Guide to assessing historic heritage effects for state highway projects

This guide describes the processes to be used on NZ Transport Agency projects for assessing historic heritage effects and determine appropriate mitigations.

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# List of Abbreviations

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<tr>
<td>ADP</td>
<td>Accidental discovery protocols</td>
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<tr>
<td>CEMP</td>
<td>Construction environmental management plan</td>
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<tr>
<td>CIA</td>
<td>Cultural impact assessment report</td>
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<td>DoC</td>
<td>Department of Conservation</td>
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<td>ESR</td>
<td>Environmental and social responsibility screen</td>
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<td>HIP</td>
<td>Highways information portal</td>
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<td>HMP</td>
<td>Heritage management plan</td>
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<td>HPA</td>
<td>Historic Places Act 1993</td>
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<td>ICOMOS</td>
<td>International Council of Monuments and Sites</td>
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<tr>
<td>IPENZ</td>
<td>Institute of Professional Engineers of NZ</td>
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<tr>
<td>LTMA</td>
<td>Land Transport Management Act 2003</td>
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<tr>
<td>MCH</td>
<td>Ministry of Culture and Heritage</td>
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<tr>
<td>MoU</td>
<td>Memorandum of understanding</td>
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<tr>
<td>NZAA</td>
<td>NZ Archaeological Association</td>
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<tr>
<td>NZHPT</td>
<td>NZ Historic Places Trust</td>
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<tr>
<td>RMA</td>
<td>Resource Management Act 1991</td>
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<tr>
<td>TLA</td>
<td>Territorial local authorities</td>
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</table>
1 Introduction

1.1 BACKGROUND

The NZ Transport Agency has a commitment to achieving quality environmental and social outcomes, including the management of historic heritage effects.

This reflects the requirements of the Land Transport Management Act 2003, Resource Management Act 1991 and Historic Places Act 1993 as well as the commitments made in internal strategy and policy documents, including the Transport Agency’s strategy set, Environmental and Social Responsibility policy, the state highway environmental plan and the state highway environmental and social responsibility standard (see figure 1).

This guide gives effect to these statutory and policy obligations and outlines the approach that should be adopted when assessing the potential and actual impacts on historic heritage as they relate to state highway improvement projects.

All Transport Agency operational strategies, policies, standards and guidelines can be found at www.nzta.govt.nz and at www.hip.nzta.govt.nz.

Figure 1: Relationship of this guide to key Transport Agency policy and strategy documents

The Transport Agency’s state highway environmental plan sets out formal objectives regarding cultural heritage. These are:

- proactively limit the disturbance of significant cultural and heritage features along state highways
- for historic buildings we own, show a respect for them and maintain their integrity.

Additionally the following objectives should also be considered:

- Where avoidance is not possible, adequately mitigate adverse effects on historic heritage.
- Provide for the use, and adaptive re-use of significant historic heritage places, without detracting from their historic heritage values.
- Ensure a coordinated approach with stakeholders in the assessment of historic heritage values and effects.
1.2 PURPOSE OF THIS DOCUMENT

The purpose of this document is to provide guidance regarding the processes to be used for assessing historic heritage effects of state highway projects and outlines the minimum requirements for each phase of project development and delivery.

The guide has been developed to give effect to Transport Agency’s policies and standards. All these documents can be found at www.nzta.govt.nz and www.hip.nzta.govt.nz (highways information portal).

The guide is aimed at project managers, planners and heritage specialists.

Kawarau Falls Bridge, Queenstown
2.1 Historic heritage PLaces

Historic heritage describes the range of place-based heritage. It is defined in the RMA (s2) and includes:

- historic buildings and structures
- archaeological sites
- places of significance to Māori including waahi tapu (sacred places) – these may include natural features such as trees, springs, rivers or mountains which were associated with historical or cultural activities or events but which have no known physical remains of those activities or events
- the surroundings of buildings, sites and places.

Historic heritage places may have significant aesthetic, archaeological, architectural, cultural, historical, scientific, social, spiritual, technological or traditional value, and be appreciated by the public for their contribution to New Zealand's heritage environment.

Historic heritage places are non-renewable resources. They constitute a unique and invaluable record which contributes to our understanding of the history and cultures of New Zealand and are often significant landscape elements. Once destroyed or damaged, the record is lost (unless it is first investigated and recorded) and the landscape disrupted. If a place of significance to Māori is destroyed or damaged, the cultural relationship between tangata whenua and the place may be impacted. Avoidance of development impacts on, and preservation in situ of, historic heritage places are always the preferred options.

Not all historic heritage places that may be present within a project area are recorded or known. There may be previously unknown archaeological sites hidden beneath the ground surface, or buildings or items of heritage significance that have not yet been identified and assessed. Places of significance to tangata whenua (including waahi tapu) may be known only to them, and information regarding Māori cultural heritage is considered taonga and should be treated sensitively. It is through the assessment process during the investigation phase that potential historic heritage value is first considered.
Activities that could have an impact on historic heritage include but are not limited to:
- geotechnical investigations
- road construction
- topsoil stripping
- accessway construction
- trenching associated with utility services
- vegetation/tree removal
- planting and landscaping
- any other activity that may involve ground disturbance
- repairs and alterations to historic structures
- demolition or relocation of historic structures
- any other activity that may result in vibration, noise and visual effects.

There are a variety of archaeological sites in New Zealand. Sites which are evidence of Māori settlement include but are not limited to:
- pa sites, which are fortified places with banks and ditches and often found on cliffs, headlands or ridges
- sites associated with settlement, including artificially levelled terraces, and pits for storing kumara
- middens, which are rubbish dumps that may contain shells, bones, artefacts, charcoal and sometimes oven stones
- remains of cultivation areas and gardens which can be seen in soils and from lines or walls of loose stones or stone mounds
- rock art sites which may contain paintings, drawings, carvings or engravings
- urupa (burial grounds).

Other sites which have cultural significance for tangata whenua may or may not present physical archaeological remains. They are often associated with natural features such as springs, lakes, rivers, mountains, trees, and may be considered by tangata whenua to be waahi tapu.
They include but are not limited to:

• places associated with significant events
• battle grounds
• burial preparation areas
• food gathering and hunting areas.

Tangata whenua should be consulted in regard to any potential impacts on archaeological sites which have Māori cultural associations and on other sites of significance to them. This is a statutory requirement under both the RMA and the HPA.

Other historic heritage places relate to Early European settlement in New Zealand, or settlement by other groups (notably the Chinese). These include but are not limited to:

• sites associated with industries such as whaling, milling, tanning, logging, mining, ship building
• the remains of mission stations
• military redoubt sites
• settlement and trading station sites
• homestead and farmstead sites
• abandoned buildings, structures and their surrounds
• early roads, bridges and associated features
• historic reclamations
• historic shipwrecks.

2.2 HISTORIC HERITAGE LANDSCAPES

Assessments of effects on historic heritage places should also include consideration of effects on the wider historic heritage landscapes within which those resources are set. The terminology used to describe cultural heritage landscapes varies – archaeological landscape, heritage landscape, historic heritage landscape, cultural heritage landscape, and cultural landscape are all terms that are used depending on the scope of the assessments undertaken.

In simple terms historic heritage landscapes can be defined as:

‘Large areas or places containing a number of interrelated places or sites with sometimes many layers of value and history.’

‘Cultural landscapes’ are defined by the International Council of Monuments and Sites (ICOMOS) New Zealand Charter for the Conservation of Places of Cultural Heritage Value (ICOMOS NZ Charter 2010) as:

‘An area possessing cultural heritage value arising from the relationships between people and the environment. Cultural landscapes may have been designed, such as gardens, or may have evolved from human settlement and land use over time, resulting in a diversity of distinctive landscapes in different areas. Associative cultural landscapes, such as sacred mountains, may lack tangible cultural elements but may have strong intangible cultural or spiritual associations.’

These different types of cultural landscapes are defined by the United Nations Educational, Scientific and Cultural Organisation (UNESCO) World Heritage Committee, as:

**Designed landscapes:** Those which have been intentionally designed and created by man, ie historic gardens and parks.

**Evolved landscapes:** This type includes both relict and continuing landscapes resulting from social, economic, administrative, and/or religious imperative and has developed into its present form as a result of its natural environmental context.

**Associative landscapes:** Those with powerful religious, artistic or cultural associations of the natural element rather than material or built cultural evidence.
For effects assessment purposes under the RMA it is necessary to distinguish between:

‘Historic heritage landscapes’ that are created through human interaction with or use of the environment, ie both designed and evolved landscapes (relating to s6(f) and s6(e)).

‘Associative cultural landscapes’, which are essentially natural landscapes which (or elements of which) hold particular cultural meaning for tangata whenua (relating to s6(e)).

‘Natural landscapes’ (relating to s6(b)).

The historic heritage assessment report will focus on s6(f) matters. However, all the above represent different aspects and values of the same landscape and their interconnectivity should be recognised.

Historic heritage places should be understood in terms of their setting or context, which includes the wider heritage landscape. The relationship of a place with other historic heritage places in the environment and the wider historical context should be appropriately considered in any heritage assessment. It is important that any heritage landscape identified should be clearly defined geographically and in terms of its heritage components.

Assessments of effects on associative cultural landscapes of significance to Māori should be undertaken through consultation with tangata whenua.

Case study **Victoria Park Tunnel**

The 450m Victoria Park Tunnel on SH1 was constructed to address the last major bottleneck on the central motorway network between the Auckland Harbour Bridge and Newmarket. Assessment undertaken in the early stages of the project identified potential effects on three significant scheduled buildings: the Birdcage Tavern (formerly the Rob Roy Hotel, built in 1885), Victoria Park Market (formerly the city’s refuse Destructor, 1905) and the Campbell Free Kindergarten (1908). The tunnel also cut through an area of 19th century reclamation with potential for significant archaeological remains and an area significant to Māori (the former coastline).

The final design ensured that effects on the Destructor and the kindergarten building were avoided, while the stability of the Destructor chimney was monitored during construction in case of vibration damage and the dilapidated kindergarten building was repaired. The Birdcage Tavern lay in the direct path of the cut and cover tunnel, but effects were mitigated by carefully moving the heritage building on specially designed concrete tracks with a greased teflon surface to a site about 44m away, and returning it to its original location when works were completed. The tunnel excavations were monitored by archaeologists and Ngati Whataua and Ngati Paoa representatives, and significant information was recovered relating to the historic reclamation process, former wharves and jetties, artefacts and waste deposited in the bay from nearby industries, as well as wells and early building foundations. As part of the mitigations for this project, restoration and landscaping work was undertaken at the historic Rob Roy hotel and Campbells Kindergarten to enhance and preserve their heritage values.
3 Legislative framework and protection of historic heritage

3.1 LEGISLATION

Land Transport Management Act 2003 (LTMA)

The LTMA requires the Transport Agency to:

‘exhibit a sense of social and environmental responsibility, which includes... avoiding, to the extent reasonable in the circumstances, adverse effects on the environment; and ensuring... that persons or organisations preparing regional land transport programmes... give land transport options and alternatives an early and full consideration... and provide early and full opportunities to the persons and organisations who are required to be consulted in order to contribute to the development of regional land transport programmes; and [establishing and maintaining processes to provide opportunities for Māori to contribute to decision making]...’

Resource Management Act 1991 (RMA)

A number of sections of the RMA provide for the recognition and protection of historic heritage. Section 6 of the RMA identifies matters of national importance which include ‘the protection of historic heritage from inappropriate subdivision, use, and development’ (6(f)). There is a duty to avoid, remedy or mitigate any adverse effects on the environment arising from an activity S(17), including on historic heritage.

‘The relationship of Māori and their culture and traditions with their ancestral lands, water, sites, waahi tapu and other taonga’ (6(e)) is also a matter of national significance and has significant implications for the sustainable management of cultural and historic heritage. Section S8 of the RMA requires the TLAs to take into account the Treaty of Waitangi in relation to managing the use, development, and protection of natural and physical resources.

‘The protection of outstanding natural features and landscapes from inappropriate subdivision, use, and development’ (6(b)) may also be relevant, as it has been used by courts in conjunction with 6(e) as a mechanism to consider cultural heritage landscapes.

Historic heritage is defined by the RMA (s2) as follows:

‘Historic heritage:

(a) means those natural and physical resources that contribute to an understanding and appreciation of New Zealand’s history and cultures, deriving from any of the following qualities:

(i) archaeological
(ii) architectural
(iii) cultural
(iv) historic
(v) scientific
(vii) technological, and

(b) includes:

(i) historic sites, structures, places, and areas, and
(ii) archaeological sites, and
(iii) sites of significance to Māori, including waahi tapu, and
(iv) surroundings associated with the natural and physical resources.’
Historic Places Act 1993 (HPA)

The HPA promotes the identification, protection, preservation and conservation of the historical and cultural heritage of New Zealand and is administered by the New Zealand Historic Places Trust (NZHPT). The Act contains specific provisions relating to the protection of archaeological sites, historic places and historic areas.

An ‘archaeological site’ is defined by the HPA (s2) as:

‘Any place in New Zealand that:

(a) either:
   (i) was associated with human activity that occurred before 1900, or
   (ii) is the site of the wreck of any vessel where that wreck occurred before 1900, and

(b) is or may be able through investigation by archaeological methods to provide evidence relating to the history of New Zealand.’

The NZHPT also has the power to declare a place that does not meet this definition to be an archaeological site (by notice in the NZ Gazette and public notice).

The NZHPT is required to maintain a register of historic places, historic areas and waahi tapu and waahi tapu areas. Criteria for registration are set out by s23. Local authorities should have regard to the register under the RMA and there is provision for the issue of recommendations under s32/33 of the HPA. Local authorities should also have particular regard to recommendations under s32(d) of the HPA.

Any person wishing to undertake work that may damage, modify or destroy an archaeological site, or to investigate a site by excavation, should first obtain an authority from the NZHPT in accordance with sections 10–20 of the HPA. This applies to all sites that fit the HPA definition (or have been formally declared to be archaeological sites) regardless of whether:

• the site is recorded in the New Zealand Archaeological Association (NZAA) site recording scheme or registered by the NZHPT
• the site becomes known through development activities
• the activity is permitted under a district or regional plan, or a resource or building consent has been granted.

It applies to sites on land of all tenure, including public, private and designated land. The HPA contains penalties for unauthorised site damage or destruction.

Historic area and historic place are defined by the HPA (s2) as:

‘Historic area means an area of land that:
(a) Contains an inter-related group of historic places; and
(b) Forms part of the historical and cultural heritage of New Zealand; and
(c) Lies within the territorial limits of New Zealand.

Historic place
(a) Means:
   (i) Any land (including an archaeological site); or
   (ii) Any building or structure (including part of a building or structure); or
   (iii) Any combination of land and a building or structure[; or]
   [(iv) any combination of land, buildings or structures, and associated buildings or structures (including any part of those buildings or structures, or associated buildings or structures)] that forms [a place that is] part of the historical and cultural heritage of New Zealand and lies within the territorial limits of New Zealand; and

(b) Includes anything that is in or fixed to such land:’
The NZHPT’s sustainable management of historic heritage guidance series and heritage management guidelines for resource management practitioners’ outline the general principles in relation to management and protection of historic heritage under the RMA and other related resource management and planning legislation.

Other related legislation includes:
• the Protected Objects Act 1975, which regulates the trade and ownership of objects relating to the Māori culture
• the Conservation Act 1987 and the Reserves Act 1977, which promote the conservation of New Zealand’s natural and historic resources.

National and regional policies
There are a number of national and heritage policies that should also be consulted. These include but are not limited to:
• the Policy for governments’ management of historic heritage (2004), Ministry of Culture and Heritage³
• district plans and regional policy statements.

3.2 SUPPLEMENTARY RESOURCES


ICOMOS, the International Council of Monuments and Sites, is an international non-governmental organisation of heritage professionals engaged in the conservation of places of cultural heritage value and dedicated to the conservation of the world’s historic monuments and sites.

The ICOMOS NZ Charter⁴ is a set of guidelines on cultural heritage conservation, produced by ICOMOS New Zealand. The charter constitutes a recognised benchmark for conservation standards and practice.

As defined by the charter, places of cultural heritage value include sites which:
• have lasting values and can be appreciated in their own right
• inform us about the past and the cultures of those who came before us
• provide tangible evidence of the continuity between past, present and future
• underpin and reinforce community identity and relationships to ancestors and the land
• provide a measure against which the achievements of the present can be compared.

The Transport Agency has developed a number of agreements with the NZHPT and tangata whenua across the country. These documents should also be taken into account when planning and/or undertaking activities that may impact historic heritage resources and cultural values.

2011 Transport Agency-NZHPT Memorandum of Understanding (MoU)

The Transport Agency–NZHPT MoU⁵ formalises the commitment of both organisations to maintain an effective working relationship to help both organisations deliver their functions and services. A key outcome sought through the MoU includes:
‘the early engagement of the NZHPT in state highway development and maintenance activities. The purpose of this is to:
• identify and resolve issues early and thoroughly
• seek the NZHPT’s expertise on matters of cultural and historical significance.’

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2 www.historic.org.nz
3 www.mch.govt.nz
4 www.icomos.org.nz
The Transport Agency has a liaison programme with the NZHPT involving meetings on a regular basis at regional and national levels to discuss matters relating to areas such as planning and consenting, asset management and maintenance as well as tangata whenua engagement.

**Tangata whenua agreements**

Agreements (MoU) with tangata whenua are also developed at a regional and/or project level. Copies of these documents can be obtained from the Transport Agency’s regional offices.

### 3.3 HISTORIC HERITAGE ASSESSMENT CRITERIA

Criteria for the assessment of the heritage significance of historic heritage places and areas for registration purposes are set out in the HPA (s23). These statutory criteria have been used by regional and district councils as the basis for developing their own sets of criteria for scheduling purposes. Below is a table showing the criteria suggested by the NZHPT to assist in the identification of historic heritage values following NZHPT information sheet 2 of the Sustainable management of historic heritage guidance series (www.historic.org.nz).

Criteria used in regional policy statements and district plans may vary and should be referred to. More specific assessment criteria are required for assessing archaeological sites.

The cultural significance of heritage resources and landscapes to Māori should be determined through consultation with tangata whenua.

Thresholds for assessing historic heritage significance may vary for archaeological and built heritage resources. The assessment should include a statement of relative heritage significance ie high, medium or low. A suggested approach for archaeological and built heritage resources is provided in Appendices 1 and 2.

<table>
<thead>
<tr>
<th>PHYSICAL VALUES</th>
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<tr>
<td>ARCHAEOLOGICAL INFORMATION</td>
<td>Does the place or area have the potential to contribute information about human history of the region, or current archaeological research questions, through investigation using archaeological methods?</td>
</tr>
<tr>
<td>ARCHITECTURE</td>
<td>Is the place significant because of its design, form, scale, materials, style, ornamentation, period, craftsmanship or other architectural element?</td>
</tr>
<tr>
<td>TECHNOLOGY AND ENGINEERING</td>
<td>Does the place demonstrate innovative or important methods of construction or design, does it contain unusual construction materials, is it an early example of the use of a particular construction technique or does it have the potential to contribute information about technological or engineering history?</td>
</tr>
<tr>
<td>SCIENTIFIC</td>
<td>Does the area or place have the potential to provide scientific information about the history of the region?</td>
</tr>
<tr>
<td>RARITY</td>
<td>Is the place or area, or are features within it, unique, unusual, uncommon or rare at a district, regional or national level or in relation to particular historical themes?</td>
</tr>
<tr>
<td>REPRESENTATIVENESS</td>
<td>Is the place or area a good example of its class, for example, in terms of design, type, features, use, technology or time period?</td>
</tr>
<tr>
<td>INTEGRITY</td>
<td>Does the place have integrity, retaining significant features from its time of construction, or later periods when important modifications or additions were carried out?</td>
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</tbody>
</table>

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6 Criteria used for assessing values and significance are presented in T Walton, Assessing the archaeological values of historic places: procedures, methods and field techniques, Department of Conservation Science & Research, Internal report no. 167, 1999. NZHPT Archaeological guidelines series no. 2. Guidelines for writing archaeological assessments, 2006: p8 also details the relevant archaeological values.
<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
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<tbody>
<tr>
<td><strong>VULNERABILITY</strong></td>
<td>Is the place vulnerable to deterioration or destruction or is threatened by land use activities.</td>
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<tr>
<td><strong>CONTEXT OR GROUP</strong></td>
<td>Is the place or area part of a group of heritage places, a landscape, a townscape or setting which when considered as a whole amplify the heritage values of the place and group/ landscape or extend its significance?</td>
</tr>
<tr>
<td><strong>HISTORIC VALUES</strong></td>
<td></td>
</tr>
<tr>
<td><strong>PEOPLE</strong></td>
<td>Is the place associated with the life or works of a well-known or important individual, group or organisation?</td>
</tr>
<tr>
<td><strong>EVENTS</strong></td>
<td>Is the place associated with an important event in local, regional or national history?</td>
</tr>
<tr>
<td><strong>PATTERNS</strong></td>
<td>Is the place associated with important aspects, processes, themes or patterns of local, regional or national history?</td>
</tr>
<tr>
<td><strong>CULTURAL VALUES</strong></td>
<td></td>
</tr>
<tr>
<td><strong>IDENTITY</strong></td>
<td>Is the place or area a focus of community, regional or national identity or sense of place, and does it have social value and provide evidence of cultural or historical continuity?</td>
</tr>
<tr>
<td><strong>PUBLIC ESTEEM</strong></td>
<td>Is the place held in high public esteem for its heritage or aesthetic values or as a focus of spiritual, political, national or other cultural sentiment?</td>
</tr>
<tr>
<td><strong>COMMEMORATIVE</strong></td>
<td>Does the place have symbolic or commemorative significance to people who use or have used it, or to the descendants of such people, as a result of its special interest, character, landmark, amenity or visual appeal?</td>
</tr>
<tr>
<td><strong>EDUCATION</strong></td>
<td>Could the place contribute, through public education, to people's awareness, understanding and appreciation of New Zealand's history and cultures?</td>
</tr>
<tr>
<td><strong>TANGATA WHENUA</strong></td>
<td>Is the place important to tangata whenua for traditional, spiritual, cultural or historical reasons?</td>
</tr>
<tr>
<td><strong>STATUTORY RECOGNITION</strong></td>
<td>Does the place or area have recognition in New Zealand legislation or international law including: World Heritage Listing under the World Heritage Convention 1972; registration under the Historic Places Act 1993; is it an archaeological site as defined by the Historic Places Act 1993; is it a statutory acknowledgement under claim settlement legislation; or is it recognised by special legislation?</td>
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</table>
3.4 STAKEHOLDERS

For historic heritage, the stakeholders include:

- New Zealand Historic Places Trust
- regional and local councils
- tangata whenua
- landowners.

Local historical societies and appropriate community groups should also be consulted.

Consultation should occur on a regular basis from the strategic case stage of the process to ensure the suitability and acceptability of the predicted impacts and mitigation options for the proposed project. The Transport Agency’s *Public engagement guidelines* contain useful information on the Transport Agency’s approach when engaging with the public and stakeholders.
Assessment process

4.1 THE TRANSPORT AGENCY’S STATE HIGHWAY PROJECT LIFECYCLE

The Transport Agency’s project development and delivery process is guided by the development of a project’s business case built progressively starting with a strategic case then an indicative business case and finally a detailed business case. There are decision points along the way to determine whether the investment is worthwhile in relation to the desired outcomes. For further information on Transport Agency processes, standards and procedures refer to the highways information portal.

Figure 2: Transport Agency state highway project lifecycle and milestones

The diagram above details the heritage assessment process for the various stages that the Transport Agency’s state highway projects follow. It is important that each historic heritage assessment is tailored to the characteristics of the relevant scheme and is carried out at the appropriate level of detail. For each level of assessment, the process should focus on issues that are needed to inform the decision that is to be taken and on the risks and opportunities associated with the scheme.
The main objectives of the assessment process are to:

- assist the NZTA in the decision making process
- inform the broader design process
- meet the requirements of the appropriate statutory processes
- assist to achieving environmental objectives for the project.

This would be achieved by:

- describing and characterising historic heritage within the area of interest
- assessing its value
- identifying potential impacts
- identifying appropriate avoidance and/or mitigation measures
- assessing the magnitude of the effects provided proposed mitigationS are adopted
- assessing the significance of the affect.

Three interrelated levels of assessment are generally required for historic heritage to take a project through to the statutory approval process. These assessments should also identify any archaeological requirements under the HPA. The requirements of these milestones are described in sections 4.3 to 4.5 below.

### 4.2 ENVIRONMENTAL AND SOCIAL RESPONSIBILITY SCREEN

![Figure 3: Heritage considerations for the ESR screen assessment](image)

The Transport Agency’s environmental and social responsibility (ESR) screen process is initiated at the indicative business stage of the project and is carried out for all projects (see figure 2). The ESR screen provides an indication of the likely historic heritage risks associated with a project option.

The ESR screen requires answering the following questions:

1. Are there any listed sites within 200m of the area of interest?
2. Are there any cultural sites of significance within 200m of the area of interest?

Information sources: Transport Agency GIS, NZ Historic Places Trust Register, NZ Archaeological Association database (Archsite), District Plan schedules and GIS maps (i.e., Auckland Council Heritage inventory-CHI).

At this stage, engagement with the NZHPT and tangata whenua should be initiated to identify any further heritage issues of the project.
As the project progresses through the indicative and detailed business case stages, the ESR screen should be reviewed and updated as necessary. For further information on the ESR screen visit the highway information portal at www.hip.nzta.govt.nz.

If a project is considered as having high historic heritage risk during this stage, then the next step is to undertake further work and complete a Preliminary Technical Assessment to inform the detailed business case once a preferred option has been identified.

4.3 PRELIMINARY TECHNICAL ASSESSMENT FOR HIGH-RISK PROJECTS

A preliminary technical assessment is completed when a project has been identified by the ESR screen as having high historic heritage risk at the indicative business case stage. The preliminary technical assessment will inform the development of the detailed business case of the project and the preferred option.

It will consider both archaeological and built heritage and will cross reference the cultural impact assessment (CIA) and consultation process with tangata whenua.

The preliminary technical assessment will include but not be limited to:

- the preparation of a desktop study identifying recorded historic heritage sites
- methodology, including sources of information and any limitations
- sufficient background information to support the assessment of historic heritage values (ie, physical environment, historical background, previous archaeological research
- the results of partial survey/site inspections if required
- maps and tables providing a clear summary of the historic heritage sites in the study area
- preliminary assessment of heritage significance following regional policy statement, district plan and/or HPA assessment criteria
- statement on tangata whenua consultation and reference to the CIA process
- assessment of impacts, including heritage landscape effects:
  - how the preferred option will avoid rather than seek to mitigate adverse heritage effects
  - how the preferred option will achieve positive heritage outcomes
  - if the preferred option involves impact on heritage items, how significant is this impact and what measures are acceptable to mitigate this impact?
- identification of all required heritage legislative approvals, advice on documentation required to obtain them as well as a timeframes for lodging any HPA applications
- recommendations for measures to avoid, remedy and mitigate the effects or portential effects of the project on heritage values, for example:
  - avoidance of heritage sites
  - relocation of heritage buildings (if warranted)
  - site protection during construction (ie fencing off sites, stability monitoring for buildings)
  - long-term site protection measures (ie building conservation, enhancement planting)
  - public access and interpretation provision
  - authority applications under the HPA
  - archaeological investigation and/or recording of affected sites (under the HPA)
  - archaeological monitoring of specific areas with potential for subsurface remains
  - use of ADP based on the Transport Agency’s accidental discovery procedures standard Z/22 and in consultation with tangata whenua
  - any relevant recommendations from the CIA

* Partial survey would be required if heritage issues of the region have not yet been well studied and/or information is not available from the NZAA, NZHPT and regional databases.
• recommendations for any further assessment required, ie:
  - heritage buildings assessment by a conservation architect
  - assessment of vibration effects on heritage buildings
  - CIA (if not already undertaken)
  - heritage tree assessment
  - S18 exploratory investigations under the HPA
  - further historical research.

Information regarding potential mitigations, required heritage approvals and further work/assessment will be considered in the development of cost estimates.

Case study

Western Ring Route: Waterview Connection

The Waterview Connection project, which will connect SH20 with SH16 at Waterview in Auckland, is a major roading project requiring 4.5km of new state highway (approximately half of which is tunnel) and alterations to 7.5km of existing highway. Survey and assessment of effects were undertaken over a 10-year period (2000–2010) and ensured that heritage effects (primarily archaeological) were taken into account in route planning and project design.

The process identified a significant heritage area near the interchange at Waterview, which included a historic mill and tannery site and a former Māori settlement. While visual effects could not be avoided, the final design ensured there would be no physical effects on the major part of the heritage area. In mitigation, the NZTA proposed the preparation and implementation of a plan to restore and enhance the area, including public access provision and interpretation. This plan is being developed with input from several stakeholders such as the NZHPT, tangata whenua, Council and the local community. An Archaeological Site Management Plan was prepared to manage effects during construction, and provide for the monitoring of sensitive areas, tangata whenua involvement, protection of sites during construction, training of contractors and accidental discovery protocols.
4.4 TECHNICAL ASSESSMENT FOR RMA ASSESSMENT OF ENVIRONMENTAL EFFECTS

An assessment of environmental effects will be required for the Notice of Requirement (NoR) and resource consent application to secure land designation and build the project.

Archaeological and/or built heritage assessments will generally form part of the assessment of environmental effects, unless the effects are less than minor and can be adequately addressed in the planner’s assessment of environmental effects. At this stage, a scheme concept would be fully developed. However, some elements of the scheme may be modified later on as a result of the statutory and tender processes.

At this stage, the assessments should be fit for purpose and based on data obtained from the previous assessments as well as any further work carried out to determine historic heritage effects. The assessment/s should follow the format of the Transport Agency’s archaeological assessment report template (Appendix 1) and built (architectural) heritage assessment report template (Appendix 2). In cases where there is no significant built heritage requiring assessment, a general historic heritage report may be sufficient based on Appendix 1.

Key elements of the technical assessment for RMA AEE include:
• archaeological survey of recorded site and all potential areas of risks
• built heritage assessment of historic buildings at risk
• assessment of heritage significance following regional policy statements/HPA assessment criteria
• assessment of effects on historic heritage values
• mitigation recommendations
• draft management plan (if applicable) including accidental discovery protocols based on the NZTA’s Z/22 standard9
• draft conditions.

Cultural impact assessment by tangata whenua

A CIA prepared by tangata whenua will generally be required for larger projects in addition to the historic heritage assessments prepared by the appropriate heritage professionals. Relevant information from the CIA will be referred to in the archaeological assessment report but it will be a stand-alone document within the overall suite of assessments of environmental effects.

The CIA(s) will vary in scope and content according to the requirements of tangata whenua, but would normally include10:
• methodology – describing the consultative process used in preparing the report (site visit, hui, tangata whenua presentations, reviews of draft and sign-off)
• a brief description of the proposed activity
• recognition of the mana whenua within the area subject to the application and a description of who the report is being prepared on behalf of
• a brief overview of the relevant planning framework
• identification and description of Māori cultural values associated with the site or the resource that is subject to the application
• identification of impacts and evaluation of effects of a proposed activity on the identified cultural values
• recommendations to avoid, remedy or mitigate any adverse effects on Māori cultural values
• recommended conditions of consent should the application be granted
• iwi/hapū expectations for ‘where to from here’ – the process following the CIA.

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Case study
Takiroa Rock Art Site

The Takiroa Māori Rock Art Site located just west of Duntroon and beside State Highway 83 is a significant landmark in the traditions of Ngai Tahu Whanui, attracting between 20,000 and 30,000 visitors a year. The historic area is of exceptional cultural and traditional significance due to its association with the early Māori inhabitants of the South Island, the outstanding rock art preserved in situ and the archaeological rarity of the site. In recent years due to a steady increase in visitor numbers and traffic volumes concerns have been raised over visitor safety. Visibility was restricted at the entrance to the site where visitors often walked across the highway or turned around to park. When plans were unveiled to upgrade the site, including the entrance, the Transport Agency saw an opportunity to improve safety on the highway.

In conjunction with Ngai Tahu’s Māori Rock Art Charitable Trust a plan was developed to enhance and improve the safety of the site by moving the entrance and constructing a car park and walkway. The Transport Agency lodged an application to alter the existing state highway designation, so a landscaped car park, walkway and picnic area could be constructed. The design evolved in close consultation with iwi and the end result is a safer and more attractive and welcoming access for tourists, located in a central position between two bends for improved visibility. The improvements have been welcomed by all parties and the site is now attracting many more visitors who are able to safely park and view this historic area without having to cross the state highway.
4.5 HISTORIC PLACES ACT 1993 AUTHORITY APPLICATION PROCESS

In addition to any requirements under the RMA, the HPA protects all archaeological sites whether recorded or not and they may not be damaged or destroyed unless an authority to modify an archaeological site has been issued by the NZHPT.

Examples of activities with the potential to affect archaeological sites that may require an authority from the NZHPT have been detailed in section 2.1 of this guide.

The HPA authority process can be triggered at anytime during the lifecycle of a project. For example, during the project development and consenting phase a HPA authority may be required if geotechnical activities are to be undertaken in areas of archaeological risk.

In addition, an authority may also be required prior to construction for those projects where there is the potential to affect archaeological sites. If no sites have been identified but it is possible that sites may be present subsurface, a general authority is recommended as a precautionary approach to minimise delays should unrecorded subsurface remains be exposed when works are underway. If that occurs and no authority is in place, work may be held up for a few weeks while an authority is obtained so that work may legally proceed.

Documentation required for HPA authority lodgement may include:

- an archaeological assessment (assessment prepared for RMA purposes should include sufficient detail, but additional information may be required if design changes have resulted in greater or lesser effects on archaeological sites)
- any additional plans, drawings, specifications, etc to help the NZHPT assess the effects of the work
- a research strategy, if a known site (s) is to be affected and investigated by way of mitigation (this will set out the research aims and methodology for archaeological investigation)
- a management plan setting out procedures to be followed during archaeological monitoring works, and an accidental discovery protocol relating to the discovery of archaeological remains, human remains or taonga (this will also specify how construction activities will be managed to minimise impact on historic heritage). The management plan will be reviewed to incorporate any additional requirements contained in the authority decision received from the NZHPT
- evidence of consultation with Māori and assessment of effects on Māori cultural values (the CIA can generally be used, but more specific consultation in relation to archaeological effects may be required)
- a schedule detailing legal descriptions of all properties to be covered by the authority application
- landowner consent if these properties are not owned by the Transport Agency.

4.6 HERITAGE SKILLS FOR EXPERT WITNESS, RMA AND HPA CONSENTING PROCESS

The heritage skills necessary to undertake archaeological and built heritage assessments to take a project through to the RMA and HPA process will depend on the nature of the project but will generally require consideration of the following aspects:

Archaeology:

- Master (or higher degree) in Archaeology.
- Meets S17 criteria under the HPA and/or has been approved by the NZHPT as a section 17 archaeologist.
- Experience on presenting expert evidence at Environment Court or Board of Enquiry.
- Experience on Transport Agency projects.
- Specialist archaeology skills ie Historic/Industrial archaeology as appropriate to the project.
Built heritage:

• Heritage/conservation architect with a post-graduate qualification in building conservation or is a recognised practising conservation architect.
• Experience on presenting expert evidence at Environment Court or Board of Enquiry.
• Experience on Transport Agency projects.

4.7 MITIGATING AND MANAGING CONSTRUCTION EFFECTS ON HISTORIC HERITAGE

Mitigation of effects should commensurate with the value of the heritage resource and be designed to each individual circumstance. Specific measures may be required before the project, during construction and post construction.

For historic buildings, this may include relocation or if that is not possible recording prior to demolition. For effects on archaeological sites, that cannot be avoided, proposed mitigation measures include standard archaeological investigation and recording under an HPA authority. Archaeological investigation and recording of sites which do not meet the HPA criteria (ie post 1900) may also provide valuable information and, if appropriate, can be made a condition of consent under the RMA. Archaeological investigation of pre-1900 sites as mitigation for site damage or loss as provided for under the HPA may not be considered sufficient to offset the effects under the an RMA context. Other mitigation options should also be considered.

Engagement with stakeholders and the community would help identify appropriate mitigation for effects on historic heritage places. The Transport Agency encourages mitigation which would bring benefits to the community and increase public awareness and appreciation of historic heritage. This may include:

• Protection for remaining historic heritage sites (eg. Covenants, physical improvements, landscaping/revegetation, relocation, limited restoration)
• Public access provision
• Interpretation signage
• Heritage publications
• Involving the local community in historic heritage activities for the project, on site open days, etc.

Effects on unknown archaeological sites or unidentified remains during construction can be provided for by developing Accidental discovery Protocols in conjunction with tangata whenua and the NZHPT to ensure that effects are appropriately mitigated through investigation, recording, retrieval of artefacts or (in the case of human remains) reburial in accordance with Maori tikanga. These protocols should be based on the Transport Agency’s Accidental discovery procedures standard Z/22, which has been endorsed by the NZHPT.

A Heritage Management Plan (HMP) which includes specific procedures to manage historic heritage during construction activities will form part of the overall Construction Environmental Management Plan (CEMP) to be developed for the project. The HMP will include any provision for site protection during construction (ie fencing off sites), information on statutory requirements under the RMA and HPA, roles and responsibilities, training requirements, operating procedures and mitigation measures, ADPs, monitoring requirements, stand down periods, reporting requirements, etc.
Appendix 1: Transport Agency archaeological assessment report template

This document outlines the Transport Agency’s minimum requirements when preparing archaeological assessments for the consenting process as part of the assessment of environmental effects.

The aim of this template is to ensure a consistent approach is used in all Transport Agency projects and that all archaeological assessments meet international current best practice, and are in accordance with international and New Zealand ICOMOS charters, national legislation, government heritage policy and codes of ethics for historic heritage practice.

The archaeological assessment template has been adapted from the NZ Historic Places Trust’s (NZHPT) Archaeological guidelines series no. 2 Guidelines for writing archaeological assessments and from best practice historic heritage assessment examples.

Depending on the nature of the project, the archaeological assessment may include heritage buildings that have archaeological values. Any detailed built heritage assessment may be undertaken by a heritage architect following Appendix 2.

1. EXECUTIVE SUMMARY
This section should include purpose, key environmental effects, assessments undertaken, results and suggested approach for these effects.

2. CONTENTS

3. INTRODUCTION
The introduction should cover the project description, purposes of the assessment, commission details and geographic area in consideration.

The project description should present the key elements of the project. A map showing project area and route alignment should be included in this section.

The purpose and objectives of the archaeological assessment should be clearly stated in the report. Any limitations on access/field survey should be stated.

A statement should be included clarifying that it is not an assessment of effects on Māori cultural values, which is being undertaken separately. The consultation process should be referred to and any cultural impact assessment (CIA) that has been prepared.

4. REGULATORY FRAMEWORK
Outline any legislation relevant to the assessment, including the Resource Management Act 1991 (RMA) and the Historic Places Act 1993 (HPA), as well as any relevant regional/district plan policies and rules.

5. METHODOLOGY
Describe all documentary (and other) sources and techniques used to obtain information.

Documentary sources should include but are not limited to:
- New Zealand Archaeological Association (NZAA) site recording scheme (ArchSite)
- NZHPT register
- regional and district council records and schedules (ie Auckland Council Cultural Heritage Inventory – CHI)
• early maps and surveyors’ records
• aerial photography
• local histories
• land titles
• archaeological survey and excavation reports
• previous heritage assessments and conservation plans
• published and archival resources.
• Other sources of information may include:
  • information on sites of cultural significance provided by tangata whenua
  • assessments of heritage buildings undertaken by heritage specialists in connection with the project
  • verbal information from landowners or local residents.

Methods and techniques for archaeological assessment should include but are not limited to:
• site visit and walkover
• archaeological survey
• geophysical surveys (if appropriate)
• limited subsurface testing to identify or define the extent of sites
• archaeological site investigations (if required to complete the assessment of effects – these will require an authority from the NZHPT (s18 of the HPA).

6. PHYSICAL ENVIRONMENT
Describe the broad physical context of the area being assessed and discuss relevant aspects such as geology, topography, climate, vegetation and urban landscape. This information should be considered in terms of its relevance to human history and the purposes of the assessment.

Any significant changes to the physical environment due to human settlement that have had effects on occupation and land use patterns should also be discussed.

7. HISTORICAL BACKGROUND
Provide an overview of the human history of the area. This section should place the assessment within the context of what is known of the local and wider regional area. This will establish a framework for understanding the historic heritage sites that may be present in the project area.

The known history of any historic buildings or sites in the project area should be included.

Early historic plans and other relevant sources of information should be appropriately discussed in the text.

8. ARCHAEOLOGICAL/HISTORIC HERITAGE ENVIRONMENT AND RECORDED SITES
Describe and briefly discuss previous work carried out in the project area, and confirm whether the area has been subject to systematic archaeological survey, whether these surveys are likely to have identified most of the sites, etc.

Any relevant information from previous investigations in the project area should also be described in this section, including the purpose of previous investigations. This information is available from the NZHPT regional archaeologist and digital library. 

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11 An authority is not required for the purposes of identifying an archaeological site in the first instance, defining the extent of an archaeological site in areas where it does not appear to exist, or confirming that an archaeological site does not exist: NZHPT Archaeological guidelines series no. 4: Guidelines for section 18 authorities, p.2. For any more extensive investigations, an authority should be obtained.

12 NZHPT digital library, www.historic.org.nz
Include a list or table of all sites located in the project area that are recorded in the NZAA records (ArchSite), regional and district plans and schedules, NZHPT register and other relevant heritage inventories.

Recorded waahi tapu and sites of significance to tangata whenua should also be identified.

Describe the outcomes of the information gathering phase of the assessment and any limitations of the methods/data sources used in the assessment. Results of the fieldwork assessment should be thoroughly described.

Archaeological sites, potential archaeological sites, historic buildings or other structures, identified waahi tapu and other places of significance to tangata whenua, and recorded heritage trees or other heritage features should be described.

The following elements should be included in this section:

- Maps showing extent of field surveys.
- Maps showing previously recorded historic heritage sites, and any newly identified sites (sites identified in the field should be accurately located using GPS, and their known extents defined).
- Maps showing areas which may have the potential to contain unknown archaeological sites.
- Selected photographs of historic heritage sites.
- Table identifying all sites located within the project footprint and immediately adjacent to the designation. It should include site record number (if relevant), grid locations, site type, and information regarding site integrity/status. Any sites or areas scheduled on the district plan or registered by the NZHPT should be referenced.

Discuss whether the survey results provide a comprehensive coverage of the area and the potential for unrecorded archaeological sites. Briefly explain how the sites fit in with the current knowledge of the area and what is their potential to contribute to areas of current research interest.

Consider the historic heritage sites in the project area in a wider context from a geographical and historical perspective. Discuss whether meaningful broader heritage landscapes can be defined, and how the sites interrelate within these landscapes.

9. ASSESSMENT OF HERITAGE VALUES AND SIGNIFICANCE

This section should assess the heritage values of the archaeological sites or groups of sites, buildings or other heritage features identified. The assessment of heritage values should also be undertaken from a heritage landscape perspective.

Detailed heritage assessment of any historic building potentially affected by the project generally requires the involvement of a conservation architect whose assessment of significance should be referred to.

The criteria used to assess heritage significance should be explained. Most regional councils have developed specific criteria based on the HPA s23 criteria. These sets of criteria can be found in the regional policy statements and district plans.

The report should state at what level the item/study area meets each criterion (high, moderate or low significance). The Transport Agency acknowledges the issues of ranking one place against another. However, for large-scale roading projects which involve impacts over a considerable area, this method provides the best practical solution for identifying which sites should be avoided or protected and which need to be further evaluated.

Any existing significance assessments or ranking should be referenced (district plan schedules, NZHPT register, other heritage assessments and conservation plans).
A table can summarise the information when a large number of sites are considered in the analysis. However, the justification should be clearly described in the report. The system used for assigning levels of significance to heritage items should be objective, consistent and capable of being defended in the Environment Court if necessary.13.

An assessment of Māori cultural values is also a requirement under the RMA and HPA. This assessment should be undertaken by tangata whenua and generally forms part of a CIA which involves broader elements of the landscape, eg springs, waterways, mountains, lakes, archaeological sites and areas, biodiversity. This information should be considered and integrated within the heritage assessment as appropriate.

10. ASSESSMENT OF EFFECTS

This section focuses on assessing the direct effects of the project. Effects on historic heritage sites are not only physical14 – other effects such as visual effects and noise can have an impact on the amenity of buildings, sites and areas. In addition to the identification of effects on known historic heritage sites, potential effects on unrecorded archaeological sites should also be discussed and assessed.

The CIA should be cross-referenced regarding effects on Māori cultural values.

A summary of the overall effects on the heritage landscape should also be provided at the end of this section.

All project elements should be considered in the assessment. This includes but is not limited to:

- roads and ramps
- access road realignment
- construction yards
- stormwater/retention ponds
- bridges
- noise walls
- drainage works
- utilities realignment
- ground investigations
- cycleways
- landscaping, vegetation clearance.

If no detailed information on these elements is available at the time of the study, the assessment should then use the land designation as a reference. In this case, the identification of ‘no go areas’ containing sensitive heritage elements should be clearly identified to inform the project design process.

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13 Assessing the significance of archaeological values is problematic in view of the unknown nature and extent of subsurface elements, but ranking systems have been developed, eg by the former Auckland City Council, for the purpose of scheduling archaeological sites. The following may be of assistance: (1) T Walton, Assessing the archaeological values of historic places, Department of Conservation Science & Research Internal report no. 167, 1999; Chapter 3: Assessing the significance of archaeological values. (2) The NZHPT archaeological guidelines series no. 2. Guidelines for writing archaeological assessments, 2006: p.8, which details the relevant archaeological values that contribute to the significance of a site.

14 Vibration effects during construction should be considered under this heading.
Information that should be provided in the assessment includes:

- how the Transport Agency has avoided adverse effects through route selection or re-design
- how much of a heritage site(s) will be affected, to what degree and what effects this will have on the values of the sites and heritage landscape
- whether the project will increase the risk of damage to the site in the future
- whether a re-design may avoid adverse effects on the sites.

11. MITIGATING AND MANAGING THE EFFECTS

Recommended measures to mitigate the effects or potential effects of the project on heritage values should be provided.

This section will propose measures to mitigate the effects of the selected route that will provide the basis for consent conditions.

Mitigation of effects should be comensurate with the value of the heritage place. Measures may be required before the project, during construction and post construction.

Mitigation of effects on historic buildings may include relocation or, if that is not possible, detailed recording prior to demolition. Note that any pre-1900 building that is to be damaged or demolished is considered to be an archaeological site as defined by the HPA. Where a built heritage assessment has been prepared, the recommended mitigation in the report should be referred to.

Where effects on known archaeological sites cannot be avoided, proposed mitigation measures include standard archaeological investigation and recording of any affected archaeological features under an authority from the NZHPT in order to obtain information which will contribute to current knowledge of the history and archaeology of the area. The statutory involvement of tangata whenua in the HPA authority process should be explained. Archaeological investigation and recording of sites which do not meet the HPA criteria (ie post-1900) may also provide valuable information and, if appropriate, can be made a condition of consent under the RMA.

Archaeological investigation of pre-1900 sites as mitigation for site damage or loss as provided for under the HPA may not be considered sufficient to offset the effects under an RMA context. Other mitigation options should also be considered.

Engagement with stakeholders and the community would help identify appropriate mitigation for effects on historic heritage places. The Transport Agency encourages mitigation which would bring benefits to the community and increase public awareness and appreciation of historic heritage. This may include:

- protection for remaining historic heritage sites (eg covenants, physical improvements, landscaping/revegetation, relocation, limited restoration)
- public access provision
- interpretation signage
- heritage publications
- involving the local community in historic heritage activities for the project, on site open days.

Any positive effects of the project achievable through proposed mitigation should be referred to.

Any other mitigation regarding historic heritage sites should also be mentioned in the report, eg mitigation identified through urban design or tangata whenua consultation.

General and site-specific mitigation should be described separately.

This would generally only be appropriate for buildings of high heritage significance.
Effects on unknown archaeological sites or unidentified remains exposed during construction can be provided for by developing Accidental Discovery Protocols (ADP) in conjunction with tangata whenua, which ensure that effects are appropriately mitigated through investigation, recording, retrieval of artefacts or (in the case of human remains) reburial in accordance with Māori tikanga. These protocols should be based on the NZTA’s *Accidental discovery procedures standard Z/22*, which has been endorsed by the NZHPT.

A Heritage Management Plan (HMP) which includes specific procedures to manage historic heritage during construction activities will form part of the overall Construction Environmental Management Plan (CEMP) to be developed for the project. The HMP will include any provision for site protection during construction (ie fencing off sites), information on statutory requirements under the HPA, roles and responsibilities, training requirements, operating procedures and mitigation measures, ADPs, monitoring requirements, stand down periods, reporting requirements, etc.

The HMP should be referred to and described.

### 12. CONCLUSIONS

This chapter should explain how the NZTA has addressed its obligations in terms of the RMA which include avoiding, remedying and mitigating adverse effects on historic heritage. There should be an overall statement of effects subject to the proposed mitigation measures being adopted.

In addition, any requirements under the HPA should be clearly described.

### 13. BIBLIOGRAPHY

### 14. APPENDICES

Appendices should include:
- all archaeological site record forms (and any record forms for other historic heritage sites)
- other relevant specialist reports
- preliminary HMP as described on the previous page.
Appendix 2: Transport Agency built heritage assessment report template

This document outlines the NZ Transport Agency’s minimum requirements when preparing built heritage assessment as part of the Assessment of Environmental Effects and consenting process.

The aim of this template is to ensure a consistent approach is used in all Transport Agency projects, and that all built heritage assessments are prepared in accordance with ICOMOS NZ Charter, national legislation, government heritage policy and codes of ethics for historic heritage practice.

The built heritage assessment template has been developed according with best practice examples.

Depending on the nature of the project, the built heritage assessment may include pre-1900 heritage buildings that have archaeological values. Any detailed archaeological assessment may be undertaken by an archaeologist following Appendix 1.

1. EXECUTIVE SUMMARY

The summary should include purpose, key environmental effects, assessments undertaken, results and approach for managing these effects.

2. CONTENTS

3. INTRODUCTION

A description of the scope and brief of the report, exclusions, assumptions and limitations.

In order to assess any potential direct, indirect and cumulative impacts of the project on any non-archaeological built heritage resources, a detailed description of the proposed project should be provided. This should include a written description of the project, the area affected, construction timeframes, project phasing, and project lifetime. It should include maps and descriptions of any associated ancillary developments such as access roads and location of plant and machinery to the extent that these are relevant to potential effects on built heritage.

4. REGULATORY FRAMEWORK

A description of the policy, legal and administrative framework within which the project can take place e.g. Historic Places Act 1993 (HPA), Resource Management Act 1991 (RMA), NZTA policy, Ministry of Culture and Heritage Policy for Government Departments’ Management of Historic Heritage 2004 and other relevant national policy statements, regional plans and policy statements and local authority district plans, objectives, policies and rules.

5. METHODOLOGY

The methodology for assessment should be clearly identified and should comprise reference to all documentary sources consulted as well as a description of the scope of any field survey undertaken to inform the assessment.
Documentary sources should include but are not limited to:

- existing lists and records of heritage including NZ Historic Places Trust (NZHPT) register, district plans schedules and the respective NZHPT and council building files, World and Tentative World heritage lists, the Department of Conservation’s (DoC) heritage assets, NZ Archaeological Association records, the IPENZ Heritage Register and records, NZ Rail Heritage Trust Inventory, local historic society inventories, Shepperd Collection, University of Auckland Schools of Architecture and Engineering records, etc.

- primary sources from national and local museum archives and photographic collections, local authority building archives, Land Information NZ records, National Library of NZ, Paperspast

- published works including NZHPT historic building publications, thematic studies, Waitangi Tribunal reports, DOCOMOMO New Zealand publications on Modern Movement structures, publications of local historical and railway societies, local authority histories, church histories and architectural monographs, building type histories (e.g., books by Geoffrey Thornton)

- unpublished reports (e.g., archaeological reports, architectural and engineering student theses and drawings, previous heritage assessments and conservation plans)

Field survey scope and methodology should follow international best practice which will generally involve a detailed visual/field survey within the necessary width of the project to inspect and document built heritage, setting and landscapes already statutorily recognised as well as any others not currently recognised. There are several international and national guidelines for the recording heritage buildings including ICOMOS Principles for the recording monuments, groups of buildings and sites, NZHPT Guidelines for investigation and recording of buildings and standing structures, English Heritage Understanding historic building: a guide to good recording practice, etc.

Consultation with the NZHPT would assist in the identification of built heritage not yet registered or proposals for registration. Potential built heritage can be identified visually by indicators such as age, style, setting, surrounding archaeology, building details, building materials as well as through historical research of significant people, events or patterns of development associated with the built heritage or area.

Dates and durations of the site visits should be stated in the report. Describe any limitations of the assessment, e.g., restrictions on access to sites or information.

6. THE EXISTING PHYSICAL ENVIRONMENT

A full description of the existing physical environment (sometimes termed the baseline) including buildings and the landscape setting will provide the context for evaluating the impact on cultural heritage landscapes and built heritage resources of a project. An appropriate width of the proposed project should be viewed and assessed, depending on heritage affected. The area to be viewed and researched should be determined by the specialist and may be within 1 km or up to 10 km of the centre line of the roadway. Maps with clear boundaries showing the area assessed and the location of identified buildings and features are useful as a means of supporting descriptions of the physical environment.

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1. www.international.icomos.org
2. www.historic.org.nz
3. www.english-heritage.org.nz
4. From National Roading Authority (Ireland) Guidelines for the assessment of architectural heritage impacts of national road schemes. www.nra.ie
7. THE HISTORICAL BACKGROUND AND BUILT HERITAGE ENVIRONMENT

The developmental history of the area should be researched and written to establish the physical and cultural environment of the area within which the built heritage was created. This should enable a description of the original and evolved historic setting, landscape and character, boundaries, extant historic elements and cultural heritage.

Definitions of historic landscapes are provided in Section 2.2 of the Guide to Assessing Historic Heritage effects for state highway projects.

For the purposes of this guidance, the setting of an asset is, broadly speaking, the surroundings in which a place is experienced, while embracing an understanding of perceptible evidence of the past in the present landscape. It is important to identify what in the current landscape survives and continues to contribute to the values associated with the built heritage landscape.

Context is a part of setting, including topography and views. Context embraces any relationship between a place and other places. It can be, for example, temporal, functional, intellectual or political, as well as visual, so any one place can have a multi-layered context. The range of contextual relationships of a place will normally emerge from an understanding of its origins and evolution.

Understanding context is particularly relevant to assessing whether a place has greater value for being part of a larger entity or group.

Setting and context should be considered together rather than separately. In summary a combination of the archaeological and historical context, the visual appearance and the aesthetic qualities of the site's surroundings play an important role in modern perceptions of the site.

Once built heritage and heritage landscapes have been visually identified, a detailed inventory of all potentially affected heritage is written. The physical and social history of each structure and landscape would be researched and documented to enable a full description and understanding of the structure and an assessment of heritage values. Apart from the history of each structure, other areas to consider should include: physical characteristic, levels of authenticity, integrity, context, condition, setting and inter-relationships with other buildings, structures or landscapes, sensitive viewpoints and intangible associations which may relate to heritage values. Where accessible, interiors should also be viewed and assessed as they have an integral relationship with the exterior and contribute to the knowledge and use of a place. Each structure will need a unique identification, eg GPS, legal description, and/or street number.

8. ASSESSMENT OF HERITAGE VALUES AND SIGNIFICANCE

An overall assessment of heritage values for each building and setting and any identified cultural heritage landscapes should be written based on legislative, governmental or local authority assessment criteria (eg HPA 1993 Section 23, NZHPT Information Sheet 2 see Section 3.3 of this guide).

Values can be assessed according to the following thresholds:

- very high
- high
- medium
- low.

Places also need to be assessed in terms of their component parts. These should be considered and evaluated as a whole to determine an overall value.
Where the structure or landscape has not previously been identified and assigned a heritage status, there is a need to assess relative heritage value applying the above assessment criteria and thresholds.

Where a structure or structures are part of a group or an historic landscape, their associated attributes and contributions to the group and/or of the landscape will need to be described.

Note that where guidelines exist for assessing a particular type of built heritage, these should be referred to during the assessment process. For instance, if the built heritage resource is a bridge, assessment of the bridge should be based on documents such as the Canadian Ministry of Transportation, *Ontario heritage bridge guidelines*\(^5\).

Numerical rankings, used in the guide, are not recommended as this form of evaluation has been found to be problematic and tends to give an artificial impression of accuracy. Instead the rankings recommended above of Very High, High, Medium and Low should be used.

### 9. ASSESSMENT OF EFFECTS

The impacts of the project on individual and group built heritage as well as heritage landscapes will need to be identified and quantified. How each value is affected should be identified as well as effects on the overall heritage value of the place. A broad approach is needed, such as that described in clauses 1, 2, 3 and 4 of the Xi’an *Declaration on the conservation of the setting of heritage structures, sites and areas*\(^6\) (2005). An assessment should be made on how the changes may be perceived by the community locally, regionally and nationally.

Potential impacts can be direct or indirect. Direct impacts can result in the physical loss of part or all of an attribute and/or changes to its setting. Direct impacts are usually permanent and irreversible occurring as a consequence of construction and confined within the project footprint.

Indirect impacts occur as a secondary consequence of construction or operation and can result in physical loss or changes to the setting beyond the project footprint.

Potential negative impacts on built heritage resources include but are not limited to:

- destruction or relocation of any, or part of any, significant heritage features, original materials or fabric
- alteration that is not sympathetic, or is incompatible, with the historic fabric and appearance
- shadows created that alter the appearance of a heritage attribute or change the viability of a natural feature or plantings, such as a garden
- isolation of a heritage attribute from its surrounding environment, context or a significant relationship
- direct or indirect obstruction of significant views or vistas within, from, or of built and natural features.
- A change in land use such as rezoning a battlefield from open space to residential use, allowing new development or site alteration to fill in the formerly open spaces; and
- Land disturbances such as a change in grade that alters soils, and drainage patterns that may adversely impact on archaeological values
- Introduction of physical, visual, audible or atmospheric elements that are not in keeping with the character and setting of the built heritage resource.

These impacts can be of cumulative, temporary/ permanent, reversible/ irreversible.

The magnitude, geographic extent, duration and frequency, reversibility and context of the effects should be considered. The UK Highways Agency, HA 208/07\(^7\), suggests a short-term impact would last for the period of the construction, medium term would be 15 years which is defined as temporary. Permanent is longer than 15 years.

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5 [www.raqsa.mto.gov.on.ca](http://www.raqsa.mto.gov.on.ca)
6 [www.international.icomos.org](http://www.international.icomos.org)
7 [www.highways.gov.uk](http://www.highways.gov.uk)
Scale or severity of impacts or changes can be judged taking into account their direct and indirect effects and whether they are temporary or permanent, reversible or irreversible. The cumulative effect of separate impacts should also be considered.

The UK Highways Agency, HA 208/07 recommends ranking the magnitude of the impact as follows:

- **major** = change to key historic elements, such that the resource is totally altered and/or Comprehensive changes to the setting
- **moderate** = change to many key historic building elements, such that the resource is significantly modified
- **minor** = change to key historic buildings, such that it is significantly modified
- **negligible** = slight changes to historic building elements or setting that hardly affect it
- **no change** = no change to fabric or setting

Cumulative Impacts are those resulting from incremental changes caused by other past, present or reasonably foreseeable actions together with the project. Cumulative impacts can arise from multiple effects of the same scheme on a single asset, different multiple effects of the scheme and other schemes on the same asset, or incremental effects arising from a number of actions over time. Interactions may arise from activities related to other topics.

For example:

- incremental noise from a number of separate developments
- combined effect of individual impacts, eg noise, dust and visual, from one development on a particular receptor
- several developments with insignificant impacts individually but which together have a cumulative effect
- the reactions between impacts whether between the impacts of just one project or between the impacts of other projects in the area.

Further useful definitions of impacts are provided in international guidelines such as *Guidance on heritage impacts: assessment for cultural world heritage properties* ICOMOS 2011.

The significance of the effect of change, ie the overall impact on an attribute is a function of the importance of the attribute and the scale of change. This can be summarized for each attribute described using the following descriptors. As change or impacts may be adverse or beneficial, there is a nine-point scale with 'neutral' as its centre point:

- major beneficial
- moderate beneficial
- minor beneficial
- negligible beneficial
- neutral
- negligible adverse
- minor adverse
- moderate adverse
- major adverse.

Potential beneficial effects include but are not limited to:

- re-establishment of historic setting
- screening of intrusive elements
- improved lighting
- restoration of structures
- improved visibility and accessibility
- interpretation/knowledge about a place.

8 www.international.icomos.org
The following table shows potential adverse and beneficial impacts:

<table>
<thead>
<tr>
<th>ACTIVITY</th>
<th>IMPACT ADVERSE</th>
<th>IMPACT BENEFICIAL</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>SITE CLEARANCE</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Removal of trees and vegetation</td>
<td>Damage to setting of historic building</td>
<td>Re-establishment of historic setting Protection of the heritage place/resource</td>
</tr>
<tr>
<td>Fencing</td>
<td>Intrusion</td>
<td></td>
</tr>
<tr>
<td><strong>ROAD CONSTRUCTION</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demolition, drainage, shallow, foundations, piling, borrow, pits, decontamination etc</td>
<td>Damage to building fabric effect on setting Vibration from piling; damage to historic structures</td>
<td></td>
</tr>
<tr>
<td>Landscaping/earth mounding</td>
<td>Visual and noise intrusion on setting</td>
<td>Re-establishment of historic setting Screening of intrusive elements</td>
</tr>
<tr>
<td>Spoil disposal</td>
<td>Visual and noise intrusion on setting</td>
<td>Re-establishment of historic setting Indirect: screening of intrusive elements</td>
</tr>
<tr>
<td>Structures, Installation features (bridges, signage, fencing etc)</td>
<td>Visual and noise intrusion on setting</td>
<td></td>
</tr>
<tr>
<td>Installation of lighting scheme</td>
<td>Visual and noise intrusion on setting</td>
<td>Improved lighting systems can impact less on night time scene</td>
</tr>
<tr>
<td>Road alignment</td>
<td>Repairs to, or alteration of historic building</td>
<td>Re-establishment of historic setting</td>
</tr>
<tr>
<td><strong>OPERATIONAL</strong></td>
<td></td>
<td></td>
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<tr>
<td>Planting</td>
<td>Visual and noise intrusion on setting</td>
<td>Re-establishment of historic setting Screening of intrusive elements</td>
</tr>
<tr>
<td>Traffic movement</td>
<td>Visual and noise intrusion on setting</td>
<td></td>
</tr>
<tr>
<td>Maintenance</td>
<td>Repairs to, or alteration of historic building</td>
<td></td>
</tr>
<tr>
<td><strong>OTHER ENVIRONMENTAL MITIGATION</strong></td>
<td></td>
<td></td>
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<tr>
<td>Topsoil stripping</td>
<td>Damage to setting</td>
<td></td>
</tr>
<tr>
<td>Screen planting</td>
<td>visual and noise intrusion on setting</td>
<td>Re-establishment of setting screening of intrusive elements</td>
</tr>
<tr>
<td>Noise reduction panelling</td>
<td>visual and noise intrusion on setting</td>
<td></td>
</tr>
</tbody>
</table>
| Noise reduction glazing | visual and noise intrusion on setting | 9  www.highways.gov.uk
The effect on the overall heritage resource, individual, built heritage, groups, and cultural landscapes needs to be assessed. In general, if the effects on all heritage resources were adverse the overall impact would be the highest impact. Conversely, if the effects were all beneficial, the average level of benefit would be selected, rather than the greatest, as assessments should be conservative. Below is the guidance from the UK Highways Agency on definitions of impacts and their significance.

<table>
<thead>
<tr>
<th>VALUE</th>
<th>Neutral</th>
<th>Slight</th>
<th>Moderate/ Slight</th>
<th>Moderate/ Large</th>
<th>Large/ Very large</th>
<th>Very large</th>
</tr>
</thead>
<tbody>
<tr>
<td>VERY HIGH</td>
<td></td>
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<tr>
<td>HIGH</td>
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<td>MEDIUM</td>
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<tr>
<td>LOW</td>
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<tr>
<td>NEGLIGIBLE</td>
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</tbody>
</table>

10. MITIGATING AND MANAGING THE EFFECTS

The intention of mitigation is to avoid or minimise the negative impacts of a project on built heritage and heritage landscapes from the baseline position. The baseline should take account of what would likely to have happened anyway if the project was not envisaged. The mitigation should commensurate with the value of the heritage resource and be designed to each individual circumstance.

The proposed general and site specific measures should be identified and discussed as follows:

- those needed before the project
- those needed during construction
- any post construction measures, such as interpretation, access measures, awareness building, education, and reconstruction.
The Ontario Ministry of Transport provides the following mitigation options for built heritage.

- **Preserve/retain in-situ**
  - Stewardship and re-use
  - Protection/provision of access
  - Protection of the context of associated cultural heritage landscape
  - Protection during construction
  - Restrict access
  - Reduce noise/vibration
  - Control dust

- **Relocate and adaptive reuse**
  - Stewardship and re-use
  - Documentation
  - Commemoration

- **Document and salvage**
  - Documentation
  - Salvage
  - Commemoration

Denotes preservation/mitigation approach
Appropriate recording should be recommended where demolition or alteration will result and it should be to the highest level possible and commensurate with the building’s significance (refer to NZHPT building recording guidelines which identifies different levels of recording for different levels of impact and significance). Recording levels may also relate to aspects/parts of a place where certain aspects require a higher degree of documentation than others dependent on the hierarchy of significances found associated with a place. Recording will also include accurate measured drawings, photography to archival standards and significance assessment documentation.

The setting of built heritage should be considered with any mitigation. Improvements to the setting may include improved access, enhancing views to or from the structure and the removal of intrusive elements.

Engagement with stakeholders and the community can also help identify appropriate mitigation for effects on built heritage. The Transport Agency encourages mitigation which would bring benefits to the community and increase public awareness and appreciation of built heritage. This may include physical improvements, restoration, public access provision, covenants, etc.

11. Monitoring

Any identified mitigation measures may be need to be monitored to ensure they are carried out and also to check the accuracy of predicted outcomes and to change measures where these could be made more effective. This is especially needed where there is the possibility of indirect impacts.

12. Bibliography

13. Appendices

Appendices should include any detailed data and information to support the assessment.
FURTHER INFORMATION
Please go to the NZ Transport Agency’s website at www.nzta.govt.nz

OUR CONTACT DETAILS
Karolyn Buhring
Environmental Specialist Culture and Heritage
Highways and Network Operations – Professional Services
09 928 8734
021 220 7824
karolyn.buhring@nzta.govt.nz