

REGISTERED ORGANISATION APPLICATION FORM

Guidance

Version control:

Change to link in endnote 19	01/09/2022	Kerry Wiggins

Read through the form carefully. You will see that some sections do not apply and can be bypassed. Some are primarily boxes that need to be checked.

Some information will not have changed much since your last application and may only need to be copied and updated and although the layout of the form may have changed, many of the questions are the same.

You may be able to take some information from documents you have already produced for other purposes (such as an Annual Report) and tailor it for the application form

The preparation for the inspection is an opportunity for reflection on the process of continuous quality improvement within your organisation. Every individual member of your team has an input into aspects of this.

As the Responsible Post Holder you will need to ensure that the application form contains all the required information, but this can be completed by other members of staff on your behalf. For example

- Some post-excavation questions could be addressed by the post-ex manager or members of the post-ex team. (3.4)
- Someone with specific responsibility could answer Health and Safety questions (section 27)
- Members of the field team may be able to contribute to the Research section (3.1, 3.2, and 3.3)
- Line managers and those responsible for in-house training may be able to answer questions in the section on training (particularly 24.2.3 – 24.2.7)

For some parts of the form it may also be beneficial to start the process well in advance in order to gather the opinions of your staff and teams. For example

- Ethical business practices could be an exercise undertaken at team or Board meetings or as a stand-alone training session and could be a great way to promote and enhance professionalism (section 20).
- All members of staff should be able to describe aspects of your HR recruitment, retention, and reward practices (23.2.14 – 18). This could be an interesting short discussion on site or in the office, with someone to take notes.
- All staff should have something to contribute to the question on public benefit. This could be effectively addressed at team meetings to promote professionalism (section 26).

Section C: Historic environment investigation and research

This section is to be completed by all organisations that undertake, advise on, or procure historic environment work including the investigation of buried, upstanding or submerged heritage assets including research, desk-based assessment (including those undertaking DBAs and Heritage Statements as part of consultancy), geophysics, other assessment types, fieldwork and post-field work activities such as post-ex assessments, publications (including grey literature), and archive deposition.

Section 1 Advice and consultancy

*If you provide specialist advice to the commissioners of services¹ in relation to the historic environment (either as stand-alone advice or incorporated into reports), please answer the following questions. (see **Standard and guidance for commissioning work or providing consultancy advice on archaeology and the historic environment**)*

1.1 When your organisation gives advice to a commissioner

1.1.1 How does your organisation ensure that it complies with the *Code of Conduct, Standards and guidance, other national and local guidance and legal and policy requirements, and ensures commissioners are aware of this? (Including - Incorporation of research objectives², Methods of promoting public engagement³)*

Points to address and examples to consider may include:

- The range of advice provided to commissioner of services
- The range and type of local and national guidance and protocols referenced
- How guidance is collated, retained, stored, updated, checked, referenced
- Methods of validation and approval: documentation, regulatory authorities
- Heritage works undertaken in accordance with current best practice guidance
- Employment of competent and accredited staff
- Compliance: signposting of documents, awareness and training of staff, processes and procedures, editing process, sign off by senior staff
- Variance from standard guidance – situations, justification, validation and record.
- **Incorporation of research objectives:** What, where, when and how they are used. Barriers and the approaches to overcome them. Writing research objectives into WSIs and Post-Excavation Research Design (PERD)
- **Methods of promoting public engagement** eg case studies, work with the advisor/regulator, collaborating with PR companies
- Overcoming objections and barriers

1.1.2 How does your organisation ensure commissioners are aware of the costs and risks associated with a range of courses of action?

Examples may include:

- Costs/risk analysis and post-procurement due diligence
- Costs and risks highlighted during the initial costings
- Range of pricing options
- Contract management
- Details included in tender documentation
- Competence of staff undertaking costing
- Contingency funds
- Risk management process/protocols
- Consultation with client, design team, local and national advisors/regulators etc.
- Review of previous studies and all relevant background information
- Site walkover
- Checks on access, utilities, security, ground conditions, the presence of crop/livestock and the location and nature of the compound, traffic routes and flows
- Liaison with the client and other key stakeholders
- Ensuring work within manageable parameters or choice of contractors
- Obtaining all relevant permits and consents
- Assigning personnel with responsibility for oversight
- Periodic checks on costing
- Periodic review meetings
- Issuing interim reports

Section 2 Procuring services

Complete this section if your organisation procures historic environment services from other organisations or individuals, whether that is specialist services for parts of a project or whole projects.

2.1 Specifications and designs for historic environment work your organisation has procured

2.1.1 How do you ensure Written Schemes of Investigation (WSI) comply with the relevant ClfA Standards and Guidance?

Examples may include:

- Corresponds with the checklist in the guidance
- Internal and external monitoring and verification
- Justification for departing from the guidance

2.1.2 If you don't have specifications or designs for all procured work, explain why not?

2.1.3 If you don't ensure the WSI is approved in advance by the appropriate historic environment advisor/regulator explain why not.

Examples may include:

- Justifications and mitigating actions: Type of work, pre-planning work or other work outside of the planning process, no relevant or appropriate person to approve, efforts made to engage in consultation or overcome barriers

2.2 Managing procurement and tenders for historic environment work.

2.2.1 Indicate which archaeological and non-archaeological services your organisation sources from external organisations or individuals

Under £50k pa

Over £50k pa

Examples may include:

- Specialist archaeological and non-archaeological skills
- intrusive and non-intrusive work

2.2.2 Explain the procedures for seeking, selecting and awarding tenders or procuring services

Examples may include:

- Criteria for recommendations eg price, quality, capability, cost, track record, RO status, specialisms
- Approved suppliers application process
- Certifications and qualifications verified
- Meet CifA minimum salary recommendations
- Specialisms, local knowledge
- Compliance with all protocols and procedures
- Preparing briefs and specifications
- Pricing and quotations - protocol
- Seeking approval from local or national regulatory authority
- Answering queries and clarifications
- Providing reports
- Retained record of relevant documents and certificates

2.2.3 How does your organisation ensure:

2.2.3.1 Those undertaking the work have the competence to do so and have access to necessary specialist advice.

Examples may include:

- Registered Organisation
- Individual CifA accreditation
- Other relevant accreditations

- Repeat providers
- Demonstrably competent specialists
- Justification for other preferred suppliers
- PQQ and approved vendor list
- Employing competent staff

2.2.3.2 that the procurement of work and compliance with ClfA and other relevant standards is undertaken consistently across your organisation – in particular where you are NOT procuring work solely from Registered Organisations or ClfA accredited professionals?

Examples may include:

- Procurement consistent with *Standard and guidance for commissioning work or providing consultancy advice on archaeology and the historic environment*
- Procurement managed by RPH
- Briefs, procurement policy, terms and conditions reference and require compliance
- Use of templates
- Process of checks
- Supplier register

2.2.3.3 Adequate provision is made to complete the project to the required standards.

Examples may include adequate:

- procedures and processes
- brief/specification
- communication
- contracting and pricing (fully costed)
- project management and financial control
- contingency built in
- assessment of risk

2.2.3.4 Compliance with relevant Health and Safety regulations.

Examples may include:

- H&S documents submitted eg through procurement process
- Risk assessments, inductions, toolbox talks for sub-contractors
- Welfare facilities provided or detailed in the risk assessment
- Checks shown to be part of existing H&S accreditation process
- Evidence of competent H&S advice

2.3 How does your organisation monitor work it has procured

2.3.1 How does your organisation monitor the work it procures to ensure that the work done is of appropriate quality / fit for purpose?

Examples may include:

- Process of monitoring and review
- Project meetings
- Monitoring points throughout the life of the project
- Review by in-house experts
- Quality assurance of reports by appropriate people/external advisers

2.3.2 If the work is not of appropriate quality / fit for purpose, what action do you take. What is your escalation procedure?

Examples may include:

- Training in specialist skills to equip staff for monitoring
- Standards written into contract and not signed off unless met.
- Errors monitored and investigated
- Corrective actions
- Sanctions
- Complaints

2.4 Publication and archive deposition for work your organisation has procured.

2.4.1 How many projects (where work was completed five or more years ago) remain:

2.4.1.1 Unpublished (where publication was appropriate either to the significance of the findings or the requirements of the brief)

2.4.1.2 Archives not deposited in a museum or other recognised repository?

2.4.1.3 Archives not deposited in a recognised digital repository?⁴

2.4.2 If one or more, explain why and outline the current plans for ensuring material from unpublished fieldwork is brought to publication and archive deposition?

Examples may include:

- Addressing the different methods, personnel, current plans and funding attached to publication, archive and digital archive.

2.4.3 If organisations from whom you have procured work are required to participate in OASIS and to deposit reports with the relevant Historic Environment Record, describe how you ensure they do.

Examples may include:

- Requirement introduced early in project
- Forms appended to WSI
- Forms updated throughout life of project and at every reporting stage
- Review of projects to identify and complete outstanding forms
- Staff training and monitoring of updates

Section 3 Research

This section covers intrusive and non-intrusive work undertaken directly by your organisation

3.1 Written manuals, policies and guidelines

3.1.1 Does your organisation have and adhere to the following policies and guidelines	Y	N	NA
Research manual or guidance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Site recording manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Building recording manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Geophysics manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pro forma recording system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Finds recording manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pro forma finds recording system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Environmental recording manual	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Pro forma environmental recording system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Selection strategy implementation policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy for publication and dissemination	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on security copies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Guidelines for report preparation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1.2 Other policies, guidelines, or manuals (please specify) For example: <ul style="list-style-type: none"> • post ex processing guidelines/handbook, policy on personal and sensitive data (GDPR) 			
3.1.3 If your organisation does not have one or more of the above, please explain why and what the procedures are			
3.1.4 Describe the processes your organisation uses when implementing project-specific selection strategies for archaeological archives ⁵			

For example:

- Critical and strategic thinking about how to create selection strategies
- Workflow adopted
- Additional guidance or documentation consulted
- People selected for collaboration.

3.1.5 What proportion of project-specific selection strategies for archaeological archives are not implemented and why?

3.2 Do the activities that your organisation undertakes:

- 3.2.1 Have written specifications or designs/?**
- 3.2.2 Ensure that Written Schemes of Investigation comply with the relevant ClfA *Standards and Guidance*?**
- 3.2.3 Seek to ensure that work is approved in advance by the appropriate historic environment advisor/regulator?**
- 3.2.4 If no or not applicable, please explain why.**

3.3 How does your organisation ensure that those carrying out the work have the appropriate?

3.3.1 Knowledge of the written specification or design.

Examples may include:

- Project briefing
- provision of access to documentation eg RAMS, WSI, PERDS etc
- communication with staff
- developing the competence of staff

3.3.2 Competencies for the work they are carrying out.

Examples may include:

- Review of qualifications, accreditations, past experience and referee's reports.
- Maintenance of a skills audit and training record
- Allocation of task and assignment
- Training needs analysis
- Training programme
- Communication
- Identified in-house specialists and specialisms

3.4 Archives⁶: Digital archives⁷, artefacts, ecofacts and other physical archives

3.4.1 Does your organisation have the following policies, guidelines, or manuals?	Y	N	NA
Preparation and deposition of physical, documentary, digital archives	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring ownership of finds for receiving organisations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Handling of human remains	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storage of material, including environmental	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Storage of digital material	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Backlog archive and publication deposition strategy and programme	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please specify)			
3.4.2 If your organisation works with physical or digital archives and does not have one or more of the above, please explain why.			
3.4.3 Preparation and curation			
<p data-bbox="320 1003 1417 1075">3.4.3.1 To what standards does your organisation work when preparing archives for final deposition?</p> <p data-bbox="204 1124 480 1155">Examples may include:</p> <ul data-bbox="252 1164 1390 1236" style="list-style-type: none"> • Specified regional and national standards and guidance for selection, preparation, transfer and deposition of archives <p data-bbox="320 1285 1257 1357">3.4.3.2 What staff are dedicated to the curation of finds and/or data in your organisation's care?</p> <p data-bbox="320 1406 1385 1478">3.4.3.3 What dedicated facilities and other provisions have been made for the use and storage of finds and/or data in your organisation's care?</p> <p data-bbox="204 1527 480 1559">Examples may include:</p> <ul data-bbox="252 1568 820 1684" style="list-style-type: none"> • Designated finds store and processing area • Storage of physical data • Storage of digital data <p data-bbox="320 1733 1332 1805">3.4.3.4 What provision is made for security copying of records and/or data in your organisation's care, and for data compliance?</p> <p data-bbox="204 1854 480 1886">Examples may include:</p> <ul data-bbox="252 1895 754 2011" style="list-style-type: none"> • Data management plans • GDPR and data compliance processes • Scanning and digitising 			

- Cloud and hard drive back up
- Cyber security

3.4.4 Project archives⁸ and finds assemblages that have not been deposited within 5 years of the completion of the fieldwork

3.4.4.1 How many have not been deposited in a museum or other recognised repository?

3.4.4.2 How many have not been deposited in a trusted digital repository?

3.4.4.3 How many of these have not been deposited due to reasons out of your organisation's control eg lack of receiving museum?

3.4.4.4 If one or more project archives and finds assemblages have not been deposited for other reasons, please explain why?

3.4.4.5 What measures is your organisation is taking to ensure all outstanding physical and digital archives will be deposited?

Examples may include:

- Action plan devised
- museums contacted
- transfer of title pursued

3.4.5 Projects undertaken by your organisation, where work was completed five or more years ago, which remain unpublished? (NB – where publication was appropriate either to the significance of your findings or the requirements of the brief).

3.4.5.1 How many remain unpublished?

3.4.5.2 If one or more, why?

3.4.5.3 What are the current plans for bringing material from unpublished fieldwork to publication and archive deposition?

3.4.6 Document Archive

3.4.6.1 If your organisation does NOT participate in the OASIS scheme please explain why.

3.4.6.2 If reports are NOT deposited with the relevant Historic Environment Record please explain why.

If relevant, please download and complete **Section D:** Stewardship/archaeological advice by historic environment services or **Section E:** Educational role, otherwise go straight to **Section F** Organisation Information

Section F Organisation Information

This section is to be completed by ALL organisations

19 Organisation Details (Other information will be drawn from the database. Please ensure all the information you entered online is up to date)

19.1 Entirety of organisation being registered? Yes No

19.2 Part of a larger organisation? Yes No

19.3 Name of parent organisation, if applicable:

19.4 Address of parent organisation, if applicable:

19.5 The Responsible Post Holder (RPH) occupies the position which represents the highest level of specifically historic environment responsibility within the management structure of the organisation. **If you are not this person, how does your role fit the responsibilities of RPH?**

19.6 Location of offices (not full address) and number of staff employed in each

Main office and number of staff

Other offices and number of staff

19.7 Type of organisation (tick all that apply)

Local authority

Registered charity

Educational institute

Sole trader

Limited company

Plc

Llp

Other partnership

Cooperative

Other (please specify)

19.8 Organisation activities and services

Description of role of organisation and the major/principal activities or projects undertaken within the last three years, including the scale of work undertaken.

19.9 Skills

What historic environment and support skills do you have in-house in the last 3 years?

What skills do you hire or buy in?

20 Ethical business practices (See the CfA Code of conduct⁹ (In particular Principle 1) and Professional Practice paper 'An Introduction to Professional Ethics'¹⁰)

20.1 Describe any potential ethical issues your organisation encounters with respect to the services you provide and the processes you use to manage them (for example, reconciling the needs of a client with those of the historic environment, providing commercial planning advice and commercial investigative services, working with volunteers, students or interns, non disclosure agreements and confidentiality of knowledge gained through services). Reference to the Code of Conduct may be a useful guide.

Examples of processes may include:

- Existing codes of conduct and policies e.g. bribery and corruption, fraud etc
- Internal audit
- Commitment to development and maintenance of individual competence and integrity
- Commercial and personal confidentiality and intellectual copyright
- CPD – training, reading or debate on ethics and handling potential ethical issues
- Consistent reference to Standards and guidance
- Professional discussions on potential ethical issues
- Planned and considered ethical processes for procurement and contracting
- Fair, open and honest contractual arrangements with agreed fees and charges and payment schedules to be honoured by both the supplier and the customer
- Company-wide processes for escalation, negotiation and resolution of issues of ethics and business practices
- How and when to advise clients to regarding conflicts of interest and seeking disinterested advice
- Policy on the use of volunteers and students - ensuring that the involvement of unwaged archaeologists confers no commercial advantage or loss of quality of product
- Providing sufficient time for excavation in the face of potentially conflicting time pressures
- Operate with avoidance of harm – human rights, environment, health and safety, wellbeing of society at large
- Fair and objective in advice and actions. Not influenced by prejudice.
- Do not tolerate bullying, harassment, discrimination
- Open grievance and complaint procedure
- Support trade union rights
- Training and appraisal to ensure professionalism
- Non exploitation, through fair pay and conditions, abide by employment regulations, Modern Slavery Act and other relevant legislation
- How to use quality management and provision of proper processes, people, plant, equipment and services, and through planning, delivery and review to support ethical behaviour.

21 Standards and quality assurance

(Please refer to additional guidance page 5¹¹, Code of conduct rules 4.1-4.7; Standards and guidance; Policy statement on Environmental protection).¹²

21.1 Details of any quality system that has been subject to formal evaluation or certification (eg by ISO)

21.2 If not formally accredited, please describe your organisation's quality assurance procedures and provide documentation explaining how quality is managed (how quality is achieved, and errors resolved)

Examples of quality assurance procedures may include:

- Use of Standards and guidance
- Set processes for routine tasks eg selection toolkits, data management plans, use of terms and glossaries
- Procedure for updating processes to meet changing standards, legislation and requirements
- Processes and operating procedures documented
- Tracking and auditing of inputs and outputs
- Monitoring of processes and procedures
- Work monitored and checked with a verification and sign off process
- Tabulated document version controls
- Errors reviewed and "lessons learnt" process
- Supervision and management of quality, built into job roles
- Sharing good practice with other Registered Organisations
- Attending Responsible Post Holder meetings
- Annual review of report templates

21.3 If anyone in charge of a project or activities is not a MCIfA, how does your organisation ensure their competence is appropriate?

Examples may include:

- Recruitment process – evidence of competence, references, interview, induction, probation
- Appraisals
- Monitoring
- Training
- Accreditation a requirement of role – perhaps linked to progression and reward

21.4 How does your organisation monitor, review and implement ClfA's *Code of conduct and Standards and guidance* and other relevant standards and guidance, including communicating this to staff as part of its quality assurance process?

Examples may include:

- Specified in staff terms and conditions
- Written into the standard operating procedures for all staff

- Member of staff responsible for reviewing updates
- Internal audits of processes against standards and guidance
- Use as part of standing items in team meetings eg discussions of lessons learnt or ethical business practice

22. Professional accreditation

Please provide information on the average number of staff your organisation employs in various historic environment roles (eg project managers, excavators, development control archaeologists, SMR/HER assistants, conservation officers, senior academic staff, research staff, teaching assistants, technical staff, etc) and indicate how many are accredited by ClfA. If your organisation does not employ staff, please answer these questions where relevant to yourself. (*ClfA believes that the greater the proportion of staff who are ClfA accredited professionals the greater our confidence that standards will be complied with. That is why **a reduced Registration subscription rate** is offered to those with a higher percentage of individual ClfA accreditation.*)

22.1 Organisation grades, roles or post titles	Total number	MCIfA	ACIfA	PCIfA	Affiliate	Student	Other professional accreditation
1. Responsible Post-holder(s)							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							
13.							

14.							
15.							
16.							
17.							
18.							
19.							
20.							
All historic environment staff (total of above)							
Non-historic environment staff							

22.2 Promoting professionalism

Your workforce:

22.2.1 How does your organisation actively promote the benefits of professional accreditation to your workforce (staff/students/trainees/others)?

Examples may include:

- Invite CfA to discuss/give presentations/accredited application workshops
- Appraisal/performance review objective
- Incremental salary increase upon achieving accreditation
- Staff contact for all CfA information
- Toolbox talks
- Display TA or other CfA leaflets/posters
- Circulate CfA emails/bulletins to staff

22.2.2 Does your organisation offer any additional incentive to staff/students/trainees?

Examples may include:

- Contribute towards application or subscription fees
- Promotion
- Salary increment linked to accreditation
- Reimbursement of fees
- Paid time to complete application

22.2.3 How does your organisation encourage and enable staff/students/trainees to become involved in CfA activities?

Examples may include:

- Paid time and support for participation on committees and inspection panels
- Paid time to attend ClfA CPD workshops
- Fees paid to attend ClfA annual conference

The wider profession:

22.2.4 How does your organisation actively promote the benefits of professional accreditation to the wider discipline?

Examples may include:

- Incorporate ClfA standards into Quality Manuals and Standard Operating Procedures.
- Promote RO status on reports, briefs, specifications, contracts, funding applications, letterheads, stationary, emails, website etc.
- Quote ClfA guidance as part of Terms and Conditions in WSIs, project tenders etc.

Colleagues, clients, visitors, job applicants:

22.2.5 How does your organisation promote ClfA and its aims and activities to those it meets as part its work? (eg colleagues, clients, visitors, job applicants).

Examples may include:

- Publicise accreditation by celebrating when accreditation/upgrade is achieved or in general
- Use of the Client Guide
- Use of RO logo eg at public outreach events, on website, annual report etc
- Display ClfA RO certificate
- Refer to ClfA in recruitment literature, job descriptions and specify membership/accreditation is preferred in applications.
- Use of post nominals including ClfA accreditation grade

23 Employment policies and procedures

Please refer to additional guidance¹³ page 5-6, *Code of conduct* rules 1.6, 5.1, 5.3-5.7; *Standards and guidance*; Policy statement on Equal opportunities; Policy statement on Self-employment and the use of self-employed sub-contractors.¹⁴ **Please refer to Appendix 1 for ClfA recommended salary package.**

23.1 Sole/Single Trader Organisations

23.1.1. Do you charge out your services at rates appropriate to your level of competence (ie MCIfA), in line with ClfA guidance on minimum salaries and employment packages? *If you are self-employed, the remuneration and employment package you provide for yourself should still meet ClfA's requirements (pro-rata, if applicable).* Yes No

23.1.2. Please supply further relevant information

23.2. Employer Organisations

23.2.1. Are salaries linked to any specific pay grades or structure? Yes No

23.2.2. If you are part of a larger organisation, does the Registered Organisation have any influence over:

salaries	Yes <input type="checkbox"/>	No <input type="checkbox"/>
job evaluation procedures?	Yes <input type="checkbox"/>	No <input type="checkbox"/>

23.2.3. Do you employ self-employed or fixed-term contract staff? Please provide more details.

23.2.4. Are all staff (including permanent, casual, fixed-term, zero hours contract) paid at or above the new minimum salary for their level of responsibility, irrespective of their accreditation status, for 2022-23 from 1 April 2022?¹⁵ Yes No

PCIfA level Yes No salary range is

ACIfA level Yes No salary range is

MCIfA level Yes No salary range is

23.2.5. If any member of staff is paid less than the recommended minimum salary for their level of responsibility, please state why.

Examples may include:

- Pay scales agreed centrally
- High value employment package
- Require accreditation for increment

In terms of CfA's employment package¹⁶

23.2.6. What is your employer's percentage contribution to staff pensions?

23.2.7. Does your organisation pay 1 month sick pay to all staff (subject to qualifying period)?
Yes No For some

23.2.8. How many hours is your working week (excluding lunch breaks)?

23.2.9. In cases where any of the above are less than the requirements set out in the CfA employment package does your organisation compensate staff accordingly. (Please see Appendix 1)
Yes No For some

Does your organisation have the following?

- 23.2.10. **Written terms and conditions**
- 23.2.11. **Written contract of employment**
- 23.2.12. **Written job descriptions for all posts**
- 23.2.13. **Defined essential and desirable competencies in job description or person specification**

HR, recruitment, retention and reward

23.2.14. Describe your organisation's policy on staff travel time

Examples may include:

- Overtime payment for driving outside of work hours
- Flexi time, TOIL or overtime for travel beyond 30/45/60 minutes
- Maximum limit on driving time without break
- Overnight accommodation if driving time is over working hours by a specified amount

23.2.15. Describe your organisation's policy on staff accommodation and subsistence for away-based projects¹⁷

Examples may include:

- Single occupancy rooms
- Subsistence payments at standard away rates (HMRC guidelines)
- Within reasonable distance of public transport, shops, and other facilities

23.2.16. What other employment benefits does your organisation provide that helps attract, maintain and motivate staff?

Examples may include:

- Generous Pension, buy back or purchase annual leave, family-friendly and flexible working, bonus,
- Progression opportunities, job security, career development training opportunities, research opportunities, consultation with staff, wellbeing programme, Mental Health First Aid training, implementing equality and diversity initiatives, mentoring
- Provision of phone, iPad, laptop
- Cycle to work scheme, fuel cards, discounts on goods, social events/committee, staff away-days
- 24 hour anonymous employee support scheme (help with counselling, legal advice etc)
- Support with attendance at conference, workshops and research panels, 100% CfA subs, Support with CfA activities such as committee membership

23.2.17. What methods does your organisation use to maintain communications with all staff, including with and between staff working away from the main office, and to ensure they get regular access to information and resources?

Examples may include:

- Provide phones, iPad
- Intranet, VPN, cloud systems,
- Email, text, WhatsApp groups
- Notices, newsletters, bulletins
- Staff meetings, reps, line manager, duty manager on call, staff forum, direct access to senior management team/open door policy
- Placements in different offices
- Training and resources shared between offices
- Staff surveys

23.2.18. How are staff informed about the HR policies (including information about statutory rights at work¹⁸)?

Examples may include:

- Induction
- Intranet
- Policies online
- Issued with staff handbook
- Regular contact with line manager/mentor/team contact

24. Training and development ¹⁹

Continuing Professional Development (CPD) allows individuals to develop their competencies throughout their working lives. All CifA accredited individuals must complete 50 hours of CPD over two years and record this in a CPD log and personal development plan.

24.1 Sole/Single Trader Organisations

Please provide a copy of your personal development plan and CPD log with your application, preferably electronically. *Now go to section 25*

24.2. Employer Organisations

Training needs analysis

24.2.1 If your organisation does not conduct personal development assessment and performance reviews (appraisals) for all staff, please explain who is not included and why.

24.2.2 What other methods does your organisation use to identify skills and competencies, and training needs for the organisation as a whole.

Examples may include:

- Updated skills audit - mapped against required competencies, business benchmarks and KPIs
- Identified skills gaps/training needs analysis
- Requests from staff
- Analysis of priorities and budget
- Agenda item at management team meetings
- Personal career development goals

Personal and professional development

24.2.3 How does your organisation encourage individuals to record their own CPD? (*Continuing professional development (CPD) can be formal coursework or informal learning situated in practice. ClfA requires accredited individuals to maintain a personal CPD log*).

Examples may include:

- ClfA eLearning module
- Mentoring
- Use of ClfA online CPD log
- CPD incorporated in appraisal
- Completion of CPD log built into work timetable
- Requirement of progression for increment

24.2.4 Does your organisation use/accept the BAJR Skills Passport? Yes No

24.2.5 How does your organisation support staff in achieving what is on their personal development plans (PDP)?

Examples may include:

- Record on PDP/appraisal record
- Provide paid/unpaid leave/financial support or awards to pursue personal learning goals

Training provision

24.2.6 What methods does your organisation use to ensure that staff are being appropriately trained, developing technical competence and pursuing career progression opportunities?

Examples may include:

- In-house training
- Group courses bought in from specialists
- External training sourced
- Support to attend ClfA Special Interest Group workshops
- Personal development provision through practical, financial and professional support
- Professional development mentoring
- Personal development discussion at PDP
- Opportunities to “act up” into roles
- Induction and review when moving to new grade
- Internal adverts for jobs

24.2.7 How does your organisation ensure that all staff are aware of the range of training on offer and how to access it?

Examples may include:

- Informed at induction
- Item in team meetings
- Advertised on noticeboard, intranet, email.
- Staff encouraged to reflect on training needs and to request training
- Staff identifying training provision and sharing with colleagues
- Learning rep, training champion, mentors

24.2.8 Please provide a brief summary of the type of training and development opportunities which your organisation has provided to its staff during the past three years.

24.2.9 How does your organisation record how much time employees spend training?

Examples may include:

- Internal training log
- Spreadsheet
- IT system

24.2.10 What was the average number of training days per member of staff over the last year?

In job	days
Off job	days

24.2.11 Does your organisation have a training budget? Yes No

24.2.12 Is this training budget under your organisation's direct control? Yes No

Career entrants

24.2.13 Does your organisation have any staff who are career entrants? Yes No

24.2.14 If yes, does your organisation offer a structured training programme for career entry level staff? Yes No

24.2.15 Is your organisation's training programme accredited by CfA? Yes No Not applicable

24.2.16 If Yes, how many trainees do you currently have?

24.2.17 If your organisation offers a structured training programme that is not accredited by CfA, please provide details.

Examples may include:

- Teaching programme
- Competency based
- Mapped against business benchmarks, KPIs,

- Delivering against national occupational standards

24.2.18 If your organisation does not offer a structured training programme for career entry level staff, how does it provide opportunities for new appointments at career entry level to gain Practitioner level skills and competence? *(in accordance with ClfA policy on the use of training posts on archaeological projects)*

25 Volunteers

ClfA supports student training and appropriate volunteer opportunities on projects without exploitation. Please refer to the policy statement²⁰ on the “Use of volunteers and students”.

25.1 Describe your work with volunteers

Please consider the following points:

- Extent of work with volunteers
- Volunteers/students and commercial projects
- Type of voluntary work available
- Induction
- Ensuring Health and Safety
- Provision of PPE
- Ratio of paid staff to volunteers
- Structured training for volunteers
- Handbooks, learning sheets or training manuals, volunteer packs
- Provision of skills logs, certificates or records of achievement
- Maintaining standards and championing professionalism (eg methods of promoting ClfA)

26 Public benefit

26.1 How do you incorporate public benefit^{21 22} into your project design or promote and secure public benefit outcomes when advising commissioners?

Please consider the following points:

Planning

- Advocating for the incorporation of historic environment elements during master planning/design
- Advising on the investigation, interpretation, or retention of historic fabric as part of a new development
- Promoting and seeking to secure the wider benefits of public engagement when providing advice to commissioners of services

Participation

- Involve community groups, period or thematic research groups, metal detecting clubs, Young Archaeologists, local schools etc in research, fieldwork, finds or archive work
- Dig for a day events for schools, community
- Training programmes for local groups and volunteers
- Digital participation, web site and smart phone app design,
- Promote and encourage diversity and inclusion in the planning and design of activities
- Enabling civic participation at every level.

Communication

- During: Site tours and/or open days, Community talks, Site blog, website, newspaper, articles, podcasts, Site noticeboard with details of latest discoveries, Local exhibitions, Community newsletter
- After: Popular publications, leaflets, interpretation panels, Reconstruction drawings, Heritage trails, Web-based publication, open access, facilitated access to archives, museum exhibit design, 3D modelling, education, schools’ outreach, curriculum development, CPD training for teachers, community workshops and learning opportunities

Evaluation

- Feedback forms, interviews, surveys, destination statistics, review meetings, external evaluation

Post-excavation

- Provision for the analysis, physical and digital archiving, and publication of results
- Addressing the needs of a wide range of end users and their requirements from publications and archives
- Public interaction with the archive as part of a programme of public benefit.

27 Health & Safety Arrangements

Code of conduct rules 1.6, 5.2; *Standards and guidance*; Policy statement on Health and Safety;²³ Please refer to the additional guidance.²⁴ If you answer yes to the first question you will still be expected to demonstrate during the inspection how the organisation implements these systems.

27.1 Health and safety accreditation

27.1.1. Please provide details of your accreditations (eg OHSAS 18001, ISO 45001 or SSIP)

27.1.2. Does your organisation have a written Health and Safety policy? Yes No

Go direct to “Accidents” section if you have relevant accreditations and have provided your certificate/s

27.2. Health and Safety policy and Risk Assessment

Advice and compliance

27.2.1. How does your organisation ensure that that you comply with relevant Health and Safety legislation and regulations, including the provision of welfare facilities?²⁵

Examples may include:

- Leadership; H&S training at senior management level
- H&S committee/champion
- Modelling H&S practice on site
- Regular review of HSE guidance
- H&S targets set and reviewed
- H&S budget/adequate resources/appropriate costing
- Monitoring and reviewing practice including control and preventative measures and accident and sickness rates
- Action on breaches and hazards
- External sector specific audits including site visit
- Reviews and revision of policy
- HSE bulletins/lessons learnt
- Standing item in management and team meetings
- Consultation with employees
- Shared vision
- Staff training
- Appropriate H&S qualifications at each level
- Devolved resources to staff assigned with H&S responsibility
- Planning work for safety, allowing time for safe work and providing adequate resources and equipment
- Onsite facilities and access for welfare
- Arranging access to external/shared welfare facilities

27.2.2. Who provides your sector specific Health and Safety advice?

A dedicated Health and Safety advisor?

A member of staff (in-house or external)?

27.2.3. How does your organisation ensure they are competent?

27.2.4. At what intervals does your organisation carry out a Health and Safety audit or review of your Health and Safety procedures?

27.2.5. When was your last Health and Safety audit or review?

Practice

27.2.6. What is your organisation's procedure for Risk Assessments?

Examples may include:

- Prepared by competent person
- Signed off by safety officer/senior manager
- On site reviews as timetabled/when circumstances change/new risks identified
- Copies held in site office
- Site staff briefings

- Reviews of office and general risk assessments

27.2.7. How does your organisation ensure those undertaking Risk Assessments are competent to do so?

Examples may include:

- Accredited current training
- In house training by a competent person
- Risk assessment reviews by senior management team

27.2.8. When potential hazards have been identified by Risk Assessments, describe the procedures in place to reduce or eliminate the risks.

27.2.9. How does your organisation assess the need for first-aiders?²⁶

Accidents

27.2.10. How many reportable incidents (ie RIDDOR²⁷) has your organisation had in the last three years?

27.2.11. Does your organisation have a procedure for reporting near misses?
Yes No

27.2.12. How are your organisation's reporting procedures (including accident and near miss) used to improve health and safety practice?

- Reporting on health, safety, and environmental issues. Including specific tasks, the wider working environment, interfaces with the public, road risk, occupational health and wellbeing
- Reporting what goes well, what could go wrong, what did go wrong
- Reporting best practice
- Feedback on safety observations and closing out actions

28. Insurance (Regulations for the registration of organisations 4.4, *Standards and guidance*)²⁸

28.1. Does your organisation have the following insurance cover?

- | | | |
|--|------------------------------|-----------------------------|
| Public Liability | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Employers Liability | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Professional Indemnity | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Personal Accident Insurance | Yes <input type="checkbox"/> | No <input type="checkbox"/> |
| Is the level of all insurance cover adequate for the scale and type of work you are carrying out? | Yes <input type="checkbox"/> | No <input type="checkbox"/> |

28.2. If staff use personal vehicles for work, how does your organisation ensure the insurance is adequate?

Examples may include

- Insurance for business use checked annually
- Other - explain

You have now completed the Organisation Details section that has to be completed by all applicants.

Please now complete Section G: Declaration

Section G: Declaration

Please refer to the Regulations for registration of organisations.

As Responsible Post-holder(s) for the organisation I/we confirm our wish to be registered with ClfA. I/we have read and agree to abide by the terms and conditions of Registration. I/we also reaffirm my/our agreement to adhere to ClfA's *Code of conduct* and regulations.

I/we understand that the provision of false information in relation to the Registered Organisations scheme may lead to immediate removal from the Register.

I/we have completed the relevant sections of the application form for our organisation's activities and services.

I/we understand that in applying for registration with ClfA's Registered Organisation scheme, the scheme operates on the basis of peer review and I/we will abide fully with the decisions of the Registration Committee (Organisations) (or its nominated representatives in the form of a sub-committee or panel).

Signature	
Name	
Date	
Signature	
Name	
Date	
Signature	
Name	
Date	

If there is more than one Responsible Post-holder in the organisation, all the Post-holders should sign. (All Responsible Post-Holders must be accredited MCIfA)

Appendix 1

Employment package

There is a package of employment entitlements that Registered Organisation employers are expected to adhere to, and which all CifA-accredited professionals acting as employers are required to endeavour to meet or exceed. The breakdown of these is as follows:

- **6% employer pension contribution subject to any reasonable qualifying period**
 - From 2018, all employers must provide a workplace pension scheme by law and from 1 April, the minimum contribution is 3%. CifA expects employers contributing less than 6% to compensate elsewhere within the employment package
 - There is no requirement within the amended scheme for employers to compensate staff who choose to opt out of auto-enrolment
- **Average 37.5 hour working week**
 - It is recognised that the circumstances of contract 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.
- **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 employer not adhering to this package is expected to remunerate their staff as follows.

Condition	PCifA	ACifA	MCifA
2022/23 minimum salary recommendations	21,100	24,600	31,600
Less than 6% employer pension contribution (per % point)	£211.00	£246.00	£316.00
Per additional hour over and above 37.5 hpw	£562.67	£656.00	£842.67
No sick leave allowance (based on min. 1 month full pay)	£1,758.33	£2,050.00	£2,633.33

Appendix 2

Guidance

¹ Providing advice to the commissioners of services in relation to the historic environment, or procuring services on their behalf, within the same organisation or externally. This includes:

- a. providing advice to a landowner, developer, or member of his/her professional team on commissioning historic environment services in order to fulfil a planning or other requirement
- b. procuring historic environment services within the organisation or externally
- c. advising a heritage body commissioning a specific study

² Standard and guidance for commissioning work or providing consultancy advice on archaeology and the historic environment section 3.1.1 (c)

³ See also question 26.1

⁴ ADS for example, has been awarded the Data Seal of Approval and its replacement the CoreTrustSeal, is a regular member of the World Data System (WDS), and holds the WDS Certification of Trustworthy Digital Repository.

⁵ <https://www.archaeologists.net/selection-toolkit>

⁶ <https://www.archaeologists.net/selection-toolkit>

⁷ <https://www.archaeologists.net/digdigital>

⁸ Archive strategy and example Archives List

<https://www.archaeologists.net/InformationforROs> (Copy and paste the link. You will need to be logged in)

⁹ <https://www.archaeologists.net/sites/default/files/Code%20of%20conduct.pdf>

¹⁰

<http://archaeologists.net/sites/default/files/03.%20CIfA%20Ethics%20Practice%20Paper%20digital.pdf>

¹¹ <https://www.archaeologists.net/join/organisation>

¹² <https://www.archaeologists.net/codes/cifa>

¹³ <https://www.archaeologists.net/join/organisation>

¹⁴ <https://www.archaeologists.net/codes/cifa>

¹⁵ The minimum salaries for 2022/23 (from 1 April 2022)

Posts requiring competence/responsibility at PCIfA level - £ 21,100

Posts requiring competence/responsibility at ACIfA level - £ 24,600

Posts requiring competence/responsibility at MCIfA level - £ 31,600

¹⁶ <http://archaeologists.net/practices/salary> and appendix 1

¹⁷ <https://www.archaeologists.net/sites/default/files/awaysurveyreport.pdf>

¹⁸ <https://www.gov.uk/browse/working>

¹⁹ **Training plan:** We expect Registered Organisations to contribute to helping staff achieve their objectives. All Organisations are expected to have and maintain an organisation level training plan in addition to training plans for individuals A guide to developing a training plan can be found here <https://www.archaeologists.net/careers/info-for-employers>

²⁰ <https://www.archaeologists.net/codes/cifa>

²¹ <https://www.archaeologists.net/sites/default/files/news/Public%20benefit%20leaflet.pdf>

²² <https://www.archaeologists.net/sites/default/files/The%20Archaeologist%20110.pdf>

²³ <https://www.archaeologists.net/codes/cifa>

²⁴ **Health and Safety:** In order to be confident that organisations are compliant with the Code of Conduct we will be looking for organisations to have access to competent H&S advice either through an appropriately trained member of staff or a competent H&S advisor (external company, local authority etc.). For organisations that have a current formal H&S qualification (as set out in the application form) the committee and inspection panels will assume that this scheme has ensured that the organisation meets the required standards.

As part of the inspection process, RO panels will be checking that staff are aware of whom to ask for H&S advice, and for organisations with external advisors, that there is a clear relationship, with open communication and oversight. Where this is not in place it is likely that an organisation will be recommended to put in place suitable arrangements.

²⁵ **Welfare facilities:** <https://www.hse.gov.uk/pubns/indg293.pdf>

²⁶ <https://www.hse.gov.uk/firstaid/legislation.htm>

²⁷ <https://www.hse.gov.uk/riddor/reportable-incidents.htm>

²⁸ <https://www.archaeologists.net/codes/cifa>