

ARCHAEOLOGICAL
GUIDELINES SERIES No. 3

Research Strategies for Archaeological Authority applications



HERITAGE NEW ZEALAND
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Cover image: Excavation and recording at Mangahewa Bay, January 2019 (HNZPT 0313).

Below image: Pre-excavation planning and discussion, DOC office in Kerikeri, January 2019 (HNZPT 1290).



1. Introduction

These guidelines have been prepared by the Heritage New Zealand Pouhere Taonga ('HNZPT') to assist with the preparation of research strategies that may be required as part of the information requirements for applications made under Sections 44 and 56 of the Heritage New Zealand Pouhere Taonga Act 2014 ('HNZPT Act'), or as a condition of archaeological authorities granted under that Act. Section 2 of these guidelines provides some background about archaeological investigations and the HNZPT Act.

Section 3 contains a list of matters to be considered. This has been divided into seven main headings, each with a discussion of key points to be considered. The headings may form sections of the research strategy or an alternative structure may be adopted. The key points should however be addressed in the strategy. It is recognised that strategies produced following these guidelines will vary in length and complexity depending on the scope of the investigation. Day-to-day operational matters and management of archaeological work for authorities to modify, damage or destroy archaeological sites should be addressed in a separate document, such as an Archaeological Management Plan.

Research strategies should follow accepted archaeological good practice. In addition to research objectives and methods of implementation, research strategies prepared for HNZPT Act purposes should also include information about the people who will be involved in the investigation and, if appropriate, a cost estimate for the work. Both these requirements relate to specific matters that must be addressed by the HNZPT when making decisions under the HNZPT Act.

2. Archaeological Investigations and the HNZPT Act

2.1. Background

The HNZPT Act contains a consent (authority) process for any work affecting archaeological sites, where an archaeological site is defined as

- a. Any place in New Zealand, including any building or structure (or part of a building or structure), that-
 - i) was associated with human activity that occurred before 1900 or is the site of the wreck of any vessel where that wreck occurred before 1900; and
 - ii) provides or may provide, through investigation by archaeological methods, evidence relating to the history of New Zealand; and
- b. includes a site for which a declaration is made under section 43(1)

Any person who intends carrying out work that may damage, modify or destroy an archaeological site, or to investigate a site using invasive archaeological techniques, must first obtain an Archaeological Authority from Heritage New Zealand Pouhere Taonga. The process applies to sites on land of all tenure including public, private and designated land. The HNZPT Act contains penalties for unauthorised site damage or destruction.

The archaeological authority process applies to all sites that fit the HNZPT Act definition, regardless of whether:

- The site is recorded in the New Zealand Archaeological Association (NZAA) Site Recording Scheme or Listed by HNZPT,
- The site only becomes known about as a result of ground disturbance, and/ or
- The activity is permitted under a district or regional plan, or a resource or building consent has been granted.

Any person who intends carrying out work that may modify, damage or destroy an archaeological site, or to investigate a site using invasive archaeological techniques, must first obtain an authority from Heritage New Zealand Pouhere Taonga. The process applies to sites on land of all tenure including public, private and designated land. The HNZPT Act contains penalties for unauthorised site damage or destruction. Sections 44 and 56 of the HNZPT Act set out the authority requirements for investigating archaeological sites.

'Archaeological investigation' is not defined in the HNZPT Act. For the purposes of administering the HNZPT Act, it is considered to be any investigation of a site using archaeological methods that will result in the disturbance of, or damage to, that site. This includes (but is not limited to) invasive techniques such as test pitting, trenching, areal investigation and the removal of physical fabric. Electronic and manual survey and visual inspection that do not cause disturbance or damage to a site are not considered to be archaeological investigation for the purposes of the HNZPT Act. Advice should be sought from the HNZPT if clarification is needed about whether the use of a particular technique will require an Archaeological Authority.

3. Guidelines

3.1. Background

The background and purpose of the investigation should be set out. The location of the site(s) or area under investigation should be described and supported by a map showing the location and specific site(s) to be investigated at an appropriate scale.

3.2. Site Descriptions, History and Setting

If an archaeological assessment has already been prepared for the project, a detailed description of archaeological sites and previous archaeological work is not required. Reference should be made to the assessment as appropriate.

In all other cases, where background information has not otherwise been provided to HNZPT, summary information should be included to establish the context for the archaeological investigation. It may include site descriptions, significance statements, previous archaeological work, historical background and environmental setting.

3.3. Research Objectives

Research objectives should be clearly stated. They should be designed to resolve a particular question, or to test a hypothesis, idea or model. Objectives should be framed within the existing body of archaeological knowledge, and current research questions and hypotheses about New Zealand's past. Where similar investigations have been carried out, the results should be discussed in relation to the current strategy.

Objectives may also address archaeological resource management issues about site conservation, mitigation and further work.

3.4. Implementation

The strategy should outline the approaches, methods and techniques for information gathering and analysis that will be used to address the research objectives.

For investigations required by authority conditions for large scale projects and developments, where the research objectives are well thought-out and clearly defined, it may not be necessary to excavate and record all archaeological material in detail. A selective sampling and excavation strategy, with monitoring of earthworks, may meet research objectives and be more efficient and cost effective than a total excavation approach, and may allow more time/ resources for post-excavation analysis.

Methods of information collection may include:

- Historical research
- Survey (visual, geophysical)
- Surface collection
- Monitoring of earthworks with recording of any finds

- Sampling
- Test excavation
- Areal investigation

Analytical techniques may include:

- Faunal and botanical studies
- Artefact studies
- Dating (the type of analysis and number of samples required should be stated)
- Predictive modelling

3.5. Curation of Archaeological Material

Arrangements for the long-term housing of any archaeological material (e.g. artefacts, faunal samples etc) recovered during the investigation should be addressed.

These arrangements will be partially determined by the requirements of the Protected Objects Act 1975, please refer to Guidelines Series No. 7

3.6. Reporting and Publication of Results

Timeframes for reporting to the HNZPT and the public dissemination of results should be included.

3.7. Personnel

The HNZPT must be satisfied as to the competence of archaeologists carrying out investigations. The strategy should include sufficient information to demonstrate to the HNZPT that the directors of the investigation have the skills and experience to the appropriate level under section 45 of the HNZPT Act, and possess or have access to the necessary facilities and resources to ensure the implementation of the research strategy.

Personnel involved in the investigation and their level of responsibility (for example, director, field crew, specialist analysis) should be listed.

3.8. Estimated Costs

The strategy may include an estimate of the costs of the investigation, including on-site work, analysis and reporting. Fees for specialist skills such as faunal analysis and dating should be included. It can also be useful to include the time required for each task, and also in the case of development projects, any resources to be provided by the client, for example, mechanical excavators/ operators.

This section is necessary if costs will exceed \$100,000, as the HNZPT Board must approve any authority decision where the costs of the investigation will be in excess of this amount.

3.9. References

The Harvard system is the recommended style for references. References should be cited in the text and listed at the end of the strategy in alphabetical order.