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Heritage Resources Management Policies

Archaeology Permitting Policy

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| APM Unit | Archaeology, Palaeontology and Meteorites Unit |
| AMAFA | Amafa KwaZulu-Natal Heritage |
| ECPHRA | Eastern Cape Provincial Heritage Authority |
| HRA | Heritage Resources Authority |
| HWC | Heritage Western Cape |
| NEMPAA | National Environmental Management: Protected Areas Act No 57 of 2003) |
| NHRA | National Heritage Resources Act (No 25 of 1999) |
| PHRA | Provincial Heritage Resources Authority |
| PI | Principal Investigator |
| SAHRA | South African Heritage Resources Agency |
| WHC | World Heritage Convention Act, 1999 |

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POLICIES AND GUIDELINES

POLICY NAME: ARCHAEOLOGY PERMITTING POLICY
Number: SG4.1.1

Date: April 2016

1. Purpose

- 1.1. Archaeological Resources are finite and non-renewable; it is important to manage these particular resources in a transparent, fair, and objective manner.
- 1.2. The stated objective of this policy document is to provide guidance on the management, protection and conservation of archaeological resources. The National Heritage Resources Act (NHRA), (Act No. 25 of 1999) requires that permits (section 35) be acquired from the relevant heritage authorities for any disturbance or intervention of archaeological resources.
- 1.3. The purpose of the permit system for archaeology is to keep a record of the excavation/collection, preservation and curation of, as well as research activities on, archaeological resources and to ensure that proper scientific standards are maintained.

2. Legislative Framework

- 2.1. Section 8 of the NHRA promotes a three-tier system of heritage resources management. This section of the NHRA outlines responsibilities in the management of heritage resources where SAHRA is responsible for the management of Grade I resources. Provincial Heritage Resources Authorities (PHRAs) are responsible for Grade II heritage resources, with Local Authorities responsible for the management of Grade III

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heritage resources. Such grading and criteria for grading are outlined in section 7 (and SAHRA Regulations pertaining to grading¹) of the NHRA.

2.2. SAHRA performs these functions on an agency basis on behalf of the PHRAs that are not competent. Heritage Western Cape (HWC), Amafa KwaZulu-Natal (Amafa) and Eastern Cape Provincial Heritage Resources Authority (ECPHRA) are however managing archaeological matters within their respective provinces.

2.3. This excludes archaeological sites which have been declared Grade I (National Heritage Sites) within these provinces, which is the competence of SAHRA. The export of all archaeological material or objects is the responsibility of SAHRA as described in the gazetted List of Types of Objects²

2.4. Archaeology is defined in the “NHRA” as:

a) “material remains resulting from human activity which are in a state of disuse and are in or on land and which are older than 100 years, including artefacts, human and hominid remains and artificial features,”

structures;

b) “rock art, being any form of painting, engraving or other graphic representation on a fixed rock surface or loose rock or stone, which was executed by human agency and which is older than 100 years, including any area within 10m of such representation”;

c) “features, structures and artefacts associated with military history which are older than 75 years and the sites on which they are found”.

3. Scope

3.1. South Africa has a rich and varied archaeological past providing evidence of our earliest human ancestors.

¹ Government Notice 694 30 May 2003

² Government Notice 1512 6 December 2002

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3.2. The scope of this policy document will broadly focus on the following areas related to permitting:

- a) Research: excavation and collection; destructive sampling and analysis;
- b) Development: mitigation and destruction;
- c) Export of archaeological objects and specimens for scientific research, education or exhibition purpose;
- d) Standards for Collection and Recording;
- e) Standards for Curation;
- f) Permit Reports;
- g) Monitoring Responsibility

4. National Estate

4.1. Archaeological sites, materials and objects form part of the national estate defined in section 3 of the NHRA as *“those cultural resources of cultural significance or other special value”*.

4.2. SAHRA must safeguard these resources so that they may be conserved for present communities and bequeathed to future generations. It is the responsibility of SAHRA to co-ordinate and monitor the management of the national estate by establishing national principles, standards and policies.

4.3. SAHRA aims to achieve this objective by adhering to the following principles:

- a) Identify, record and manage nationally significant heritage resources and keep permanent records of such work;
- b) Promote and encourage public understanding and enjoyment of the national estate and public interest and involvement in the identification, assessment, recording and management of heritage resources.

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5. Aims of the SAHRA Permit Policy

5.1. The aim of this policy is to:

- Ensure that archaeological work for which a permit is required from SAHRA is done according to the highest scientific standards; that accepted methods and protocols are always employed; and that the integrity of archaeological sites and objects is not compromised;
- Ensure that archaeological sites and objects are conserved for future generations;
- Balance the economic needs of the country with the need for conservation where this applies to developments.

6. General Principles of the Archaeology Policy

6.1. Permits that may be applied for include excavation, collection and mitigation, destructive sampling and analysis, and permanent and temporary export of archaeological materials and objects.

6.2. If the applicant is applying for a permit from SAHRA, the applicant must consult the SAHRA regulations regarding permitting.³

6.3. If the applicant is applying for a permit for work in, or related to a heritage resource from, a province with a fully functional PHRA, such application must be made to the relevant PHRA, except where such application is for export.

6.4. The following permit applications are subject to a fee and the SAHRA fees schedule must be consulted:

- a) Excavation/collection and destructive analysis for research purposes:
- b) Mitigation and destruction for development:
- c) Registration of private collections:
- d) Export permit applications are free of charge

³ Government Notice 548 2 June 2000

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6.5. When applying for a permit the following conditions shall apply:

- a) Permits are issued to South African citizens and persons with permanent resident status in South Africa or scientists affiliated with a recognised institution in South Africa;
- b) Applications must be for legitimate reasons;
- c) Permits are issued to persons whom SAHRA deems to be qualified and/or who have the required expertise and experience in the specific area of specialisation for which the permit has been applied for;
- d) It is generally expected that the applicant must have a minimum of a Masters Degree to be the principal permit holder irrespective of the type of permit being applied for;
- e) If the applicant is not suitably qualified, it will be necessary for him or her to obtain the services of a qualified person;
- f) SAHRA may request the Curriculum Vitae of the applicant or of the person who will be undertaking the work;
- g) Where the applicant holds an Honours degree and the intended work is to obtain a further degree, the permit shall be issued in the name of the supervisor/promoter who will act as the permit holder. It is the responsibility of the permit holder to supervise all work and the submission of permit reports;
- h) Palaeoanthropological sites — and sites where hominin remains might be encountered — are defined in the NHRA as archaeological and have historically been permitted as such. SAHRA will review such applications on a case by case basis to determine the most appropriate permitting;
- i) Written landowner permission must be obtained before a permit may be issued for excavation or mitigation permits. In the case of destructive sampling and export, written permission must be sought from the institution housing the material;
- j) Permit applications, except export permits, are subject to a fee⁴;
- k) The applicant must have a copy of the permit available on site, at all times.

6.6. The permit holder must submit detailed annual progress reports and a final permit report within one year of the expiry date of the permit. In instances where such conditions (or

⁴Government Notice 669 8 July 2005

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any other condition) are not complied with, SAHRA reserves the right to cancel a permit or refuse to renew such permit.

7. Other legislative requirements

7.1. Approval from SAHRA does not negate the need to obtain authorisation or to comply with any conditions with respect to other legislation. Permit holders must familiarise themselves with any other legislation that impose additional conditions. These might include, but not be limited to, the following pieces of legislation:

- National Environmental Management: Protected Areas Act (NEMPAA) (Act No 57 of 2003)
- World Heritage Convention Act, 1999

7.2. In some instances, a heritage site may be a declared World Heritage Site. In such cases permit holders must always ensure that:

- a) Research will not negatively impact the Outstanding Universal Value of the property;
- b) Work is done in accordance with approved Management Plans;
- c) The overall aesthetics of the site are taken into consideration and the research potential is in balance with its conservation worthiness.

8. Guidelines for Excavation, Mitigation and Destruction Permits

8.1. Excavation permits are issued for either academic research or in respect of development. It is important to note that research plays an important role in the understanding and promotion of South Africa's rich archaeological past. SAHRA seeks to enhance the national estate through responsible research which increases public awareness and education.

8.2. Archaeological resources are often identified and recorded during surveys for developments. It is not possible to conserve all archaeological resources as the needs

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of conservation must be balanced with the needs for economic growth. However, many of the archaeological sites discovered during the surveys for developments are irreplaceable and should not be unnecessarily destroyed.

- 8.3. Mitigation permits provide a final opportunity to obtain information from sites which are threatened by development. It is important that all sites to be impacted must be adequately recorded, described, mapped (where appropriate), and graded during the Impact Assessment Phase of the project.
- 8.4. The role of mitigation in the permitting system is to provide a balance between the economic needs of the country and to record in detail heritage resources that will have to make way for development.
- 8.5. The permit holder shall ensure the collected material is accessioned by, or accessioning has been arranged with, a curating institution before the permit expiry date. The institution is advised to make formal arrangements with the excavating/collecting archaeologist regarding financial or other requirements, the handing-over process, preparation, curation and documentation of the collected material and the field records associated with it (as per the museum's collections management policy).
- 8.6. After the permit expiry date, the material is managed by the curating institution and not by the permit holder; the researcher may arrange with the institution to have access to and analyse the material at all reasonable times.
- 8.7. Archaeological heritage objects may not be sold or otherwise disposed of, except by approved de-accessioning procedures.

9. Excavations and Recording

- 9.1. Archaeological excavation can be considered to be destructive. It is important that the work to be done fulfil the goals defined in the permit application and adhere to professional scientific standards.

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- 9.2. The most appropriate methods that will allow for the greatest detail of recording should be employed and clearly articulated in the application to SAHRA.
- 9.3. The use of mechanical excavation equipment will not be allowed unless properly motivated.
- 9.4. The permit holder is at all times responsible for the excavation and collection as well as the objects recovered, and he/she or his/her authorised representative, whose name shall be furnished to SAHRA, must be present at all times during the work.
- 9.5. It is essential that proper records management must be kept at all times to reduce the risk of losing important information about the site and materials being excavated or collected. The institution that is to accept the material may prescribe the manner in which material should be presented for curation.
- 9.6. When considering a permit application, SAHRA will take the following information into account before taking a decision:
- a) The qualification and experience of the applicant in the area of specialisation for which the permit has been applied for;
 - b) The extent and scope of work;
 - c) The recovery methods;
 - d) Arrangements for safe storage and curation of the excavated material.
- 9.7. Conditions for a research permit include:
- a) An excavation permit for the purpose of research is valid for three (3) years. Such permits are not transferable. A permit holder cannot allow additional work (not covered in the initial permit application) to be undertaken under the auspices of his/her permit on behalf of either another individual or institution.
 - b) The permit holder must have a copy of the permit available in the field.
 - c) Recovery methods that ensure that the greatest possible amount of information is recorded must be used.

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9.8. Mitigation permits

- a) Mitigation is considered a last resort and adequate motivation must be provided to the heritage authority. All archaeological sites to be mitigated must be properly described and a detailed photographic record taken.
- b) Mitigation permits are issued to qualified professionals ideally with experience in Cultural Resource Management.
- c) The developer is responsible for all costs associated with the recovery and rescue of the site;
- d) Ephemeral sites may be significant and should be sampled and recorded. Even if sites are not to be destroyed immediately they are likely to be exposed to erosion and damage and an adequate and representative sample of the contents must be taken;
- e) Appropriate samples must be taken for dating purposes;
- f) The nature and extent of the mitigation, and the methods to be used must be clearly articulated to SAHRA as part of the permit application.

9.9. Condition of a Mitigation Permit include:

- a) An excavation permit for the purpose of mitigation is valid for one (1) year. Such permits are not transferable. A permit holder cannot allow additional work (not covered in the initial permit application) to be undertaken under the auspices of his/her permit on behalf of either another individual or institution.
- b) The permit holder must have a copy of the permit available on site.
- c) Recovery methods that ensure that the greatest possible amount of information is recorded must be used.

9.10. Permit Holders for Research and Mitigation must adhere to the following minimum standards:

- a) The locality must be recorded on, at least, a 1:10 000 or 1:50 000 map and geographical co-ordinates must also be recorded.

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- b) The layout of settlements should be mapped using the most appropriate survey methods;
- c) Supervise all excavation, collection, sieving and sorting, section drawing etc., and ensure that the smallest mesh suitable for the particular deposit is used when sieving;
- d) Excavate or remove not more than 50% of the original in situ deposit or objects, unless the site/object is likely to be destroyed by development, or special permission has been obtained from SAHRA;
- e) Record the location of archaeological finds using a total station;
- f) Record the stratigraphy and associated features in detail;
- g) Draw an accurate measured diagram of the site on which the positions of all excavations and significant fossils, artefacts and features are marked;
- h) Make detailed photographic records of the site and the work as it progresses. Take photographs of any significant artefacts, features or other remains recovered in situ;
- i) Keep full field notes with diagrams and descriptions detailing each stage of the work;
- j) Lodge copies of field notes, section drawings, surveying records, maps and photographic records with the repository. The format for curation and boxing must also be arranged with the repository;
- k) Adhere to additional conditions requested by the institution curating the excavated material;
- l) Treat all human remains with respect;
- m) Remain aware of the non-renewable nature of archaeological sites and material and do not remove material from its original position unless necessary;
- n) Where the public has access to the site, make appropriate efforts to arrange for the protection (e.g., boardwalks) and interpretation (signage or pamphlets) of the site;

9.11. How to apply for this Permit

- For excavation of archaeological sites in all provinces without fully competent PHRA's an application must be lodged on SAHRIS (<http://sahra.org.za/sahris>); how to: <http://www.sahra.org.za/content/quickstart-guide-making-archaeological-permit-applications-sahris>) together with the following documentation:
- General information about the site to be excavated, and geographical setting.

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- Name, affiliation and address of the applicant.
 - Landowner permission
 - Name, affiliation and address of the museum director or head of university department, with which the applicant collaborates and which will store the material, associated data and records after collection.
 - An expanded motivation letter (some research background, the reason for excavation/collection, including the kind and significance of the materials that are expected to be excavated/collected, and the methods used). In case of a mitigation permit, a plan of action must be submitted. If this information is confidential, it should be uploaded to the section “Extended motivation (for Heritage Officers only)”.
 - The application must include the written agreement (signature) of the museum director or head of the university department, with which the applicant collaborates and which will store the material after collection.
 - List of excavation equipment expected to be used. If methods are used that are not commonly in practice and are not listed in the motivation letter, a new permit must be applied for.
- Proof of permit fee payment

10. Permit to destroy archaeological sites (in course of development)

- 10.1. Permits to destroy archaeological sites are usually issued after the site has been satisfactorily recorded and sampled and a Mitigation Permit Report submitted to SAHRA.
- 10.2. Destruction permits are issued to a qualified archaeologist on behalf of the developer. The qualified professional shall be responsible to monitor all facets of the destruction at agreed intervals;
- 10.3. Sites identified during the course of an Impact Assessment that have been adequately recorded and described, and where the grading does not warrant further protection, the need to obtain a specific destruction permit will not be a requirement;

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- The approval to destroy the archaeological site to make way for development will be incorporated into the SAHRA Record of Decision, or similar decision during the authorisation phase of a development application, as stipulated in section 38 of the NHRA.

11. Guidelines for Permits for Destructive Sampling and Analysis

- 11.1. A specific permit for sampling or analysis (for *bona fide* research purposes) must be obtained for sampling excavated or collected material for analysis where there is not a current excavation/sampling permit on the site. In the case of samples taken from a collection, the permit should be applied for through the curator of the collection and is generally given in the name of the person who is to do the work.
- 11.2. Permission to sample modern human remains must first be obtained from the appropriate ethics committee of the institution where the remains are housed.
- 11.3. Where sampling is to be done overseas, an export permit (see chapter 12) from SAHRA is required.
- 11.4. How to apply for this Permit
 - For sampling/analysis of archaeological resources in all provinces without a competent PHRA, an application must be lodged on SAHRIS (<http://sahra.org.za/sahris>; how to: <http://www.sahra.org.za/content/quickstart-guide-making-archaeological-permit-applications-sahris>) together with the following documentation:
 - A list of all participants including names, affiliation and contact details, and how each participant is involved.
 - Landowner permission.
 - For each archaeological object an object ID must be created on SAHRIS and should be linked to the site it was found at. The site must be created on SAHRIS if not present already.

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- Name and address of the museum/university department that currently hosts the object(s).
- Name and address of the facility/university department where the analysis will be done.
- A letter of consent by the museum authority or university department, in which the object is accessioned, must be submitted with the application. This should include the name of the researcher that loans it, accession numbers, where applicable, of the objects and time frame of the loan.
- Detailed information on the project and methodology used, including expected outcomes. This should be uploaded to the section "Extended motivation (for Heritage Officers only)" if confidential.
- A statement if the analysis is destructive, and if yes, what is the impact (e.g. coating)?
- A statement that the method used is the most feasible method to reach the expected outcomes and if and how it has generally proved to be successful.
- Proof of payment of the permit fee.
- Where sampling is to be done overseas, an export permit (section 12 in this document) from SAHRA is required

12. Guidelines for Permits for Temporary and Permanent Export

12.1. In assessing whether or not material may be exported the following criteria will apply:

- The significance and rarity of the material;
- The reason for which the export is requested; and
- The arrangements made for the safety during transport of the specimen(s).

12.2. If destructive/invasive analysis abroad is the intention for the export of archaeological material that originates from a province that is competent to perform section 35 of the NHRA, a destructive analysis permit must be obtained from the relevant PHRA, unless otherwise indicated, and appended with the export permit application to SAHRA.

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- 12.3. Temporary export permits are usually issued for one year and all export permits are free of charge.
- 12.4. Export permits are issued to the curator of the collection, or failing that, to the scientist who wishes the work done. The name and details of the 'exportee', i.e. the person to whom the material is exported, and the person who is to do the work, also appear on the permit.
- 12.5. Written approval must be obtained from the head of the department or scientific institution housing the material in South Africa. Material may be sent only to researchers at recognised scientific institutions abroad. Students should be cited as "in association with" their promoters.
- 12.6. The cost of sending the material abroad is borne by the South African institution or the person who borrows the material and the cost of returning it is borne by the person to whom the material is sent. Applicants must ensure that the recipient is aware of the fact that he/she is responsible for the cost of returning the specimen(s) in the time stipulated.
- 12.7. It is expected that archaeological heritage objects will be exported and returned, by the due date, in the hand luggage (if size allows) of the visiting scientist involved in the work. If they are to be sent with another visiting researcher, who can travel at a convenient time, please notify SAHRA who this is, giving their credentials to indicate their understanding of the significance of the package.
- 12.8. The services of a professional courier service may also be used but will not be acceptable for cultural and scientifically significant material.
- 12.9. Where scientific samples are sent overseas for analysis, the curator or SAHRA may ask for suitable records of the material to be made (written descriptions, photographs, casts).

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12.10. Before thin sectioning or other invasive analysis of significant specimens, casts should be made, photographs taken or drawings or 3D-scans showing morphology should be made, to avoid losing morphological information.

12.11. Export permit applications for specimens for destructive/invasive analysis must state the following:

- How much destruction the analysis will involve. Whether there will be anything to return to the country afterwards;
- Whether the overall structure of the specimen will be preserved;
- If the answers to either of the last two questions are 'no', then the application should state just how much material is being sacrificed and how many specimens are there from the site.

12.12. Where a heritage object of extraordinary value is sent overseas for display, the institution borrowing it should (at the expense of that institution) arrange for it to be accompanied (and fetched) by the curator), and a copy of the loan agreement between the institutions should be submitted with the permit application, indicating conditions of and security arrangements for display and storage.

12.13. Safety measures taken for the protection and conservation of the material and (in the case of temporary export) its return to South Africa must include the following:

- a) All material must be clearly marked with the accession number of the scientific institution to which it belongs;
- b) All packets and boxes containing the material to be exported must include the accession number, the name of the site and the name and address of the institution to which it belongs;
- c) All material must be securely packed to ensure that specimens are not damaged during transit;
- d) Where specimens require specialised conservation, detailed instructions must accompany the material during transport;
- e) SAHRA must be notified when the material is returned;

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- f) Copies of all publications resulting from the description or analysis of exported materials by scientists abroad and locally must be lodged with SAHRA.(see section 15)

12.14. Permanent export of archaeological material may be permitted:

- a) For specimens that are relatively common and of which there are other examples in South African scientific institutions;
- b) To recognised scientific institutions abroad for research/display purposes and not for sale; and
- c) For material that is to be destroyed during analysis or dating that cannot be done in South Africa, for example for chemical testing or specialised dating techniques.

12.15. Permanent export of archaeological material may be permitted, if:

- a) The material cannot be studied in South Africa because the necessary technical equipment, comparative collection or expertise is not readily available;
- b) The collection is not rare or of unusual scientific value;
- c) The material is sent to a recognised scientific institution; and
- d) The applicant undertakes to ensure the return of the material within the time period stipulated by the permit.

12.16. How to apply for an Export Permit

- For export of archaeological objects from all provinces, an application must be lodged on SAHRIS (<http://sahra.org.za/sahris>; how to: <http://www.sahra.org.za/content/quickstart-guide-making-archaeological-permit-applications-sahris>) together with the following documentation:
- List of all participants (including name, affiliation, phone number, email address) and their involvement.
- Name and address of the facility, at which the fossil is being analysed.
- Name and address of the museum/university department that currently hosts the material.

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- Names of the responsible person(s) during transport and while the material is at the facility for analysis.
- Period/time frame during which the material will be outside the country.
- An Object ID must be created on SAHRIS or, if one already exists, it must be linked to the application..
- Detailed information on the research project behind it & methodology including expected outcomes (i.e., the reason for export).
- Letter of consent by the institution that currently hosts the specimen that the specimen may be used as proposed and be returned in good condition. This letter should include the name of the researcher that loans it, accession numbers of the specimens/objects and time frame of the loan.
- Should there be any damage/destructive analysis (e.g., coating for higher resolution) undertaken, this needs to be stated in detail.
- Statement why this study cannot be done in South Africa.
- The destructive sampling permit from the relevant competent PHRAs

13. Considerations for Rock Art Permits

13.1. Permits regarding Rock Art include the following types: permits for graffiti removal at rock art sites, the removal of rock art or engravings and the direct dating of rock art.

13.2. Permits are given to persons who have the appropriate experience.

13.3. The removal of rock art or engravings from its original context is not advised and might be approved under exceptional circumstances. The following should be considered before removal:

- a) Trace any rock paintings or engravings before removal, including those superimposed on any other drawing, painting or engraving, as well as the positions, colours, dimensions and other features of the drawings, paintings or engravings.
- b) Make a carbon rubbing or cast, in an acceptable material, of an engraving only if it is likely to be damaged or destroyed unavoidably;

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13.4. Graffiti Removal:

- a) Graffiti removal must only be undertaken by a qualified experienced conservator and where the work to be done qualifies as remedial conservation;
- b) Graffiti removal must be governed by the conservation principles of minimum intervention and reversibility;
- c) A detailed record of any graffiti must be made before removal from a painted or engraved surface or site.

13.5. Rock Art Sampling:

- a) Permits to sample rock art for either dating and other analyses must be properly motivated for, i.e. the suitability of the technique applied for and an estimation of the chance of success;
- b) Direct dating of a rock art site must be attempted only if the probability of the presence of organic pigment is high.

14. Standards of Curation

- 14.1. The responsible heritage resources authority must, in terms of the NHRA, “ensure that archaeological materials, which are excavated or collected in terms of a permit, are lodged with a museum or other public institution that has a curator and a Collections Management Policy acceptable to the heritage resources authority and may in so doing establish such terms and conditions as it sees fit for the conservation of such objects” (NHRA, s.35)⁵.

⁵ See SAHRA *Guidelines to Ethical and Curatorial Considerations for Accredited Repositories for Archaeological and Palaeontological Material* for greater detail.

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- 14.2. The permit holder must make an agreement regarding accessioning of excavated material with a recognised museum, a curator and a Collections Management Policy that is approved by SAHRA.
- 14.3. The name of this repository will appear in the permit conditions and the material will become the 'property' of the said institution on behalf of the state. SAHRA must be consulted before any such material is moved to a different repository.
- 14.4. The material should be stored in a museum or other institution with proven capacity preferably in the same province as the original site, unless an institution in another province already has material from the site and is willing to accept further material until such time as the province of origin acquires the capacity.
- 14.5. Institutions wishing to store such material:
- a) Must have a written Collections Management Policy that covers policy and procedures on acquisition, processing of finds, labelling, packaging, boxing, documentation, site recording, conservation, inventory control and so on;
 - b) Must organise the collection in an accessible form that renders the material and data archive available for critical examination;
 - c) Must accession material as soon as possible and must cross-reference it to the site report; and
 - d) Must give the collector or excavator access to the material at all reasonable agreed times.
- 14.6. At the start of a project, formal agreement must be reached between the applicant and collaborating institution as to financial and other requirements and responsibilities, format for curation (including labelling, packaging and boxing) and documentation.
- 14.7. Full copies of the field note books, surveying records, maps (and photographic records) must be lodged with the repository, as soon as the permit expires or at a date arranged with the repository (a moratorium can be placed on access to this material to allow the permit holder time to publish his or her results (usually equivalent to the permit period plus one year)).

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15. Permit Reports

15.1. Permit Holders must submit to SAHRA or any other heritage authority a report in fulfilment of the conditions under which the permit has been issued. For all permits, the permit holder is required to email to the relevant SAHRA Heritage Officer (Archaeology, Palaeontology and Meteorites Unit) a final permit report within one year of the lapse of the permit, in fulfilment of the conditions under which the permit has been issued. For long-term permits, i.e. for excavation/collection, additional annual permit reports must be submitted to SAHRA each year after the permit was issued. Permit report templates should be used, which may be downloaded from SAHRIS.

15.2. The purpose of the permit report is to provide SAHRA with an accurate record of work that has been undertaken in fulfilment of the conditions of the permit. In terms of section 13 (2) (b) SAHRA must maintain a National Heritage Resources Library, including documentary and other records relating to the national estate. The following principles shall apply:

- a) SAHRA may forego the request for a final permit report for research if the permit holder applies for a renewal and the interim reports are compiled to the satisfaction of the heritage authority. A final report shall be due after the second cycle of a renewal;
- b) In instances of failure to submit reports, submission of sub-standard reports or where SAHRA or the HRA deems the work being carried out in the fulfilment of the permit to not meet appropriate scientific standards, SAHRA or the HRA may cancel current permits or refuse to issue future permits to the permit holder;
- c) Permit holders must endeavour to publish results of the work carried out in terms of permits issued by SAHRA.
- d) Access to permit reports may be made available on request and only in instances where the purpose for the use of such reports has been adequately motivated. Such requests should be made at least three years after the permit has expired;
- e) The permit report must provide a statement about the location of excavated material and its state of curation, or if adequate provisions have been made for its storage and accessibility;

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15.3. All reports submitted to SAHRA in fulfilment of the conditions under which the permit has been issued, must at minimum, contain the following information:

- a) A title page with the name of the permit holder and permit number and date of report;
- b) Executive Summary;
- c) Table of contents;
- d) Research objectives;
- e) Methodology statement;
- f) The name and geographical location of the site(s) (GPS co-ordinates and magisterial districts);
- g) A map (at least 1:10 000 or 1:50 000) indicating the location of the site(s)
- h) A diagram showing where material was collected or excavations were located;
- i) A description of the work and preliminary results of the analysis;
- j) The name of the institution curating the material; and
- k) A bibliography and copies of reports and publications relating to the site.

15.4. Permit holders are requested to remember that, in terms of the permit conditions, copies of all publications, reports and theses relating to material acquired in terms of the permit, even where this is done by other researchers or students, must be emailed/couriered to SAHRA for the national heritage library (Head Librarian, South African Heritage Resources Agency, 111 Harrington Street, Cape Town, 8001)

16. Monitoring

16.1. The Heritage Resources Authority:

- a) shall monitor work done in terms of permits issued for excavation, removal, etc.;
- b) may cancel, refuse to issue a permit or refuse to renew a permit if conditions are not met or if it has reason to believe that the applicant is not qualified or experienced enough to do the work;

16.2. SAHRA reserves the right to submit unpublished reports if it is not satisfied that the information has been adequately reported;

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16.3. May refuse further permits if:

- analysis of material previously recovered is incomplete or unsatisfactory.

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| Recommended by HRM Executive | Mr D Sibayi | Recommended by Accounting Officer | Ms V. Baduza Chief Executive Officer |
| Signature |  | Signature |  |
| Date | 21/02/16 | Date | |
| Endorsed By | Dr N Ndlovu HRM Sub-Committee Chair | Approved by Accounting Authority | Mr F. Makhanya Council Chairperson |
| Signature |  | Signature |  |
| Date | | Date | |

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