

# Standard and guidance for archaeological excavation

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Miller Building, University of Reading, Reading RG6 6AB

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## INTRODUCTION

This guidance seeks to define good practice for the execution and reporting of archaeological excavation, in line with the regulations of ClfA; in particular the *Code of conduct*. It seeks to expand and explain general definitions in the Codes.

The key section of this document is the Standard. It is only a few lines long, and deliberately lacks detail. In part this is because it is impossible to foresee every circumstance and prescribe for each an investigative method. Nor does the Institute seek to dictate to its members in detail the means by which projects are conducted, but to outline procedures by which outcomes or products can be attained and against which performance can be monitored. The historic environment expert is left free to make a considered selection of appropriate established techniques and to develop new methods.

If the project has failed to examine and record the archaeological resource within a specified area because of the way in which it was conducted, the Standard has not been met. It is a 'sub-standard' project. The caveat is as far as is reasonably possible, because there may be good reasons why a well-conducted excavation stood no chance of success.

Defining 'reasonably possible' relies on shared professional judgement and values. This is where the Guidance section comes in. It is not binding per se, but advises on what the profession presently considers good practice. Departures from the guidance should be undertaken with caution, and it is advisable to document the reasons.

So the Standard defines a required outcome and the guidance advises in broad terms how the profession currently anticipates that the end product will be reached. This document contains more detailed guidance on the legal, policy and practice requirements of the United Kingdom, Channel Islands and Isle of Man, and complements government or practitioner guidance; but it applies to ClfA members' work universally and would benefit from additional sections from those able to draft them. Professional practitioners are likely to produce their own yet more detailed handbooks and procedures documents on how they interpret and implement the ClfA guidance.

The Standard and guidance has many potential applications, but is principally used by those involved in commissioning archaeological work, be they developers and their agents, planning archaeologists, or archaeologists designing their independent research, to define the quality required by those undertaking the work, to assist in their own quality management and to show clients and peers that they are attaining a certain quality.

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/Registration: failure to meet the standard may be judged to be in conflict with the regulations through the Institute's professional conduct or complaints procedures.

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

## **STANDARD**

### **The Standard**

**An archaeological excavation will examine and record the archaeological resource within a specified area using appropriate methods and practices. These will satisfy the stated aims of the project, and comply with the Code of conduct and other relevant regulations of CIfA. It will result in one or more published accounts and an ordered, accessible archive.**

### **Definition of excavation**

The definition of archaeological excavation is a programme of controlled, intrusive fieldwork with defined research objectives which examines, records and interprets archaeological deposits, features and structures and, as appropriate, retrieves artefacts, ecofacts and other remains within a specified area or site on land, inter-tidal zone or underwater. The records made and objects gathered during fieldwork are studied and the results of that study published in detail appropriate to the project design.

### **Purpose of excavation**

The purpose of excavation is to examine the archaeological resource within a given area or site within a framework of defined research objectives, to seek a better understanding of and compile a lasting record of that resource, to analyse and interpret the results, and disseminate them.

### **Occurrence**

Excavation may arise:

- a. in response to a proposed development which would threaten the archaeological resource
  - i. as part of the planning process (within the framework of appropriate national planning policy guidance notes) and/or development plan policy
  - ii. as part of an Environmental Impact Assessment (EIA) (see 3.1.3 below)
  - iii. outside the planning process (e.g. ecclesiastical development, coastal erosion, agriculture, forestry and countryside management, works by public utilities and statutory undertakers)
- b. within a programme of research not generated by a specific threat to the archaeological resource
- c. in connection with management plans and mitigation strategies by private, local and national or international bodies

Excavation may therefore be instigated or commissioned by a number of different individuals or organisations, including local planning authorities, national advisory bodies, government agencies, private landowners, developers or their agents, archaeological researchers, etc.

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## GUIDANCE

### 1 Introduction

- 1.1 This guidance seeks to define best practice for the execution of excavations and concomitant reporting, in line with the by-law and regulations of ClfA, in particular the Code of conduct. It seeks to expand and explain general definitions in the Code for the practice of fieldwork and reporting.
- 1.2 The Standard and guidance apply to all types of excavations (land-based, inter-tidal and underwater) whether generated by academic research, by local interest, through the planning process, by management proposals or by any other proposals which may affect the archaeological resource within a specified area.
- 1.3 In addition, the guidance seeks to amplify directions given in appropriate national planning policy (see Appendix 6), and be compatible with current guidelines issued by regulatory authorities.
- 1.4 This document provides more detailed guidance for work carried out in the United Kingdom, Channel Islands and Isle of Man, but the principles apply universally. Although general guidance is given, this document cannot be exhaustive, particularly in its treatment of legislative issues. Archaeologists must ensure they are familiar with the specific legislation and common law pertinent to the area in which they are working. Archaeologists, commissioning bodies and others may find it useful to consult the relevant documents listed in Appendix 6, and can obtain further guidance from the appropriate advisory bodies listed in Appendix 7.

### 2 Principles: The Code of conduct and other regulations of ClfA

- 2.1 An archaeologist undertaking archaeological excavations must adhere to the five major principles enshrined in the ClfA *Code of conduct*, and the rules governing those principles.
  1. A member shall adhere to high standards of ethical and responsible behaviour in the conduct of archaeological affairs.
  2. A member has a responsibility for the conservation of the historic environment.
  3. A member shall conduct his or her work in such a way that reliable information about the past may be acquired, and shall ensure that the results be properly recorded.
  4. A member has responsibility for making available the results of archaeological work with reasonable dispatch.
  5. A member shall recognise the aspirations of employees, colleagues and helpers with regard to all matters relating to employment, including career development, health and safety, terms and conditions of employment and equality of opportunity.

### 3 Procedures

#### 3.1 Project identification

- 3.1.1 Within the planning process, an appraisal (see Appendix 1 for definition) of the proposed area will have been carried out, normally by the planning archaeologist or curator. The preservation of archaeological remains is a material consideration in the planning process, and local authorities can reasonably request further information about archaeological matters so that 'an informed and reasonable planning decision can be taken'. Such information is normally provided through carrying out a desk-based assessment and/or field evaluation.
- 3.1.2 Depending on the results of the assessment further archaeological work may be required and such requirements are normally determined by the planning archaeologist or curator (but see 3.2.8). These requirements will form part of an agreed mitigation strategy and may be implemented by way of a planning condition or other agreement.
- 3.1.3 Environmental Impact Assessment (EIA) applies to projects potentially having significant environmental effects (eg EC Directive 85/337, and as implemented in the UK via various Statutory Instruments etc). EIA involves appraisal, desk-based assessment and in many instances field evaluation. The resulting Environmental Statement (ES) will contain recommendations for mitigating or offsetting impact on the archaeological resource. The agreed mitigation strategies may include archaeological excavation and such work would not normally take place before a planning inquiry or public local inquiry.
- 3.1.4 In response to a development outside the planning process, the principles of desk-based assessment and/or field evaluation, leading to the formulation of mitigation strategies as appropriate, should similarly apply.
- 3.1.5 In a research context, excavation area(s) will have been identified and selected by an archaeologist on the basis of specific aspects or themes relating to defined research interests. This could include work undertaken through universities, central government agencies, local authorities, museums, independent trusts, amateur organisations and societies, private companies, groups or individuals.
- 3.1.6 Management proposals by private landowners or others may also result in excavations, to obtain information in order to enhance or protect the understanding and management of the environmental or archaeological resource.
- 3.1.7 However it arises an archaeologist should only undertake an excavation which is governed by a Written Scheme of Investigation (WSI) or project design (see Appendices 2 and 3) agreed by all relevant parties, as this is the tool against which performance, fitness for purpose, and hence achievement of standards, can be measured. In Northern Ireland an archaeologist may only undertake an archaeological excavation governed by an excavation licence obtained from the Northern Ireland Environment Agency and held by the person responsible for directing the excavation.**
- 3.1.8 The WSI or project design is therefore of critical importance.

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## 3.2 Briefs, WSIs and project designs<sup>1</sup>

- 3.2.1 The planning and preparation stage of any project is critical to its success. This section addresses the initial design stages of all forms of investigation.
- 3.2.2 A Brief is an outline of the circumstances to be addressed, with an indication of the scope of works that will be required. It does not provide sufficient detail to form the basis for a measurable standard; but it could form the basis for a Written Scheme or Investigation (WSI), project design or specification.
- 3.2.3 In a planning context, the applicant or their agent should provide a WSI in response to the brief. It must be prepared by a competent archaeologist and set out the proposed scheme of investigation in sufficient detail to satisfy the planning archaeologist or monitor that it is an appropriate response to the brief and that works will be appropriate and proportionate to the known/potential remains and the level of impact. It should also contain sufficient detail to provide a benchmark against which the results of the work may be measured and must be agreed by all relevant parties before work can commence.
- 3.2.4 No investigation should take place on the basis of a brief alone, as it could not achieve the appropriate standard, there being insufficient detail against which to measure performance.
- 3.2.5 In the case of EIA, the brief or specification will usually be prepared by the developers or their agents, discussed with the planning archaeologist/curator and issued to tenderers. This may also apply to management proposals.
- 3.2.6 Proposals for archaeological investigation not prompted by a threat to potential archaeological remains will normally take the form of a project design prepared by the researching archaeologist, and agreed with any commissioning body. If there is no external commissioner there must nevertheless be a written design so that the validity of any models or questions posed can be properly assessed, and to comply with any relevant consent procedures.
- 3.2.7 Howsoever they occur, briefs and WSIs should be prepared and implemented by suitably accredited and competent persons, using specialist advice where necessary. The WSI should outline the competencies and any relevant professional accreditation of members or organisations of the project team. The author and/or manager should preferably be a full Member of CifA. CifA Registered Organisations have undertaken to comply with the *Code of conduct*, have been quality assured by the CifA within the last two years and are subject to a complaints process. Because of the complexity and sensitivity of most commercial work, those commissioning or specifying such work are recommended to seek to ensure it is undertaken by a CifA Registered Organisation. The WSI should specify how the project team meets CifA standards. It should set out how individual and corporate competences will be maintained and enhanced through training and CPD built into the project where appropriate.

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<sup>1</sup> Terminology is not universal: the terms 'brief', 'WSI', 'project design' and 'specification' are sometimes used differently, and other terms may be employed locally to describe these documents

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- 3.2.8 A WSI should set out the research objectives of the project. It should include where appropriate and possible explicit reference to existing research frameworks, and draw upon advice from appropriate specialists from within the proposed project team to ensure that the investigation will appropriately address national, regional and local objectives. The proposed project team should be able to show relevant expertise or access to suitable expertise to assess the significance of remains with regard to research frameworks or other guidance.
- 3.2.9 In preparing a WSI the archaeologist should give full consideration to all available practicable methods of investigation, and decide upon the most appropriate and best available to meet the purpose of the work, seeking specialist advice where necessary. An archaeologist preparing a WSI should examine all appropriate sources and be fully apprised of all relevant legislation and professional obligations.
- 3.2.10 The WSI should be suited to the project under consideration; any methods advocated should reflect the nature of archaeological remains likely to be found and should not become inflexible irrespective of site conditions or context. Standard templates should therefore be used with care. Other factors to be considered will include 'reasonableness' and proportionality in relation to the significance of the asset and the scale of threat to it.
- 3.2.11 The WSI should set out measurable data on which the assumptions of cost are based, and thus allow for justifiable post-tender re-quantification. When preparing a WSI, consideration should be given to the inclusion of appropriate contingency arrangements so that the project may deal appropriately with archaeological remains of a scale or nature different from those used for the basis of estimation, and to provisions for varying methods or the scale of resources. It may not be possible to meet the project objectives without a reasonable degree of flexibility to apply professional judgement during the course of the investigation. Commissioning bodies and monitors should be advised that overly rigid requirements might unavoidably result in a failure to meet archaeological and non-archaeological objectives. Equally, contingency arrangements should not be open-ended but should be properly specified in their own right and reflect prior knowledge of the site, its physical context and the objectives of the investigation. A WSI should be clear about what is and is not included in the scope and attendant costs with particular attention to transparent presentation of post-investigation analysis and dissemination aspects of the project. It should be made clear that post-investigation analyses, publications and potentially the archive will be tailored to the significance and research potential of the assets.
- 3.2.12 The WSI should identify relevant data standards for record organisation and content that will be used in information recording systems employed by the project.
- 3.2.13 A WSI should set out how public benefits may be achieved by means of engagement, participation and/or dissemination of the results both during and after the project, as appropriate to the scale, nature and circumstances of the work. Health and safety issues, public liability and commercial confidentiality, while important considerations, should not be used as a barrier to public engagement without clear justification for doing so.
- 3.2.14 The WSI should set out where and how it is proposed that the answers to the project's research questions will be disseminated to both professionals and to the general



public, during and after implementation. In addition to conventional publication, innovative forms of public engagement should be considered. Dissemination proposals should include a process for review and should identify those individuals and organisations responsible for tasks proposed.

- 3.2.15 The WSI should make suitable provision for archive deposition, and include an appropriate retention and disposal policy for digital, photographic and paper archival materials, as well as artefacts and ecofacts. The WSI should make clear that the proposed project team has access to appropriate specialists to assess the archive's significance.
- 3.2.16 In summary, a WSI should normally contain or cover, as a minimum, the following elements:
- a) a statement on the technical, research and ethical competences of the project team, including relevant professional accreditation
  - b) non-technical summary
  - c) site location (including map) and descriptions
  - d) context of the project
  - e) geological and topographical background
  - f) archaeological and historical background
  - g) general and specific research aims of the project
  - h) methods
  - i) collection and disposal strategy for artefacts, ecofacts, and all paper, graphic and digital materials
  - j) arrangements for immediate conservation of artefacts
  - k) post-fieldwork assessment and analysis of project data
  - l) report preparation (method)
  - m) publication and dissemination proposals, detailing how the needs of different relevant audiences will be met
  - n) copyright
  - o) archive deposition, including wherever possible identification of a recipient museum or other repository and its requirements
  - p) timetable
  - q) staffing
  - r) a statement on the training and CPD built into the project, where appropriate
  - s) a statement on compliance with relevant professional ethical and technical standards (including data standards)
  - t) a statement on public engagement and participation tailored to the project
  - u) a statement on the research value of the results, referencing the success of the project in achieving its initial or other research aims with reference to published research frameworks or agenda where available
  - v) a statement on public benefits for the client or commissioner, if appropriate, and in the context of developer-led investigation a statement on adding value to the scheme from the heritage asset or its investigation by archaeology
  - w) a statement on the potential public relations and/or corporate social responsibility benefits for the commissioning body arising from the project should be considered
  - x) Health and Safety considerations
  - y) environmental protection considerations
  - z) monitoring procedures
  - aa) contingency arrangements (if appropriate)

bb) licence eligibility (where required)

### 3.3 Fieldwork

- 3.3.1 The WSI and/or project design must be agreed by all relevant parties before work commences. All work must conform to the agreed WSI or project design. Any variations must be agreed in writing by all relevant parties.
- 3.3.2 Sufficient and appropriate resources (staff, equipment, accommodation etc) must be used to enable the project to be completed successfully, within the timetable, to an acceptable standard, and comply with all statutory requirements. Any contingency elements must be clearly identified and justified. It is the role of the archaeologist undertaking the work to define appropriate staff levels.
- 3.3.3 All techniques used must comply with relevant legislation and be demonstrably fit for the defined purpose(s).
- 3.3.4 All staff, including subcontractors, must be suitably qualified and experienced for their project roles, and employed in line with relevant legislation and ClfA regulations (see Appendix 6). The site director and/or manager should preferably be an accredited member of ClfA.
- 3.3.5 All staff, including subcontractors, must be fully briefed and aware of the work required under the WSI, and must understand the aims and methodologies of the project.
- 3.3.6 All equipment must be suitable for its designated purpose and in sound condition, complying with Health and Safety Executive regulations and recommendations. It should be noted that some items of equipment are subject to specific statutory controls (diving equipment in particular is subject to the Diving Operations at Work Regulations (see Appendix 6)).
- 3.3.7 Full and proper records (written, graphic, electronic, digital and photographic as appropriate) should be made for all work, using pro forma record forms and sheets as applicable. Digital records created as part of the project should comply with specified data standards. Digital information, paper and photographic records must be stored in a secure and appropriate environment, and be regularly copied or backed up, and copies stored in a separate location.
- 3.3.8 Artefact and environmental data collection and discard policies, strategies and techniques must be fit for the defined purpose, and understood by all staff and subcontractors (see also ClfA Standard and guidance for the collection, documentation, conservation and research of archaeological materials, ClfA Finds Group 1992, Historic Scotland 1994).
- 3.3.9 As a minimum, a site summary (see English Heritage 1991) or data structure report (see Appendix 1 and Historic Scotland 1996a) should be submitted to the appropriate Historic Environment Record, the National Archaeological Record and, where appropriate, the central government conservation organisation or its nominee within six months of completion of the fieldwork or earlier, as may be specified by contractual or grant conditions. This should contain sufficient detail to help researchers to find and access the project archive. Where it is possible to submit a record to an appropriate

online index<sup>2</sup>, a record should be completed and supplied within an agreed timeframe to ensure that other practitioners are aware of work in progress. In Scotland, a summary interim report must be published in an annual, regional or national digest of fieldwork (Historic Scotland 1996f, 2). For the United Kingdom and Isle of Man as a whole, it is considered that fuller publication of the majority of projects is required.

- 3.3.10 Where an excavation has been carried out as part of the planning process, the report must contain sufficient information to enable the planning archaeologist to determine whether or not any condition has been discharged.
- 3.3.11 Health and Safety regulations and requirements cannot be ignored no matter how imperative the need to record archaeological information; hence Health and Safety will take priority over archaeological matters. All archaeologists undertaking fieldwork must do so under a defined Health and Safety Policy. Archaeologists undertaking fieldwork must observe safe working practices; the Health and Safety arrangements must be agreed and understood by all relevant parties before work commences. Risk assessments must be carried out and documented for every field project, in accordance with Management of Health and Safety at Work Regulations 1992. Archaeologists should determine whether field projects are covered by Construction (Design and Management) Regulations, and ensure that they meet all requirements under the regulations. In addition they must liaise closely with the principal contractor and comply with specified site rules. Archaeologists are advised to note the specific duties of the various roles defined by the CDM regulations and should not undertake roles for which they are not appropriately qualified and resourced. For further guidance refer to the bibliography (Appendix 6).
- 3.3.12 The archaeologist undertaking excavations must ensure that he or she has adequate insurance policies, public and employer's liability and some relevant form of civil liability indemnity or professional indemnity.
- 3.3.13 This Standard covers the following methods of excavation:
- a. hand-excavated open areas and/or trenches
  - b. machine-stripped and hand-excavated open areas and/or trenches
  - c. strip, map and record/sample
  - d. auguring and probing
- 3.3.14 An excavation project may be supplemented by non-destructive means of investigation, such as:
- a. geophysical survey
  - b. remote sensing
  - c. geochemical survey
  - d. earthwork survey
  - e. field scanning (ie observation and mapping of artefact and other distributions)
  - f. standing building survey
- 3.3.15 There are a number of techniques available for archaeological excavation. In many instances several techniques may be valid under the terms of the brief/project outline, and it will be necessary to explain the criteria for selection. The methods selected must

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<sup>2</sup> OASIS or its successor or equivalent

be fit for the defined purpose and therefore related to the research objectives. Where the use of machinery is specified this must be under the direct supervision of an archaeologist.

- 3.3.16 Full and proper records (written, graphic, electronic, and photographic as appropriate) should be made for all work, using pro forma records and sheets appropriate to the work. A range of recording systems is available, and many archaeological contractors have produced manuals to govern their recording procedures and ensure internal consistency. The published report should contain a summary of the recording system used.
- 3.3.17 The recording system used should be one that is appropriate to the requirements of the project in question and should be agreed with relevant parties including the body that is to receive the archive. It should entail relating the site and excavation areas to the National Grid and the Ordnance Survey datum; relating all plan and section drawings to the site grid; maintaining written registers of all plans, drawings, photographs, special finds, samples, etc and compiling records on suitable, durable materials. Mere mechanical recording of material does not, however, absolve the archaeologist from the need to interpret, as far as possible on site, the nature and meaning of deposits, features and the site itself.

#### 3.4 **Post-excavation assessment**

- 3.4.1 There are several procedural systems in place, but certain principles apply to them all. Depending on the scale and content of the project, they may be more or less formal.
- 3.4.2 Following (or where suitable during) fieldwork, the findings should be assessed against the original project design (see 3.2) to determine the extent to which the original research aims have been met, and the identification of any new research questions to be incorporated in a post-excavation project design (see 3.5).
- 3.4.3 A post-excavation assessment report should be produced, and this report will form part of the project archive. It should include a statement of the quantity and perceived quality of the data in the site archive, a statement of the archaeological potential of the data to answer the project research aims, and recommendations on the analysis and data storage and curation requirements. Details of the post-excavation assessment report are given in Annex 2.
- 3.4.4 Post-excavation assessment work must be carried out by suitably qualified and experienced staff, who must be apprised of the project design before commencing work. The post excavation manager should preferably be a corporate member of ClfA. The level of assessment of records and materials should be appropriate to the aims and purpose of the project.
- 3.4.5 In Scotland the primary product of an excavation is the data structure report (see Appendix 1, and Historic Scotland 1996b) with a costed assessment or project design for further fieldwork and/or post-excavation and publication. This report does not have a precise equivalent in the United Kingdom (see Appendix 1). Copies of the data structure report should be lodged with the local archaeological curator.
- 3.4.6 Subject to confidentiality arrangements specified for the project, the archaeologist, either during fieldwork or as soon as possible after its conclusion, should prepare a

structured description of the project suitable for publication or inclusion in national and local data archives.

- 3.4.7 Where it is possible to submit a record to an appropriate online index<sup>3</sup>, a record should be completed and supplied within an agreed timeframe to ensure that other practitioners are aware of work in progress.

### 3.5 Contents of post-excavation assessment report

- 3.5.1 The level of detail required in the post-excavation assessment report will depend on the quantity and complexity of data and the extent to which those factors have required additional study of the material in order to form a reliable assessment.

- 3.5.2 A post-excavation assessment report will normally contain:

1. Introduction
  - a. scope of the project (e.g. sites involved)
  - b. circumstances and dates of fieldwork and previous work
  - c. comments on the organisation of the report
2. Original research aims
3. Summary of the documented history of the site(s)
4. Interim statement on the results of fieldwork
5. Summary of the site archive and work carried out for assessment
  - a. site records: quantity, work done on records during post-excavation assessment
  - b. finds: factual summary of material and records, quantity, range, variety, preservation, work done during post-excavation assessment
  - c. environmental material: factual summary of human and animal bone, shell and each type of sample (e.g. bulk organic, dendrochronological, monolith), quantity, range, variety, preservation, work done on the material during post-excavation assessment
  - d. documentary records: list of relevant sources discovered, quantity, variety, intensity of study of sources during post-excavation assessment
6. Potential of the data
  - a. a discursive appraisal of the extent to which the site archive might enable the data to meet the research aims of the project. Different classes of data should be discussed in an integrated fashion, sub-divided according to the research aims of the project
  - b. a statement of the potential of the data in developing new research aims, to contribute to other projects and to advance methodologies
7. A summary of the potential of the data in terms of local, regional, national and international importance

Additional information will normally include:

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<sup>3</sup> OASIS or its successor or equivalent

- a. supporting illustrations at appropriate scales
- b. sufficient supporting data, tabulated or in appendices, and/or details of the contents of the project archive, to permit the interrogation of the stated conclusions
- c. index, references and disclaimers

### **3.6 Post-excavation project design**

- 3.6.1 The research aims of the project may be revised following whatever procedure is used for post-excavation assessment. Even if the research aims remain unchanged, the identification of material which would merit further study will require the project design (see 3.2) to be updated.
- 3.6.2 In updating the project design, archaeologists should be aware of future research and/or resource management needs, together with requirements for the effective short- and long-term curation of the project archive (including retention/disposal considerations). The archaeologist should ensure that these are addressed and raised with the planning archaeologist or other relevant authorities.
- 3.6.3 The post-excavation project design, or equivalent document, should form part of the project archive (see Appendix 4 for details).

### **3.7 Analysis**

- 3.7.1 All analysis must conform to the project design or post-excavation project design, any variation must be confirmed by all relevant parties in writing.
- 3.7.2 All techniques used must be demonstrably fit for the defined purpose(s), and comply with relevant legislation.
- 3.7.3 Those carrying out the work should be suitably qualified and experienced, and fully aware of the work required under the project design or post-excavation project design.
- 3.7.4 All data generated as a result of the analysis phase should be included in the project archive. Some data and data interpretation will form part of the publication.

### **3.8 Publication and dissemination**

- 3.8.1 The publication format should conform to the synopsis in the post-excavation project design.
- 3.8.2 Subject to the post-excavation project design, the publication report should normally contain sufficient data and references to the project archive to permit interpretations to be challenged. Similarly, reports should normally integrate the results of specialist analysis with the site sequence, in order to ensure that important data are not overlooked, and an informative, interesting account is produced. The assistance of independent advisers may be sought to enhance academic quality.
- 3.8.3 Consideration should be given to publicising the results of the project through a range of outlets, from conventional archaeological publications to, for example, site viewing platforms, interpretation panels and lectures, open days and school visits, radio and

television programmes, videos and popular publications and the Internet. If, following post-excavation assessment, a formal letterpress or online journal publication report is agreed not to be warranted, consideration should be given to the availability of the digital report to ensure that the results of the project are widely available for future researchers and for Local Authority advisers.

### **3.9 Monitoring**

- 3.9.1 All work must be monitored by the archaeological organisation undertaking the project and, if appropriate, by the national conservation agency, planning archaeologist and commissioning body, or by their nominated representatives. The guidance below is directed in general at monitors from outside the organisation undertaking the work, but many of the points apply equally to internal monitors or managers.
- 3.9.2 A monitor should be suitably experienced and qualified, or have access to appropriate specialist advice.
- 3.9.3 Monitoring must be undertaken against the written WSI and/or project design.
- 3.9.4 Monitors, where they are not representing the commissioning body, should bear in mind the need for flexibility, within the stated parameters, in contractual matters such as staff numbers, budgets or timetable.
- 3.9.5 All monitoring visits must be documented, and agreed by each party.
- 3.9.6 Non-compliance with the agreed WSI or project design must be pointed out by the monitor to the archaeologists undertaking the work, and their client if appropriate, at the earliest opportunity.
- 3.9.7 Monitors should be aware of their professional and moral duties regarding Health and Safety, in particular advising against and reporting bad and unsafe practice.
- 3.9.8 All monitoring arrangements must be agreed at the outset of the project; the archaeologist undertaking fieldwork must inform the planning archaeologist or other monitor of the commencement of work with reasonable notice.
- 3.9.9 Although monitors may choose to visit at any time, they should normally inform the archaeologist undertaking the work of any intended visits in advance. Monitors must respect reasonable requests from the client commissioning the work to attend only at prearranged times and, if necessary, in the company of the client's representative.
- 3.9.10 Any costs for monitoring to be charged by the planning archaeologist or other monitor must be agreed in writing at the outset of the project.

### **3.10 Archives, ownership and deposition**

- 3.10.1 The requirements for archive preparation and deposition must be addressed at the outset of the project. In Scotland, all excavation documentary archives must be deposited in the National Monuments Record for Scotland, which will arrange to copy material to local museums etc.

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- 3.10.2 The proposed recipient museum or other repository must be contacted at the project planning stage, and arrangements for deposition of the project archive should be detailed in the WSI and/or project design.
- 3.10.3 The archive, including all retained artefacts and ecofacts, must be treated and packaged in accordance with the requirements of the recipient museum/repository and national guidelines. The treatment of human remains will be governed by the relevant legislation and government regulations.
- 3.10.4 In England, Wales, Northern Ireland and the Isle of Man ownership of objects rests with the landowner, except where other law overrides this (e.g. Treasure Act, 1996, Burials Act 1857). The archaeologist undertaking the fieldwork or the planning archaeologist must make this clear at the inception of the project (in the brief/project outline, WSI or project design).
- 3.10.5 It should be noted that different countries have, inter alia, differing reporting procedures for Treasure and differing requirements for finds deposition. Material cannot be exported from the Isle of Man without a licence. In Scotland all finds of archaeological objects must be reported to the Crown, normally via the Treasure Trove Advisory Panel or the Finds Disposal Panel. Archaeologists are advised to seek specific advice on excavation and export procedures as in some instances licences are required. In England, Wales, Northern Ireland and the Isle of Man ownership of objects rests with the landowner, except where other law overrides this (e.g. Treasure Act 1996, Burials Act 1857). The archaeologist undertaking the fieldwork or the planning archaeologist must make this clear at the inception of the project (in the brief/project outline, WSI or project design).
- 3.10.6 Except in Scotland, it is the responsibility of the archaeologist undertaking the fieldwork to endeavour to obtain the written consent of the landowner for finds donation and deposition with the recipient museum.
- 3.10.7 Except in Scotland, in the event that the landowner is unwilling, for whatever reason, to donate the finds to the appropriate recipient museum, the archaeologist undertaking the fieldwork must endeavour to ensure all artefacts and ecofacts are recorded, safely packaged and conserved where appropriate before transfer to the owner, and that their location and ownership are stated in the site archive and public record. It should be noted that the owner's explicit (written) permission is required before entering such personal information in the public record (see inter alia the Data Protection Act 1984).
- 3.10.8 In Scotland all archaeological artefacts, irrespective of raw material, may be claimed on behalf of the Crown under common law. This applies no matter where, or on whose property, artefacts are found. As noted in paragraph 3.5.3 of the ClfA Standard and guidance for the collection, documentation, conservation and research of archaeological materials, all finds must be reported to the Treasure Trove Advisory Panel or, in the case of artefacts from fieldwork funded by Historic Scotland, to the Finds Disposal Panel. Ownership in either case is passed to the museum which receives the finds at the end of the allocation process.
- 3.10.9 The rules of ownership applicable to material which has come from a vessel (ie all those classified as 'wreck') are dealt with under the Merchant Shipping Act 1995 (see



Appendix 6). In cases of wreck material the Receiver of Wreck, in the Maritime and Coastguard Agency should be contacted.

### 3.11 Other considerations

- 3.11.1 It is advisable for excavation projects to be governed by a written contract or agreement, to which the WSI or project design may be attached. Such contracts or agreements should include reference to the defined area of study outlined on a map; to the brief/project outline, WSI or project design (see 3.2); to conditions for access; programme, method and timetable for payment; copyright arrangements and be signed and dated by all parties.
- 3.11.2 It is normal practice for both the copyright and ownership of the paper and digital archive from archaeological work to rest with the originating body (the archaeological organisation undertaking the work). The originating body deposits the material with the recipient museum or repository on completion of the contracted works, and normally transfers title and /or licences the use of the records at this stage. These arrangements may be varied by contract, and for the avoidance of doubt it is advisable to include statements on ownership and copyright in a written contract or agreement.
- 3.11.3 Material copied or cited in reports should be duly acknowledged, and all copyright conditions (such as those for Ordnance Survey maps and the National Grid) observed.
- 3.11.4 All aspects of publicity must be agreed at the outset of the project between the commissioning body and the archaeological organisation or individual undertaking the project.
- 3.11.5 The archaeologist undertaking the work must respect the requirements of the client or commissioning body concerning confidentiality, but the archaeologist must emphasise his or her professional obligation to make the results of archaeological work available to the wider community within a reasonable time.