched: National Library of New Zealand, Wellington; Wellington Public Library; and Department of Conservation Library, head office, Wellington, the library of the Historic Places Trust, Wellington, the library of the National Parks and Wildlife Service, New South Wales, and the State Library, New South Wales (both located in Sydney).

Limiting the search to post-1990 work ruled out some otherwise relevant sources, while of the libraries searched, just the NPWS's and to a lesser extent NSW State Library revealed any recent material. In general, bibliographical searches threw up older technical manuals and conservation theory, with little evidence of new thinking on the subject.

Among the secondary sources consulted were:

Allen, Harry, <u>Protecting Historic Places in New Zealand</u>, Department of Anthropology, University of Auckland, 1998

Hall, C. Michael & McArthur, Simon, <u>Heritage Management in Australia and New Zealand</u>, Oxford University Press, Melbourne, 1996

O'Connor, Penny, <u>Assessment of Protective Mechanisms for National Estate Cultural Heritage Values</u>, Report for Commonwealth and West Australian Governments, November 1998

Person, Michael & Marshall, Duncan, <u>Conservation Principles and Advice for Cultural National Estate Values</u>, Report to the Tasmanian Regional Forest Agreement Environment and Heritage Technical Committee, March 1997

See the main bibliography for the entire list of secondary sources.

2)   The Internet

Obviously the Internet offers an immediacy that no other medium can match. It is now often the first point of "publication" for the relevant organisations investigated during the course of the preparation of this report.

Searches were made using general and specialist directories, search engines and meta search engines, using key words and phrases and Boolean logic. Bulletin boards were also used. Among the key words used to search were 'heritage management', 'historic heritage management', 'conservation management', 'heritage landscape management', 'heritage conservation' etc, as well as linking the above with key phrases like 'benchmarking', 'best practice' and 'standards'. The results were, on the whole, excellent.

Member organisations are represented on the web, and general information on their structures, objectives and responsibilities was readily available. Although this was often not detailed enough for the purposes of this work, subsequent enquires to each organisation filled the gaps [see *3) Member Contributions* below].

Material was gathered, individually or in association with other relevant material, on the following subject areas:
▪   relevant (member) legislation
▪   protocols
▪   policy documents
▪   processes
▪   development of standards
▪   nature conservation parallels
▪   conference papers
▪   charters

Those organisations publishing relevant material include specialist government heritage agencies (whether land-based or not), universities (particularly those offering degree courses in heritage management), and specialist member based organisations publishing conference proceedings or papers. As an observation, a surprising amount of work in this area has already been done in Australia by non-ANZECC organisations.

Among the key documents gathered from the Internet were:

National Park Service, USA, "Secretary of the Interiors Standards for the Treatment of Historic Properties with Guidelines for the Treatment of Cultural Landscapes"

NSW Heritage Office, "Principles of Conservation Work on Heritage Places"

Australian Heritage Commission, "National Heritage Standards"

Parks Canada, "Cultural Resource Management Policy"

National Heritage Convention, "Australian Heritage Standards"

Virtual Past - Johnstone Centre of Parks, Recreation and Heritage (Charles Sturt University, Albury, Australia) "Heritage Management Policy", "Heritage Planning and Management", "Heritage Legislation and Conservation Management"

Environment Australia, "Determining Natural Significance"

See the main bibliography for site URL's.

3)   Member contributions

Requests to member representatives for publications and information were responded to with enthusiasm and in some cases, great detail. Out of this came documents on each member organisation's legislative mandate, corporate structure, budget, strategic or corporate plan or purchase agreement, policy documents relating to heritage identification and assessment, conservation planning and conservation work.

Allied to the questionnaire sent to all representatives were specific requests for information to supplement written responses. Some of the information provided in this fashion augmented that provided in the initial information- gathering round. Among the publications or reports received were examples of other planning documents such as conservation management plans.

Typical of the range of documents received were:

Annual Report Heritage Council 98-99, Heritage Council Victoria, 1999

Aris, Kelly Dryandra Woodland Settlement Conservation Plan, Department of Contract and Management Services, Western Australia, 1998

Ben Lomond National Park Management Plan, Parks and Wildlife Service Tasmania, Department of Primary Industries, Water and Environment, 1998

Catrice, Daniel and Nelsen, Ivar, Nursery Stables, Creswick Conservation Management Plan, Historic Places Section, Parks Flora and Fauna Division, Department of Natural Resources and Environment, Victoria, 1998

Committee of Review – Commonwealth Owned Heritage Properties, Heritage Asset Management Manual – Draft, Built Heritage, Department of Communications and Arts, 1996

Guidelines for the management of cultural heritage values in the forests, parks and reserves of East Gippsland, Department of Natural Resources and Environment, Victoria, 1997

Historic Places Special Investigation South-Western Victoria Descriptive Report Land Conservation Council, Melbourne, Victoria, January 1996

Historic Places Special Investigation South-Western Victoria Final Recommendations, Land Conservation Council, Melbourne, Victoria, January 1997

Lincoln National Park Draft Management Plan, National Parks and Wildlife, Department for Environment Heritage and Aboriginal Affairs, South Australia, June 1999.

❑   Outcomes

The literature survey revealed a great deal of information, of various levels of relevance and usefulness.

The benefits of the search were threefold.
▪   The identification and absorption of a wide range of material on cultural heritage management helped the consultants gain a broad contextual understanding of the subject.
▪   The Internet revealed the great value of this 'new' medium as a source of information. It provided current information on the structures and practices of a range of international organisations, as well as offering instant access to their on-line repositories and databases.
▪   The collection of material from member organisations was an important part of establishing the specific structure and processes each had in place, and for helping to identify some practices that could be applied elsewhere as benchmarks.

The survey revealed that, although they sometimes do not exhibit sufficient authority and scholarship, web sites are now the most valuable source of information on heritage management. The willingness with which academics and practitioners are prepared to share their knowledge is remarkable. To a lesser extent, secondary sources – either academic or practical in content – helped shape some of the thinking in the final report. Practical information on each organisation was gleaned from the various reports sent over by key organisational contacts and helped augment the contribution of the questionnaires and face-to-face interviews.

In general the literature search was successful in uncovering sufficient information for the purposes of this report.

3.3   Questionnaire

The first step in the consultation stage with ANZECC partnership agencies was the development of a questionnaire to be emailed to the nominated CHM specialist in each agency. The questionnaire was based on the key processes identified from the literature search. Some preliminary testing was completed in New Zealand with CHM practitioners. The draft questionnaire was then the subject of a workshop

session in Sydney with the consultants and the project co-ordinators – Susan McIntyre of NPWS and Ivar Nelsen of NRE. A copy of the questionnaire is attached as Appendix **6.2**.

The questionnaire was designed in a very open style without pre-selected choices. This style was chosen deliberately in an attempt to generate honest answers and fresh approaches to the key processes. The consultants endeavoured to avoid leading participants towards particular responses. The literature survey showed clear differences in the stages in development of CHM among ANZECC partners. Given those differences it was felt that few assumptions about current practices could be made prior to receiving questionnaire responses.

A key feature of benchmarking questionnaires is that they are not market research surveys, which generally seek opinions based on preset assumptions about choices. We anticipated that this approach would require greater qualitative analysis than a multi-choice questionnaire but we believe that it enabled a broader understanding of current practice and best practice.

Questionnaires were emailed to each ANZECC agency on 1 December 1999 and were due back by 21 December 1999. Most responses were received in early January. Questionnaires were received from:
- AHC
- CALM
- DOC
- NPWS
- NRE
- PV
- PWCNT
- PWST
- PWSSA
- QPWS (received 26/2/2000)

No questionnaire was returned from ACTPC or from EA. Environment Australia noted that in reference to the nil response, "…*protected areas managed by Parks Australia contain minimal areas of historic significance*." The US National Parks Service was not able to provide a response in time to meet the deadline for the final report. The NPS did, however, provide details of their work on core competencies and CHM training, which has been incorporated in this report. Responses were not received from agencies in the United Kingdom.

Each questionnaire was completed and returned before a telephone interview was conducted with the respondent. The questionnaire responses were used as tools to gather detailed factual information about current and proposed processes and the systems, structures, policy frameworks and procedures that supported and constrained those processes. Each questionnaire then provided a platform from which to develop a telephone interview guide.

In accordance with benchmarking codes of practice, the responses themselves remain confidential and no comments have been attributed to specific ANZECC partners or

their representatives without their permission.

3.4 Interviews

All the interviews were conducted on the telephone with the exception of the interview with Paul Mahoney of DOC. That interview was conducted face-to-face. Each interview was based on an interview guide with a set preamble followed by a selection of questions on each of the key processes. The questions were predominantly open questions designed to develop a deeper understanding of significant issues identified in the email questionnaire. An excerpt from one of the interview guides is provided as Appendix 6.3.

Interviews were conducted with:

Paul Mahoney	Senior Technical Officer	DOC
Ivar Nelsen	Manager, Historic Places Section	NRE
Susan McIntyre	Manager, Cultural Heritage Services Division	NPWS
Brett Noble	Manager, Historic Heritage	PWST
Alex McDonald	Manager, Reserves Planning	NPWSA
Daryl Moncrieff	Planning Coordinator	CALM
Paul Dartnell	Manager, Conservation Strategy	PV
Chris Smith	Heritage Planner	PV
John Grinpunkel	Team Leader, Heritage Programs	PV
Kay Bailey	Principal Planner, South	PWCNT
Natalie Broughton	Senior Conservation Officer	AHC

In accordance with benchmarking codes of practice and established principles for the conduct of market research interviews, the transcripts of the interviews remain confidential. No comments made in the course of any interview have been attributed to specific ANZECC partners or their representatives without their permission.

3.5 Workshop

Analysis of international literature, the questionnaire responses and the transcripts of the telephone interviews provided an initial draft of a range of best practices within each key process. These draft best practices were circulated to all the ANZECC member organisations following invitations to attend a workshop in Sydney.

The workshop provided an opportunity to present, discuss and review the draft best practices within a forum of CHM specialists.

The goal of the workshop was:

> *To reach a broad consensus on specific best practices within the key*
> *processes of Cultural Heritage Management in parks agencies and to*

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identify those areas where critical success factors are required.

The workshop was held on Goat Island in Sydney Harbour on Monday 7 February 2000. The workshop group considered the draft CHM model and suggested changes to incorporate planning and budgeting cycles more explicitly. The group then discussed each of the draft best practices within each key process and made a number of changes to enhance accuracy, improve understanding and ensure completeness.

The workshop group pictured above (left to right): Alex McDonald *NPWSA*, Paul Mahoney *DOC*, Phil Guerin *Hague*, Kay Bailey *PWCNT*, Susan McIntyre *NPWS* , Brett Noble *PWST*, Alex Carter *EA*, Michael Kelly, Natalie Broughton *AHC*, Ivar Nelsen *NRE*, Daryl Moncrieff *CALM*.

3.6   Analysis

Analysis has concentrated on the development of a best practice model and specific examples of best practice within that model. That analysis has been largely qualitative rather than quantitative. The consultants, the project co-ordinators and the workshop group have examined the *depth* of work undertaken by each agency within each key CHM process. That examination has focussed on the extent to which a practice resolves a fundamental management problem in a comprehensive and sustainable manner.

There has been limited analysis of facts and figures relating to ANZECC CHM organisations because there are few areas where the data provides for useful comparisons. As an example there is little value in comparing the number or size of historic reserves under management. Some states have no statutory provision for historic reserves but historic places will exist in natural reserves or within park boundaries. Likewise the number of places listed in a state's inventory of cultural

heritage may be a factor of policy differences, the existence of multiple registers, lack of funding or, as is most likely, a combination of these and other factors.

4.0 Best Practice

4.1 Background

❑ Theoretical

Best practice is:

> *"High performance in a particular practice or process, indicated by optimal use of resources and customer satisfaction, and validated by comparative assessment."*
> from Anne Evans, Benchmarking Link-Up Australia

The above definition of best practice reflects the approach taken by the consultants to develop examples of best practice for this report. We have consistently examined the information from the literature search, questionnaires, interviews and workshops for examples of high performance.

The extraction of maximum value from limited resources to produce a visible benefit is the common factor in these best practices. We have then compared each concept and practice within key processes to the other information collected. The results are the best practices we have been able to find to date within the scope and constraints of the project brief.

Most of these best practices are to be found within the ANZECC agencies. One reason for this is that it is difficult to find truly comparable agencies in other parts of the world. Another is that, despite the Internet, it is still difficult to extract very specific and complex information from afar and make meaningful comparative assessments without good contacts and ample time. The final reason for the plethora of Australian and New Zealand examples is the extent of the ingenuity and perseverance of local CHM specialists operating with limited resources.

It must be noted, however, that many of the best practices listed here have only been partially implemented, are still being developed, or have only been implemented in one or a small number of agencies. There is plenty of scope to improve upon current best practice and it must be remembered that the aim should not be simply to meet current benchmarks but to set new ones.

Best practice is set out under each of the key processes identified in the CHM model. Each section describes the process, summarises current practice and presents best practice. Each best practice is numbered and is stated as succinctly as possible. In most cases an explanatory paragraph expands on the identification of that best practice or describes how it might be implemented. Where the statement of best practice is self-explanatory no further explanation has been provided. Examples of each best practice are provided where they exist and where an example may assist the reader. The examples are not exhaustive and other examples may exist. In some cases there is either no relevant example or the best practice does not require an example to illustrate it.

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❑   Profiles of ANZECC CHM partners

This report does not provide a detailed analysis of organisational structure or legislative frameworks. Its focus is on the processes employed to achieve CHM results. This section provides background information on ANZECC agencies in order to provide some context for the best practices identified. There are significant differences in the structures and statutory environments of ANZECC agencies but they all (except for EA) manage parks and protected areas that contain places of cultural heritage significance.

Total resources

Agency	Total full time staff	Total annual budget (approximate)
CALM, Western Australia	1062	$200,000,000
DOC, New Zealand	1525	$161,000,000
NPWS, New South Wales	1326	$224,000,000
NPWSA, South Australia	552	$64,800,000
NRE, Victoria	5400	$800,000,000
PWCNT, Northern Territory	407	$35,700,000
PWST, Tasmania	270	Not provided
QPWS, Queensland	492	$35,700,000

Total CHM resources

Agency	Full time CHM staff	CHM annual budget
CALM, Western Australia	0.0	No budget
DOC, New Zealand	24.0	$4,032,000
NPWS, New South Wales	6.5	Approx: $2,200,000
NPWSA, South Australia	1.0	Estimate: $650,000
NRE/PV, Victoria	6.0	$800,000
PWCNT, Northern Territory	0.0	*No budget
PWST, Tasmania	6.0	$850,000
QPWS, Queensland	*6.2	Not known

*   Does not represent full time CHM staff . Specialist CHM expertise is not internal to QPWS but are provided by the Cultural Heritage Branch of the EPA.

The figures above are not directly comparable. A percentage of work undertaken by parks staff, such as rangers/conservation officers, contributes to CHM. The DOC figure is the only one that allows for that contribution. Other figures include only those staff who do work that is clearly identified as CHM. The DOC figure also includes some work on indigenous heritage.

All figures are Australian dollars except the DOC figures, which are in New Zealand dollars. (NZ$1.00 = AUS$0.83 approx. at 14/4/2000)

*Northern Territory has a provisional budget of $450,000 for cultural site management in the 2000/20001 financial year. This relates to work undertaken by

parks staff and the fixed costs associated with that. It covers all parks and reserves throughout the territory.

Cultural heritage places managed

Agency	Places managed
CALM, Western Australia	It is estimated that there may be at least 2000 places of cultural heritage significance on CALM land - a formal inventory process has only just begun. Places listed on register of historic places: 19 Places listed on municipal inventories: 55
DOC, New Zealand	No. of recorded historic & archaeological sites: 10,000 No. of actively managed historic sites: 500 No. of actively managed historic assets: 845
NPWS, New South Wales	13 places (2,635ha) gazetted as historic sites Approximately 7,000 historic heritage sites/places listed on the NPWS Heritage and Conservation Register including multiple features at a single location. If these are grouped together there are about 2,000 places. About 10% are actively managed.
NPWSA, South Australia	No specific figures provided. "A relatively large number of …(places)… within the reserve system – a relatively few heritage buildings are located on …parcels of land …reserved ..(for)..cultural significance."
NRE, Victoria	Approximately 6,500 sites in NRE area (not just parks and reserves). This includes archaeological as well as built sites.
PWCNT, Northern Territory	15 historical reserves totalling 9838 ha plus many other places of cultural heritage significance in parks or other reserves
PWST, Tasmania	Approximately 1500 sites on reserve land Approximately 150 sites actively managed
QPWS, Queensland	At least 266 cultural heritage places on national parks and conservation reserves* 87.7 ha specifically gazetted for historic values Actively managed historic sites: 2

*   Only includes SE Queensland and the Southern Brigalow Belt but the available figures are not state wide.

It is very difficult to make meaningful comparisons based on these figures. There is nothing 'standard' about a place of cultural heritage significance or a historical reserve. This table is provided purely as background information.

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Qualifications and training of CHM specialists

Agency	Qualification	No. of staff
CALM, Western Australia	N/A	0
DOC, New Zealand	Civil engineering degree	1
	Anthropology degree (Archaeology)	?
	History degree	?
	Planning degree	?
NPWS, New South Wales	Archaeology degree	3
	History degree	1
	Masters in Heritage Conservation/ architecture degree	1
NPWSA, South Australia	None	1
NRE, Victoria	Architecture degree	1
	History degree	1
	Science degree	1
Parks Victoria	Conservation architecture degree	2
	Town planning qualification	1
PWCNT, Northern Territory	N/A	0
PWST, Tasmania	Archaeology degree	4
	Draughting qualification	2
QPWS, Queensland	Not stated	N/A

*Relationship between respective park and heritage agencies

ACT
Park Agency: ACT Parks and Conservation
Heritage Agency: Heritage Unit
Both within Environment ACT but no direct association

New South Wales
Park Agency: National Parks and Wildlife Service
Heritage Agency: Heritage Office
Two different departments with no direct association.

New Zealand
Park Agency: Dept of Conservation
Heritage Agency: New Zealand Historic Places Trust
Two separate organisations (since 1 September 1999) with no direct association.

Northern Territory

Park Agency: NT Parks and Wildlife Commission
Heritage Agency: Heritage Conservation Branch
Two separate organisations with no direction association

Queensland
Park Agency: Queensland Parks and Wildlife Service
Heritage Agency: Cultural Heritage Branch
Both are within the same Department of Environment and Heritage but are two separate organisations. The CHB provides CHM expertise to QPWS.

South Australia
Park Agency: National Parks and Wildlife SA
Heritage Agency: Heritage South Australia
Both exist within the same Department of Environment and Heritage and there is a formal relationship where HSA provide advice and staff to NPWSA.

Tasmania
Park Agency: Parks and Wildlife Service Tasmania
Heritage Agency: Tasmanian Heritage Council Secretariat
Both within the Department of Primary Industry, Water and Environment but no direct associations. (A review of this situation is currently underway)

Victoria
Park Agency: Dept Natural Resources and Environment and Parks Victoria
Heritage Agency: Heritage Victoria
Two separate organisations, no direct association

Western Australia
Park Agency: Parks and Visitor Services (Dept Conservation and Land Management)
Heritage Agency: Heritage Council of WA
Two separate organisations, no direct associations
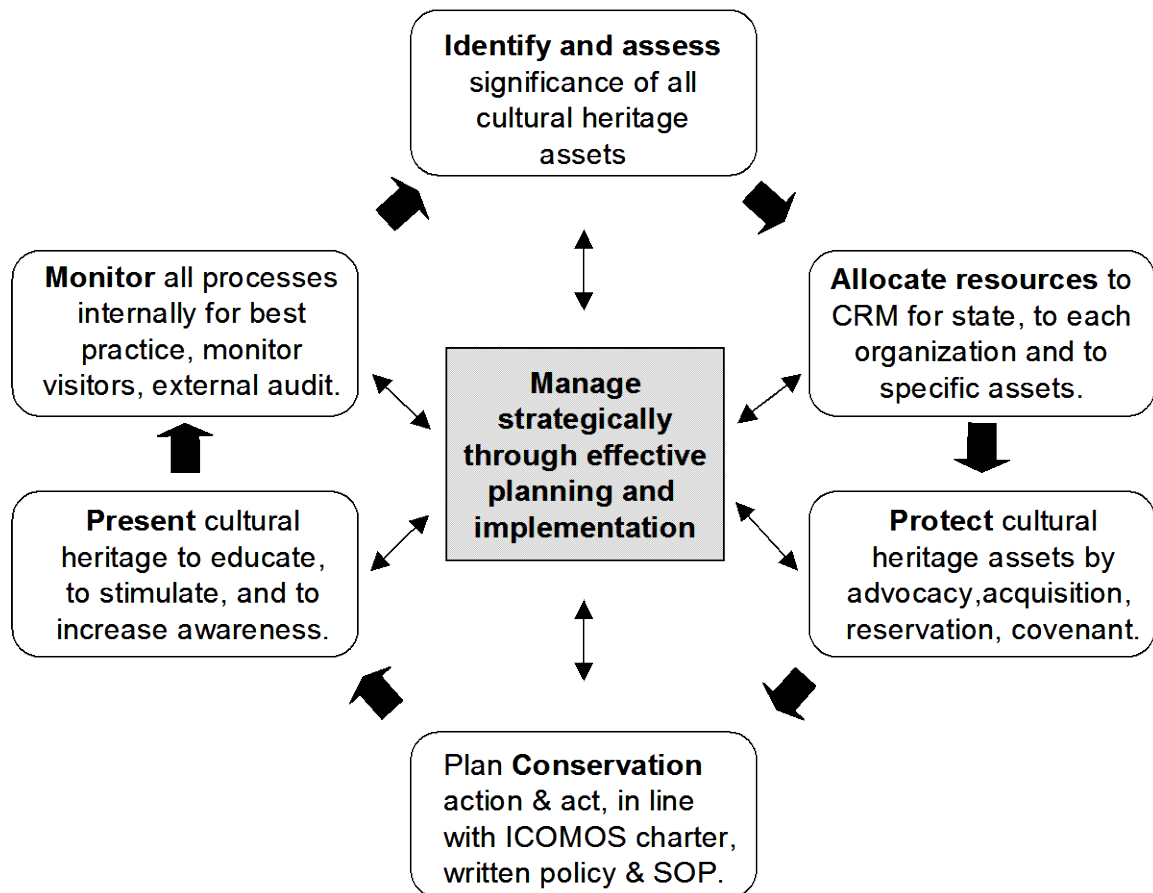
4.2   Cultural Heritage Management Model

The following simplified model has been developed to demonstrate best practice in cultural heritage management for parks and protected areas.
As the model implies, CHM will generally follow a sequence of key processes commencing with identification and assessment. All key processes will be driven by strategic goals that have been embodied in systems and standard operating procedures.

There is a continuous feedback loop between each of the key processes and the strategic management process. Strategic management is a major process in itself that includes the organisational planning cycle and its links with external agencies. We have not attempted to model the individual planning cycles of each organisation, as they are all quite different.

There is no implied requirement to apply all processes in the model to every cultural heritage asset. There may be assets for which no conservation action is taken or assets may be conserved but not presented.

Cultural Resources Management Model

Identify and assess significance of all cultural heritage assets

Monitor all processes internally for best practice, monitor visitors, external audit.

Allocate resources to CRM for state, to each organization and to specific assets.

Manage strategically through effective planning and implementation

Present cultural heritage to educate, to stimulate, and to increase awareness.

Protect cultural heritage assets by advocacy, acquisition, reservation, covenant.

Plan **Conservation** action & act, in line with ICOMOS charter, written policy & SOP.

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Key Processes

- **Strategic management** covers planning, policy, organisational culture and strategic initiatives which are broader in scope and vision than the specific operational practices presented under each of the other 6 process headings. Strategic management requires that processes, structures and systems all embody the strategic goals of the organisation. An overall strategy must be visible at all levels of management and across all functional areas.
- **Identification and assessment** covers the processes used to identify heritage places, create inventories, and assess comparative significance. It includes research, recording, investigation and assessment.
- **Allocating resources** covers the ways in which financial, human and other resources are obtained and allocated to the CHM structure within the organisation and allocation of resources to specific CHM assets.
- **Protection** is defined as passive measures to protect heritage and excludes physical intervention. Specifically it covers statutory protection, advocacy and acquisition.
- **Conservation** is the safeguarding of a cultural resource, retaining its heritage values and extending its physical life. It includes all work undertaken to remedy and mitigate deterioration in the condition of cultural resources, excluding passive measures covered by Protection. In this context conservation includes not only preservation but more interventionist work, such as restoration or adaptation as reflected in the Australia ICOMOS *Burra Charter* definitions.
- **Presentation** includes all the processes undertaken to "present" cultural heritage resources to the public. Presentation includes interpretation and education activities, programs and services; visitor centres; visitor facilities including tracks, bridges, car parks, fences, shops; revenue generating activities; and publications; but excludes protection and conservation work.
- **Monitoring** covers the monitoring and evaluation of resource delivery, identification and assessment, protection effectiveness, conservation work, and presentation of Cultural Heritage. It includes formal and informal monitoring and audit, performance measurement, visitor satisfaction surveys and any other evaluation and feedback mechanisms.

4.3   Strategic Management

Strategic management covers planning, policy, organisational culture and strategic initiatives which are broader in scope and vision than the specific operational practices presented under each of the other 6 process headings. Strategic management requires that processes, structures and systems all embody the strategic goals of the organisation. An overall strategy must be visible at all levels of management and across all functional areas.

❑   Current practice

Some ANZECC partners do not strategically manage CHM. In two cases there is no dedicated CHM management team (Western Australia and Northern Territory). In two cases there are CHM managers and Parks managers but no dedicated Parks CHM

managers (South Australia and Queensland although it should be noted that in Queensland CHM expertise is provided to the Queensland Parks and Wildlife Service from the Cultural Heritage Branch of the EPA). None of these agencies currently have a coordinated CHM strategy. Northern Territory used to have a corporate level CHM management structure but the function has been moved to another government agency as a result of restructuring.

Victoria has a purchaser/provider model where responsibilities are defined, if still being bedded down. That model provides some promise but is yet to be fully proven. New South Wales and Tasmania have corporate level Parks CHM managers, although New South Wales has devolved much responsibility to regions. New Zealand manages CHM on a regional basis with coordination from the Central Regional Office. Strategic management best practice is at present restricted to these latter four states.

Victoria, New South Wales, Tasmania and New Zealand have each defined the roles and responsibilities of CHM park agencies in such a way that they are able to plan strategically. There is still work to be done in defining a core set of values and principles to govern CHM work. Tasmania currently has a draft cultural heritage strategy and a number of standard operating procedures that constitute significant progress in this area. New Zealand has some excellent national standard operating procedures that link conservation work to overall strategy.

New South Wales has developed excellent guidelines and procedures for conservation work but needs to focus on the links between operational activities and high level planning. There appears to be a particular need to establish clear links between core values and principles and the prioritisation of CHM decisions. Victoria is moving to a strategic management focus, driven by NRE (the purchaser). Parks Victoria (the main provider) needs to ensure the purchaser's priorities are used to assess its own regional-based CHM managers in order to maintain that strategic public land focus.

❑   Best practice

1.   *A defined and agreed role for each CHM member organisation within its state boundaries.*

> If a state is to have an effective management strategy for CHM in parks and protected areas then a basic prerequisite is that it charges one or more specific organisations with that responsibility. That organisation (or organisations) then require(s) a clear and binding definition of its duties and powers and any constraints on those. There must also be a clear distinction between the role of these organisations and any other agencies that have responsibility for some aspect of CHM in that state. All these requirements are essential before an organisation can be expected to set strategic goals.

> Examples: Conservation Act 1987 (New Zealand)
> National Parks and Wildlife Service Act 1970 (New South Wales)

2. *An agreed core set of values and principles that drive all CHM work within the organisation.*

    The best examples of strategic CHM demonstrate clear links between corporate level planning (the mission statement) and operational activity. There are many names given to this type of document including; Statement of Purpose and Principles, Values Statement, Statement of Service Performance, Position Statement and the like. It will be developed from a consultative process and usually approved at Ministerial level. The critical point is that there is a concise summary of values and principles. It can then be consistently applied, like a litmus test, to the practices of the organisation.

    Examples: NRE Position Statement
                PWST Draft Cultural Heritage Strategy

3. *Corporate level CHM planning, strategy and budget setting capability to ensure a focus on state/national priorities.*

    This has been identified as best practice in recognition of two universal political and bureaucratic realities. The first is that resources are allocated on the basis of an effective business case presented to the right people, in the right place, at the right time, in the right way. The second is that plans and budgets presented by regions on a regional basis will always reflect regional interests more than they reflect state interests. These realities are based on the natural human desire to secure resources for those things that we each believe to be the most important. Those few states that have managed to secure adequate funding for specific programs have all achieved that funding through a focussed corporate-level effort. It is important that CHM spending can be identified and tracked which is not currently possible in some organisations.

    Example: NPWS conservation work funding of $2 million per annum.

4. *Organisation-wide standard operating procedures (SOP) for CHM including policies, guidelines, templates, standardised forms and scoring systems.*

    A standard operating procedure (SOP) is a step-by-step set of instructions for undertaking a common task in a specialised area. A statewide SOP based on an agreed core set of values and principles allows corporate-level strategy to flow directly through to operational activity.

    Every CHM organisation interviewed for this project was able to provide examples of inconsistency in planning and implementation. Some of those examples resulted in serious damage or loss. The history of CHM is characterised by ad hoc decision-making – often as a result of poor support for well-intentioned field staff or volunteers. The strategic implementation of standard operating procedures provides a cost effective means to support staff, give guidance and ensure consistency.

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Example: PWST cyclical and catch up maintenance plans
DOC's extensive range of standard operating procedures

5. *Integration of CHM with organisation's other functional areas to ensure that general management systems and initiatives include the CHM function.*

To ensure best practice CHM must be integrated into all the general management of the organisation including risk management, asset management, capital expenditure planning, and so on.

In any organisation there are a number of general management systems and initiatives through which policy and resource allocation percolate. These are usually steered by committees whose members are drawn from the key operating areas of the organisation. Within ANZECC agencies, CHM tends to be a very small branch of a section of a division of a department – where there is a CHM structure at all. As such there is seldom an CHM input to these groups and the systems and initiatives driven by them.

Example: Team Leader Heritage Programs is a member of the Parks Victoria Asset Management Team (a corporate level group)

6. *ANZECC agencies working collaboratively and sharing information, innovation and resources to further strategic management goals.*

The extremely low staffing levels for CHM within ANZECC agencies mean that CHM specialists have few, if any, opportunities to share information with their peers. This inability to objectively benchmark their performance on an ongoing basis impairs their ability to manage strategically and to keep abreast of developments in their field.

Example: Annual workshop of ANZECC CHM specialists.

7. *An organisational public relations and advocacy strategy which includes ongoing promotion and publicising of CHM and areas of CHM expertise in order to raise organisational profile and public awareness.*

A perusal of the annual reports of each of the ANZECC agencies reveals a broad range of initiatives designed to raise awareness of natural heritage issues and some quite vocal advocacy in that area. The same must apply to CHM if it is to garner corporate-wide support for its activities.

Example: NRE Information sheet series
QPWS Interpretation and Education Strategy

4.4 Identification and Assessment

Identification and assessment covers the processes used to identify heritage places,

create inventories, and assess comparative significance. It includes research, recording, investigation and assessment.

❑   Current Practice

Member organisations recognise the essential role that identification and assessment of heritage places has in their work. The extent to which this work has been, or is currently pursued varies greatly.

The following common features characterise current practice:
- most organisations conduct, or have conducted for them, some form of inventory
- most organisations have a common form for use in identifying and assessing heritage
- most organisations assess heritage significance themselves without using an outside agency or consultants
- no organisation regards its understanding of the land it manages as complete
- no organisation considers it has identified, let alone assessed, every heritage place on the land it manages
- most inventory has been done solely on the basis of systematic surveys of blocks of land, rather than a thematic approach

Some member organisations, after several decades of inventory, consider they have a good understanding of the resources they manage. As a result, inventory has been given a lower priority and interest has switched to conducting conservation work on those places of high heritage value already identified. Organisations for which this applies are DOC and NRE/PV.

Other member organisations still have considerable inventory that could be done, but as it is either in areas where there are no threats to the potential resource, or where it is unlikely to result in important sites being identified, they have transferred their priorities to other work, such as conservation. This is particularly true of NPWS and PWST.

CALM, Western Australia, is in the early stages of identification and assessment of heritage and is currently implementing a systematic approach. Assessment is undertaken by outside agencies such as the National Trust. Consequently CALM has few places that are actively managed for their heritage value. There is no systematic system in place to identify and manage places of significance within Queensland's parks.

In Queensland and South Australia, other agencies within the same Department as the parks agency conduct identification and assessment. The South Australian agency declined the opportunity to contribute to this project.

❑   Best practice

1.   An understanding of the resources under management guides all CHM policy. This requires the preparation and maintenance of an inventory (register) of

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cultural heritage assets. Each organisation has a standard inventory form, available online as a SOP, including, as a minimum:

- *location of site (grid ref, GPS ref. or both)*
- *description of site (physical and historical)*
- *the theme(s) represented by the site*
- *a preliminary or basic assessment of the significance of the site*
- *an initial management recommendation eg. benign neglect, restoration, stabilisation etc.*

Whether inventory is conducted as a systematic survey, or as an activity incidental to park management, a list compiling all the places identified for inclusion in a register, and a basic form to describe those places, is vital. The above is a guide to the minimum fields a form should have, but its overall content is at the discretion of member organisations. The form's effectiveness as a management tool is contingent on its use by a range of field staff and to that ends its dissemination electronically as a SOP is highly desirable.

Example: NRE Victorian Gold Fields project

2.   Inventory is updated as new information comes to light, or as new technology is introduced eg. GPS plotting of sites.

Maintenance of an inventory (updating for new information or new technology) is commonsense but not necessarily always done, especially on those inventories with thousands of listed sites. Accurate information is essential for sound management. Electronic updating of inventory offers major advantages in timeliness of information.

Example: The Queensland Environmental Protection Agency is currently finalising an electronic inventory form, linked to a GIS plotting process, which it hopes will be used by all agencies in the state.

3.   Inventory is thematically linked and has the primary aim of revealing a hierarchy of significant places under a variety of relevant themes.

There are two well-accepted methods of identifying key heritage – via thematic analysis or by survey of land area for key places. Ideally they should be used in tandem and consider all previous uses of the land. Each designated land area should be analysed for relevant themes and the identified heritage places ranked within that theme. In general terms, places of the highest significance within a theme will qualify for a greater expenditure of resources on them. Places outside main park areas should still be assessed for their relationship to existing themes, or identifiable state or national themes. This work requires the use of a thematic framework and some member organisations will prepare their own or use those already prepared by outside agencies.

Examples: Australian historic themes framework

DOC thematic analysis of coastal defence sites
PWST cultural heritage database themes

4. *Inventory work focuses on geographic areas or themes where there is little recorded inventory and a potential threat exists to unrecorded sites.*

The experience of some member organisations is that inventory can become an end in itself with no obvious management purpose. In order to ensure that inventory makes a meaningful contribution to effective heritage management, it should be focused on, but not confined to, land areas characterised by the two broad principles outlined above.

Example: DOC protection plan policy

5. *Each organisation has assessment criteria and an assessment process, both of which have been endorsed at senior management level.*

It is self-evidently good management to have a process for the assessment of heritage places and assessment criteria in place. It is also important to have the criteria and process signed off by senior management because assessment is the basis of some important decisions on the distribution of resources. Although the greater proportion of assessment is undertaken in-house by the staff of member organisations, other arrangements, such as having the work conducted by outside agencies or consultants, can be endorsed at senior level as well. Assessment criteria may need to be tailored to the agency's needs but should not be inconsistent with those of the state agency responsible for maintaining the heritage register.

Example: The process whereby places identified in the South East Queensland Regional Forest Agreement are considered by the Heritage Council in Queensland as a bulk nomination involving joint discussions between QPWS and EPA is a good example

6. *Each organisation maintains a CHM database containing all information relating to history and management of CHM assets with cross-reference to other state inventories.*

All organisations should retain a database of information on each actively managed place that goes beyond the initial inventory form (see 1. above) and includes broader information on the history of the place and its management. All management actions should be noted and updated where necessary. This database should be cross-referenced with other relevant state or national inventories such as broad heritage registers.

Examples: NSW State Heritage Register, NSW Heritage Office
              NRE historic places database, Victorian Heritage Register

7.   *Major capital expenditure on any CHM asset should be enlightened and guided by the relative significance of that asset in both a thematic and individual context..*

Most member organisations are required to justify large expenditure on heritage places and to this end an assessment of relative heritage value is a useful management tool.

Example: Nomination for inclusion on a state heritage register
            NRE Cultural Sites Network

4.5   Allocating Resources

Allocating resources covers the ways in which financial, human and other resources are obtained and allocated to the CHM structure within the organisation and allocation of resources to specific CHM assets.

❑   Current practice

It is difficult to present a clear picture of the process of allocating resources to CHM in ANZECC agencies. Only four of the agencies surveyed were able to put a figure on their CHM budget and one of those (South Australia) simply estimated it at 1% of the total parks budget. In most cases CHM is not funded as a discrete output of the agency.

It is possible to gain a picture of the level of CHM work undertaken in each agency through the number of CHM specialist staff in each agency, the number of CMPs completed, the number of CHM projects completed and a range of other indicators. From those indicators, it is clear that the biggest resource allocation issue facing ANZECC CHM agencies is an absolute lack of resources.

Only NPWS, NRE and PWST have distinct resource allocations for CHM and NRE and PWST each have well under AUS$1million to fund a statewide cultural heritage operation. DOC allocates funds at output level but tracing those funds to specific budgeted programs is another matter. Both catch up and cyclical maintenance work has been dependent on one off grant applications in some states but even that avenue has now been removed in some cases.

There is little consistency among agencies in the human resources allocated to CHM. There is wide discrepancy in the level and type of competencies of CHM specialist staff. There is general agreement that the key competencies derive from practical CHM skills and experience and that a relevant formal tertiary qualification is desirable. There is no general consensus on the relative merits of different disciplines such as archaeology, history, resource management and conservation architecture for generalist CHM managers.

The depth of CHM knowledge and experience within Parks agencies is currently very limited. NPWS appears to be the only ANZECC agency that has a CHM course within its organisational training program.

Commitment to community and business partnerships is currently quite limited. The best examples of community involvement in cultural heritage are the wilderness hut programs in Tasmania and New South Wales. One of the best examples of a partnership for large-scale conservation and adaptive reuse of heritage places is the migration museum in Melbourne, Victoria (formerly the Custom house). Another example is the former Government buildings in Wellington, New Zealand that now house the Victoria University of Wellington law school.

❑ Best Practice

1. *Access to a capital works budget for CHM catch up maintenance.*

   It is fundamental to the practice of cultural heritage management that it be possible to undertake essential remedial work. In order to do so there must be provision for CHM agencies to present capital expenditure bids through a formal process on a regular basis. Ad hoc grant funding is not suitable as the principal source of funds.

   Example: NPWS has a fund of approximately $2 million p.a. for conservation work on cultural heritage assets

2. *An ongoing core funding base for cyclical maintenance of CHM assets within each organisation responsible for CHM and the reflection of this responsibility in the organisation's outputs.*

   Just as it is fundamental that cultural heritage managers have funds to do catch up work on places, it is also crucial that basic cyclical maintenance be funded. Budget priorities will always determine the extent and timing of maintenance to some extent but it is essential that there is allocation of a funding base. All states have statutes that impose responsibilities to manage and maintain state assets.

   States following best practice specifically identify a responsibility to maintain heritage assets, formally requiring and funding that output from their parks or land management agency. An output is defined in the budgeting and planning cycle for a government agency and forms the basis for funding in an output-oriented public sector financial model such as that which has been in place in New Zealand since 1989.

   Example: Tasmania's Department of Primary Industry, Water and Environment has 'Output 3.3 Cultural heritage services' DOC has 'Output 4.5 Conservation of historic resources'

3. *Risk management policies within each organisation provide for CHM emergencies.*

   Risk management is a universally accepted corporate responsibility. It covers occupational health and safety, legal liability, environmental and a range of

other risks, one of which is asset protection. A CHM agency exercising best practice in corporate responsibility will therefore ensure that there is a risk mitigation strategy for unexpected threats to cultural heritage assets.

> Example: Use of a risk management table identifying:
> - table of CHM loss producing events (fire, landslide, flood etc)
> - risk effects
> - potential causes
> - potential risk control measures
> - controls in place
>
> Provision of funding or insurance to meet or mitigate losses (adapted from Interdata Risk Handbook)

4.   *Prioritisation of resource allocation to places on the basis of relative thematic significance is founded on an understanding of the history of land under management and broader state or national themes.*

This statement is based on the premise that a park agency with many historic places on its land has to make choices about which ones are more significant than others because it has limited resources to spend on their conservation. The thematic framework is dynamic and new themes and new places can be added at any time.

Best practice is that the themes relevant to the land area under management are identified and places are assessed for their relative significance under those themes. Places of higher significance within a theme (and places representing a more significant theme) will generally qualify for a greater expenditure of resources on them.

> Examples: DOC's thematic framework for historic sites
> PWST's cultural heritage themes
> NRE's cultural sites network

5.   *The proportion of CHM staff to CHM assets managed is similar to the proportion of staff to assets in other functional areas within the organisation.*

This best practice addresses the fact that parks agencies are primarily organised and resourced to protect natural heritage values. This means that natural heritage is resourced on a 'first principles' or 'zero-based budgeting' basis of calculating how many people and dollars are needed to manage x assets. Budget priorities will mean that actual resources are usually a little less than that.

CHM in ANZECC agencies has never been funded on that basis. In fact some parks managers may view it as a major concession that there are any CHM staff at all. The number of CHM staff positions is usually an arbitrary function of the historical success of managers with a cultural heritage bent cadging individual staff members on a case-by-case basis. Best practice

requires that a 'zero based budgeting' approach be taken to setting total staffing levels in parks agencies, including CHM staffing.

The CHM staffing requirement identified through this process need not be met entirely through permanent staff. A critical mass of in-house CHM specialists can provide core specialist skills, perform strategic management functions and ensure there is institutional memory. That in-house resource can then be augmented with the use of consultants and contractors.

6. *Identification of core competencies for CHM staff and competency-based recruitment procedures including assessment of competencies by a CHM specialist.*

It is accepted practice in human resources management to identify core competencies for a position or range of positions. The recruitment of CHM staff requires assessment of CHM competencies. Basic CHM competencies are also required for some non-CHM roles in parks agencies such as park rangers. The US National Parks Service (NPS) uses the following definitions:

Competency: A combination of knowledge, skills, and abilities in a particular career field, which, when acquired, allows a person to perform a task or function at a specifically defined level of proficiency.

Essential Competency: A competency that forms part of the <u>vital</u> knowledge, skills, and abilities for an individual career field.

Full details of competencies developed by NPS are provided in the NPS Employee Training and Development Career Planning and Tracking Kit (1996). It can be accessed at: www:nps.gov/training/npsonly/npsescom.htm.

Examples: PV's cultural asset management competencies within its
                 corporate competency framework
                 NPS competencies

7. *Training in core CHM competencies are integrated into organisation-wide training programs. (Including instruction in broad CHM principles and specific standard operating procedures)*

Integrated training provides for consistency of treatment of places and raises awareness of CHM issues. The integration of CHM training also serves as a risk mitigation measure in respect of the risk to places from parks staff that have insufficient knowledge of CHM.

Example: NPS Training and Development Program
                 NPWS Introduction to Cultural Heritage Course (2 days)

8. *Development of a suite of partnership tools to expand CHM management options eg. local government management, community participation.*

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The development of a range of different partnership options expands the resource base for CHM to include funds, labour and materials from other sources. It may allow for conservation work to be undertaken in cases where priorities would otherwise mean a place deteriorated beyond repair. It also provides for greater involvement of the community in cultural heritage, meeting education goals and resulting in a greater sense of public ownership of cultural heritage in parks and protected areas.

Example: PWST Community Huts Partnership Program
NRE/Parks Victoria/local Shire Mt Alexander Diggings
Project

9. *Regular analysis of CHM assets to ensure that each asset is managed by the organisation with the best expertise, resources, motivation and local presence to effectively conserve that place, and to present the place if it is appropriate to do so.*

Acceptance of criteria to govern the purchase of new cultural heritage places suggests that such criteria should also be applied to places that are in existing ownership. It may be that a local government authority, a heritage trust or a committee of management could better manage some of the assets currently managed by parks agencies. The reverse may also be true. Best practice is that the best manager is chosen rather than the most convenient.

Example: NRE conservation management scenarios – used also by PV and referred to as heritage action statements, these are five year vision documents encompassing management goals.

10. *Comprehensive guidelines and programs to promote and support active community involvement in CHM.*

There are a number of excellent volunteer and community programs operating in ANZECC parks agencies. Most of these programs were set up to enhance natural heritage values and some of those have a lesser focus on cultural heritage. There is also a range of specific cultural heritage programs. A common concern of CHM specialists is that enthusiastic amateurs will damage places of cultural heritage significance. Best practice is to pro-actively address this issue with a well-designed program.

Example: PWST Community Huts Partnership Program

11. *All leases on CHM assets include provision for specific ongoing works funded by lessee.*

The principle embodied in this practice is that commercial leases should be self-sustaining in that the lessee is funding the ongoing maintenance of the place. In some cases the lessee may actually do the work in accordance with

the CMP, subject to supervision by a CHM specialist. It is acknowledged that it may be desirable to ensure a use for a specific heritage place in a case where it would not be feasible to recover all the cyclical maintenance costs through the lease.

Example: PV: leasing out of lighthouses at Cape Hicks and Cape Otway
NRE: Avoca courthouse committee of management

12.   *Revenue generated from CHM is retained for CHM without a corresponding drop in budget funding, in order to encourage sustainable management.*

There are revenue-generating opportunities within cultural heritage management which are not fully realised because there is little incentive for managers to do so. If funds generated from presentation of a place were used to boost CHM budgets then strategically planned conservation and presentation projects could progressively reduce the long term dependence of CHM on state funding.

4.6   Protection

Protection is defined as passive measures to protect heritage and excludes physical intervention. Specifically it covers statutory protection, advocacy and acquisition.

❑   Current practice

Strictly speaking, no member organisation has direct access to regulatory means to protect heritage. The main tools at their disposal are acquisition, covenanting, gazetting, listing on non-regulatory databases, and advocacy or promotion. Acquisition may include purchase, transfer, gifting, bequests and other mechanisms. It does not simply mean the purchase of places.

The most effective form of protection is already in the hands of most member organisations ie. the places they manage occupy public land, where really the only peril faced is from deficient management. A clear corporate acknowledgment of the agency's protective role and the provision of adequate resources are necessary to reduce this risk.

Some relevant observations on broad present practice are as follows:
- few member organisations purchase property for its historic heritage value, despite the fact that hundreds of thousands of hectares are purchased annually for their natural values
- only one member organisation (DOC) has a dedicated fund for the purpose of purchasing places of great heritage value for inclusion on the public estate
- those criteria that do exist for determining if a property should be acquired do not take into account cultural heritage significance
- other protection devices used by member organisations such as gazetting reserves, listing on non-regulatory registers, or negotiating covenants are effective but sparingly used

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▪ the biggest threat to places on land managed by member organisations is probably from staff themselves

In general, member organisations managing land ensure the protection of heritage places by placing them on their own in-house register, thereby signalling their significance to visitors and to staff in other functional areas.

❑ Best practice

1. *Each organisation has a policy and a funding allocation for the purchase of properties with high cultural heritage values, or for places with a multiplicity of values.*

   If a member organisation has an active policy for purchasing or acquiring property with high natural values then this should be extended to the purchase of property of high cultural heritage value. This should also include places with multiple values that include cultural heritage values.

   Example: DOC heritage fund

2. *Allocation of funding for the purchase of new properties is managed according to pre-determined guidelines, including the establishment of criteria to guide the purchase of suitable places.*

   Given the budgetary considerations that constrain member organisations it is important that only places of sufficiently high value are acquired. The pre-determined acquisition guidelines will include criteria to determine whether a place should be acquired or not, as well as a process by which such a decision should be made.

3. *The process of acquiring places with a range of conservation or heritage values (natural, historic and indigenous) takes into account all the identified values and provides for their future management.*

   Where non-CHM values drive an acquisition decision then cultural heritage values are also assessed during the acquisition process. Similarly when a place is acquired for cultural heritage reasons all other values need to be assessed too.

4. *If acquisition is not an option, or is unnecessary, then other options including reserving, listing on a state heritage register, voluntary conservation agreement, covenanting, gazetting or referral to another relevant authority are pursued, with the co-operation of the owner.*

   Most member organisations have at least one or more options for protecting important property not in public hands. These other options have the added appeal of being relatively cheap to implement.

5. *Each organisation's risk management strategy addresses the need for staff*

training and appropriate checks and balances to minimise the threat to CHM assets by in-house staff.

It is recognised by some member organisations that well meaning, but under trained, staff making significant management decisions are a potential threat to cultural heritage resources. Along with the provision of training, the recognition of this threat in each organisation's risk management will allow more effective management control. Pro-active solutions such as training needs analysis are recommended rather than action against specific individuals.

Example: DOC training standards SOP (partly developed)

6.   *General advocacy with staff and visitors is used as a tool to raise awareness of the need to protect and conserve cultural heritage.*

Advocacy or promotion of the significance and role of cultural heritage management – in effect, raising awareness – has a significant role to play in helping protect heritage for both visitors and staff.

4.7 Conservation

Conservation is the safeguarding of a cultural resource, retaining its heritage values and extending its physical life. It includes all work undertaken to remedy and mitigate deterioration in the condition of cultural resources, excluding passive measures covered by Protection. In this context conservation includes not only preservation but more interventionist work, such as restoration or adaptation.

❑   Current practice

While the scale and breadth of conservation planning and work varies between organisations, accepted standards and principles are broadly and professionally applied.

At present current practice can be summarised as follows:
▪   the use of the Australian ICOMOS Burra Charter or New Zealand ICOMOS Charter in conservation planning and work is widespread within member organisations
▪   all organisations use a conservation management plan to guide work
▪   most organisations use guidelines or templates to help those preparing plans or to guide work; some organisations have their own guidelines
▪   many plans are prepared without an intended purpose or end use for a place
▪   broad use is made of heritage specialists in the planning of conservation work
▪   the majority of organisations have conservation plans signed off by a senior manager. Some organisations have their plans signed off by the relevant government minister
▪   the extent of use of heritage specialists (planners, conservators and tradesmen) during conservation work varies considerably among member organisations
▪   some organisations vary the size and detail of their plans depending on the

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circumstances
- some organisations use a higher level of plan for the conservation of a collection of places on larger land areas

The application of ICOMOS standards and practice is an established best practice in all organisations regardless of the scope of work being undertaken. In practice, the quality of work can vary, depending on the skills available and the level of expert supervision and institutional experience.

❑   Best Practice

1. *Places identified as being of sufficient cultural heritage significance have a five-year vision statement prepared for them, outlining sustainable future management and anticipated use(s). These may include appropriate commercial activities, stabilisation, benign neglect, adaptive re-use or more traditional house museums and interpretation.*

The preparation of a vision statement for each actively managed place outlines a five-year plan of action. The purpose of the vision statement is to make some fundamental management decisions based on a five-year time span. These decisions would include; the brief for a CMP (if the vision statement precedes the CMP), a budget estimate, future funding sources, the future use of the place and the desirability (and possible form) of presentation of the place.

Example: Heritage Action Statements used by NRE and Parks Victoria

2. *Conservation of places of cultural significance is done according to a plan – a conservation management plan (CMP).*

The role of the CMP in member agencies in the planning of conservation work is now established practice. Through the use of ICOMOS terminology and principles the CMP has removed confusion in conservation practice and made decision making by practitioners more transparent.

3. *CMPs are tied to the relevant ICOMOS charter. All organisations are members of ICOMOS.*

While it is important that member organisations prepare CMPs using the same principles and terminology, it is also important that there is organisational acceptance of ICOMOS's role in establishing principles and standards in conservation. This can be achieved by all organisations joining their relevant branch of ICOMOS.

4. *Staff and consultants use a guideline and/or template for the preparation of a CMP, eg. The Conservation Plan by James Kerr.*

Some member organisations have their own guidelines in place. Other

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organisations use an established guideline such as Kerr's. There can be great variation in the interpretation of ICOMOS charters so a guideline is a way of establishing some uniformity in approach within each organisation, as well as providing novice practitioners with the tools for the job.

Example: DOC conservation plan guideline and template (part of conservation work SOP)

5.   *The breadth and detail of CMPs are commensurate with the needs of the place, and are linked to the five-year vision statement.*

There is no benefit in preparing long CMPs for places where significance is low, or there are few issues to deal with, or conservation work is minimal. The writer of the plan must judge that what is written is sufficient for management needs. The five-year vision statement can establish the general parameters of each plan.

6.   *Shorter CMPs for individual sites, tailored to specific circumstances, are prepared where;*
   ▪   *there is urgency to do the work, or*
   ▪   *the issues are simple and the vision statement for the place dictates action, or*
   ▪   *the plan forms part of a broader management plan.*

Some member organisations have limited budgets, face large backlogs in work, or have emergency catch-up maintenance to do, so it is sometimes necessary to write an abbreviated plan, even as little as a works specification, depending on the limitations outlined above. There is considerable variation in the content and names given to these documents but they are consistent with the principles of a CMP if not the substance.

7.   *Broad management plans or 'historic area plans' (eg. a head of site CMP) are prepared for larger land areas with predominantly historic values or places with multiple, geographically linked heritage assets. Work specifications or shorter CMPs are then prepared for each identified heritage asset in the area.*

When a number of places of heritage value are linked geographically or are reasonably proximate, then an overarching plan based on the standard CMP format should be used to establish both policies and broad work programs for those places. Such a plan has three principal benefits – it offers a broader perspective on heritage values, it allows for more macro-level management, and it means that, thereafter, only work specifications are required for each heritage asset contained within the area.

Examples: NPWS Head of Site CMP
             DOC Concept Plan

8.   *All CMPs are signed off by, at the minimum, regional managers (or their equivalent) to ensure organisational 'buy-in'.*

Plans can often have little management impact – are sometimes not even implemented – if an organisation does not officially endorse the plan. This is best achieved by the plan being signed off at a sufficiently senior level.

9. *Costed work specifications, together with plans, are prepared to relevant industry standards.*

'Relevant industry standards' refers to the approved standards used in the building construction industry and architects usually, but not exclusively, prepare the specifications.

10. *Provision is made for a CHM specialist to inspect progress and ensure that work is proceeding according to the plan and that all work is supervised and conducted by skilled conservation practitioners or tradespeople.*

Among the standard procedures accompanying the implementation of a CMP should be the opportunity for the person who prepared the CMP to inspect the work, or at least someone with the necessary skills to assess progress. It is also essential for the proper implementation of conservation work that skilled conservation practitioners or tradespeople with knowledge of conservation conduct the work.

11. *Where sites have a multiplicity of values (eg. natural and cultural as well as historic), then an overarching integrated management plan is prepared for that place. Cultural heritage is a component of such a plan.*

Places of historic heritage value are frequently managed alongside places with other values (natural or indigenous) or within areas of high natural value. In such instances it is often appropriate to promote integrated management through a broad management plan.

Example: NPWS Quarantine Station Conservation Plan

12. *Descriptive bibliographies are published of each CMP to encourage a general understanding of both conservation planning standards and CMP content and publication quality. CMPs and technical guides are kept in a central repository and made freely available to staff.*

13. *CMPs and other major plans for places of high public profile are made available for stakeholder and public input.*

As a general principle there should be provision for public involvement in the development of CMPs and broader management plans. At a practical level public interest is likely to wane quickly if full consultation is sought on every document. Where a place is of obvious public interest, efforts should be made to facilitate input from a broad spectrum of the community using the most appropriate methods.

4.8   Presentation

Presentation includes all the processes undertaken to "present" cultural heritage resources to the public. Presentation includes interpretation and education activities, programs and services; visitor centres; visitor facilities including tracks, bridges, car parks, fences, shops; revenue generating activities; and publications; but excludes protection and conservation work.

❑   Current practice

Most organisations have no decision making process to determine which places are presented to the public and in what form. In the absence of this, decisions are mostly made in a de facto fashion i.e. places that have had resources spent on their conservation are generally those that are presented to the public.

While cultural heritage management specialists in most organisations may help decide which places of high heritage value will be presented to the public, they generally play little or no role in deciding how such places are presented, or have little input into the quality of that work.

Much interpretation and signage is characterised by a standard corporate approach, with occasional examples of innovation or flair. This is occurring in a context of rapidly improved and innovative presentations from other heritage and museum providers. There is also more general 'competition' for the attention of the younger generation from a wide range of stimulating leisure activities and attractions. There is a real challenge for parks agencies to present in a manner that competes effectively in this environment.

❑   Best practice

1.   *An assessment system is used to determine whether a place merits 'presentation', and if so, how.   The score will cover the items below with weightings determined by the organisation:*
- *level of significance (both thematically and individually)*
- *amount of resources expended in its conservation*
- *self-sustainability (financial and management)*
- *proximity to population centres*
- *ease of access (roads, tracks, wheelchair access etc)*
- *visitor carrying capacity (re:vulnerability of site)*
- *high public esteem or visitor appeal*
- *high associated natural and Indigenous values*
- *associated tourism strategy*
- *demonstrated need*
- *thematic relevance*
- *degree of difference from other places*

Use of a systematic appraisal, with the relative weighting determined by individual member organisations, offers the opportunity to reinforce decision-making on which places should be presented to the public. In particular it will meet the demands of internal and external audit and public accountability.

2.   *The form of any presentation is assessed to ensure that it meets predetermined qualitative expectations, such as:*
   ▪   *it does not detract from the value of the place*
   ▪   *it will add value to the place*
   ▪   *it will improve visitor understanding of the place*
   ▪   *it will explain any conservation work undertaken, or to be undertaken, where appropriate to do so*
   ▪   *it will encourage respect for cultural heritage values*
   ▪   *it provides for the presentation of other (natural and Indigenous) values*

It must be ensured that any 'presentation project' should meet expectations regarding the relative contribution it makes to a site (based on the criteria listed above), otherwise it cannot proceed.

3.   *CHM specialists have input into the selection of places to be presented, and the content and the form of any presentation of historic sites.*

Sound management of a place of heritage significance demands that input from a CHM specialist is required in decision-making about any presentation of that place.

Example: Research staff involvement with interpretation and accreditation of tour operators at Fort Lytton National Park in Queensland

4.   *Interpretation is consistent with the ANZECC Best Practice in Park Interpretation and Education report (April 1999) and is guided by sound research.*

It is an essential principle of all conservation work (incl. interpretation) that it be based on accurate information, which is in turn based on sound research.

5.   *Innovative alternatives, as well as the more traditional, are used in presentation of heritage sites, such as interactive 'work in progress' displays, interpretation without staff presence (for presenting sites in remote places), via a website on the Internet etc.*

As part of improving the overall visitor experience new and interesting ways of presenting heritage places should be part of the 'presentation portfolio'. There are many different ways this can be achieved.

Example: Werribee Park (Parks Victoria): infra-red headsets playing sounds of a 19th century working farm, holographic

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images, public viewing of archaeological excavation in progress.
Eaglehawk Neck officers' quarters (PWST): un-staffed audiovisual in remote location

6.   *Projects are regularly opened up to outside tender, along with input from local interest groups, to provide greater variety in the presentation of heritage sites.*

Fresh ideas are vital to effective presentation if cultural heritage is to attract the interest of the public in a competitive leisure environment. Presentation that is developed from a range of different perspectives has the potential to engage the visitor in ways that traditional forms of presentation may not.

Example: Bonegilla migrant hostel (migrant reception centre) in Wodonga, Victoria. The task of interpreting the site went to the Albury Arts Board. They produced an interpretive brief that drew proposals to interpret the site in artistic ways including glass sculptures and performance events.

7.   *Approaches to presentation are regularly reviewed and new techniques used to maintain public interest.*

The job doesn't end once a presentation has been prepared and made available. How long will it sustain interest? What is the life of the asset and what will it be replaced with?

Example: Sovereign Hill, Ballarat, Victoria regularly reinvents itself and presents in different ways and upgrades existing attractions to maintain interest and visitor numbers.

4.9 Monitoring

Monitoring covers the monitoring and evaluation of resource delivery, identification and assessment, protection effectiveness, conservation work, and presentation of Cultural Heritage. It includes formal and informal monitoring and audit, performance measurement, visitor satisfaction surveys and any other evaluation and feedback mechanisms.

❑   Current practice

Both performance and condition monitoring within CHM is extremely limited at present. Physical monitoring of sites is recognised as an area requiring attention by several ANZECC agencies. No ANZECC agency currently has a comprehensive process for monitoring the condition of cultural heritage assets. Tasmania is currently working on draft procedures for condition monitoring. A number of agencies currently monitor the condition of some of their more significant archaeological sites.

There is generally a system of informal peer review of documents produced internally

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or by consultants but not all agencies have the expertise or networks to conduct such review. An opportunity exists, from the contacts established during this project, for ANZECC partners to create networks for this purpose.

Monitoring of the standard of conservation work undertaken by tradespeople is seldom undertaken in an effective manner. In the absence of effective monitoring, if a place has been subject to poor or inadequate work, the damage is difficult or impossible to undo. Effectively control is limited to vetting procedures for those tradespeople who tender for conservation work.

Formal performance monitoring is in its infancy in CHM among ANZECC agency. Some agencies have set goals that say where they want to be in broad terms or they have set targets to produce a certain number of actions by a certain time. DOC reports on the number of places on which conservation work has been undertaken. That provides background but it is not a performance measure since the work is not comparable in terms of either resources consumed or results. PWST has come closest to measuring those activities that impact directly on strategic goals.

❑   Best practice

1.   *The use of a formal asset management and monitoring system for CHM assets.*

Government agencies in Australia and New Zealand have devoted significant resources to asset management since moving to accrual accounting regimes in the 1980s and 1990s. While there may be good reasons for not seeking valuations of cultural heritage assets, the principles of asset management should still be applied. This means that an accurate register of assets is kept and the condition of the assets is regularly checked and recorded.

2.   *Annual reporting of agreed performance measures.*

Best practice in management requires a yardstick by which to judge performance. The obvious mechanism for reporting that performance is the agency's annual report.

Example: 1998/99 Annual Report of the Department of Primary Industries Water and Environment, Tasmania http://www.delm.tas.gov.au/annual/report99/output3-3.html

3.   *Auditing of CHM to ensure management objectives are met.*

Best practice is that each agency ensures that CHM is included in standard internal audit checks. If an agency has its service performance externally audited then that external audit should also include CHM.

4.   *Integration of heritage places into organisational asset management systems.*

The intention of this best practice is that all the management checks and

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balances on general organisational assets will also apply to CHM assets.

5. *A process exists for consistently reviewing plans, quality of planning and those who prepare them.*

The means by which such review takes place will depend on the circumstances and staffing of the agency. Ideally there will be sufficient CHM specialists in an agency to provide the opportunity for peer review. If that is not possible then the development of external networks may be necessary to enable review to occur.

6. *Establishment of a register of contract CHM specialists that is regularly reviewed on the basis of existing contractors' work, allows for the addition of new contractors and is open to public inspection.*

A register of CHM specialists introduces transparency to the process of selecting contractors and provides for a more streamlined tender process. The regular review of the register ensures that standards are maintained. New CHM specialists entering the market place will simply need to apply for listing on the register to be considered for projects.

7. *Long term monitoring of the condition of cultural heritage places.*

Examples: photographing of rock engraving (North Head Quarantine Station in Sydney)
rubbings of dendroglyphs
measurement of condition of earthworks
regular building inspections using checklists based on the CMP or a suitable template

8. *Regular meetings of ANZECC CHM specialists as a means of monitoring progress towards best practice and assisting agencies to set higher levels of best practice.*

CHM is a very small and very specialised field among ANZECC agencies at present. This project was the first time most CHM specialists had met their counterparts in other states. That in itself appears to be a significant factor in the slow development of best practice among the ANZECC agencies. The opportunity to share experiences and practices first hand on a regular basis has the potential to reduce costly mistakes and improve effectiveness on a sustained basis.

9. *Ongoing market research to measure effectiveness of presentation in interpreting specific places, raising awareness of cultural heritage conservation and encouraging appropriate growth in visitor numbers.*

10. *A CHM strategy/policy document which is published and subject to public consultation and scrutiny.*

Example: PWST draft cultural heritage strategy

11.   *Monitoring of visitor numbers at all actively managed places.*

5.0 Conclusions and Recommendations

*As a result of the Goat Island Workshop, it became clear that most of the ANZECC partners have a long way to go to achieve best practice in CHM. It was also clear that where some agencies have excelled, it was usually in quite different areas from their ANZECC partners.

*In the context of such mixed progress, general conclusions and recommendations are difficult. The following is a summary of the Key Processes with the best practices listed as 'Indicators' for each ANZECC partner to consider in their own circumstance and tailor for their own conditions.

*Developing and reporting on such considerations and tailoring should be the basis of a regular workshop of ANZECC CHM specialists - refer best practice **6** under **4.3 Strategic Management.**

5.1 Strategic Management

Strategic CHM has emerged as a critical factor. The general lack of a coordinated strategic approach to CHM within ANZECC agencies has encouraged ad hoc decision making, resource allocation and conservation practice. There is little evidence of consistent CHM practice outside the production of CMPs. Regional and district managers are often left to make decisions with few guidelines, procedures and systems.

The competence of ANZECC cultural heritage managers is not the problem. Their qualifications and practical experience equip them well for their roles. The issue is that, in almost every case, they do not have the resources or support to implement standard CHM methodologies across the land they manage and to link those to a strategic plan. Victoria, Tasmania, New South Wales and New Zealand are the only states that come close to being in a position to do so.

❑ Best Practice Indicators

1. A defined and agreed role for each CHM member organisation within its state boundaries.
2. An agreed core set of values and principles that drive all CHM work within the organisation.
3. Corporate level CHM planning, strategy and budget setting capability to ensure a focus on state/national priorities.
4. Organisation-wide standard operating procedures (SOP) for CHM including policies, guidelines, templates, standardised forms and scoring systems.
5. Integration of CHM with organisation's other functional areas to ensure that general management systems and initiatives include the CHM function.
6. ANZECC agencies working collaboratively and sharing information, innovation and resources to further strategic management goals.
7. An organisational public relations and advocacy strategy which includes

ongoing promotion and publicising of CHM and areas of CHM expertise in order to raise organisational profile and public awareness.

5.2 Identification and Assessment

Inventory will always be a key management tool in the area of **identification and assessment.** Some organisations are now confident that there are few places of heritage significance not known to them on the land they manage. Inventory should therefore be confined to geographic areas or to themes where there is little recorded inventory and a potential threat exists to unrecorded sites.

The principal best practice in assessing heritage is to have a significance assessment procedure in place to justify long-term conservation of an asset. The use of outside agencies to assess heritage is one means to this end and will often offer the necessary independence and authority. The aim of an assessment process should be the identification of a hierarchy of significant places under a variety of relevant themes.

❑ Best Practice Indicators

1. Each organisation has a standard inventory form, available online as a SOP, including, as a minimum…
2. Inventory is updated as new information comes to light, or as new technology is introduced eg. GPS plotting of sites.
3. Inventory is thematically linked and has the primary aim of revealing a hierarchy of significant places under a variety of relevant themes.
4. Inventory work focuses on geographic areas or themes where there is little recorded inventory and a potential threat exists to unrecorded sites.
5. Each organisation has assessment criteria and an assessment process, both of which have been endorsed at senior management level.
6. Each organisation maintains a CHM database containing all information relating to history and management of CHM assets with cross-reference to other state inventories.
7. Assessment of significance of heritage places by an external CHM specialist is a prerequisite for major capital expenditure on any CHM asset.

5.3 Allocating Resources

Allocating resources is an area that needs development. Only NPWS, NRE and PWST have distinct resource allocations for CHM. NRE and PWST each have well under AUS$1Million to fund a statewide cultural heritage operation. The human resources allocated to CHM appear not to be based on the level of assets or the size of the management task. There is also wide discrepancy in the level and type of competencies of CHM specialist staff and little effort has been made to define the core competencies for CHM specialists in a consistent manner. Training of staff in CHM competencies is rarely undertaken, with NPWS being the notable exception.

❑ Best Practice Indicators

1. Access to a capital works budget for CHM catch up maintenance.
2. An ongoing core funding base for cyclical maintenance of CHM assets within

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each organisation responsible for CHM and the reflection of this responsibility in the organisation's outputs.

3. Risk management policies within each organisation provide for CHM emergencies.
4. Prioritisation of resource allocation to places on a thematic significance basis is founded on an understanding of the history of land under management and broader state or national themes.
5. The proportion of CHM staff to CHM assets managed is similar to the proportion of staff to assets in other functional areas within the organisation.
6. Identification of core competencies for CHM staff and competency-based recruitment procedures including assessment of competencies by a CHM specialist.
7. Training in core CHM competencies are integrated into organisation-wide training programs. (Including instruction in broad CHM principles and specific standard operating procedures)
8. Development of a suite of partnership tools to expand CHM management options eg. local government management, community participation.
9. Regular analysis of CHM assets to ensure that each asset is managed by the organisation with the best expertise, resources, motivation and local presence to effectively conserve that place, and to present the place if it is appropriate to do so.
10. Comprehensive guidelines and programs to promote and support active community involvement in CHM.
11. All leases on CHM assets include provision for specific ongoing works funded by lessee.
12. Revenue generated from CHM is retained for CHM without a corresponding drop in budget funding, in order to encourage sustainable management.

5.4 Protection

While **protection** of heritage places can be extended to anything on land managed by member organisations, there are few opportunities to protect heritage that they do not currently manage. Most member organisations put few resources into the purchase of private property with high cultural heritage significance.

❑ Best Practice Indicators

1. Each organisation has a policy and a funding allocation for the purchase of properties with high cultural heritage values, or for places with a multiplicity of values.
2. Allocation of funding for the purchase of new properties is managed according to pre-determined guidelines, including the establishment of criteria to guide the purchase of suitable places.
3. The process of acquiring places with a range of conservation or heritage values (natural, historic and indigenous) takes into account all the identified values and provides for their future management.
4. If acquisition is not an option, or is unnecessary, then other options including reserving, listing on a state heritage register, voluntary conservation agreement, covenanting, gazetting or referral to another relevant authority are pursued, with the co-operation of the owner.
5. Each organisation's risk management strategy addresses the need for staff training and appropriate checks and balances to minimise the threat to CHM

assets by in-house staff.
6. General advocacy with staff and visitors is used as a tool to raise awareness of the need to protect and conserve cultural heritage.

5.5 Conservation

Standards in **conservation** practice are already partly established in all member organisations through the use of the Australian ICOMOS Burra Charter and New Zealand ICOMOS Charter but there are other important initiatives in this area that should be pursued. In particular, each actively managed place should have a five year vision statement to guide overall management, CMPs should be tailored to the needs of the place and to on-going management demands, and plans need to be formally adopted by the organisation that commissions them.

❑ Best Practice Indicators

1. Places identified as being of sufficient cultural heritage significance have a five-year vision statement prepared for them, outlining sustainable future management and anticipated use(s).
2. Conservation of places of cultural significance is done according to a plan – a conservation management plan (CMP).
3. CMPs are tied to the relevant ICOMOS charter. All organisations are members of ICOMOS.
4. Staff and consultants use a guideline and/or template for the preparation of a CMP, eg. The Conservation Plan by James Kerr.
5. The breadth and detail of CMPs are commensurate with the needs of the place, and are linked to the five-year vision statement.
6. Shorter CMPs for individual sites, tailored to specific circumstances, are prepared where; there is urgency to do the work, or the issues are simple and the vision statement for the place dictates action, or the plan forms part of a broader management plan.
7. Broad management plans or 'historic area plans' (eg. a head of site CMP) are prepared for larger land areas with predominantly historic values or places with multiple, geographically linked heritage assets. Work specifications or shorter CMPs are then prepared for each identified heritage asset in the area.
8. All CMPs are signed off by, at the minimum, regional managers (or their equivalent) to ensure organisational 'buy-in'.
9. Costed work specifications, together with plans, are prepared to relevant industry standards
10. Provision is made for a CHM specialist to inspect progress and ensure that work is proceeding according to the plan and that all work is supervised and conducted by skilled conservation practitioners or tradespeople.
11. Where sites have a multiplicity of values (eg. natural and cultural as well as historic), then an overarching integrated management plan is prepared for that place. Cultural heritage is a component of such a plan.
12. Descriptive bibliographies are published of each CMP to encourage a general understanding of both conservation planning standards and CMP content and publication quality. CMPs and technical guides are kept in a central repository and made freely available to staff.
13. CMPs and other major plans for places of high public profile are made available for stakeholder and public input.

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5.6 Presentation

The provision of visitor facilities and interpretation is together known as **presentation** and a best practice report on the subject has previously been prepared for ANZECC. The presentation of cultural heritage shares issues in common with the presentation of all forms of heritage. The most important of these issues is deciding what places to present and ensuring that interpretation is based on the identified significance of the place.

❑   Best Practice Indicators

1.   An assessment form or scoring system is used to determine whether a place merits 'presentation', and if so, how.   The score will cover the items below with weightings determined by the organisation… (see page 55)
2.   The form of any presentation is assessed to ensure that it meets predetermined qualitative expectations, such as:
3.   CHM specialists have input into the selection of places to be presented, and the content and the form of any presentation of historic sites
4.   Interpretation is consistent with the ANZECC Best Practice in Park Interpretation and Education report (April 1999) and is guided by sound research.
5.   Innovative alternatives, as well as the more traditional, are used in presentation of heritage sites, such as interactive 'work in progress' displays, interpretation without staff presence (for presenting sites in remote places), via a website on the Internet etc.
6.   Projects are regularly opened up to outside tender, along with input from local interest groups, to provide greater variety in the presentation of heritage sites.
7.   Approaches to presentation are regularly reviewed and new techniques used to maintain public interest.

5.7 Monitoring

Monitoring of CHM is extremely limited at present. Physical monitoring of sites is recognised as an area requiring attention by several ANZECC agencies. Plans and reports are generally subject to a system of informal peer review of documents. Not all agencies have the expertise or networks to conduct such review. Monitoring of the standard of conservation work undertaken by tradespeople is rarely undertaken in an effective manner. Budgets seldom allow for sufficient supervision. Effectively control is limited to vetting procedures for those tradespeople who tender for conservation work. Formal performance monitoring is in its infancy in CHM among ANZECC agencies. PWST has come closest to measuring those activities that impact directly on strategic goals.

❑   Best Practice Indicators

1.   The use of a formal asset management and monitoring system for CHM assets.
2.   Annual reporting of agreed performance measures
3.   Auditing of CHM to ensure management objectives are met
4.   Integration of heritage places into organisational asset management systems.

5.   A process exists for consistently reviewing plans, quality of planning and those who prepare them.
6.   Establishment of a register of contract CHM specialists that is regularly reviewed on the basis of existing contractors' work, allows for the addition of new contractors and is open to public inspection.
7.   Long term monitoring of the condition of cultural heritage places
8.   Regular meetings of ANZECC CHM specialists as a means of monitoring progress towards best practice and assisting agencies to set higher levels of best practice.
9.   Ongoing market research to measure effectiveness of presentation in interpreting specific places, raising awareness of cultural heritage conservation and encouraging appropriate growth in visitor numbers.
10.   A CHM strategy/policy document which is published and subject to public consultation and scrutiny
11.   Monitoring of visitor numbers at all actively managed places

5.8   Critical Success Factors

One of the tasks of a benchmarking project is to identify the critical success factors. This term may be unfamiliar to CHM specialists so a definition is provided below.

> *"Critical success factors are the limited number of areas in which results, if they are satisfactory, will ensure successful competitive performance for the organisation. They are the few key areas where 'things must go right' for the business to flourish."*
> from John F. Rockart <u>Chief executives define their own data needs</u>

Critical success factors imply the process performance measures for each key business process. CSFs are measures of:
- business effectiveness (quality)
- efficiency (cycle time)
- economy (cost/value)

CHM within ANZECC is neither competitive nor a business but it is healthy to compete to be the best at managing even if there are no profits at stake – a principle implied by the ANZECC benchmarking and best practice program. Effectively we have identified each of the key processes as an area in which success is critical.

Another benchmarking task is to select commonly used and meaningful performance measures based on standards of best practice. One term in current usage is 'metrics'. In this report we prefer the more descriptive and more recognisable term, 'performance measures'. The development of these performance measures through regular contact among ANZECC CHM specialists is essential. CHM performance measurement is in its infancy and ANZECC partners need to take every opportunity to share innovation and review and update each others efforts.

There are **no** performance measures currently reported by ANZECC CHM agencies. Some agencies report targets or goals and only NRE, DOC and PWST report these in their annual reports. Accordingly this report identifies some performance measures and presents them for consideration.

The performance measures outlined in this section measure results (or outcomes)

rather than activities (or processes). These are not a comprehensive list and they are not intended to be prescriptive. They are simply a first attempt to develop workable measures based on the critical success factors identified in this project. No agency should simply adopt the measures presented here without first working through a strategic planning process.

Strategic planning starts with the identification, through a consultative process, of the outcomes required of an agency by its stakeholders. These outcomes may include:
- the conservation of cultural heritage
- the education of the public
- the attraction of tourists

The actual outcomes identified will differ from one state to another depending on the values of the people in each state.

Once the desired outcomes have been identified there is a need to define objectives. An objective must be:
- measurable
- achievable
- related directly to an identified outcome
- time-bound

An objective is a specific statement of how each agency intends to move towards achieving its outcomes. Objectives should be stated publicly so that an agency's intentions are clear and open to public scrutiny and debate.

The statement of objectives leads naturally to the matter of performance in respect of those objectives. Performance indicators measure that performance. If the objective is 'to implement 80% of plans by June 2000' then the performance indicator is 'percentage of plans implemented by June 2000'. The performance standard may be 100% but objectives can be set progressively so that this standard is met after 2 or 3 years.

A performance measure is only meaningful in the right context and when it is based on accurate and complete information. The examples below identify prerequisites for each measure to ensure that they are effective.

❑ Strategic Management

Prerequisite
- Identify those processes for which an SOP would be appropriate.
Performance indicator
- Percentage of common processes for which a SOP has been developed.
Objective
- X percentage of common processes have a SOP by x date

❑ Allocating resources

Prerequisite

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Define CHM competencies and develop training modules.

- Identify target staff.

Performance indicator

- Percentage of target staff certified with CHM competencies.

Objective

- X percentage of target staff certified with CHM competencies by x date.

❑ Identification and Assessment

Prerequisite

- Acceptance of the need for identification of places of cultural heritage significance within land managed by the agency.

Performance indicator

- Percentage of land area surveyed for places of cultural heritage significance.

Objective

- X percentage of land under management surveyed for CHM purposes by X date.

❑ Protection

No appropriate performance measures identified. Protection requires qualitative assessment rather than quantitative measures. Future analysis may lead to suitable measures.

❑ Conservation

Number One

Prerequisite

- Identification of those places of sufficient cultural heritage significance to justify conservation planning and work.

Performance indicator

- Percentage of places of significance with a five-year vision statement and CMP.

Objective

- X percentage of places of significance with five year vision statement and CMP by x date.

Number Two

Prerequisite

- Accurate and up to date database of cultural heritage places with current management status. Use of definition of 'active management' in this report.

Performance indicator

- Percentage of recorded cultural heritage places that are actively managed.

Objective

- X % of recorded cultural heritage places actively managed by x date.

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Number Three

Prerequisite
- Identification of all places requiring work identified in CMP.

Performance indicator
- Percentage of places requiring work where work is scheduled for current year.

Objective
- X % of places requiring work have work completed by x date.

Number Four

Prerequisite
- Establishment of management objectives – eg. 5year vision statement

Performance indicator
- Percentage of management objectives met

Performance measure
- X % of management objectives met by x date (usually financial year end)

Number Five

Prerequisite
- The completion of CMPs for all sites to be actively managed.

Performance indicator
- Percentage of places with CMPs that have had action

Objective
- X % of places requiring work have work completed by x date.

❑ Presentation

Number One

Prerequisite
- Institute a visitor satisfaction survey for cultural heritage places.

Performance indicator
- Percentage of visitors to cultural heritage places who report a positive experience.

Objective
- X % of visitors to cultural heritage sites report a positive experience for an X period.

Number Two

Prerequisite
- Each agency has an accurate and up to date database of cultural heritage places that lists current management status. The objective refers to 'current information', which is defined as historically accurate and up to date information about a specific cultural heritage place. Information that is not 'current' may ignore the latest historical research or archaeological findings or may be culturally insensitive.

Performance indicator
- Percentage of cultural heritage places that have current information

available to the public.

Objective
- X percentage of cultural heritage places have current information available to the public by x date.

('Current information' is not restricted to on-site interpretation. It may be provided through the Internet, audiovisuals, publications or other means.)

❑ Monitoring

Prerequisite
- CHM specialists have an understanding of performance measurement and the development of meaningful measures.

Performance indicators
- Percentage of key processes which have measurable and achievable performance measures agreed and published.

Objective
- 80% of key processes have measurable and achievable performance measures agreed and published by x date

Note: It is better not to have a performance measure for a process than to have one that is meaningless. For example there is no value in measuring how many sites have had work done on them because such a measure is open to abuse by simply doing one small task on each of many sites. It is better to develop only 2 –4 new measures each year, including amendments to existing ones than listing a dozen that have little or no meaning.

5.9 Recommendations

❑ *The Benchmarking and Best Practice report become the basis for a review of each ANZECC member agency's activities with the aim of embracing the best practice indicators noted above over time. In this regard the indicators are just that and may need to be modified or adapted to suit the particular circumstances of the agencies. As a suite of best practice indicators though, they will however provide a basis for consistency between agencies.

❑ *The Goat Island participants should reconvene sometime during 2001 to discuss the application of the Benchmarking and Best Practice report within their respective organisations and the future cross fertilisation of ideas and information. This second workshop should create the basis for periodic and regular reporting on the progress on the implementation of the report.

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Appendix 6.2   Questionnaire

Cultural Resources Management Best Practice

This questionnaire is designed to assess current practices for delivery of cultural heritage conservation. Your responses will assist the future delivery of cultural heritage conservation based on best practice. You will have the opportunity to offer further comments in a telephone interview to be conducted during December 1999/January 2000.

For the purposes of this project and questionnaire **Cultural Resources Management** is defined as the management of non-indigenous cultural heritage within protected areas and parks. The term "Cultural Resources Management" has been abbreviated to CRM in this questionnaire. Your responses are a valuable and essential part of the benchmarking process. We are grateful for your time taken to complete the questionnaire.

Processes

1. Organisation
2. Allocating resources
3. Identification and assessment
4. Protection
5. Conservation
6. Presentation
7. Monitoring

This questionnaire is separated into seven sections. The first section covers **structure** and requests information about your organisation. The next six sections cover key **processes** in CRM. There will be a variety of sub-processes, activities, tasks and programs within each key process. Some of those elements will occur within more than one key process.

The process of "allocating resources" has been artificially separated from the other key processes. The purpose of the separation is to distinguish generic management processes from those processes specific to CRM. We ask that you bear this in mind while completing the survey.

Answering questions

We suggest that you read the whole questionnaire first. You may wish to answer the straightforward questions first and come back to the others. Please return the questionnaire even if you are not able to answer every question. Some questions may not be relevant to you or someone in your position - if so just type "N/A".

Please answer each question as fully as you can. There is no restriction on space for your answers. Feel free to seek answers from others in your organisation who may be better placed to answer specific questions. If there are different viewpoints within

your organisation on any issue please provide a consensus view, or ; answers from more than one person; or a personal viewpoint, identified as such.

Confidentiality

Your answers will be treated as confidential to the ANZECC agencies and will not be communicated outside the ANZECC agencies without your prior permission. Some general information may be used in the course of benchmarking interchange with non-ANZECC agencies. In those cases you and your organisation will not be identified. The final report may be distributed beyond the ANZECC agencies.

File format

This file is in MS Word 7.0 format (Word for Windows 95). Let us know as soon as possible if you cannot open the file or read it clearly. We will fax a copy to you or send in another format.

Please return the questionnaire as a Word 7.0 file. If not possible, Word 6.0 or text-only files are preferred. Any information which cannot be recreated in those formats may be faxed with a cross reference to the question.

Return Date

Please return your questionnaire via email **no later than 22 December 1999**.

Return to:

Email questionnaire to: phil@hague.co.nz

Fax other information to: ++ 64 4 478 6106

Air-Mail documents to: Hague Consulting Ltd
                            PO Box 13482, Johnsonville
                            Wellington 6032
                            New Zealand

or Courier to: Hague Consulting Ltd
                            6 Marford Grove, Churton Park
                            Wellington 6004
                            New Zealand

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Mobile: ++ 64 021 295 2355	Mobile: ++ 64 025 944 871
Email: mpkelly@paradise.net.nz	Email: phil@hague.co.nz

1. Organisation

This section covers your organisational structure and the statutory and policy framework which provides your terms of reference. Please provide additional information to help describe the features of your organisation if you feel there are aspects which are not covered by these questions.

Documentation

A request has previously been forwarded to you for a copy of your latest annual report and strategic plan (or whatever name is given to your key published planning document). Please provide those documents now if you have not done so already. Please provide an up to date organisational structure chart. If there is some other document which would assist us to gain an overview of your organisation please send a copy.

Questions

1.1 *List below all statutes and regulations relevant to your work. Identify those which govern CRM separately from those which are more general. Identify the most relevant clauses or sections of legislation where CRM is just one part of the statute or regulations.*

1.2 *Describe the overall mission, goals and objectives of CRM in your organisation. (If you are providing this information in a document please state below and go to the next question)*

1.3 *Describe the extent of the cultural heritage resources for which your organisation is responsible (number of places, approximate CRM area in hectares, total area in hectares)*

1.4 *Provide a breakdown of staffing in your organisation by:*
- *total number of full time staff*
- *number of full time CRM staff*
- *part-time CRM staff (expressed as full time equivalents)*
- *CRM contractors (numbers and total contractor hours)*
- *CRM volunteers (total number)*
- *percentage of time spent by non-CRM staff on CRM processes*
- *Qualifications of all specialist people associated with CRM*

1.5 *Provide a breakdown or your organisation's budget by:*
- *total budget*
- *number of full time staff in each salary grade*
- *budget for CRM*
- *number of full time CRM staff in each salary grade*

1.6 *Give a subjective view of your role in your organisation.*

1.7 What is your operating budget?

1.8 Do you engage outside help and of what kind?

1.9 Describe existing and planned partnerships with other organisations to meet CRM goals.

1.10 Describe any organisational obstacles to best practice.

1.11 Specify any aspects of your organisation which enable or facilitate best practice.

2. Allocating resources

This section covers the ways in which financial, human and other resources are obtained and allocated to the CRM structure within your organisation. It does not cover the allocation of resources within your CRM structure. That is covered in each of the next five CRM key processes.

Documentation

Provide a copy of a typical park management plan. The development of specialist skills and training and development within CRM is of special interest. Please provide CRM position descriptions and training plans. If there is some other document which would assist us to gain an overview of delivering resources within your organisation please send a copy. . Please provide an up to date CRM organisational structure chart.

Questions

2.1 How are resources allocated to processes within heritage management in your organisation? (What systems of prioritisation are used?)

2.2 What organisation-wide tools are used to manage heritage assets? eg. computer systems, manuals, processes, initiatives, policies, guidelines.

2.3 What organisation-wide planning elements impact on CRM delivery? (performance measures and standards, key result areas, objectives, outputs and outcomes)

2.4 How are natural and cultural heritage values integrated in your organisation?

2.5 Can you see a clear relationship between organisation-level planning and CRM planning in your organisation?

2.6 Explain this relationship briefly. If there is no clear relationship explain how that absence of a relationship affects CRM.

2.7 ***What core competencies have been identified for staff working in heritage management?***

2.8 ***What does your organisation do to support development of these competencies?***

2.9 ***What alternative resources are used to conserve and manage sites? eg. other funding sources, organisations***

2.10 ***What obstacles exist to delivering resources?***

2.11 ***What do you consider to be best practice in this area?***

3. Identification / Assessment of Heritage Places

This section covers the processes used to identify heritage places, create inventories, and assess comparative significance. It includes research, recording, investigation and assessment.

Documentation

Provide a copy of each key form or template used in identification and assessment and a copy of any manual or guidelines used in this work. Provide sample copies of recent documents covering the identification and assessment of places.

Questions

3.1 ***What statutory, regulatory and policy requirements drive identification and assessment processes in your organisation?***

3.2 ***Who does identification and assessment work? For new heritage places? For existing heritage places?***

3.3 ***In your opinion, how complete is your heritage inventory?***

3.4 ***What is the extent of your records on listed places?***

3.5 ***How is the information on each place collected and stored?***

3.6 ***Do you use a standard form? (If so provide example)***

3.7 ***If so, was this form developed in conjunction with other heritage agencies?***

3.8 ***What criteria do you use to assess the significance of a place?***

3.9 ***What role does significance assessment play in determining the future work on a place?***

3.10   What obstacles exist to identification and assessment?

3.11   What do you consider to be best practice in this area?

4. Protection

Protection is defined as passive measures and excludes physical intervention. Specifically it covers statutory protection, advocacy and acquisition.

Documentation

Provide any recent report held by your organisation on the effectiveness of protection mechanisms. Provide copies of guidelines, standards, directives and templates used in gaining protection and any other documents which would assist in an understanding of your organisation's work in this area.

Questions

4.1   What are your tools of protection eg. reserves, covenant, purchase? Please rank (in your estimation) their relative effectiveness from most effective to least effective.

4.2   Describe your acquisition policy.

4.3   How do you manage proposals from other agencies for your organisation to acquire places? Eg. surplus government buildings?

4.4   How many properties, where there has been a significant heritage value, have been purchased by your organisation in each of the last five years?

4.5   What was the cumulative value of these properties each year?

4.6   What was the cumulative value of all property purchased each of those five years?

4.7   What percentage of identified cultural heritage places are not actively managed (subject to conservation) or promoted?

4.8   How do you use advocacy (statutory or general) as a protection tool?

4.9   What obstacles exist to effective protection?

4.10   What do you consider to be best practice in this area?

5. Conservation

Conservation is the safeguarding of a cultural resource, retaining its heritage values

and extending its physical life. It includes all work undertaken to remedy and mitigate deterioration in the condition of cultural resources, excluding passive measures covered by Protection. In this context conservation includes not only preservation but more interventionist work, such as restoration or adaptation.

Documentation

Please provide planning documents used by your organisation such as conservation plan guidelines or templates, minimum standards for the preparation of conservation planning documents and standard operating procedures. Include a sample copy of a conservation management plan generated by your organisation.

Questions

Planning

5.1 *What documents do you use to plan conservation work?*

5.2 *Do you prepare plans for all conservation work? ("Plans" includes a conservation management plan for a specific place and other plans)*

5.3   *If not, what percentage of work is done without a plan? eg. to do emergency stabilisation*

5.4 *Describe the sign-off process for conservation management plans and the level of internal or external endorsement required.*

5.5 *Do you have a central repository for all plans?*

5.6   *What principles guide your organisation's conservation planning? eg. Burra Charter.*

5.7 *How do you ensure contractors working for your organisation follow those principles?*

5.8 *What percentage of conservation planning is undertaken by in-house staff versus outside contractors?*

5.9 *What role do non-heritage issues play in conservation planning?*

Work - Physical Works

5.7 *How much work is done by in-house staff, outside contractors, volunteers?*

5.8 *How does your organisation manage historic conservation projects eg. how do you keep track of progress, standards and delivery?*

5.9 *To what extent does the person who prepares the plan play a part in the execution of the work?*

5.10 Describe obstacles to conservation work in your organisation?

5.11 Provide details of the best example of a conservation project completed by your organisation. (Includes projects where your organisation contracted others to perform work)

5.12 What do you consider to be best practice in this area?

6. Presentation

Presentation includes all the processes undertaken to "present" cultural heritage resources to the public. Presentation includes interpretation and education activities, programs and services; visitor centres; visitor facilities including tracks, bridges, car parks, fences, shops; revenue generating activities; and publications; but excludes protection and conservation work.

Documentation

Please provide relevant documents such as guidelines for cultural heritage interpretation, relevant sections of a typical conservation plan, guidelines for constructing visitor facilities, policy documents, guidelines for revenue generating activities associated with cultural heritage and a standard or typical concessionaire agreement (exclude commercially sensitive information). Include an interpretation plan, a "needs statement" and a cultural tourism plan if available.

Questions

6.1 Who in your organisation (please list job titles) is responsible for: Interpretation/education? Visitor facilities? Publications?

6.2 To what extent are specialist heritage staff involved in this work?

6.3 List all the methods you currently use to present cultural heritage to the public.

6.4 What criteria are used to determine what places are interpreted eg. level of significance, proximity to population, ease of access, public esteem, high associated natural values, associated visitor attractions, demonstrated need etc.

6.5 How do you assess the demand for a place to be interpreted/presented?

6.6 If a conservation plan or assessment of significance has been prepared for a particular place, are the values identified in that report used to guide the provision of interpretation and visitor facilities? If so to what extent?

6.7 What obstacles exist to effective presentation?

6.8 Provide details of the best example of presenting cultural heritage in your

organisation.

6.9 *What do you consider to be best practice in this area?*

7. Monitoring

Monitoring covers the monitoring and evaluation of resource delivery, identification and assessment, protection effectiveness, conservation work, and presentation of cultural resources. It includes formal and informal monitoring and audit, performance measurement, visitor satisfaction surveys and any other evaluation and feedback mechanisms.

Documentation

Please provide all documentation which outlines CRM-specific audit programs, monitoring systems and surveys and documents describing evaluation and feedback mechanisms. Provide a copy of a recent visitor survey report.

Questions

7.1 *Label each level in your organisation (state/head office, regional office, park headquarters etc.) and the performance measures used to determine the quality of management.*

7.2 *Provide copies of documents demonstrating the use of these performance measures at whatever level you identify.*

7.3 *How do you record work done? Where are records kept? (Particularly with regard to conservation work)*

7.4 *How does this feed back into monitoring?*

7.5 *What do you consider to be best practice in record keeping? (Particularly with regard to conservation work)*

7.6 *Have you formally identified your CRM stakeholders? Who are they?*

7.7 *How is stakeholder satisfaction measured?*

7.8 *How do you monitor the condition of cultural resources?*

7.9 *What obstacles exist to effective monitoring?*

7.10 *What do you consider to be best practice in this area?*

Checklist for Documents

Organisation

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☐ Annual report
☐ Strategic plan/Corporate plan
☐ Organisational structure chart
☐ Other

Allocating resources

☐ Position descriptions and CRM organisational structure chart
☐ CRM Training documents

Identification and assessment

☐ Forms and templates
☐ Manual/guidelines
☐ Sample documents

Protection

☐ Recent report on effectiveness of protection mechanisms
☐ Guidelines/standards/templates
☐ Policy directives
☐ Other document

Conservation

☐ Conservation plan guidelines or templates
☐ Minimum standards for conservation planning documents
☐ Standard operating procedures
☐ Sample conservation management plan

Presentation

☐ Guidelines for cultural heritage interpretation
☐ Guidelines for revenue-generating activities
☐ Relevant sections of a typical conservation plan
☐ Typical concessionaire agreement (specifically those sections relating   to heritage values, excluding any commercially sensitive information)
☐ Other documents

Monitoring

☐ Copy of audit program for CRM
☐ Copy of recent visitor survey
☐ Other documents describing evaluation and feedback mechanisms

Appendix 6.3　　　Telephone Interview Guide

Telephone Interview Guide - ANZECC CHM Benchmarking Project

State:
Organisation:
Interviewee:
Telephone:
Date & Time:

Information Goal:　To obtain specific details of procedures and practices which have been successful in meeting or exceeding formal CHM goals.

Introductory remarks:

(Greeting) Thanks for being available for this interview. It should take about 45 minutes but no more than one hour. Do you have that much time available? (If not - reschedule)

I propose to tape this interview for note-taking purposes. The tape would only be available to Michael Kelly and me. The tape would be erased at the end of the project and no comments would be attributed to you without your permission. Are you happy for the interview to be taped under those conditions? (if yes advise that tape is being switched on now - switch on).

The purpose of this interview is to record details of CHM procedures and practices which have been successful in your organisation. Successful means that those practices have helped you meet or exceed formal goals.

I will be asking questions about each of the key processes numbered 1-6 in the printed questionnaire in the order in which they appear there. Some questions will refer to your responses to the questionnaire so you may wish to have it in front of you. Do you have it there with you? (Allow time to retrieve it if necessary)

Organisation

1. Please describe why the NRE Position Statement could be seen as an example of best practice?
2. How has NRE's role as a purchaser enhanced the development of the Position Statement?
3. Do you view the NRE Cultural Sites Network as an example of best practice? If so, what makes it better than other inventory systems?

Allocating Resources
4. How do you see the Cultural Sites Network assisting in prioritisation?

5. How effective are Committees of Management in relieving pressure on CHM works budgets?
6. What successful examples of CHM works undertaken by private enterprise exist?

Identification/Assessment of Heritage Places
7. What is an example of a significance assessment on a place or group of places which takes a realistic view of management options?

Protection
8. You have identified the adaptation of places to facilitate their story telling as best practice. How do you facilitate this practice?

Conservation
9. Please explain how you see an 'end management objective' as contributing to best practice in conservation.

Presentation
10. In your view, what is an example of best practice in presentation?

Monitoring
11. Your response to question 7.10 proposes integration of heritage places into larger asset management systems. Please explain why.

Appendix 6.4   ANZECC Contacts

Organisation	Postal	Contact	Phone and Email
NT Parks & Wildlife Commission	PO Box 1046 Alice Springs 0871	Kay Bailey Principal Planner, South	08 8951 8237 kay.bailey@nt.gov.au
National Parks & Wildlife SA	GPO Box 1047 Adelaide 5001	Alex McDonald Manager, Reserves Planning	08 8204 9239 amcdonald@dehaa.sa.gov.au
National Parks & Wildlife Service	PO Box 1967 Hurstville 2220	Susan McIntyre Manager, Cultural Heritage Services	02 9585 6465 susan.mcintyre@npws.nsw.gov.au
Planning & Visitor Services Branch, Parks Recreation & Tourism Division, Dept of Conservation & Land Management	Locked Bag 104 Bentley Delivery Centre WA 6983	Daryl Moncrieff Planning Coordinator	08 9334 0406 DarylM@calm.wa.gov.au
Queensland Parks & Wildlife Service Dept of Environment	PO Box 155 Brisbane Albert St 4002	David Meakin Senior Landscape Architect	07 3227 6926 david.meakin@env.qld.gov.au
ACT Parks and Conservation		Stephen Hughes	02 6207 2240 stephen_hughes@dpa.act.gov.au
Parks & Wildlife Service	GPO Box 44a Hobart 7001	Brett Noble Manager, Historic Heritage	03 6233 6596 brettn@dpiwe.tas.gov.au
World Heritage Branch, Environment Australia	AHC GPO Box 787 Canberra 2601	Kevin Keeffe Assistant Secretary	02 6274 2015 kevin.keeffe@ea.gov.au
Australian Heritage Commission	AHC GPO Box 787 Canberra 2601	Natalie Broughton	02 6274 2137 Natalie.Broughton@ea.gov.au
Department of Conservation	PO Box 10-420 Wellington NZ	Paul Mahoney	64 4 499 2291 pmahoney@doc.govt.nz
Dept of Natural Resources & Environment	PO Box 500 East Melbourne 3002	Ivar Nelsen Manager, Historic Places Section	03 9412 4522 ivar.nelsen@nre.vic.gov.au
Parks Victoria	Level 10 535 Bourke St Melbourne 3000	Paul Dartnell Manager, Conservation Strategy	03 9816 1101 pdartnell@parks.vic.gov.au
Hague Consulting Ltd	PO Box 13482 Johnsonville Wellington 6032 New Zealand	Phil Guirin Director	64 4 478 6112 phil@hague.co.nz
Michael Kelly	21 Myrtle Cres Mt Cook Wellington New Zealand	Michael Kelly Heritage Consultant	64 4 970 2244 mpkelly@paradise.net.nz

Appendix 6.5   NPS (USA) Training

National Park Service
Training and Development Program
CULTURAL RESOURCES STEWARDSHIP CAREER FIELD

COMPETENCY-BASED TRAINING

In 1995, the National Park Service approved and adopted the NPS *Employee Training and Development Strategy. The Strategy's* mission statement is: ***The National Park Service is committed to the professional growth and continuous learning of all its employees, and will provide them with a comprehensive, mission-focused training and development program.*** The *Strategy* also identifies six goals that identify ways to accomplish the mission statement. Two of the goals articulate ways to develop and implement competency-based training:

- **Goal 1:** Develop and deliver a comprehensive training program to address the identified essential competencies – knowledge, skills, and abilities – for each career field. This goal includes defining essential competencies necessary for each career field; conducting training needs assessments to determine specific development needs; developing comprehensive training programs to address identified competencies; and developing core curricula and methods of delivery.

- **Goal 5:** Establish a process for validating training and development events and developmental programs to assure that they result in the organisational and individual benefits for which they were developed. This goal includes developing an evaluation method to determine whether a training course, program, or activity has produced the intended results; and identifying procedures for establishing and recognising certification and benchmarks for specific competencies.

What is a Competency?

The NPS Employee Training and Development Career Planning and Tracking Kit *(1996) provides the following definitions:*

- **Competency:** *A combination of knowledge, skills, and abilities in a particular career field, which, when acquired, allows a person to perform a task or function at a specifically defined level of proficiency.*

- **Essential Competency:** *A competency that forms part of the <u>vital</u> knowledge, skills, and abilities for an individual career field.*

Since 1995, essential competencies for over 225 occupational groups in 17 career fields have been identified at the entry, developmental, and full performance levels. Training Manager positions have been established to represent each major career field and have the responsibility for developing and implementing Servicewide training and development programs. The Tracking Kit *includes the essential competencies for employees in each career field. It can be accessed at "The Learning Place" web site under the Park Net Home Page at:* www:nps.gov/training/npsonly/npsescom.htm.

What is Competency Based-Training?

The *Strategy* enhanced the NPS Training and Development Program by focusing on competency-based training rather than just the traditional approach of identifying a training need and then attending a training program based on incomplete instructional objectives.

Competency-based training answers all three components of good instructional objectives:

- *What should a learner be able to do at the end of a training program (**performance**)?*
- *Under what conditions should the learner be able to do it (**conditions**)?*
- *How well must it be done (**criterion**)?*

The strengths of competency-based training are that it is:

- Outcome-based and learner-driven
- Encourages the developmental process through multiple sources
- Provides for clear performance (competency) by measurable standards
- Assesses (certifies) achievement of competencies
- Recognises previous education and training
- Aims for personal professional growth

This goal of this approach is to provide both employees and supervisors with the tools needed to tailor the personal development of each NPS employee, and to focus on the outcome of achieving the competencies. It facilitates the achievement of competencies in several ways, including life experience, formal education, apprenticeship, on-the-job experience, self-help, mentoring, and training courses, programs, and activities (including long-distance strategies such as CD-ROMs and Internet-Based Training).

For additional information, contact:

> Tony Knapp, Training Manager
> Cultural Resources Stewardship Career Field
> Stephen T. Mather Training Center
> P.O. Box 77
> Harpers Ferry, West Virginia 25425
> Voice: 304-535-6178
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> e-Mail: tony_knapp@nps.gov.

Appendix 6.6   Project Brief

The project brief was to undertake an international benchmarking project on Cultural Heritage Management (CHM) levels and standards in parks and protected areas for the Australian and New Zealand Environment and Conservation Council (ANZECC) Benchmarking and Best Practice Program.
(The original term used was Cultural Resources Management - CRM – but it was felt that 'CHM' was in wider use and was more readily accepted).

ANZECC was established to provide a forum of Commonwealth, State and Territory governments to discuss common environmental issues and resolve problems. The ANZECC Benchmarking and Best Practice Program is an initiative of the National Parks and Protected Area Management Working Group to establish best practice standards and models for park and protected area management.

The focus of this project was non-indigenous cultural heritage. This extended to those places where the predominant values related to non-indigenous heritage but also had some indigenous values, and/or natural heritage values. The study was limited to the examination of CHM by park agencies.

The objectives of the project were to:
▪ use benchmarking to assess current practices for the delivery of cultural heritage conservation, and
▪ make recommendations based on an assessment of best practice for the future delivery of effective cultural heritage conservation.

The project was to review current processes undertaken by park and protected area management agencies in Australia and overseas for the planning, resourcing and delivery of Cultural Heritage Management. It was to review local and overseas literature to identify relevant models, frameworks and planning processes. The study was to assess the extent to which agencies define levels of service and quality standards and measure and report on performance outcomes.

Questionnaires were sent to contacts in agencies in the USA and the UK but these questionnaires were not returned, despite repeated follow-up enquires. Information was received from the US National Parks Service relating to core competencies and CHM training. This information was received after the draft report had been produced but reference has been made to it in the final report.

Project Activities

Project activities to be examined included:

- statutory obligations for management of heritage places
- relationships with other heritage statutory authorities and/or public heritage managers
- identification of heritage places within parks and protected areas
- assessment of heritage significance

- acquisition of heritage places and acquisition policies

- management of heritage places including planning, use, risk management, interpretation
- service delivery
- prioritisation and allocation of resources both between heritage places and between cultural heritage and other overall agencies responsibilities
- performance monitoring
- generation of 'value-adding' and revenue generating opportunities
- integration of 'hard fabric/site based' historic heritage conservation with other cultural heritage management, such as historical and social significance, movable heritage, cultural landscape concepts, equity and EEO considerations, and community consultation.

After reviewing practices and processes currently used, best practices were to be identified and performance measures to be recommended. It was determined that benchmarking for Cultural Heritage Management would focus on process. That is, benchmarking would investigate 'how' the provision of services is selected, delivered, monitored and evaluated.

Tasks to be carried out to meet the project objectives included:

- conducting a literature survey on CHM in parks and protected areas
- identifying the processes by which each of the ANZECC partner agencies define, plan, deliver and evaluate CHM
- identify additional significant examples internationally
- identify methods used to determine priorities for acquisition; development, resourcing, and active management and interpretation of cultural heritage places within ANZECC partnership agencies as compared to international examples
- identify performance measures used by ANZECC partner agencies and evaluate the usefulness of these measures in reporting at both the park level and the organisational level
- identify the effectiveness of agency practice in contributing to state/territory or national goals re cultural heritage conservation
- review the processes against published models and frameworks used in planning and managing service delivery
- develop a practical model for CHM best practice processes and benchmarks with sufficient flexibility to recognise the inherently different operating contexts of the ANZECC partner agencies.

NSW National Parks and Wildlife Service (NPWS) was the lead agency for this consultancy and, together with NRE, managed the relationship with the consultants on behalf of ANZECC partnership agencies. NRE provided input into the brief and assisted with the tender selection and in partnership with NPWS, participated in all progress meetings. Together the two agencies formed the project reference group.