

Conditions and recommendations analysis 2019

Statistics

28	Organisations registered
5	Conditions
46	Recommendations to implement
49	Recommendations to consider
0	Organisations removed from the register
0	Organisation left voluntarily
2	Organisations merged
2	Organisations joined the scheme

Conditions and recommendations

10-20 Recommendations

- Reports
- Health and safety
- Training and development (including 6 x skills audit/training plan, 3 x CPD, 2 x appraisals)
- Health and Safety (including 4x training, 6 x lone working, 2 x sourcing an independent adviser)
- Archives
- Outreach

5-9 Recommendations

- CifA accreditation
- Volunteers
- Organisation

Less than 5 Recommendations

- Formulate, review, update policies and procedures
- Quality assurance
- Conflicts of interest

Reports

- To review and update report templates and/or reporting guidance and QA processes;
 - Particularly in regard to the assessment of significance of heritage assets and the impact of development upon this significance, inclusion of planning background, reference to research frameworks and aims, and the interpretation of the significance of results within the wider research context.
 - ensuring all DBAs reference regional research frameworks and provide a proper assessment of all relevant local and regional sources of information with references and explanations for their inclusion or omission.
 - ensuring that all reports, including those written by senior staff are subject to robust quality assurance checking and procedures and that the quality assurance process is rigorously implemented to ensure compliance with the current ClfA Standards and guidance and so that project reports are thoroughly proofread and in particular, include referencing to wider archaeological sources where appropriate, and for historic building recording reports, photos are of an appropriate quality and the content of Level 3 reports accords with national guidance

Compliance would be achieved by

- *reviewing and updating report templates and/or reporting guidance and QA processes particularly in regard to historic building recording ensuring use of standard terminology and appropriate illustrations, OR particularly in regard to the assessment of significance of heritage assets (reports should clearly state the methodological approach employed and the elements that contribute to a heritage assets' significance and the impact of development upon this significance). Targeted training in this area could be explored*
- *inclusion of AOD and compass directions on sections in all reports*
- *consistently referencing research objectives and how these were met/not met and an interpretation of the importance of results within the wider research context*
- *consistent referencing details of archive contents and intended depository, the local HER, upload to OASIS (and ideally, a copy of an OASIS summary), and adherence to ClfA Standard and Guidance for all types of reports*
- To ensure work undertaken confidentially on behalf of a client prior to the submission of a planning application is ultimately submitted to OASIS and local HERs.
- To design and implement a scheduled reminder to contact the relevant curators with a request that they upload reports onto ADS.
- To consider including a short statement in reports as to why the survey was undertaken.

Appraisals, Training and Development

- To implement a formal and regular appraisal system, CPD logs, PDP's and training plans for every member of staff, and to produce and implement a skills audit for the organisation to underpin and inform future iterations of the organisational training plan already in place as well as individual training plans.
- Develop the current skills audit and organisational training plan to include training needs identified at appraisal, and beyond those simply required for compliance.
- Provide a structured and proactive approach to identifying, planning and implementing training. To develop and implement a structured training plan for assistant archaeologists/career entrants.
- To develop the approach to appraisals and training to include a specialist skills matrix for the heritage consultancy and archaeology teams across all offices and to underpin organisational and individual training plans with this matrix.

- To produce role profiles (or utilise existing examples) documenting key competencies, in order to help new and promoted staff to identify and plan for their future skills development and training.
- To encourage the use of the personal CPD log or organisational log to record the development of new and additional skills gained at work. To encourage staff to record the full breadth of CPD being undertaken.
- To source and access further targeted training for the staff eg writing DBAs

Health and Safety

- To arrange an annual audit with the Health and Safety advisers, including at least one site visit
- Where appropriate, to seek further advice from the Health and Safety adviser on a variety of H&S issues such as:
 - accredited training for the level, type of work and role of the member of staff (managing staff, monitoring tenders, leading on H&S, sole trader)
 - the ratio of appropriately accredited staff within areas of the business. (suggested qualifications to consider included SSSTS SMSTS, IOSH Leading Safely and IOSH Managing Safely, amongst others)
 - asbestos awareness training
 - training in using asbestos PPE
 - risk assessment training
 - implementing an effective lone working policy
 - the ratio of SSSTS and SMSTS qualified field and project management staff for the size and nature of their company, and to consider accredited training at the appropriate level for the senior project manager with responsibility for H&S
 - a risk assessment for the finds processing area
 - devising and implementing a procedure by which staff notify management of all near-misses and a record is kept
- To document the near-miss reporting and lone-working procedures and protocols within the Health and Safety policy.
- To take/arrange for suitable members of staff to take, Risk Assessment training/a recognised course (such as IOSH Leading Safely, IOSH Managing Safely, SSSTS or SMSTS) in order to raise awareness of potential hazards when monitoring tenders or managing work
- To develop and implement a system of checking and monitoring sub-contractor insurance, health and safety, appropriate experience and competence

Lone working

- To review and update the existing lone-working protocol/document and implement a lone-working protocol, procedures and mechanisms/a cascade of measures for escalating matters when a member of staff lone-working cannot be contacted. To rationalise existing practices between offices and teams To reflect this in updated risk assessment templates. To consider using a lone-working smartphone app as a back-up to the existing buddy-system. (The Suzy Lamplugh Trust also gives a list of lone worker apps. <https://www.suzylamplugh.org/Pages/Category/lone-worker-directory>).

Independent adviser

- To ensure an appropriately trained and experienced person is responsible for/or advising the organisation on H&S. To obtain the services of and to make arrangements to, consult an

external health and safety advisor as and when necessary - see for example, FAME's guidance and advice service <https://famearchaeology.co.uk/what-we-do/health-and-safety/> **AND/OR** for the relevant staff member(s) to undertake accredited health and safety accreditation (for example, IOSH, CHAS or SMSTS/SSSTS etc.).

Archives

- To develop and maintain a method of recording and monitoring the status and progress of the archive backlog for projects over 5 years old/ produce a comprehensive list detailing the archive backlog and outstanding publications/to bring up-to-date the existing backlog list of archives
- To update the current archives documentation/archive spreadsheet to ensure it includes all archives and incorporates the status for every archive where fieldwork was completed more than 5 years ago, (external or internal), reason why it has not been deposited/accompany this with an action plan for their future management/deposition/publication, so that it forms a clear strategy and programme comprising identification of the nature and status of archives to be deposited and a deliverable, prioritised programme for deposition. This should include the intended date of deposition for each archive, and record when the archive has been deposited and its accession number; where it cannot be deposited due to the closure of a depository, this should be recorded. The strategy and timescale for individual archives to be agreed with the relevant LA archaeologist and appropriate depository

Outreach and public engagement

- To explore the potential to widen out the limited range of outreach activities ...and to consider how best to ensure outreach is included from the very outset of large-scale projects.
- To put into place an outreach policy and to ensure that WSI's as standard 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, or where outreach is unlikely to be possible, justification is provided/ To put into place an outreach policy, and to ensure that all excavation WSIs include
 - a justified statement on public engagement and participation tailored to the project
 - a statement on publication and dissemination proposals detailing how the needs of different relevant audiences will be met

ClfA accreditation

- To advocate for historic environment staff at all levels to gain ClfA accreditation, using ClfA staff and resources where available. The inclusion of ClfA accreditation as a specific appraisal or progression objective could be considered. Staff may find the specialist competency matrices useful and the Pathway to PCIfA resources may be helpful for early career staff and/or students. Encouraging engagement with Special Interest Groups would bring CPD and networking benefits for staff and their employers and there are opportunities to disseminate information from ClfA received through e-bulletins, RO bulletins, TA etc more widely. Further information can be found here <https://www.archaeologists.net/InformationforROs>

Volunteers

- To further encourage volunteer and student opportunities, ensuring that on every occasion on which volunteers or students are to be used, and especially when competitive tenders

are sought for a commercial contract, the full extent of their activities in respect of the services offered must be declared and included in the submitted written project proposals.

- To put into place a written volunteer policy. Consideration given to publishing this online, and putting a clause in the contract with clients, as well as WSI's, to explain the use of volunteers
- To implement a system of CPD/training logs for volunteers to recognise training and experience.

Organisation

- Review processes in place to ensure good communication/ additional mechanisms to improve communication, between offices. Robust monitoring of workload capacities and access to training and TOIL. To clearly define the roles and responsibilities and the benefits Cifa membership and RO status can bring to a project.

Policies and Procedures

- To formulate and implement a suite of policies/policy statements/To review and update policies as necessary/ To update the procedures manual to ensure
 - the information is coherent across the different documents
 - the most recent Cifa Standards and Guidance documents are being followed company-wide, particularly in regard to Archives and Publication
 - the procurement and quality assurance procedures for external fieldwork contractors and specialists are documented within the Quality Manual
 - policy statements Include: volunteer, outreach, preparation of archives, ownership of finds, handling of human remains etc
 - the procedures manual reflects current organisation structure, current guidance and current approach to projects and reporting, and to consider inclusion of areas of practice not currently covered
 - inclusion of a document control grid at the front of reports to display the editing process and official sign off processes.
 - the procurement and quality assurance procedures for external specialists are documented within the Quality Manual/ensuring improved monitoring of the delivery of post-excavation assessment, analysis, publication and archiving.

Quality Assurance

- The procurement and quality assurance procedures for external specialists are documented within the Quality Manual/ensuring improved monitoring of the delivery of post-excavation assessment, analysis, publication and archiving.

Conflicts of Interest

- To produce a statement or guidance covering ethical business practice and conflicts of interest/Prepare and implement a conflict of interest policy and protocol specifically tailored to governing the management of conflicts of interest between the consultancy and contracting arm of the organisation.