# APPENDIX 4:

# IZIKO/ASWP-RSA-1 SITE (*SAO JOSE*) ARCHAEOLOGICAL RESEARCH PLAN (2013-16)

# clifton datums3.jpgIntroduction

This appendix provides a summarized three year excavation plan for the suspected site of the wreckage of the *Sao Jose* (hereafter referred to as “IZIKO/ASWP-RSA-1”) to be pursued in the context of a proposed collaboration between the IZIKO-Museums of South Africa and The Smithsonian Institution’s National Museum of African American History and Culture, within the broader framework of their partnership in the African Slave Wrecks Project and with the support of the other partnering institutions.

The *Sao Jose* wrecked near the Cape of Good Hope in South Africa in 1792 while carrying over 500 slaves from Mozambique in East Africa destined to Brazil. While East Africa eventually became a very significant source of slaves for Brazil beginning early in the 19th century, the *Sao Jose* represents one of the earliest of the voyages that eventually led to the shift that brought East Africa into the Trans-Atlantic slave trade to an unprecedented degree. The *Sao Jose* was a relatively early effort (albeit a failed one) in this seismic historical shift to East African sources that would significantly expand and prolong the Atlantic slave trade. While negligible numbers of east Africans were shipped to the Americas prior to the 19th century, over 400,000 are estimated to have made that journey between 1800 and 1865. [[1]](#endnote-1)

This plan is designed to maximize the possible archaeological returns on a technically challenging site within a delimited time period of three years, through the use of archaeological best practices. Particular emphasis is placed on producing inroads in the first season that will allow for fuller site delimitation, documentation of site features, and the removal and conservation of select artefacts – in order to support SI-NMAAHC and IZIKO’s collaborative efforts at mounting public exhibitions in a timely way.

While this proposal describes a three year work plan, the technical challenges and highly limited temporal work windows imposed by weather conditions on this site (see below) make it possible that even if significant progress is made, the site will not be completely documented within three years. Following best practices in maritime archaeology this plan outlines a selective rather than comprehensive approach to excavation and artefact conservation. Even so, given the limited current knowledge about the site’s full extent, its specific artefact content, or the condition of those artefacts, this plan is by definition incomplete and will require annual updating informed by what is found in the course of ongoing work. Only that work on the site itself will allow for a determination of the exact extent of excavation and artefact conservation may ultimately be both desirable (in order to answer historical questions and provide public access to tangible heritage) and necessary (in order to protect the archaeological heritage that is discovered). Accordingly this plan incorporates an annual re-evaluation process and presumes a good faith effort to address contingencies and new discoveries as these emerge in the course of research.

**Conditioning Factors**

This archaeological documentation plan is designed to address the considerable technical challenges that constrain work on the IZIKO/ASWP-1 site. The primary technical challenges that must be addressed are the following:

First, the relative shallowness (less than 8 meters) of the site places it within a surge zone during low tides (and even high tides in certain seasons). Surge zones are amongst the most difficult in which to conduct archaeological work underwater because they constantly destabilize divers and equipment. These difficulties are often significantly compounded by a second characteristic of this site: its site’s south-easterly exposure. This exposure makes the site extremely vulnerable to even slightly adverse weather in an area that is well known for unpredictable winds and rapid shifts in weather (which are the reason the Cape is such an infamous “ship trap”). Certain conditions (tidal, wind, weather) thus have to converge in order to allow for safe and effective work on the site. Generally, such a convergence is most likely to occur during the late November through early March time period. Yet even during this “optimal seasonal window” such convergences can still be the exception rather than the rule—as we have discovered throughout the course of two seasons of pilot work (February-March 2012; and January-February 2013) on the site. During both of these pilot efforts unseasonably turbulent weather allowed our teams to utilize under 20% of our potential operational days.

A third constraining factor is that the site is within swimming distance of one of the busiest tourist beaches in the Cape. Tourists flock to the Cape during the 6 week summer school holiday season (roughly mid-December through the third week of January). From both a site security and a public safety perspective this prevents work on the site during that time period.

A fourth challenge specific to this site is its immense sand overburden. Although we have noticed some variance in the depth of that overburden from year to year it has never been less than 5 feet and has ranged as high as double that. The documentation of the artefacts beneath an overburden that must be removed in a particularly high energy environment (producing a tendency to backfill almost immediately) poses specific technical challenges and adaptations in both excavation approaches and documentation procedure.

Our collaborative experience conducting research on this specific site suggests that the following measures are essential in order to address the aforementioned challenges in a manner that maximizes potential research returns over the projected three year project period:

1. Full excavation teams must remain on standby in order to respond at a moment’s notice throughout the the predictable seasonal windows and the likely “shoulder” seasons (November 1-December 15; January15-March 30).
2. A smaller team should remain available to respond at moment’s notice to any unseasonable opportunities that present themselves to do work on the site. Permissable weather conditions have been known to arise outside of the predictable seasonal windows (as per above).
3. All teams must be able to rely on equipment that is solely dedicated to (or else unambiguously prioritized for) the purposes of this project. Thus, in the past we have confronted difficulties that have arisen from the inability to secure equipment on short notice because it had been already been previously scheduled for other commitments.
4. A certain degree of equipment redundancy is critical in order to ensure that opportunity windows are never lost to inadvertent equipment failures.
5. The team must include dedicated support staff that can focus on logistical and equipment issues in order to free the core archaeological team so that it can focus solely on the archaeological work.
6. Provisions must be made to ensure that the local lead Archaeologist can prioritize and maximize field work on this project when temporal windows permit such work. Such provisions may involve personnel support that can attend to the other important institutional matters when these threaten to compete for investigator attention during work window opportunities.
7. While the bulk of the archaeological team must be local, continued technical support and investigative collaboration from the ASWP partner institutions is likely to play a vital role in expediting archaeological work on this site and its overall analysis. Key technical support is likely to include:

- use of survey equipment (magnetometer, underwater metal detectors and expertise to assist in the full delimitation of the site’s parameters).

- archaeological divers and specialized documentation (especially photographic) support during the most probable seasonal windows.

-continuation of ongoing international archival search (in Brazil, Mozambique, Portugal, Angola, Netherlands, UK) for background documents related to this event and to the social, economic, and political context that informed this practice.

8. It will be vital to maintain a local conservation expert—with specific specialization in submerged artefact conservation—on retainer in order to provide immediate assessments and to supervise first-line field and laboratory based artefact conservation efforts.

9. This initial plan includes provisions for expert consultation on the specific technical approaches to the treatment of any human remains that may be located in the course of work on the site. This includes an initial consultation that will review and make recommendations about our provisional plan to relocate and rebury any human remains in a protected underwater location adjacent to the immediate site following appropriate documentation and an appropriate (see below).

10. It is essential that the field research be carried out hand in hand with a thoughtful public engagement process that provides meaningful participation for several different stakeholder communities. The sensitivity of the site’s subject matter, the solemnity of the history it embodies, and the likelihood that human remains will be located in the course of archaeological research all dictate such engagement as both an ethical and practical imperative. These include local public stakeholders who have expressed concern concerning the archaeology of slave graveyards. This process must also seek to ascertain through research whether specific local communities (e.g. the self-termed “Mazambicas”)who claim ancestral ties to slaves brought from East Africa have ties to this wreck. These local community engagement initiatives will be a primary responsibility for IZIKO. However, it will also be important to engage with stakeholders further afield—for which IZIKO will partner with the ASWP. These include the communities of origin of the slaves on this vessel, which we know to be Mozambican, and hope through additional archival research to identify even more specific provenience. We will seek to simultaneously meet the capacity-building approach that has animated this project from the outset by providing training opportunities for Mozambican national archaeologists (already partnering with ASWP). Finally we will continue to engage with the broader African diasporan community from across the Atlantic through the continued involvement of Diving With a Purpose divers from the African American community in the United States, and through other ASWP-mediated capacity building and outreach efforts with archaeologists from Brazil and Cuba.

**Field Research Objectives and Methodology**

The pilot fieldwork that has been carried out to date on the IZIKO/ASWP-RSA-1 site in conjunction with a review of old permit requests for this site has provided strong circumstantial evidence that this is in all likelihood the site of the 1794 wrecking of the slaving vessel the Sao Jose.

It has also provided tantalizing evidence that despite the high energy characteristics of the site it contains important archaeological artefacts, most notably inclusive of iron ballast and multiple canons. Partial temporary removal of the sand overburden in pinpoint locations has also located timbers (although their definitive association with the wreck has yet to be definitively ascertained) as well as evidence of concretions that are likely to contain artifacts that will only be able to be identified through x-ray and conservation work in a laboratory setting.

The overall objectives of the field research over the projected three year intensive field research period include:

1. Identifying the full extent and exact boundaries of the wrecking field. This will require additional magnetometer and handheld underwater metal detector surveying, followed by the temporary removal of sand overbudern and archeological documentation of any features or artefacts found using direct measurement and photography in all cases in which magnetic anomalies are located. This survey will be conducted in two phases (one in year one and a second in year two) to systematically expand out from the current known core of the site (in year one); and similarly from the boundaries established in year one in year two. We will also follow any wrecking field paths identified in the course of these surveys.
2. Minimally destructive excavation and comprehensive archaeological documentation in situ of the currently known core areas of the site and eventually, of any other areas identified through the survey work as equally vital and potentially archaeologically informative and artifact rich. The first core areas for initial archaeological investigation will be two sections (indicated in red rectangles in the accompanying site plan). One of these sections is a trench surrounding an isolated gun that was found at the end of 2012. During that investigation a large number of copper fastenings were exposed indicating the likelihood that there may be either the remains of ship structure or maybe what is left of the gun carriage. The second section to be investigated (also indicated by a red rectangle) is the area surrounding the iron ballast. The very limited excavation possible undertaken atthe beginning of 2013 indicated the likely existence of many more archaeological features in the vicinity of this ballast. The first field season will hone in on these two areas in particular. This excavation will systematically document in situ all the archaeological remains within these core areas using standard archaeological techniques (direct measurement, photographic documentation) in order to produce a standard overall site map. Given the technical challenges posed by the high energy environment that quickly replaces the sand overburden subsequent to its removal, we will not aim to permanently remove the entire sand burden. The map in conjunction with the standard archaeological documentation of all located features will provide a full picture of what these core areas contain. This map will provides us with the coordinates that allow any feature to be immediately relocated if targeted for additional investigation in situ or alternatively for removal and study and conservation in the laboratory. This temporary excavation procedure will protect the findings in situ while ensuring we have a knowledge of the primary contents of the site.
3. To identify a select sample of those artefacts that are potentially diagnostic, exceptionally threatened, or otherwise culturally highly significant for removal and additional analysis and conservation in the laboratory setting. In the first year this will include at very minimum one canon and several pieces of iron ballast. It is also likely to include several concretions that can be x-rayed as well as sample of wood that can be subjected to destructive analysis. particular attention will also be paid to any diagnostic artefacts or features that can speak to the ships identity (for example ceramics that can help date the vessel; or features that speak to its construction, cargo, and/or mission).

Additional areas beyond those of the currently identified site core may be subjected to excavation and select artifact removal based on the findings of the aforementioned survey work – specifically as it produces a more robust picture of the parameters and archaeological content of the wrecking field.

As per standard archaeological best practices yearly interim reports detailing all archaeological (and archival) findings and proposing modifications in the research design will be produced at the end of each field season in a timely enough fashion so as to allow for specific research design adjustments to be incorporated into plans in the immediately subsequent season (target date: end of June following each season’s projected completion in March and prior to the subsequent seasons projected start in November).

**Research Responsibilities, Roles, and Organization**

This three year project will build upon and extend the ASWP research collaboration that has led to the identification of this site and that underwrites this proposed partnership. The research team will be led by IZIKO’s historical and maritime archaeologist (Jaco Boshoff) who will serve as the project’s lead archaeologist and PI, in conjunction with and supported by the ASWP Coordinator and Research Director and SI-NMAAHC Associate (Stephen Lubkemann) who will act as the primary co-PI. An additional strategic research consultation team will be comprised of leads appointed by the other ASWP partner institutions to serve as an advisory group that can support, advise, and provide critical substantive and practical input to the PI and co-PI.

# Suggested Time Line forAnnual Field Seasons\*

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| ACTIVITY | October | November | December | January | February |  |
| Planning | 1 to 31 Oct… |  |  |  |  |  |
| Site Setup Dives |  15 to 31 Oct |  |  |  |  |  |
| Annual First Fieldwork Session |  | 1 Nov to 13 Dec……………………… |  |  |  |
| Holiday Season Interval |  |  |  13 Dec to 14 Jan………...... |  |  |
| Annual Second Fieldwork Session |  |  |  |  16 Jan to 28 Feb………………………… |  |
| Conservation | **.CONTINUOUS .** | **. ..** |
| Public / StakeholderEngagement |  |  |

*\*An estimated 109 potential work days per season dependant on weather.*

**Appendix 3: Project Budget**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Item** | **Notes** | **Y 1** **(Oct 13-Sept 14)** | **Y2** **(Oct 14-Sept 15)** | **Y3 (8 months)** **(Oct 15-May 16)** |  |
|  |  |  |  |  |  |
| **PERSONNEL** |  |  |  |  |  **SAR 1,570,000** |
| Lead Archaeologist(Boshoff) | Estimated 33% annual time | Contributed by IZIKO | Contributed by IZIKO | Contributed by IZIKO |  |
| Logistics & Safety Coordinator | Skipper/Dive Safety Officer/ Equipment Maintenance EngineerWhen not active on Sao Jose will support general archaeological activity of IZIKO prioritizing what pertains to slave wrecks project (e.g. Meermin, La Cybelle research) | 150 000 | 150 000 | 100 000 |  |
| Logistics intern | RSA University student or recent grad | 60 000 |  60 000 |  40 000 |  |
| IZIKO Archaeological Diver | When not active on Sao Jose will support general archaeological activity of IZIKO prioritizing related research (e.g. Meermin, La Cybelle) | 150 000 | 150 000 | 100 000 |  |
| Archaeological Intern | RSA University student or recent grad | 72600 | 72600 | 48 400 |  |
| Assistant for Project Admin and Local Public Outreach and Non-Archeological Research  | Duties:Project Administration, Stakeholder Outreach Conduct/Coordinate Local Archival Research; Other as required support to lead archaeologist | 150 000 | 150 000 | 150 000 (through Sept 16) |  |
| ASWP PI/ Research Director Support (Lubkemann) | Estimated 15% annual time | Contributed by ASWP partners | Contributed by ASWP partners | Contributed by ASWP partners |  |
| Seasonal Int’l Archaeological Support Dive Team –salaries/time | 2 teams of 2 (NPS, DWP, GW)One team in each seasonal session. | Contributed by ASWP partners | Cintributed by ASWP partners | Contributed by ASWP partners |  |
| Travel, fare, lodging, local transporation expenses | Estim.: USD 10,000 per team | (USD 20,000)- In order to facilitate the administration of funding ASWP plans to cost this support separately in its core budget –see in Annex | (USD 20,000)- In order to facilitate the administration of funding ASWP plans to cost this support separately in its core budget –see in Annex | (USD 20,000)- In order to facilitate the administration of funding ASWP plans to cost this support separately in its core budget –see in Annex | (60,000 USD See Annex ASWPSJ-1)  |
|  |  |  |  |  |  |
| **EQUIPMENT** (inclusive of maintenance and fieldwork consumables) |  |  |  |  |  **SAR 782,000** |
| IZIKO primary Boat  | Boat provided by IZIKO. Y-1 involves basic repairs, licensing | 200 000 |  |  |  |
| Secondary boat/dredge platform | A secondary boat that can be brought in tow, will be used as a platform for the second dredge used on the core site. It will use the old primary IZIKO boat motors (once serviced)  | 70,000 |  |  |  |
| Tow vehicle |  | Supplied by IZIKO | Supplied by IZIKO | Supplied by IZIKO |  |
| Boat and engine maintenance |  | 20,000 | 20, 000 | 20 000 |  |
| Second Dredge/Pump system | The first Dredge pump system supplied by IZIKO | 40,000 |  |  |  |
| Annual Dredge/Pump maintenance |  | 5,000 | 5,000 | 5,000 |  |
| Archaeological equipment/ consumables (flag pins,tape measures, lift bags, mylar) |  | 20,000 | 5,000 | 5,000 |  |
| 2 GoPro cameras and servicing |  | 10000 | 1,000 | 1,000 |  |
| Fuel for boat and dredge (1000/day x estim 75 likely operational field days) |  | 75,000 | 75,000 | 75,000 |  |
| DIVE EQUIPMENT Including:  20 dive cylinders Backup compressor(Diver equipment (Bc’s, regs,8mm suits- team of 4) | IZIKO will supply 10 additional dive cylindersIZIKO will supply the first compressorIZIKO/ASWP will supply comparable equipment | 70,000 | 10,000 | 10,000 |  |
| Annual dive equipment maintenance |  | 15,000 | 15,000 | 15,000 |  |
|  |  |  |  |  |  |
| **CONSERVATION** |  |  |  |  | **SAR 1,220,000**  |
| Conservator (on Retainer) | 600 hours per year  | 240,000 | 240,000 | 240,000 |  |
| Conservation estimate | Year 1 involves an itemized real cost estimate for the conservation of canon and iron ballast; plus a 50% premium for likely conservation of up to three additional select concretions/artefactsYear 2 and 3 replicate Year 1 estimates on the theory that comparable selective conservation will be required  | 150,000 | 150,000 | 150,000 |  |
| Human remains consultation | Assigned to year 1-to be conducted possibly in conjunction with first conference (see below) | 50,000 |  |  |  |
|  |  |  |  |  |  |
| **FIELD SUPPORT SERVICES** |  |  |  |  |  **SAR 500,000** |
| Magnetometer | To be provided by ASWP partners SAHRA and NPS | USD9229 (JW Fisher Divermag1) Excluding customs and excise |  |  |  |
| Underwater Metal detectors (2) | IZIKO will provide 1ASWP partner NPS will provide a second one |  |  |  |  |
| Survey/backup boat support | Another boat will be needed for survey in season 1 and 2 as well as to serve as dedicated backup for the IZIKO boat.  | 70 000 | 60 000 | 40 000 |  |
| (Local) Archaeological diver support (Seasonal) | Additional local diver support required for survey and select activities  | 50 000 | 50 000 | 50 000 |  |
| Survey/Backup dredge support | A third dredge will be used to uncover anomalies id’d through surveys and as backup to the two primaries ones  | 20,000 | 20,000 | 20,000 |  |
| Specialised salvage vesselAnd land transport | A larger craft will be required to lift heavy objects (e.g canon) | 20,000 | 20,000 | 20,000 |  |
| Laboratory fees for external specialized analysis and materials processing |  | 20,000 | 20,000 | 20,000 |  |
|  |  |  |  |  |  |
| **ARCHIVAL RESEARCH** |  |  |  |  | **SAR 110,000** |
| South Africa-Archival Research | This will be conducted primarily by the Assistant for Project Admin and Local research (see personnel above). The additional funds are to support student assistants and any specialized consultations required  | 20,000 | 20,000 |  |  |
| Netherlands-Archival Research and translations |  | 70,000 |  |  |  |
| Mozambican Archival Research | Task under coordination and direct budget of ASWP | Covered by current ASWP budget |  |  |  |
| Portuguese Archival Research | Task under coordination and direct budget of ASWP | Covered by current ASWP budget |  |  |  |
| Brazilian Archival Research | Task under coordination and ASWP direct budget  | Covered by current ASWP budget |  |  |  |
|  |  |  |  |  |  |
| **STAKEHOLDER OUTREACH** |  |  |  |  |  **SAR 120,000** |
| Ethnographic and historical research on local communities w/ potential ancestral ties to Sao Jose slaves (the “Mazambicas”) |  | 60,000 |  |  |  |
| Ethnographic and historical research on Mozambican communities with potential ancestral ties to S Jose slaves | Task under coordination and direct budget of ASWP | (USD 10,000)- to facilitate admin item costed separately in ASWP core budget –see Annex ASWP SJ-1 |  |  | (10,000 USD See Annex ASWPSJ-1 Budget)  |
| DWP South Africa Chapter Creation initiative | Task under coordination and direct budget of ASWP |  |  | (USD 15,000)- item costed separately in ASWP core budget –see Annex ASWP SJ-1 | (15,000 USD See Annex ASWPSJ-1)  |
| Local Community consultations in Capetown |  | 20,000 | 20,000 | 20,000 |  |
| Support for Mozambican archaeologist training and participation in fieldwork | Task under coordination and direct budget of ASWP | (USD 4,000)- In order to facilitate the administration of funding ASWP plans to cost this support separately in its core budget –see in Annex ASWP SJ-1 | (USD 4,000)- In order to facilitate the administration of funding ASWP plans to cost this support separately in its core budget –see in Annex ASWP SJ-1 | (USD 4,000)- In order to facilitate the administration of funding ASWP plans to cost this support separately in its core budget –see in Annex ASWP SJ-1 | (12,000 USD See Annex ASWP SJ-1)  |
| **INSTITUTIONAL COLLABORATION/ CAPACITY BLDG.** |  |  |  |  | **SAR 560,000** |
| Mutual participation of NMAAHC and IZIKO staff in preparation of Sao Jose/ Slave Trade related exhibits  | inclusive of exhibit at IZIKO simultaneous to one at SI-NMAAHC over period of artefact loan- per MOU) |  | 110,000 |  |  |
| Joint SI /IZIKO workshops | The Following are possible but not finalized topics for yearly collaborative capacity building and scholarly research workshops that include US, S.African, African, and diasporan participants | Technical & Ethical Considerations in Archaeology and Conservation involving Human RemainsTravel/Lodging:150,000Venue provided by IZIKO | Innovations in the Public Interpretation of the Slave Trade-Perspectives from Two Sides of the Atlantic Travel/Lodging:150,000Venue provided by IZIKO | African/Diasporan Mariners and Maritime Heritage: Historically Non-Existent or Neglected by History?Travel/Lodging:150,000Venue: provided by IZIKO |  |
|  |  |  |  |  |  |
| **Yrly IZIKO Sub-Totals:** |  | **Y1: SAR** | **Y1: SAR** | **Y1:SAR** |  |
| **Total 1: IZIKO Costs:** |  |  |  |  | **SAR 4,932,000 (USD 450,000)** |
| **Total 2:** **ASWP Budget Costs** | See Annex ASWP SJ-1 |  |  |  | **(USD 97,000)****(SAR 1,000,000)** |
| **(3 YEAR) PROJECT GRAND TOTAL** |  |  |  |  **USD 547,000** **(=)SAR 5,932,000** |
|  |
|  **BUDGET NOTES :**NOTE 1: This budget does NOT include the following foreseeably likely expenses:1. production costs for any film documentaries of the project process2. costs for the international transportation of any artefacts or their ongoing curation at SI-NMAAHC3. Scholarly dissemination or other forms of collaborative public dissemination (e.g. books, conference presentations etc)4. costs for any major public or memorial events beyond the specified workshops5. Any overhead that may be required as a result of subcontracting arrangements (e.g. via ASWP)NOTE 2:: Items highlighted in blue are totalled separately in the ASWP core budget. These will be administered directly by ASWP and all involve activities in which ASWP is already involved and/or has a comparative administrative advantge. They are noted here (and itemized/described in Sub-Annex ASWP SJ-1) b/c the research design presumes these items. Costs therein should be counted as part of overall projected costs. NOTE 3: This budget is estimated in South African currency (with USD totals provided in the sub-totals and grand totals lines based on exchange rates as of July 20, 2013. As of that date the Rand (SAR). Current Exchange rates place the South African Rand at SAR 9.73 = 1 USD. This rate could fluctuate affecting the dollars required to meet this budget. The Average Rand to USD Exchange Rate over the last three years (2011,12,13) was SAR 8.6=1 USD with a low of SAR 7.6=1 and the high being the current rate quoted above. |  |

**Sub-Annexes:**

Year 1 Canon and Iron Ballast Conservation Estimate

Human Remains Protocol

?? Ethnographic Reference TOR (Mazambicas/Mozambique)

??Technical assistance in kind (description/value) to e be provided that can be expected from ASWP

1. Klein,208-209. [↑](#endnote-ref-1)