

# **Standard and guidance for archaeological advice by historic environment services**

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## STANDARD

### The Standard

Archaeological advice on the historic environment must aim to benefit the public both now and in the future, through management and the advancement of understanding. It will contribute to the achievement of sustainable development and the realisation of social, environmental or economic benefits.

Advice must be clear, consistent, compliant, reasonable, timely, informed and impartial, and should be proportionate to a reasoned and clearly-documented assessment of known or potential significance.

Advice must be provided by suitably qualified, skilled and competent advisors and based on an up-to-date and publicly-accessible information base maintained to nationally-agreed standards.

### Purpose and scope of the Standard and guidance

Archaeological advice is expert advice on the application of archaeological knowledge and techniques to enhance the understanding of the historic environment. Understanding and heritage management are interdependent, and must be supported by up-to-date information, so guidance on archaeological advice necessarily covers guidance on the management of the archaeological resource and on the provision of historic environment information.

This Standard and guidance applies to historic environment services acting on behalf of bodies with a regulatory function. It covers *primarily* advice on the undesignated terrestrial and marine historic environment, though the principles apply equally to the designated historic environment. It applies *primarily* to advice provided to or on behalf of a local authority, national park, charitable trust or other not-for-profit public body, but the principles also apply to advice provided by a national organisation or a commercial consultant.

Advisors are required to provide advice in accordance with national legislation, policy and guidance and, where applicable, local agreements. This document sets out professional obligations for the delivery of that advice.

The key section of this document is the Standard. It defines the desired outcome; it is only a few lines long and deliberately lacks detail. In part this is because it is impossible to foresee every circumstance in which archaeological advice may be provided. Nor does the Chartered Institute for Archaeologists (CIfA) seek to dictate to its members in detail the means by which advice may be provided but to outline procedures by which outcomes or products can be attained, and against which performance can be measured. The advisor is left free to make a considered selection of appropriate techniques and to develop new approaches.

Where advice has failed to enhance information on, or management and understanding of, the historic environment because of the way in which it was provided, the Standard has not

been met. It is 'sub-standard' advice. The caveat is *as far as is reasonably possible*, because there may be good reasons why sound advice did not achieve the desired outcome.

Defining 'reasonably possible' relies on shared professional judgment and values. This is where the guidance comes in. The guidance is not binding *per se*, but seeks to define current good practice in the provision of archaeological advice by historic environment services, in line with the regulations of ClfA, in particular the *Code of conduct*. It is phrased in terms of 'must', 'should' and 'may'. To ensure attainment of the Standard and adherence to the *Code of conduct* it will almost always be necessary to comply with a 'must' clause. Departures from 'should' clauses require caution, and it is advisable to document the reasons. 'May' clauses reflect that advisors' roles vary. The guidance seeks to expand and explain general definitions in the *Codes*, and stands beneath the high-level framework provided by the ClfA/ALGAO Standard and guidance for stewardship of the historic environment.

This document contains more detailed guidance on the legal, policy and practice requirements of the United Kingdom, and complements government or professional guidance; but it applies to ClfA members' work universally and would benefit from additional sections from those able to draft them. Advisors are likely to produce their own yet more detailed handbooks and procedural documents on how they interpret and implement ClfA guidance.

The Standard and guidance applies equally to paid or unpaid archaeologists. For ClfA members and Registered Organisations, compliance with the Standard is an obligation of membership or registration: failure to meet the Standard may be judged to be in conflict with the regulations through the Institute's professional conduct procedures. ClfA members are expected to follow the principles set out in the guidance wherever they work and in whatever capacity, as well as complying with national and local requirements.

Professional practice is changing. New methods are being developed, and the circumstances in which archaeological advice is provided are subject to changing legal, administrative and ideological perspectives. Comments and recommendations on this document are welcome at any time.

## **GUIDANCE**

### **The aims of archaeological advice by historic environment services**

- 1.1 The aims of archaeological advice on the historic environment are to benefit the public both now and in the future through management, the advancement of understanding, contributing to the achievement of sustainable development and the realisation of social, economic or environmental benefits.
- 1.2 The advancement of understanding is achieved through community engagement, research, the furtherance and dissemination of knowledge, and the creation and maintenance of accessible Historic Environment Records and archaeological archives.
- 1.3 Sustainable development of the historic environment is achieved through managing change to heritage assets and historic landscapes in a way that as far as possible sustains or enhances their significance and that of their setting.

- 1.4 The historic environment can provide social, economic or environmental benefits. These include promoting local distinctiveness, pride and a sense of place, stimulating inward investment and regeneration, and promoting wellbeing through encouraging physical activity, participation and volunteering, and providing leisure and learning opportunities. Some examples are given in the online Good Practice Guide.

### **The governing principles of archaeological advice by historic environment services**

- 1.5 Some aspects of custom and practice may vary from one historic environment service to another, and according to individual circumstances. However, the principles governing the provision of archaeological advice by historic environment services should be the same: it should be clear, consistent, compliant, reasonable, timely, informed, impartial and proportionate.
- 1.6 **Clear:** Advice should be unambiguous. Where uncertainty exists over the nature or significance of a heritage asset or historic landscape, this should be clearly stated and the degree of uncertainty indicated.
- 1.7 **Consistent:** While each case will be unique, the approach to providing advice should be consistent. Critical areas include pre-application and pre-determination information requirements, proposed sampling strategies and post-determination provision. The approach to cross-boundary archaeological work should also as far as possible be consistent. Where an inconsistent approach might appear to exist, such as apparently conflicting advice on neighbouring or cross-boundary heritage assets, the reason for this should be justified. A lack of resources should not in itself be a justification for an inconsistent approach.
- 1.8 **Compliant:** Archaeological advice should comply with prevailing national legislation, policy, guidance and performance indicators and agreements, and the local contractual agreements and legal obligations of the employing body. CIfA members must observe the regulations and Code of conduct of CIfA.
- 1.9 **Reasonable:** Advice should be fair, reasonable, practicable and enforceable, and in accordance with national planning guidance.
- 1.10 **Timely:** Responses to requests for advice should be provided in accordance with publicly-available service standards.
- 1.11 **Informed:** Advice should be based on full and up-to-date information held in the Historic Environment Record (HER), and on an understanding of any local, regional and national research frameworks and agendas. Where the HER is not up-to-date, any limitations in period, scope or currency should be made clear to both users and the host authority.
- 1.12 **Impartial:** Advice should be independent of any contractual or other potentially conflicting interest. Where advice is provided by an organisation with contractual interests, this should be made clear to the user, and formal protocols or codes of practice put in place to prevent any conflicts of interest. Recommendations to commission a particular practitioner should be clearly justified and publicly available.
- 1.13 **Proportionate:** Advice should be in proportion to the significance of the heritage asset or historic landscape, and the scale and nature of any proposed changes to it.

### **The role of the advisor**

- 1.14 The core role of advisors is to provide expert archaeological advice based on an up-to-date information base. The scope and range of other activities they may undertake will vary according to local political and management priorities, the nature of the local historic environment and the pressures upon it, and the capacity and resources available to manage it.
- 1.15 Advisors may be based in local authorities, national bodies, charitable trusts, national parks, other public bodies or private sector businesses. Local authority advisors may serve more than one local authority, through recharging, service level agreements or memoranda of understanding, to provide services to those constituent or neighbouring authorities without in-house specialist expertise.
- 1.16 Advisors should work in close partnership with other historic environment professionals, such as conservation officers, either as part of an integrated team, through formal liaison groups such as conservation forums, or through regular informal contact.
- 1.17 Advisors should act as advocates for the value of the historic environment, as well as for the contribution that archaeology makes to it. They should work closely with other advocates including, where they exist, Heritage Champions.
- 1.18 Advisors should engage with stakeholders, including public and private sector professional organisations, museums and archives professionals, natural environment services, academics, landowners and community groups.
- 1.19 Advisors should where possible promote outreach and learning, provide advice and support to the voluntary sector, and encourage community engagement in the planning process.
- 1.20 Advisors should where possible contribute to local, regional and national research frameworks, provide learning opportunities and promote access to, and interpretation of, local heritage assets and historic landscapes.
- 1.21 Advisors may add value to their core role through partnership funding from external sources such as national heritage and environmental agencies, the Heritage Lottery Fund and the European Union. Some examples are given in the online Good Practice Guide.
- 1.22 Where necessary, advisors should have a formal protocol or code of practice to prevent any real or perceived conflict of interest between their advisory and any contractual roles.

## Information management

- 1.23 Informed advice depends upon access to up-to-date historic environment information. This may be provided from a wide variety of sources, primarily Historic Environment Records (HERs), but also including the collections of the Royal Commissions, the National Monuments Record, national and local museums, archives and libraries, and local, regional and national research frameworks. More specialised or thematic datasets, such as those of the Portable Antiquities Scheme, Defence of Britain Project, National Mapping Programme, historic landscape and urban characterisation studies, and environmental and archaeological assessments, are also important sources of historic environment information.
- 1.24 Advisors must have access to an HER, which is a publicly-accessible source of information about the local historic environment. There is an almost complete geographical network of HERs covering the UK, though their legislative, guidance and policy context varies.
- 1.25 The UK data standard for historic environment information is provided by MIDAS Heritage on behalf of the Forum on Information Standards in Heritage. Benchmarks for Good Practice in HERs and an online manual have been published, and further good practice guidance in meeting the requirements of heritage protection reform has been issued by English Heritage. Advisors should aim to ensure that HERs meet the MIDAS HER basic compliance profile and the Stage 1 HER Benchmark.
- 1.26 Advisors should seek to ensure that the HER is inclusive of archaeological subjects and periods. However, an HER can never be a definitive record, and the scope of the information it contains will vary according to the area covered, the extent of archaeological research undertaken, and the character of the local historic environment. Use of the term HER implies the inclusion of adequate information on all aspects of the historic environment. Where this is not the case, any limitations in period, topic, scope or currency should be clearly stated in publicly-available guidance or advice notes.
- 1.27 An HER should comprise a digital database linked to a GIS. It should contain supplementary reference material in hard copy and/or digital formats, which may include unpublished 'grey' literature, characterisation studies, aerial photographs, copies of early maps and antiquarian reports and a reference library of secondary sources. It should include evidence of the significance of any heritage asset lost to development. Exceptionally, it may include excavation and fieldwork archives.
- 1.28 An HER should contain information on nationally-designated, locally-designated and undesignated monuments, buildings and finds, registered parks, gardens, designed landscapes and battlefields, conservation areas and archaeological events. It may also contain information on heritage at risk and planning history. An HER should also include, where available, urban surveys, historic area assessments and characterisation studies, conservation area appraisals and management plans, and output from national mapping programmes.
- 1.29 Depending on local circumstances, an HER may also contain information on designated and undesignated marine and maritime assets, world heritage sites and areas of archaeological importance. An HER may also hold information on nature conservation designations, local area designations, local authority heritage assets, relict landscape features, significant fieldnames, and intangible heritage assets of community value, such as folklore and traditional associations.

- 1.30 An HER is a dynamic and constantly-evolving resource, requiring a continuous process of maintenance and enhancement, as new research is undertaken and new information about the historic environment comes to light. It requires appropriately-qualified, dedicated expertise for its upkeep and use by the public, both on-site and online.
- 1.31 An HER does not generally contain primary archives. Where it does so permanently, they must be managed by an appropriate curator in accordance with national standards and guidance.
- 1.32 Advisors who maintain an HER should publish a clear written policy setting out the purpose for which it is maintained, identifying the professional and public user groups that it aims to serve, and specifying its access and charging policy. This policy should include details of the facilities that will be provided for users to access information both on-site and online. On-site access may include work areas and facilities for copying. Where possible, user profiles and customer satisfaction should be monitored, and potential new users identified.
- 1.33 Summary HER data should be available online, in a format suitable for access and re-use. HERs may make data available through data exchange agreements with national and regional agencies concerned with land management or care of the historic environment. Advisors should encourage practitioners to complete an online index record to ensure that both advisors and practitioners are aware of work in progress.
- 1.34 Advisors who maintain an HER should consider which parts of the HER will require digital archiving. Digital files may be deposited with appropriate local archives or with national bodies. An HER must have a disaster plan in place for recovering information, based on a disaster risk assessment. This must include a clear back-up policy, with provision for the off-site storage of copy data.
- 1.35 Advisors should seek formal recognition of the HER by the host authority. This may be achieved through adoption by resolution, service level agreement or memorandum of understanding, or by embedding the HER into a planning constraints or land charges system. Formal recognition should include a commitment by the host authority to meet the appropriate national standards, including the provision of suitably qualified, skilled and competent staff, together with the necessary administrative, IT and technical support.

### **Development planning**

- 1.36 Where consulted on development plans, advisors must ensure that advice adheres to appropriate national policy and guidance. Advisors may also consider preparing supplementary planning guidance for the historic environment within their geographical area.
- 1.37 Advisors may also be consulted on plans and strategies which lie outside the development planning system but which have historic environment implications. These may include management plans and design guides for nationally-designated scenic areas, green infrastructure strategies, battlefield management plans, flood risk alleviation schemes, river catchment management plans, coastal zone and shoreline management plans.



- 1.38 When consulted, advisors may also provide advice on other plans and strategies which affect the historic environment, such as local transport plans and public utility strategies, urban design, regeneration and enhancement strategies, local enterprise partnerships, tourism strategies, and cultural and community planning strategies. They may also contribute to conservation area appraisals and management plans.
- 1.39 Where the opportunity arises, advisors should promote community engagement with the historic environment within the development planning process, by encouraging contribution to local lists of assets and enabling research and investigation of the historic environment as part of the development of neighbourhood and local development plans. Advisors should be proactive in providing town, community and parish councils or neighbourhood forums with information on how to access and use information and advice on the historic environment.
- 1.40 The marine historic environment and maritime heritage assets are governed by UK-wide and national legislation and policy. National advisors are responsible for advice covering the entire historic environment within UK territorial waters, including undesignated sites. Local advisors in coastal areas or in the islands may undertake such work, but should do so with appropriate national level guidance. Advice in relation to the marine historic environment is normally provided at national level but local advisors may also be required to provide information or guidance, particularly when dealing with the spatial overlap between marine and terrestrial planning.

#### **Development management**

- 1.41 Communications
  - 1.41.1 Advisors should encourage informal pre-application discussion as the most effective means of identifying historic environment issues early in the development management process in order to avoid unnecessary delays and to speed up decision making. Any informal advice material to a proposal or planning condition should always be adequately documented to provide a robust audit trail for legal and quality management purposes.
  - 1.41.2 In providing formal advice, advisors should always use the formal channels of communication that exist within the planning process. In some instances advisors will need to take account of additional communication protocols that have been put in place for particular projects for commercial or legal reasons.
  - 1.41.3 Advisors and archaeological practitioners may discuss technical and compliance issues both on and off site. Where this might affect any commercial arrangements between the practitioner and their client, care should be taken not to enter into agreements beyond the authority of the parties involved.
  - 1.41.4 Advisors should ensure that clear communication channels exist between those providing planning advice and those responsible for maintaining the HER. There should also be clear channels of communication between the advisor and planning officers, enforcement officers, conservation officers, and local representatives of national heritage agencies.

**1.41.4** All communications must be adequately documented to provide a robust audit trail for legal and quality management purposes.

**1.42** Screening and appraisal of development proposals

**1.42.1** Advisors should seek to identify at an early stage in the planning process those development proposals with potential implications for the historic environment. Screening forms an essential part of the Environmental Impact Assessment (EIA) process, and may also be undertaken outside the process, through a variety of means.

**1.42.2** Advisors may choose to screen weekly application lists or to identify ‘alert areas’ to trigger consultation by local planners. Alert areas may be a useful tool, but advisors should monitor the use of these areas to ensure that they are not used as a substitute for expert advice, and that they are updated regularly from the HER.

**1.42.3** Screening advice on the potential impact of development proposals on the historic environment should be based on an appraisal of an up-to-date HER and appropriate local and national records by staff with appropriate archaeological expertise.

**1.43** Advising on development proposals affecting the historic environment

**1.43.1** Advice on development proposals affecting the historic environment should be based on submitted documentation and provided in accordance with the guiding principles set out above (Section 4) and with ClfA and nationally-agreed standards. Advisors must ensure that in giving advice they properly understand and take account of the planning/regulatory context of a development and should seek to ensure appropriate liaison with and consent from the regulatory authority.

**1.43.2** In their response to development proposals, advisors should take into consideration their likely impacts on the significance of known or potential heritage assets and their settings, and on the wider historic landscape. Where advice relates to nationally-designated sites or their settings, advisors should ensure early communication with national heritage agencies to seek a consistency of approach.

**1.43.3** National policy expects advisors to weigh the significance and setting of any heritage assets to be affected by proposed development against the degree of harm to their significance that is proposed. Advisors should ensure when providing advice that the ability to investigate and record a heritage asset is not a reason for permitting its damage or destruction.

**1.43.4** Advisors should only make a recommendation in response to a development proposal where the significance of assets affected by the development proposal and the scale of any loss of significance is adequately understood. Where there is insufficient evidence, advisors should recommend that further information be gathered prior to determination of the proposal. Requirements for the gathering of further information should always be focussed on informing decision making.

**1.43.5** Where development proposals are subject to EIA, the advisor should ensure that scoping advice provides a requirement for robust assessment and for any necessary mitigation to be outlined in the resulting Environmental Statement.

**1.43.6** All recommendations should be appropriately recorded by the advisor for future reference. The case history should be clearly documented, to provide a robust audit trail for legal and quality management purposes and to inform future advice, planning appeals or inquiries.

#### 1.44 Briefs and specifications

**1.44.1** Advisors are responsible for advising local planning authorities or other decision-making bodies on the scope and nature of archaeological assessment, field evaluation or investigation to be carried out within the development management process, or when consulted on permitted development.

**1.44.2** Advice on how to manage the issues relating to a particular development may take the form of a brief. A brief may be a simple instruction supported by generic guidance or a more detailed document. The advisor should ensure that the content and format of the documentation and any further communication required from the applicant or their agent is fully defined in the brief.

**1.44.3** In all instances, advisors should seek to ensure that any requirements for archaeological investigation require work to be carried out with clearly stated research aims that take full account of any relevant research frameworks, and by project teams with the necessary research expertise to meet them. Advisors encourage those undertaking archaeological investigation to participate in the review of research frameworks and agendas.

**1.44.4** Advisors should clearly set out the requirements and justification for any sampling strategies or specific methodologies to be employed, based on their own consultation with appropriate specialists as necessary. These should be proportionate to the significance of the heritage asset and any impact on it of the proposed development, as far as this is understood at the time of sampling. Sampling strategies must reflect local, regional and national research frameworks to ensure that information collected contributes to the advancement of understanding, and must be appropriate to the type of asset known or believed to be present.

**1.44.5** The applicant or their agent should provide a written specification in response to the brief, prepared by a competent archaeologist and setting out in detail the proposed scheme of investigation. The suitability of the specification should be judged by the advisor on its ability to produce the required planning and archaeological outcomes, and will provide a benchmark against which the results of the work may be measured. Advisors should require the contents of the specification to conform to the relevant national and CifA standards and guidance.

**1.44.6** Once a specification is approved by the advisor, the brief and specification together provide the scope of work to be carried out. If the scope of work is not delivered in full, the advisor should advise the applicant or their agent or, where appropriate, the local planning authority or other enforcement body, on how to ensure that the work is brought back within scope.

**1.44.7** The advisor should adopt an overarching approach and provide the element of continuity between the different stages of work and between the parties involved, to

ensure that relevant information is shared throughout the investigation process and until the requirements of the brief have been met.

**1.44.8** Advisors should document the process in clear and non-technical language, to ensure that it is fully understood by all parties, including non-specialists.

#### 1.45 The use of planning conditions and legal agreements

**1.45.1** When required to do so, advisors should make recommendations to the local planning authority on the use of planning conditions and legal agreements to secure the investigation, management, understanding or enhancement of heritage assets, and the dissemination of archaeological information gathered during the planning process in accordance with the guiding principles set out above (Section 4).

**1.45.2** Advisors may recommend a staged approach to setting planning conditions if appropriate, ensuring that the number of stages and requirements of each stage are appropriate to the specific case.

**1.45.3** Advisors should seek to ensure that aspects of development-related archaeological work which extend beyond the construction stage of the development, such as community engagement, post-investigation assessment, archiving and publication, are clearly set out in the specification and, if necessary, secured through planning conditions or legal agreements.

**1.45.4** When consulted, advisors should advise the local planning authority in writing whether a condition or any of its component stages may be discharged.

#### **Heritage asset management**

**1.46** Advisors are responsible for advising on the identification and management of the historic environment, including both designated and undesignated heritage assets and historic landscapes. They may provide a local perspective on the designation and management of nationally- and internationally-important heritage assets and their settings.

**1.47** They may advise on the impact of the many forms of land-use and marine change which fall outside the development planning process, and should seek to ensure that management of the historic environment is recognised as an integral part of countryside, urban and marine management.

**1.48** Archaeological advice on the impact of proposed development falling outside the development planning system should apply the same principles as to that falling within it. Such development includes proposed works by statutory undertakers, public utilities, the Crown and defence estates and other forms of permitted development. Where advisors act as diocesan archaeological advisors, they will provide advice on faculty jurisdiction in those places of worship and churchyards exempt from the normal planning controls.

**1.49** Where advisors provide archaeological advice on rural land management, it should be in accordance with any nationally-agreed service standards or consultation procedures. It may include providing advice on agri-environmental stewardship, heritage management

agreements, the planting, management and felling of woodland, the protection of important hedgerows and the impact of energy crop schemes. Advisors may also be able to promote the positive management of archaeological monuments and buried remains on farmland.

- 1.50 Advisors may support or seek funding for research programmes targeted at enhancing the understanding and management of the historic environment. This may include air photography and remote sensing programmes, characterisation studies, historic environment audits, deposit modelling and the assessment of waterlogged and wetland deposits.
- 1.51 Where consulted, advisors may provide advice on the management and disposal of heritage assets. They may also offer advice or identification to finders of archaeological material, either independently or through the relevant national scheme.
- 1.52 Where appropriate, advisors should provide advice on the management and protection of the marine historic environment and both designated and non-designated marine heritage assets within territorial waters. Where providing advice at a local level, advisors should conform to national guidance on management of the marine historic environment.
- 1.53 When providing advice on the management of marine and maritime assets as well as when setting licensing conditions for the protection and investigation of the marine historic environment during development, advisors should observe the *CIfA Standard for nautical archaeological recording*.

#### **Reporting, publication and dissemination**

- 1.54 Advisors should seek to ensure the timely reporting of all archaeological work carried out within and outside the planning process, in a manner proportionate to the significance of the results and in such a way as to ensure maximum public benefit.
- 1.55 Advisors are not responsible for writing, proof-reading, copy-editing, or otherwise delivering reports in fulfilment of a planning requirement. They are, however, responsible for requiring that reports are fit for purpose and for advising applicants when submissions do not meet the agreed specification.
- 1.56 Advisors should also seek to ensure that practitioners have made adequate and appropriate provision for the publication and dissemination of the results of archaeological investigation, using planning conditions or legal agreements if necessary.
- 1.57 Advisors should require the deposition of the reports of archaeological investigations with the relevant HER, and should encourage practitioners to complete a record in the appropriate format to a relevant online index within an agreed timeframe.
- 1.58 Advisors should encourage those producing research frameworks to take account of relevant publications and archives.
- 1.59 Advisors should monitor the rate of publication within their area of responsibility by maintaining and updating a record of unpublished material and of those practitioners responsible for delivering published reports.

### **Archive deposition**

- 1.60 Advisors should seek to ensure that the archives of archaeological investigations are deposited in a suitable repository.
- 1.61 Prior to the start of investigations, advisors should require that those responsible for carrying out the investigations establish contact with suitable repositories willing to accept archaeological archives, or alternatively identify appropriate temporary storage.
- 1.62 Advisors should ensure that the specification for the work makes provision for the deposition of archive material and for the transfer of title, except where title rests with the Crown, in accordance with ClfA and agreed national standards and guidance and using appropriate local and specialist advice.
- 1.63 Archive deposition may be secured through the use of planning conditions or legal agreements. Where archive capacity is an issue, advisors may consider maintaining and updating a record of undeposited archives and those practitioners responsible for depositing them.

### **Public benefit**

- 1.64 Advisors should seek to ensure that archaeological investigation is directed toward providing benefit to the public, whether directly through participation and engagement in the process or indirectly through the increase in knowledge that the results of investigation provide to the local and wider community.
- 1.65 Advisors should encourage collaboration between the local planning authority, the applicant and their agents to promote community engagement and participation in investigation where it is appropriate to do so, and at an appropriate stage of the investigation process.
- 1.66 Community engagement both fosters public understanding and support for the historic environment and adds value to development-led archaeological work. It may include providing talks and presentations, guiding walks, arranging conferences, exhibitions, open days and living history events, providing school project work and learning resources, offering work experience and volunteering opportunities, and supporting community archaeology projects.
- 1.67 The extent of engagement should be proportionate to the scale, nature and circumstances of the work, and may vary from a brief media release at one extreme to a full-scale community project at the other. Health and safety, public liability or commercial confidentiality considerations may dictate the form of engagement that is possible, but in all cases it should be demonstrated that the potential engagement of the community has been fully considered.
- 1.68 Where appropriate to the nature and significance of the results, advisors may be able to promote the use of innovative forms of dissemination which produce wider public benefit than conventional methods of publication. These might include the use of different forms of media, exhibitions or events.

## Managing quality

### 1.69 Monitoring and managing the quality of archaeological work

- 1.69.1** Advisors are responsible for monitoring the quality of development-led archaeological investigation on behalf of the local planning authority. They should ensure that a system for reviewing the quality and the outcomes of development-led investigation is in place before advice on the discharge of planning conditions is given.
- 1.69.2** Advisors should seek to ensure the compliance of all archaeological work with ClfA standards and guidance and the agreed specification, and should monitor the quality of all stages of assessment, investigation and post-investigation work. Monitoring should be at a level proportionate to the significance of the heritage asset and the circumstances of the work. It may be carried out through site visits and inspections, meetings, regular reports, the inspection of digital information, or through an agreed programme of seminars and presentations.
- 1.69.3** Monitoring should be carried out in accordance with stated policy, and the results of monitoring should be documented and shared to provide a robust audit trail for planning, legal and quality management purposes. Advisors should ensure that the programme of monitoring extends throughout the life of the project, up to and including archive deposition. If this is not within the advisor's capacity, then provision for external monitoring should be secured.
- 1.69.4** Where resource limitations prevent a project-specific monitoring programme and where it is appropriate and justified, advisors may consider a greater reliance on self-regulation by archaeological practitioners. Practitioners who are allowed to operate without project-specific monitoring must be subject to third-party quality control through a professional accreditation and auditing process.
- 1.69.5** Advisors should seek to ensure that archaeological investigation is undertaken only by practices or individuals that can demonstrate adherence to ClfA or other recognised standards. To facilitate this they should consider requiring that suppliers be professionally accredited by ClfA's Registration scheme or other recognised accreditation scheme. Advisors should not use local lists of suppliers unless they are compiled and monitored using criteria at least as stringent as those for ClfA registration.
- 1.69.6** In Scotland, planning guidance requires that archaeological work is undertaken in accordance with ClfA standards and guidance. Advisors elsewhere should also specify compliance with the appropriate standards and guidance. Supplementary planning documents may be used to guide on local implementation of these standards. Advisors may also specify and monitor compliance with specialist guidance issued by ClfA, national agencies and specialist associations.
- 1.69.7** In Northern Ireland, authorities require specialist archaeological suppliers to hold a 'Licence to Excavate for Archaeological Purposes'.
- 1.69.8** Enforcement of a planning requirement may be necessary where an applicant commences work without sufficient notice or before the scheme of investigation has been agreed, believes that a condition has already been met, or fails to act in accordance with the agreed scheme of investigation. The advisor should make clear to

the applicant when a condition, or any of its stages, may be recommended to be discharged.

- 1.69.9** The advisor should pursue local planning authority enforcement of a planning requirement where there is a risk to the public interest. Formal planning enforcement may be carried out through the issuing of stop or breach of condition notices and other measures. Where formal enforcement is pursued, advice to the local planning authority should be proportionate to the significance of the site and the nature of the threat to the public interest.
- 1.69.10** Formal enforcement, either through the local planning authority or through the disciplinary processes of professional bodies, may be avoided through clearly-documented reiteration of planning requirements to the applicant and their agent.

#### 1.70 Monitoring and managing the quality of archaeological advice

- 1.70.1** Advisors working in local authorities are subject to locally-defined codes of behaviour and performance set by their authority or other regulatory bodies. Advice provided in the planning process is subject to public scrutiny (through freedom of information legislation) and offers the opportunity for challenge and appeal.
- 1.70.2** This requirement may be supplemented by local criteria such as periodic or project-specific performance reviews, user feedback, or a set of performance measures agreed either through internal benchmarking or externally through a service level agreement or memorandum of understanding.
- 1.70.3** Meaningful quality measures might include a reduction in the number of heritage assets at risk, increased usage or enhancement of the HER to meet recognised benchmarks, or notable examples of public benefit and enhancement of understanding. A thoughtfully-designed user feedback system for different parts of the community (such as local societies, land-owners, the academic community or the general public) may also provide meaningful evidence of quality.
- 1.70.4** Advisors should take regard of quality standards for specific areas of service delivery, such as maintenance of the HER, which are already subject to national standards and audit, while international data standards and national accreditation schemes, such as Investors in People, may also be applied to historic environment services.
- 1.70.5** Where it is the policy for advisors to charge for providing planning advice or information, this should be clearly related to publicly-available service quality standards.
- 1.70.6** Professional quality assurance more generally is provided through CifA accredited membership and through its Registered Organisations scheme. Advisors should consider seeking Registration of their historic environment service.

#### 1.71 Skills and professional development

- 1.71.1** Archaeological advice must be provided by suitably qualified, skilled and competent advisors, who should preferably be Members of CifA. Most advisory posts will require the possession of an undergraduate degree in archaeology or a related discipline, though advisors should consider where possible alternative vocational entry routes.



- 1.71.2** Archaeological advisors should have a range of knowledge, skills and competencies. These include fieldwork expertise as well as skills in reporting and analysis, a knowledge and understanding of asset types, research frameworks and priorities, familiarity with the planning process, the management of large and complex bodies of information, good communication and IT skills, accurate record keeping, project management skills, problem solving and negotiation skills, awareness of ethical practice, and networking skills. Related skills, such as in planning policy, engineering and construction processes are also required, as well as those related to museums work and archaeological sciences.
- 1.71.3** Advisors should develop a structured approach to continuing professional development (CPD) as a means of staff development and career progression. CPD can also contribute to succession planning. This can be initiated and managed through local systems of performance management and review. CPD should be mapped either against an internal career progression scheme or the national skills framework — the National Occupational Standards (NOS) for Archaeological Practice and the associated National Vocational Qualification (NVQ) in Archaeological Practice. However structured, CPD should be closely linked to a formal staff appraisal process, with a nominated supervisor or mentor, a personal development plan and a regularly maintained CPD log. It may also be linked to an external accreditation system, such as Investors in People.
- 1.71.4** Advisors may wish to support archaeological staff in gaining professional accreditation, or in achieving relevant academic or vocational qualifications which lead to membership of a relevant professional body.