Regulations for the registration of organisations

additional guidance

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This document provides additional guidance on the registration process for organisations applying for registrations regulations, and those involved in inspection panels. It is essential that any organisation applying for registration has read the Registration of organisations regulations available on the CIfA website at www.archaeologists.net/codes/ifa

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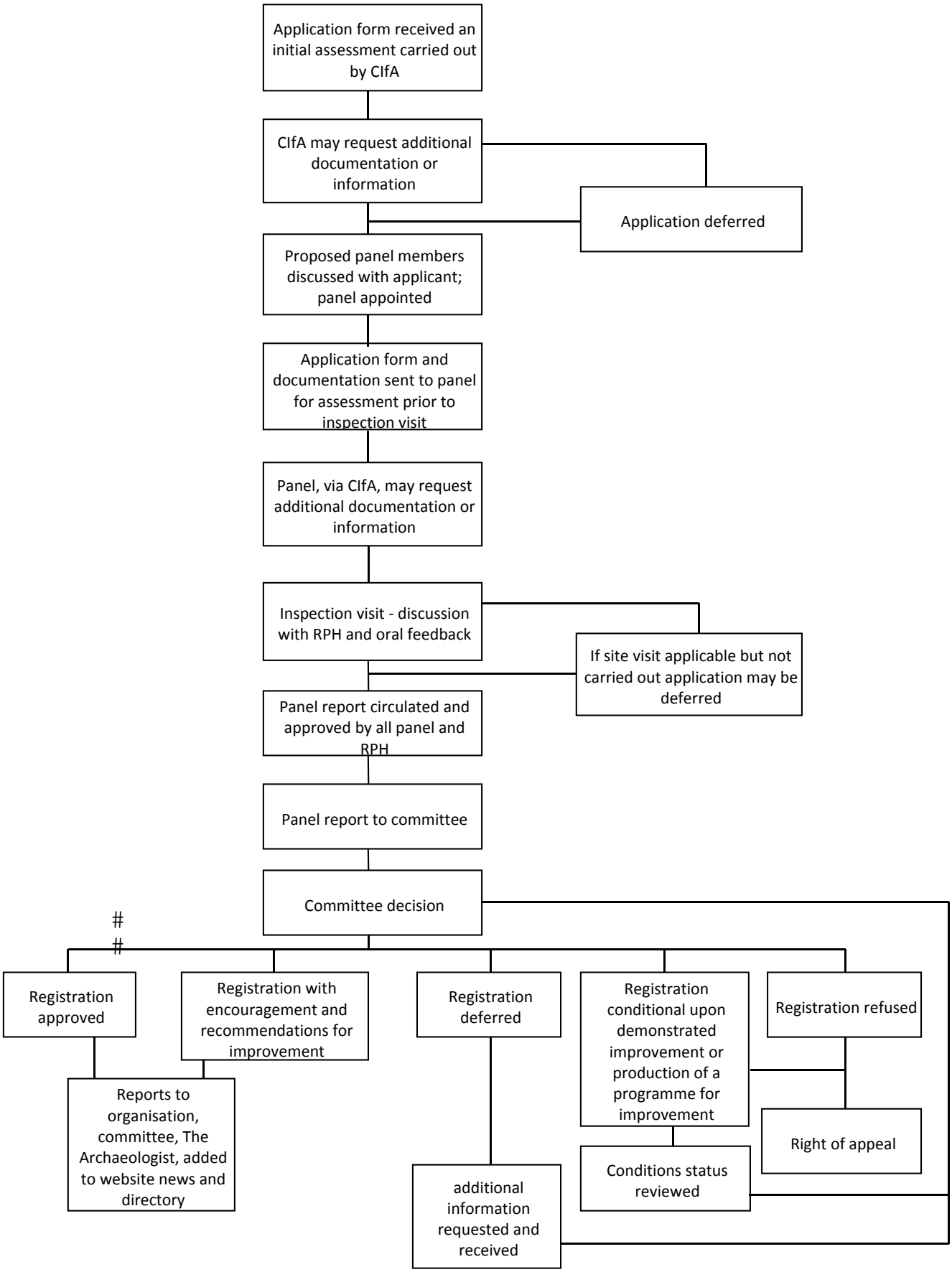
SECTION 1: THE APPLICATION PROCESS FLOW CHART



SECTION2: GUIDANCE ON COMPLETING THE APPLICATION FORM

All questions relevant to the organisation should be completed. For questions referring to employment matters or staffing, you should include information on all employees, not just 'core' or 'long-term contract' staff. If the organisation is a sole trader (self-employed), please answer the relevant questions with regards to yourself, as an 'employee' of your company.

The application form only applies to historic environment work. It is not intended to assess the quality of teaching, which is assessed by a different agency. Both the application form and these guidance notes are updated regularly so please check the website for the latest versions if you do not apply immediately.

1. The application form seeks principally to indicate how your organisation complies with the *Code of conduct* and it's supporting regulations and *Standards & guidance*, and how your quality management systems ensure that compliance. All organisations, regardless of size and role, are expected to comply with CIfA regulations, *Standards and guidance*, and policy statements in all their historic environment activities.

2. The application form has been divided into sections to make completion and assessment on the form more effective. Sections A or B needs to be completed, depending on whether the organisation is currently registered or not. All applicants are required to complete sections C, I and J. Sections (D-H) are to be completed as relevant for the services provided by the applying organisation.

3. Section A – For new applications to the Registration scheme

   3.1. An application fee is due with the application form, see website for current fees and subscriptions.

   3.2 It is a condition of Registration that the organisation has formally committed itself to CIfA's *Code of conduct* and regulations (Regulations for the Registration of Organisations 2.3). Provisional registration for a limited period may be considered if an organisation is able to demonstrate that its parent organisation is committed to passing the resolution, but needs time to do so. The resolution adopted must be passed by the organisation's board of directors (if a company), partners (if a partnership), committee or directorate level officer (if a local authority or similar), trustees (if a trust) or other governing body (Regulations for the Registration of Organisations regulations 2.4). The resolution must be worded as follows:

   All [archaeological/historic environment] work of [the organisation] shall be carried out in accordance with the Code of conduct, the Charter, by-law and regulations of the Chartered Institute for Archaeologists

   A copy of the signed resolution or an appropriate signed minute must be submitted with the initial application form, but need not be provided with applications to renew registration unless the original resolution has become invalid.

4. Section B – Organisations that are currently Registered on the scheme will need to complete an application for the following registration period the year before their current registration expiree to ensure there is enough time to process the application, organise an inspection visit, and present the application to the Registration Committee (Organisations). A

resolution was signed by the Board of Directors or equivalent on initial Registration this must be reviewed regularly to ensure that it is up to date.

5. Section C – ALL organisations are to complete this section

5.1 In section C1 the Responsible Post-holder of the organisation must be identified (see Regulations for the Registration of Organisations 2.1-2.3). It is accepted that there may be a very few instances of organisations in which it is difficult to identify the holder of the Responsible Post. CIfA does not wish to disbar unfairly any organisation from registration on technical grounds and in such circumstances the Institute will welcome any application which has attempted to uphold the spirit of the scheme. Copies of documents or reports which identify the RPH(s) of an organisation should be included in support of the application form (eg organisational structure chart or job description).

5.2 Section C2 covers the historic environment activities and services provided by the organisation. Question 2.2 identifies which skills are available in-house, and which are bought in. Please note that there is a separate section (Section J) for the list of services to be listed in the *CIfA Yearbook and directory* and to provide keywords for the website listing. These should only cover services that you have provided in the last 3-years.

5.3 Section C3 of the application form demonstrates the organisation's, and its staff's, commitment to CIfA and professional ethics. An organisation applying for Registered status should ensure that all its staff are aware of the commitment which this entails.

5.4 Section C4.1 covers general standards and quality assurance. Please note that Sections D-H will look at quality assurance in more detail.

5.5 Section C4.2 of the application form relates to the employment and development of staff (or of yourself, if you are a sole trader/self-employed). Responsible treatment of employees and colleagues is covered by Principle 5 of CIfA's *Code of conduct*. All organisations employing staff must ensure that they are aware of CIfA recommended starting salaries and pay minima as set out in Section 5.

Those organisations that are currently registered beyond 31 March 2013 have already signed up to comply with the salary minima and must contact the Registration Committee (Organisations), via the CIfA office, to inform them of changes to their current registration if they will no longer comply with salary minima.

5.6 Section C4.3 of the application form relates to the training and development of the organisations and its staff. Health and safety training, such as site inductions, first aid training and training for CSCS cards can be included in answers. Please note that the recording of Continuing Professional Development (CPD) became compulsory for all accredited members (MCIfAs, ACIfAs, PCIfAs).

5.7 Section C4.4 covers the use of volunteers and students.

5.8 Section C4.5 covers any opportunities the organisation may have or had for public

engagement.

5.9 Section C4.6 relates to health, safety and welfare. Please answer the questions with reference to all work environments, including offices. CIfA's *Code of conduct*, *Standards and guidance*, and policy statements are independent of any legal requirements in this area.

5.10 Section C5 relates to insurance cover of the organisation and therefore risk management. It is a condition of Registration that the organisation has professional indemnity insurance (Regulations for the Registration of Organisations 4.4).

5.11 Section C6 asks organisations to identify financial turnover. This relates to the annual fee payable to CIfA for Registration (Regulations for the Registration of Organisations 5.3).

6 Section D is to be completed by all organisations that provide archaeological advice to national or local government bodies responsible for implementing planning and heritage consent processes.

7 Section E is to be completed by all organisations that commission and procure historic environment services, including from specialists and subcontractors. Consultants who advise clients on commissioning such work should also answer the 'if you commission' questions

8 Section F is to be completed by all organisations that undertake research into the Historic Environment including the investigation of buried, upstanding or submerged heritage assets including post-field work activities such as post-ex assessments, publications (inc grey literature), and archive deposition.

9 Section G is to be completed by organisations who run educational taught programmes

10 Section H is the declaration of the proposed RPH(s) confirming the organisation's wish to be registered with CIfA. The completed form should be printed out and signed, or returned as an email attachment.

11 Once the application has been received it will go through an initial assessment to determine whether the application is ready to be assessed by an inspection panel and the organisation inspected. The organisation may be asked to provide additional information during the initial assessment and prior to the inspection visit by the panel.

SECTION 3: GUIDANCE ON REGISTRATION PROCESS AND INSPECTIONS FOR APPLICANTS

The purpose of the regular application process is to allow the organisation to demonstrate that it complies with the expectations of its peers, by adhering to CIfA regulations, *Standards and guidance*, and policy statements. Relevant documents are available on the website at www.archaeologists.net/codes/ifa

1. On receipt an application for Registration is reviewed to make sure that it has been completed correctly and that all relevant documentation has been received. A receipt of application will be sent to the applying organisation requesting either additional documentation/information or notifying the applicant that an inspection visit will need to be arranged,

2. As part of the registration process CIfA will normally ask a panel of peers to visit an organisation on its behalf to assess its suitability for registration, to offer advice and guidance and to provide information to the Registration Committee (Organisations). Any organisation applying for registration will be visited before the application is determined, although the committee reserves the right to make a decision without proceeding to an inspection.

3. To organise an inspection panel CIfA will contact the applicant to discuss possible panel members, available sites/projects to visit, and suitable dates. The organisation will also be required to send in (electronically) three examples of its publications/work to be reviewed by the panel. Confidentiality will be maintained at all times by all concerned.

   The panel and applicant organisation should co-operate to plan the inspection visit in advance so that it can proceed as effectively as possible and the maximum time will be devoted to matters of substance. It is not possible to monitor all aspects of an organisation so it is important to identify in advance the key areas for the inspection.

4. A site visit will be required as part of the inspection for all organisations undertaking or procuring investigation and recording of the built, buried or submerged historic environment. It is preferable that a suitable project be available to visit on the same day as the inspection to reduce time required from the panel and costs.

   If a site visit is to take place on the same day as the office visit, it is likely to be necessary for the panel to split into two groups so that both elements of the inspection can be completed in the time available. If it is not possible for the site visit to take place on the same day as the office visit, it will be carried out on a different day.

5. The inspection visit will normally be confirmed a minimum of two weeks prior to the date agreed to ensure adequate time for papers to be circulated to the panel and assessed prior to the inspection.

6. The main elements of an inspection visit will normally include

   - first meeting of the panel to discuss initial assessment and panel assessments
   - discussion with the RPH and others he or she would like to have present
   - a quick tour of the organisation premises and brief introduction to some members of staff

- inspection of a completed project - the panel should review a project from beginning to end through its record system preferably with a member of the project team to discuss the project and quality systems with. This may include inspection of documentation including policy statements, procedures guides and sample documentation, such as examples of publications
- informal discussions with staff (in office and at other work places visited)
- a private meeting of the panel to agree its provisional findings
- a concluding meeting with the RPH to discuss its findings and for the RPH to have an opportunity to comment on these and give the panel feedback on the inspection, the scheme and CIfA
- a private meeting of the panel to discuss the points raised and report to Committee

7. The requirements of the panel include

   - a meeting room to have discussions in private
   - presence of RPH
   - presence of a range of staff with responsibility for conducting and/or managing activities

   and may include
   - the opportunity to obtain lunch as the panel usually work through lunch to ensure minimum disruption and maximise time
   - further examples of work
   - policies and procedures
   - PPE if a site visit is required (safety boots will be brought by panel members)

8. The panel has an inspection form that is to be completed and reported back to the Registration Committee (Organisations). CIfA staff members or representative will ensure that this is completed and circulated to all parties for approval as a factual record of the day. The panel will report back to the RPH on the points for discussion.

9. The inspection panel will report to the Registration Committee (Organisations) who will make a decision on the application for registration and the RPH will be notified of the decision.

SECTION 4: GUIDANCE ON REGISTRATION AND INSPECTIONS FOR PANEL MEMBERS

1. Panel members should read and have an understanding of these Guidance notes and take particular note of guidance on registration process and inspections for applicants.

2. On receipt an application for Registration is reviewed to make sure that it has been completed correctly and that all relevant documentation has been received. CIfA office will ensure that any missing documentation or responses are completed, and that the application is therefore ready to be assessed by the panel.

3. To organise an inspection panel CIfA will contact the applicant to discuss possible panel members, available workplaces/projects to visit, and suitable dates. As a prospective panel member there may be several communications to and from the office to pinpoint available dates for the RPH, and all panel members and your patience is appreciated. The panel and applicant organisation should co-operate to plan the inspection visit in advance so that it can proceed as effectively as possible and the maximum time will be devoted to matters of substance. It is not possible to monitor all aspects of an organisation so it is important to identify in advance the key areas for the inspection.

4. A site visit will also be required as part of the inspection for all organisations undertaking or procuring investigation and recording of the built, buried or submerged historic environment. It is preferable that a suitable project is available to visit on the same day as the inspection to reduce time required from the panel and costs. Panel members must provide their own safety boots, but PPE will be provided by the RPH.

   If a site visit is to take place on the same day as the office visit, it is likely to be necessary for the panel to split into two groups so that both elements of the inspection can be completed in the time available. If it is not possible for the site visit to take place on the same day as the office visit, a member of the panel will be asked to carry out a site visit on a different day.

5. The inspection visit will normally be confirmed a minimum of two weeks prior to the date agreed to ensure there is adequate time for paper to be circulated to the panel and assessed prior to the inspection.

6. Once the date for the inspection, and the panel members have been confirmed the organisation will be requested to send electronically to the office three examples of their publications/work. Confidentiality must be maintained at all times by all concerned

7. The office will circulate the following documents to the inspection panel to allow the application to be assessed prior to the inspection
   - organisation application form
   - organogram
   - completed initial assessment form
   - blank panel assessment form
   - examples of work
   - any other information submitted or requested prior to the inspection
   - confirmation letter regarding the inspection visit including map

8. The panel should assess the application and documents prior to the inspection so that any points for discussion, questions etc are collated at the start of the inspection visit.

9. Other preparation by the panel may include
   - reviewing the organisation website
   - discussing the work of the organisation with colleagues who have had direct contact with organisation if the panel member hasn't (eg a curator is on the panel that hasn't dealt with the organisation in the past, but their colleague has) whilst maintaining confidentiality and impartiality.

10. The main elements of an inspection visit will normally include
    - first meeting of the panel to discuss initial assessment and panel assessments
    - discussion with the RPH and others he or she would like to have present
    - a quick tour of the premises for the panel members to become familiar with the premises and brief introduction to some members of staff
    - inspection of a completed project - the panel should review a project from beginning to end through its record system preferably with a member of the project team to discuss the project and quality systems with. This may include inspection of documentation including policy statements, procedures guides and sample documentation, such as examples of publications
    - informal discussions with staff (in office and at other workplaces)
    - site visit (if appropriate)
    - a private meeting of the panel to agree its findings
    - a concluding meeting with the RPH to discuss the inspection and for the RPH to have an opportunity to comment on these and give the panel feedback on the inspection, the scheme and CIfA
    - a private meeting to discuss the points raised and report to Committee

11. The panel has an inspection form that is to be completed and reported back to the Registration Committee (Organisations). The CIfA staff representative will ensure that this is completed and circulated to all parties for approval as a factual record of the day.

12. The panel may feel it appropriate to make recommendations or conditions for improvement to the Committee in line with possible decisions (Regulations for the Registration of Organisations 8.2). Such recommendations should normally relate to matters of comment or concern recorded on the inspection report form.

    For example, recommendations for action should serve to improve 'the quality or reliability of the organisation's practice'. The recommendations should not instruct the organisation to undertake specific actions - it is up to the applicant to determine how to comply with CIfA regulations. The panel should draw attention to any CIfA information and support which is available.

    If the matter is one that may improve the work of the organisation than the recommendation may be 'to consider'.

    If the matter is one that would improve the work of the organisation, but failure to implement would NOT mean the organisation has the potential to do work that could be considered in breach of the *Code of conduct* and *Standards and guidance* AT THAT TIME

then the recommendation should be 'to implement ..... before the next registration application'

If a matter of concern is such that in the panels view 'failure to implement (improvement) means the organisation HAS the potential to do work that could be considered in breach of the *Code of conduct* and *Standards and guidance*', the panel should recommend to the Registration Committee (Organisations) that registration should be conditional on demonstrated improvement.

If the panel believes that the organisation may be in breach of the *Code of conduct* or *Standards and guidance* they should report this to the RPH and record it on the inspection form.

13. After the inspection members of the inspection panel will return all papers relating to the visit to the CIfA staff member and delete any reports circulated by e-mail.

    The CIfA staff member will type up the inspection report, which will act as the formal record of the day's proceedings. They are dealt with sensitively. RPHs and all panel members will be able to comment on the draft before it is considered by the Registration Committee (Organisations).

    The report will be considered by the Registration Committee (Organisations), which will make the final decision on registration.

    The annual published summary will list the organisations monitored. It may make general observations, but it will not relate information or findings to individual organisations.

14. CIfA staff will assist in the process by
    - facilitating panel members' agreement on who will chair the inspection
    - providing a summary of queries and matters which should be discussed with the organisation based on the benchmarked application form and any previous recommended improvements
    - confirming with the panel and the organisation which documents the panel will want to view on the day of the inspection
    - liaising with the panel and the organisation to devise a timetable for the inspection visit, taking account of the logistics of any visit to a site project
    - agreeing with the panel in advance who will undertake any site visit – normally this should be two members of the panel
    - drafting finding, recommendations and conditions
    - assisting with reporting to the proposed RPH

    CIfA staff will also provide the following
    - details of the date and location of the inspection, names and contact details of the other panel members, and clarification of what to bring in terms of personal protective equipment and lunch arrangements
    - the completed application form
    - any additional supporting documents provided by the organisation (such as a copy of its resolution, organogram, publication lists, etc)
    - a completed benchmarking form (this is filled out by CIfA as the first response to the information given on the application form. Where a benchmark has been triggered,

the box on the form will be ticked and notes added as relevant. Please note that answers that warrant praise of the organisation may also be noted here.)

- information on previous registration recommendations and inspections, where appropriate
- the Regulations for the registration of organisations
- these guidance notes
- the template inspection report form (to provide an agenda for the inspection)
- a site visit report form (if relevant to the inspection)
- a map and/or directions of how to get to the premises
- a CIfA expenses claim form (where possible, train or plane tickets should be booked in advance to get the best deals)

SECTION 5: CIFA RECOMMENDED STARTING SALARIES AND PAY MINIMA

Recommended starting salaries
CIfA seeks to foster recognition of the responsibility held by archaeologists and other historic environment professionals in the study and care of the historic environment. The high-level skills required for this vital role should be recognised in status and salary levels.

For the guidance of employers seeking to determine appropriate starting salaries for archaeologists, we provide the following figures based on a study of salary levels in comparative professions

PCIfA level competence/responsibility £19,853 - £20,926
ACIfA level competence/responsibility £29,123 – 31,561
MCIfA level competence/responsibility £36,552 - £40,276

Recommended pay minima
The minimum salaries for 2015/16 (from 1 April 2015)

Posts requiring competence/responsibility at PCIfA level - £17,299*
Posts requiring competence/responsibility at ACIfA level - £20,150*
Posts requiring competence/responsibility at MCIfA level - £26,045*

*CIfA's recommended minimum salaries are based on the assumption of a total employment package which includes, as a minimum, the following

1. 6% employer pension contribution subject to any reasonable qualifying period

    - there is no requirement within the amended scheme for employers to compensate staff who choose not to join a pension scheme where employer contributions are offered.

    - there is no *requirement* to compensate staff on short-term contracts who are not employed for a sufficient length of time to meet the qualification period of a pension scheme although this is something which CIfA strongly encourages as good employment practice.

    - it is recognised that the qualifying period may be set by the pension company.

2. Average 37.5 hour working week

    - it is recognised that the circumstances of work often require working beyond these hours, compensated for by systems of time off in lieu or overtime payments. A regular increase in working hours should be reflected by a corresponding increase in pay.

3. Sick leave allowance of at least 1 month on full pay subject to any reasonable qualifying period

    - sick leave allowance may be aggregated over a rolling twelve-month period. Three to four months is suggested as a reasonable qualifying period. Staff employed on a fixed-

term or part-time basis should be entitled to sick pay accrued on a sliding scale or pro-rata basis.

Any shortfall in the above increases the minimum salary requirement, although betterment of the stated terms does not justify a reduction in basic pay.

The following table illustrates examples of the salary enhancements which would be required if the employment package fell below the minimum recommended allowances.

Table 1.

	PCIfA	ACIfA	MCIfA
2015/16 minimum salary recommendations	£17,299	£20,150	£26,045
No employer pension contributions (+6%)	+£1,037.94pa	+£1,209.00pa	+£1,562.70pa
Per additional hour over and above 37.5 hpw	+£461.31pa	+£537.33pa	+£694.53pa
No sick leave allowance (based on min. 1 month full pay)	+£1,441.58pa	+£1,679.17pa	+£2,170.42pa

Pay minima and Registration

CIfA maintains that the salary minima have played and could continue to play a role in preventing cuts to pay. **It has therefore unanimously reaffirmed its commitment to minimum salary recommendations** as guidance and as a benchmark that members and Registered Organisations must endeavour to meet or exceed.

The Registration Committee (Organisations) will use non-compliance with the salary minima as a trigger for a more detailed consideration and discussion of the way the organisation is able to attract, retain and motivate appropriately competent staff.

Statutory Annual Leave Requirements

From April 2009, the statutory entitlement to paid annual leave increased to 28 days (pro rata for part time workers). For more information, please see the DWP website at www.direct.gov.uk/en/Employment/Employees/Timeoffandholidays/DG_10029788.

Fixed-Term Employees Regulations

Attention is drawn to the Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations which came into force on 1 October 2002 and state that:

Fixed-term employees will have the right not to be less favourably treated than comparable permanent employees, unless the less favourable treatment is justified on objective grounds. The right applies both to less favourable treatment in relation to contractual terms (including pay and pensions) and to their overall package of conditions. In addition fixed-term employees should not be subject to other detrimental treatment by the employer.

Further information on the Regulations can be seen at www.dti.gov.uk/er/fixed/fixed-pl512.htm.

Monitoring of job advertisements

Routine monitoring of adverts placed on the Jobs Information Service and Training bulletin will be carried out.

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