

Workshop 2 Standards and Guidance

17th May 2017, 10.30 – 16.30

Canada Wharf Culture Space, Rooms 5 and 6

<http://canadawaterculturespace.org.uk/culture-cafe-your-visit>

Programme

Archaeological Standards and Guidance

What are they for and who sets them?

10.30 – 10.45	Arrival and tea/coffee
10.45 – 11.00	Introduction and briefing
11.00 – 11.30	Setting the scene: four short presentations
11.30 – 12.30	Group work 1: Question 1 - a new vision for 2017 and beyond?
12.30 – 13.00	Plenary 1: report back, and agree issues for afternoon group work. Are Questions 2 – 6 the ones that we need to ask?
13.00 – 13.30	Lunch
13.30 – 15.00	Group work 2: discuss and debate agreed issues
15.00 – 15.15	Tea/coffee
15.15 – 16.30	Plenary 2: discuss outcomes from group work 2 and agree recommendations to take forward: what shall we do and who will lead?

Workshop leads: Jan Wills (CifA)

Duncan McCallum (Historic England)

Workshop facilitator: Mike Heyworth (Council for British Archaeology)

Workshop 2

Archaeological Standards and Guidance

What are they for and who sets them?

Online discussion on **10-12th May** and the subsequent workshop on **17th May** will focus on the following questions. The objective of the discussion is to produce recommendations that can be taken forward by the sector. The results of the online discussions and the workshop will be collated and made available for comment and consultation.

1. A new vision for 2017 and beyond?

Notwithstanding the changes in planning policy, is the Southport vision is still relevant? Can we construct a new vision for 2017 and beyond?

What outcomes do we want to achieve and what should standards therefore contain?

The 2017 review of Southport concluded that the current framework of standards and guidance is the most robust infrastructure that the archaeological profession has yet had but that there is not yet a consistent commitment to common standards, nor sufficient training to support implementation. The review identified the following issues:

The main drivers / barriers include:

- *A disconnect between policy and practice, with organisations not consistently investing in internal communications and training, and individuals not consistently relating their personal work to the underpinning standard.*
- *A reluctance to specify the use of accredited expertise, and assumptions that to do so is anti-competitive or disenfranchises the voluntary and enthusiast sector.*

Pointers for the next 25 years?

- *Individual Chartership representing, among other things, a pledge and commitment to quality work based on agreed standards and guidance;*
- *Growing sectoral leadership skills*
- *Managing the tension between demands for more tightly defined process standards than the CfA outcome-based model, and the need to encourage innovation and creativity.*
- *Responding to the challenges arising from the synthesis of information from developer-funded archaeological work for professional practice in the field and beyond.*

2. Roles and responsibilities – who sets standards?

Many organisations are involved in producing standards and guidance; do we yet have a common understanding about roles and responsibilities or are we all competing with each other? Who should lead on what?

What are the respective roles of Historic England, professional institutes, local authorities and how do they inter-relate?

3. How are standards implemented and enforced?

Formally the only enforcement routes for standards are through:

- the statutory processes: ancient monuments legislation and policy, and the planning process: legislation, policy and government guidance
- the professional institute through accreditation, registration and professional conduct processes
- contractual arrangements where standards are specified

Do we understand regulation and enforcement, and do we have confidence in the way that the profession is regulated? Do we have a 'culture of confident professionalism' that Southport spoke of?

What does it mean to be professional and to whom are we responsible?

4. New thinking on methodology and standards - how do we capitalise on the lessons of synthesis projects, and translate them into professional practice?

After 25+ years of modern development-led archaeological investigation a number of national synthesis projects have utilised the outputs from this work to re-examine the archaeology of particular periods. The most extensive is probably the Roman Rural Settlement project which has looked at more than 3500 archaeological published and grey literature reports. Apart from a new perspective on the period this has enabled a reflection on methodological issues, including calls for a more *standardised* approach to recording, sampling, artefact retrieval and analysis, and reporting.

5. How much should we be prescribing methods as opposed to seeking outcomes?

Does the former prevent innovation? How can we raise standards and translate good practice into best practice? How can we raise standards, achieve consistency and yet inspire innovation?

6. Should improving standards make our work more cost-effective or will they add cost?

Workshop 2

Standards and guidance in archaeology – what are they for and who sets them?

Background

The Southport Vision (2011; see **Appendix 1**)

Following the publication of Planning Policy Statement 5 *Planning for the Historic Environment* and *The Government's Statement on the Historic Environment for England* in 2010, the Southport group (convened at the IfA conference at Southport that year) responded with a vision and a set of recommendations for planning-led investigation in the historic environment. The vision was ambitious, sought 'delivery of a range of powerful and imaginative public benefits' and 'planning-led investigation and explanation of the historic environment (that) should be commissioned to comply with clear professional standards for person, process and product'. Under *Quality Management* the specific vision (supported by eight recommendations) was that:

- *Work should be led by accredited experts working to a full range of agreed professional standards for types of work and their products*
- *Professional standards and guidance supplement and replace as appropriate government guidance on the implementation of PPS5 and its successors*
- *Guidance defines and uses consistently the terminology of PPS5*
- *Guidance helps the exercise of professional judgement on what is proportionate and reasonable*
- *There is a greater expectation of and dependence on professional accountability for complying with ethical and technical standards and less reliance on local authority historic environment staff to monitor quality*
- *Expert archaeological practitioners should have the opportunity to apply for Chartered status*

PPS 5 was soon replaced by the *National Planning Policy Framework* (2012) and in the following five years the political, economic and social context has changed considerably. A review of the vision and the recommendations of Southport - *What about Southport?* - and this changed context was undertaken recently for ClfA. Extracts from the original report and from the review are attached as **Appendix 1** to this paper; the full reports can be accessed via the links below.

The framework in 2017: codes, standards, guidance, legislation, advice... (see also **Appendix 2**)

Professional standards

The professional quality framework that applies to all ClfA professionals is provided by the Institute's Code of Conduct, and specific Standards and Guidance on thirteen topics, principally types of archaeological investigation or advice given by organisations within the sector, eg desk-based assessment, excavation, consultancy advice, curatorial advice. The Standard defines the desired outcome; the Guidance seeks to define current good practice, indicating how the Standard and the Institute's Code of Conduct can be adhered to. These documents are enforceable via the professional conduct procedures by which accredited

professionals and registered organisations of the institute are held to account. They are not binding on non-accredited practitioners – unless stipulated in a contract - but may still influence their work. They are cited in the *Historic Environment Good Practice Advice in Planning notes* (see below).

Legislation and supporting guidance

A very high proportion of archaeological investigation in England is generated by the need to assess the significance of, or carry out recording of, heritage assets to be affected by development. Other types of investigation may result from university-led or personal research, works necessary to enable improved management of an archaeological site or structure, or community projects.

Where archaeological investigation in connection with development is concerned overarching government policy is set out in the *National Planning Policy Framework* (2012) replacing, amongst many other documents, the previous specific heritage policy (Planning Policy Statement 5: *Planning for the Historic Environment*, 2010). The subsequent Taylor review (2012) which considered the then '7,000 plus pages of Government Planning Practice guidance'..., and subsequent government policy, has sought to restrict the amount of guidance developed to support the implementation of the NPPF. Accordingly the *National Planning Practice Guidance* (2014) is comparatively brief in its explanation of the policy framework that it supports.

For the small proportion of heritage assets that are scheduled monuments the *Ancient Monuments and Archaeological Areas Act 1979* and the DCMS statement of government policy (2013) towards their management will be the starting point. The latter also covers nationally important but non-scheduled monuments (*cf* paragraph 139 of the NPPF).

Sector-generated guidance

Following publication of the NPPF and NPPG Historic England, with sector support, produced three *Historic Environment Good Practice Advice in Planning notes* 'to provide more detailed guidance to assist local authorities, planning and other consultants, owners, applicants and other interested parties in implementing historic environment policy in the *National Planning Policy Framework* (NPPF) and the related guidance given in the *National Planning Practice Guide* (NPPG)'. While advisory, these documents produced by the government's statutory adviser with sector support are intended to have weight in the planning process.

While the Historic England good practice advice notes were produced with the support of DCLG the production of additional advice is discouraged unless a clear need can be demonstrated. A current example of the latter is DCLG's support for a collaborative revision of the *Mineral Extraction and Archaeology: A Practice Guide (2008)* in preparation by the Minerals and Historic Environment Forum.

Historic England also produces and funds a wide range of technical guidance and advice on, for example, the management of the historic environment; specific types of sites, buildings or landscapes; survey; archaeological science, and other topics not directly linked to any statutory processes.

Other organisations within the heritage sector also produce a large quantity of advice and guidance to assist in the understanding and management of the historic environment. It varies considerably in its purpose, content and format and while much of it is produced by individual organisations, an increasing amount is produced collaboratively.

Local authorities may produce their own guidance aimed at applicants for planning permission for development.

To guide projects undertaken by voluntary groups and researchers in particular the CBA has produced the *Introduction to Standards and Guidance in Archaeological Practice*, with modular content linked to the ClfA standards.

The Heritage Lottery Fund produces guidance for applicants undertaking projects with an archaeological component.

Current initiatives

The Historic Environment Forum is proposing a **mapping exercise** of all relevant sector documents, how they fit together hierarchically, where ownership sits, and what weight or status they have, and if/how they are intended to be enforceable; a **gap analysis** to identify significant **gaps** in advice produced by the sector; and a **strategy** for the production of standards and advice by the sector whether by individual organisations or collaboratively.

Historic England is commissioning a ‘**needs**’ piece of research to determine the extent to which Historic England’s online advice and guidance is getting the right information across to the right people in the most effective and accessible way.

ClfA, in partnership with and funded by Historic England, is convening online discussion and workshops that will inform its future approach to the production of standards and guidance. While Workshop 2 focuses on standards and guidance it is anticipated that others in the series will produce recommendations relevant to (for example) standards in archaeological archiving, techniques and recording in the field, reporting and publication, and the protection and management of heritage assets.

References and source material

Planning Policy 5: *Planning for the Historic Environment*:

<http://webarchive.nationalarchives.gov.uk/20120919132719/www.communities.gov.uk/documents/planningandbuilding/pdf/1514132.pdf>

Realising the benefits of planning-led investigation in the historic environment: a framework for delivery, Southport Group 2011: <http://www.archaeologists.net/sites/default/files/SouthportreportA4.pdf>

What about Southport? A report to ClfA on progress against the vision and recommendations of the Southport Report (2011), Taryn Nixon 2017:

<http://www.archaeologists.net/sites/default/files/What%20about%20Southport%20A%20report%20to%20ClfA%20against%20the%20vision%20and%20recommendations%20of%20the%20Southport%20report%202017.pdf>

National Planning Policy Framework, DCLG 2012:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/6077/2116950.pdf

National Planning Practice Guide 2014:

<https://www.gov.uk/guidance/conserving-and-enhancing-the-historic-environment>

Historic Environment Good Practice Advice in Planning Note 2, Managing Significance in Decision-Taking in the Historic Environment, Historic England 2015: <https://historicengland.org.uk/images-books/publications/gpa2-managing-significance-in-decision-taking/>

Chartered Institute for Archaeologists Code of Conduct and Standards and Guidance:

<http://www.archaeologists.net/codes/cifa>

Mineral extraction and archaeology: a practice guide: <https://content.historicengland.org.uk/images-books/publications/mineral-extraction-and-archaeology/mineral-archaeology.pdf/>

Historic England advice and guidance catalogue:

<https://content.historicengland.org.uk/content/docs/guidance/he-advice-and-guidance-catalogue-apr16.pdf>

Local authority guidance, for example:

http://www.cheshirearchaeology.org.uk/?page_id=148

http://www.worcestershire.gov.uk/downloads/file/4588/standards_and_guidelines_july_2012

Council for British Archaeology guidance: <http://www.isgap.org.uk>

Heritage Lottery Fund guidance: <https://www.hlf.org.uk/archaeology-guidance>

Roman Rural Settlement project methodology papers:

<http://www.cotswoldarchaeology.co.uk/developer-funded-roman-archaeology-in-britain/methodology-study/>

Appendix 1

Extract from: *Realising the benefits of planning-led investigation in the historic environment*,

Southport Group 2011, 24-28

3.6 Characteristics of the market for historic environment services

3.6.3 The vision for the market for services that investigate the historic environment is one that:

- delivers maximum net value to society rather than least-cost compliance with regulation
- that weighs procurement models toward quality over price and demands adherence to standards for person, process and product
- sustains projects that produce use value as well as existence value

3.6.4 To deliver valued services to developers and to improve the offer to the public, the Southport Group makes the following recommendations:

23 Weighting quality in procurement

- IfA redrafts guidance on scope of WSI
 - to create a more standardised bidding document
 - to require bidders to identify what they did in earlier successful bids to maximise value as well as minimise costs. See recommendation 4 on public participation

24 Requiring work to be done by individuals and/or practices that demonstrate they meet explicit standards for person, process and product

- IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on requiring work to be done by individuals and/or practices that demonstrate they meet explicit standards for person, process and product

3.7 Quality management

3.7.12 The vision for ensuring quality in the management and development led investigation of the historic environment is that:

- work should be led by accredited experts working to a full range of agreed professional standards for types of work and their products
- professional standards and guidance supplement and replace as appropriate government guidance on the implementation of PPS5 and its successors
- guidance defines and uses consistently the terminology of PPS5
- guidance helps the exercise of professional judgement on what is proportionate and reasonable
- there is a greater expectation of and dependence on professional accountability for complying with ethical and technical standards, and less reliance on local authority historic environment staff to monitor quality

- expert archaeological practitioners should have the opportunity to apply for Chartered status

3.7.13 To achieve better quality in the delivery of PPS5 principles, the Southport Group makes the following recommendations:

25 Advocacy and promotion of PPS

- TAF, Heritage Alliance, the Historic Environment Forum and the bodies under those umbrellas should coordinate to take appropriate opportunities to advocate the retention and application of PPS5 principles

26 Developments of standards, practice guidance and frameworks

- IfA, IHBC and ALGAO produce revised/replacement practice guidance that includes expanded definitions of all relevant terminology. They should include toolkits or frameworks of principles that guide different expert parts of the sector in consistent and transparent methods for evaluating significance based on 'interests', that can be used in a range of circumstances including Environmental Impact Assessment (EIA), and that can apply to designated and non-designated assets. They should produce advice on weighing significance against the need for change. Such guidance should be supported by training (contributes to NHPP especially Measure 4)
- ALGAO, IHBC, IfA and the amenity societies produce guidance on techniques for engaging communities in the process of understanding interests and significance
- IfA by sector consensus revises its Standard and guidance for desk-based assessment. It should cover the assessment and understanding of interests and significance, the potential impact of development upon them, and the management of change that offsets degradation of one interest by enhancement of another
- IfA and ALGAO in collaboration with FAME include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on managing historic environment work by requiring compliance with person standards as well as those for process and product. It should advise on how local authority advisers can more effectively and more accountably manage quality by expecting professional associations to investigate and act on allegations of non-compliance – a dependence on self-regulation
- The guidance should be promoted through HELM
- IHBC considers adopting and promoting to its members, the IfA Standard and guidance for desk-based assessment and other standards
- ALGAO and the Planning Inspectorate collates good practice case studies, appeals decisions etc relating to the identification of interests and assessment of their significance, and hosts them on the HELM site
- IfA in collaboration with FAME provides improved guidance, and develops higher requirements for, effective quality management by Registered Organisations and practices led by IfA members

27 Recognition of accredited historic environment professionals

- ALGAO in collaboration with IfA and IHBC identifies the accreditation standards that professionals should meet to be deemed suitably competent to lead historic environment investigation projects. Appropriate steps should be taken to counteract any market dynamics that commercially advantage organisations or individuals that do not meet or do not provide services meeting accepted quality standards, including the use of planning conditions and

supporting documents and processes

28 Managing quality by person

- IfA increases its encouragement for and celebration of innovation and leadership
- IfA seeks a Royal Charter of Incorporation with a view to offering relevant chartered status to historic environment investigation practitioners
- IfA and IHBC foster, and EH indicates approval for, a culture of confident professionalism by a variety of means, including a move away from excessive emphasis on process and product over skills and judgement

29 Skilling the sector

- EH working with HELM, ATF and other sector training forums and consortia draws up and delivers a coordinated programme of training events on assessing and understanding interests and significance (NHPP Activity 2E1), including the development of existing good practice examples of internship between different parts of the sector
- IHBC in collaboration with other institutes and relevant HEIs seeks to address perceived under-capacity in the buildings history sub-sector
- IHBC, IfA and FAME seek to increase the level of, and offer support for, construction related project management skills in the sector
- Sector bodies monitor skills losses, including those relating to specialist finds and environmental study, and prioritise skills retention and capacity building

Extract from “*What about Southport? A report to ClfA on progress against the vision and recommendations of the Southport Report (2011)*”, Taryn Nixon 2017, 15-16

3.6 PROCUREMENT AND DELIVERY BASED ON QUALITY:

Southport envisioned a market that delivers maximum net value to society rather than least-cost compliance with regulation, that weighs procurement models toward quality over price, that demands adherence to standards (for person, process and product), and that sustains projects which produce use value as well as existence value.

Overall progress in the last 5 years?

As with other Southport actions, progress has been good, but the overall vision is still a long way away. We tend to default to using the language of risk management, and are less good at using the language of place-making, and it is hard to find examples of procurement on quality over price, other than on major schemes.

Nonetheless, a large number of ambitious development, infrastructure build and regeneration projects across England over the coming years, offer an opportunity to bring about consistent delivery of a range of powerful and imaginative public benefits than has ever been achieved before.

The main drivers / barriers include:

- Competitive market drivers;
- Lack of compelling evidence to illustrate how projects designed around public benefit will support the objectives of an individual developer or scheme.

Pointers for the next 25 years?

- Better specification by all relevant parties of work that helps to shape and celebrate identity and place;
- Defining quality standards in terms of socio-economic impact;
- Use story and synthesis to demonstrate convincingly and compellingly why work was done, what was learned, and how it made a difference and was worth the investment;
- Requirements that projects contribute appropriately to synthesis (through for example Allen at al 2016).
- New models of dissemination that, for example, require every significant project to deliver teaching resources and a short illustrated synopsis.

3.7 PROFESSIONAL STANDARDS & GUIDANCE:

The Southport vision for ensuring quality was that work should be led by accredited experts working to a full range of agreed professional standards for types of work and their products, and that the standards and guidance would be readily available, consistent and framed in the relevant language to support and inform professional judgements on what is proportionate and reasonable, placing greater emphasis on professional implementation over reliance on local authority monitoring of work.

Overall progress in the last 5 years?

The standards and guidance now in place represent the most robust infrastructure we have yet had. A great deal of work has gone into enabling work to be carried out to high quality professional standards regardless of who is leading the project or how it was initiated, and this is a major advance.

Where the sector seems weakest is in ensuring consistent commitment to standards, and in ensuring that sufficient training and familiarisation has taken place right across organisations.

The main drivers / barriers include:

- A disconnect between policy and practice, with organisations not consistently investing in internal communications and training, and individuals not consistently relating their personal work to the underpinning standard.
- A reluctance to specify the use of accredited expertise, and assumptions that to do so is anti-competitive or disenfranchises the voluntary and enthusiast sector.

Pointers for the next 25 years?

- Individual Chartership representing, among other things, a pledge and commitment to quality work based on agreed standards and guidance;
- Growing sectoral leadership skills
- Managing the tension between demands for more tightly defined process standards than the ClfA outcome-based model, and the need to encourage innovation and creativity

Appendix 2 (Kate Geary, ClfA, 2017)

