

**STATEMENT OF PRACTICE
IN COMPARABLE PROFESSIONS -
Archaeology Training Forum Project under the Chitty Report
(Recommendation 4)**

Study commissioned by: English Heritage on behalf of the members of the Archaeology Training Forum.

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1. Background and Objectives

1.1 Background

Archaeology is a growing area of public interest, both in educational and more general terms. However, relatively few of those studying archaeology as undergraduates pursue a professional career in archaeology. Undergraduate courses in archaeology are educational rather than vocational, and there is only a small number of jobs in professional archaeology. Professional archaeologists are few in number compared to many other professions; they are widely distributed in terms of geography, type and nature of employment, and increasingly specialised.

In a nutshell, archaeology can be characterised as:

- A highly educated 'young' profession – 91% of professional archaeologists have a degree and 44% have a postgraduate qualification; the average age is 36
- A diverse employment environment – ranging from field work to heritage organisations, museums, universities and local societies
- Having a relatively high dependence on 'project-based' employment compared with 'permanent' employment – 33% of professional archaeologists are not on permanent establishments
- Offering relatively low salaries and restricted employment benefits when compared to some other professions.

A great deal of work has already been carried out into the training and professional development needs of the archaeology profession. In particular, the report “**Training in Professional Archaeology**” (Chitty, April 1999) was based on an in-depth study of the education and training of archaeologists. It concluded, *inter alia*, that:

- Professional qualification and career development are insufficiently structured
- Entry routes into work in archaeology are ill-defined
- People entering the profession may find it difficult to obtain the required work experience
- There are few opportunities for sector-wide and interdisciplinary working
- Delivery of training policies and practice is poor in many organisations
- There is no formal recognition, or definition, of CPD requirements
- The skills base is weak in particular areas.

The Report recommended: “That the ATF initiate a project for a comparative study of professional qualifications in related fields as the basis for developing a suitable model for the archaeological profession”.

Some proposals for the further development of the archaeology profession have also been made by the Institute of Field Archaeologists (see reference 6 at Section 13.1).

The present Study is thus a further step in the process of defining the 'profession' of archaeology and arriving at an acceptable structure for its representation, promotion, training and accreditation.

1.2 Objectives

The Study has three main objectives:

- (1) To build on research already commissioned by the Archaeology Training Forum (ATF) into the profile of the archaeology profession, and current training and accreditation arrangements.
- (2) To produce a report on the structure of careers, progression and training in selected professions drawing comparisons with, and lessons for, archaeology.

(3) To guide the archaeological profession as it sets up its own accreditation, training and continuing professional development (CPD) systems.

1.3 The Brief

A number of key issues were specified in the Brief as the focus of the Study:

1. Entry into a profession - the criteria for acceptance into/maintenance of different grades of membership of a Professional Institution (PI).
2. Career progression - the respective roles of academic qualifications, practical qualifications and experience. The regulation of movement through the profession and maintenance of standards.
3. Work experience - arrangements for secondments, placements and other ways of obtaining the required length and breadth of work experience.
4. The relationship between different categories or grades of membership and diversity of expertise within the profession.
5. Maintaining professional standards and competence - through CPD.
6. The costs of professional membership and accreditation - both for the institution and the individual.

2. Methodology and Approach

2.1 The Work Plan

As a first step a project design was drawn up and agreed as a basis for the implementation of the Study.

Background research was then carried out. This involved reading, absorbing and summarising key aspects of the materials supplied by ATF. The objective was to obtain a sound understanding of the archaeology profession, its employment characteristics, training needs and the main issues facing the profession. This information was used to construct a 'profile' which could readily be compared with other professions.

Information was collected from seven professional groupings - represented by their professional institutions and associations; it was obtained from their web sites and published documents, as well as by telephone discussions with key staff. Five of these professions had previously been identified by ATF as being 'broadly comparable with archaeology':

- (a) The Royal Town Planning Institute (RTPI)
- (b) The Royal Institute of British Architects (RIBA)
- (c) The Royal Institution of Chartered Surveyors (RICS)
- (d) The Institution of Civil Engineers (ICE)
- (e) The Museums Association (MA).

Two further institutions were added to the list because they were thought to be relevant and interesting exemplars:

- (f) The Landscape Institute (LI) – having recently acquired a Royal Charter; being about the same size as the archaeology profession and having to cater for distinct groups of members
- (g) The Institution of Highways & Transportation (IHT) - having undergone significant recent changes to accommodate a diverse membership, and having espoused National Vocational Qualifications (NVQs) to a greater extent than many other professional institutions.

A 'profile' for each of these professions was assembled and presented in a way intended to make for easy comparison with the 'profile' of archaeologists described above. Specific points were then pursued with staff in the selected professional institutions and other experts. This included an examination of:

- (a) The different representative (or putative representative) organisations that embrace archaeology. These included some member organisations of the ATF together with National Training Organisations (NTOs) and other archaeological bodies, including those in the Museums Service.
- (b) Work that has been carried out within the construction and built environment professions to define 'professional competencies'.
- (c) Work on Continuing Professional Development (CPD) – especially in the built environment professions.
- (d) A number of other Professional Institutions known to the author.

Following consultation and discussion with ATF members on the draft report it has been amended to form this final report.

2.2 Some Definitions

Before proceeding further it may be helpful to provide a number of definitions:

The Chitty report defines **'work in archaeology'** as: "the application of archaeological skills in conservation, education, fieldwork, collection, management, interpretation, presentation, research and the overall management of historic environmental resources".

The **archaeological sector** is defined as including: "Those who work in archaeology in historic environmental services in a local, regional or national authority; in an independent or a commercial archaeological practice; in specialist consultancy, in a research or teaching body, in museums, heritage centres and historic places, in archaeological societies and interest groups".

A **Professional Institution (PI)** includes any body that seeks to represent a profession in some way. They can be constituted in a variety of ways, for example through incorporation under a Royal Charter, as a learned society or a more general style of association. This Study draws on the experience of a number of different organisations and uses the acronym 'PI' as an inclusive shorthand.

2.3 Sticking to Principles

The Study has taken the view that it is very easy to get overwhelmed by the detail and that it is important to get behind the complex of job titles, membership categories, rules and procedures, and to examine some of the general principles involved. In addition to the summary Tables at the Annex, the Study therefore provides a number of specific examples designed to illustrate the practice of the selected PIs.

2.4 The Comparable Professions

It may be helpful to provide a 'thumb nail sketch' of the seven professions selected for study here. This shows how each one is highly distinctive in terms of history, scale, scope and objectives, and how it is important to take care in applying their approaches direct to the archaeological profession.

The 'mission' and 'prime objectives' are the author's interpretations based on the materials provided by the institutions concerned. They are important because they 'set the scene' for all the institution's activities and procedures. For example, different PI's may place greater emphasis on services for members, on informing the public, or on influencing government policy; some aspire to world-wide influence while others are quite definitely focused on the UK.

1. The Royal Town Planning Institute (RTPI)

Founded: 1914

Status: Incorporated by Royal Charter; registered charity

Mission: "To advance the science and art of town planning in all its aspects, including local, regional and national planning for the benefit of the public".

Prime objectives: To be the official body responsible for the Town Planning profession in the UK. To maintain high standards of competence and conduct within the profession. To promote the role of planning within the country's social, economic and political structures. To present the profession's views on current planning issues and policies.

2. The Royal Institute of British Architects (RIBA)

Founded: 1834

Status: Incorporated by Royal Charter; registered charity

Mission: "The advancement of architecture and the promotion of the acquirement of the knowledge of the arts and sciences connected therewith".

Prime objectives: To be the professional voice of architecture. To provide an international knowledge-based network, which is committed to the improvement and enjoyment of the physical environment through the development and sharing of values, ideas, learning and practices. To grow the membership in order to enrich the [architectural] community, extend influence and improve the quality of services.

3. The Royal Institution of Chartered Surveyors (RICS)

Founded: 1868

Status: Incorporated by Royal Charter; self-regulating professional body

Mission: "The RICS is committed to being the publicly recognised authority on all aspects of surveying and property in the UK and to expand its recognition world-wide".

Prime objectives: To define standards of education and training, and to accredit academic programmes leading to qualification. To establish a code of conduct that helps protect clients' interests. To provide informed comment to governments and to do research on all aspects of public policy which have a bearing on land, property or construction. To raise public awareness about the importance of chartered surveying and to promote members' skills.

4. The Institution of Civil Engineers (ICE)

Founded: 1818

Status: Incorporated by Royal Charter; registered charity

Mission: "Promoting the acquisition of that species of knowledge which constitutes the profession of a Civil Engineer, being the art of directing the great sources of power in nature for the use and convenience of man"

Prime objectives: To be recognised world-wide for its excellence as a centre of learning, as a qualifying body and as a public voice for the profession.

5. The Museums Association (MA)

Founded: 1889

Status: Independent professional body; registered charity; company limited by guarantee

Mission: "Working for the museum community"

Prime objectives: To promote best practice in all areas of museum work. To encourage supportive working practices through the exchange of information and ideas. To set ethical guidelines which balance the interests of museums, museum people and the public. To campaign on behalf of museums.

6. The Landscape Institute (LI)

Founded: 1929

Status: Incorporated by Royal Charter (1997); registered charity

Mission: "To protect, conserve and enhance the natural and built environment for the benefit of the public by promoting the arts and sciences of Landscape Architecture".

Prime objectives: To be the professional body of landscape architects. To promote the highest standards in the practice of landscape architecture and management. To regulate the way its members operate.

7. The Institution of Highways & Transportation (IHT)

Founded: 1930; reconstituted 1987

Status: Company limited by guarantee; registered charity

Mission: "To be the foremost learned society in the UK concerned specifically with the design, construction, maintenance and operation of sustainable transport systems and infrastructure".

Prime objectives: To provide a forum for the exchange of technical information and views on highways and transport policy. To produce practical technical publications. To provide specialist advice to government and other bodies. To make roads safer for the travelling public. To encourage training and professional development to meet today's requirements.

3. Comparing Professional Profiles

3.1 Overview

This Section attempts to profile the archaeological profession - in terms of numbers, diversity, geographic spread, employment sectors, employment characteristics and other special factors – and compare it to the selected professions. These characteristics have a direct impact on how a profession is organised and represented; on the scale and scope of supporting activities.

3.2 A Profile of the Archaeology Profession **Table A**

The first task of the Study was to develop a simple profile of the archaeological profession against which the other PIs could be compared. The intention was to draw on the work that had already been done and develop a succinct list of characteristics that might have a bearing on the rest of the Study. It was not the intention to repeat all the details already presented elsewhere.

The report “*Profiling the Profession*” (Landward Archaeology Research Report 99/06, published May 1999) gives a clear picture of the characteristics of people dependent on archaeology for their living. The key features include:

1. **Numbers** - there are around 4,425 professionals making a living from archaeology, together with 367 dedicated support staff. The numbers are expected to grow.
2. **Diversity** – 34 distinct ‘post profiles’ can be identified for the 2,132 archaeologists for whom information was available. There is a vast array of 455 job titles. The main groupings are: academics and researchers; field archaeologists; museums archaeologists; heritage and conservation staff. As in any profession the jobs range in status from junior to very senior and different members have different needs and aspirations at each stage of their career.
3. **Geographic spread** – archaeologists are distributed across all regions of the UK, but with particular concentrations in London, the rest of the South East and the South West.
4. **Employment sectors** – professional archaeologists are employed in the public, private and voluntary sectors. The survey suggested: 30% in contracting units; 15% in national heritage agencies; 15% in Higher Education; 18% in local government/museums; 4% in national museums; and 7% in commercial organisations and independent consultancies; the balance (11%) are scattered across a wide variety of societies, trusts and independent archaeological activities. Archaeology is characterised by individuals and small groups of professionals working in large organisations.
5. **Employment characteristics** – a particular feature is the relatively low proportion of archaeologists who are employed on permanent contracts (66%). 48% of archaeologists are in establishment funded posts, and 52% in project funded posts. 95% of archaeologists are employed full-time, though a higher proportion of women (7% cf. 3% for men) work part-time. 65% of professional archaeologists are men. It is a young profession, with an average age of 36 and only 12% aged over 50. 70% of professionals have been in their present post for over 2 years. Average salaries for professional archaeologists in full-time employment (£17,079 at the time of survey) are below those in comparable professions.

3.3 Findings of the Study **Table B**

This Table enables the reader to 'benchmark' the chief characteristics of the archaeology profession against the other selected ones 'at a glance':

1. **Numbers** – the seven PIs examined for this Study range in size from around 4,500 to almost 100,000 members. Most of them have significant numbers of support staff. All have a general public interest that involves a much wider audience. The numbers fluctuate.
2. **Diversity** – all the PIs involved in this Study have diverse memberships and have adopted a variety of strategies for coping with this. The diversity takes a number of forms including a wide spread of potential and actual members, as well as a tendency to specialise in increasingly narrow fields. All professions exhibit vast arrays of job profiles and titles.
3. **Geographic spread** – some of the PIs examined have a 'world-wide' remit or ambition. In the most extreme case over 20% of the 80,000 members are to be found in over 140 different countries. All the PIs have members scattered throughout the UK, generally following the pattern of population and economic activity. All the PIs have an overseas membership; in some cases this is a result of historic ties, in others it is a reflection of growing influence in the European Union and wider marketing efforts.

Devolution and decentralisation to Scotland, Wales and Northern Ireland has required some institutional adaptation to cope with different structures, legal frameworks and cultural nuances.

4. **Employment sectors** – the PIs exhibit a range of employment profiles, and the trend towards privatisation and out-sourcing has had a significant impact in some cases. The balance of public and private sector employment can be a significant factor. All the PIs except the MA have a significant private sector component. This has provided a challenge to some of the institutions – where they have traditionally served a largely public sector-based membership, and where the newly emergent consultancies and private practices have felt poorly represented. All PIs have an active academic component.
5. **Employment characteristics** – here again there is a diversity of experience. Some professions have a much higher number of self-employed members, whilst others tend to work in small practices e.g. 60% of RIBA practices employ 5 or less people. Generally speaking most professionals are employed on permanent contracts, and this is reflected in earnings and benefits. All professions are employing more women, and this is reflected in an increased interest in part-time employment. The professions reflect the general move towards increased job mobility and early retirement. Some professions e.g. architecture, are especially sensitive to the economic cycle resulting in large fluctuations in earnings and unemployment.

It should perhaps be noted here that not all those who are eligible to join a PI will in fact choose to do so. The RTPI, for example, undoubtedly represents a large majority of planners, but there could be a significant number (perhaps several thousand) of non members.

3.4 Some Lessons for Archaeology

These 'profiles' have clear implications for the design and delivery of any supporting professional development activities. Some of the key points are as follows:

- Archaeology is a relatively small profession. As a rule of thumb, the smaller the number, the more limited the resources and therefore the range and depth of professional support activities that will be possible.

- This limitation may be reinforced where the membership exhibits relative job insecurity and below average salaries - and this impacts on the scale of membership fees that are realistic.
- Small numbers also restrict the possible activities because the pool of available 'volunteers' needed to sustain professional activity is limited. Continuity can be a particular problem where people are not employed on permanent contracts and are constantly on the move. Many PIs are heavily dependent on members based in Higher Education and retired members to sustain their activities; many report a continuing [and increasing] problem of apathy i.e. an unwillingness of members to get actively involved in the affairs of the PI.
- There are several different ways of viewing the 'diversity' within a profession. All professions have a profusion of [sometimes confusing] job profiles and titles; archaeology is not alone in this.
- All professions exhibit a variety of working environments, a tendency towards operating in smaller and more commercially-oriented units, and a move towards specialisation. Again, archaeology is not unique. It is a question of balance between satisfying the needs of a diverse membership and the costs of doing so.
- Geographic spread only really becomes an issue when combined with small overall numbers. The problem is how to provide effective support services to a widely scattered, small population; economies of scale are largely absent, but there is a potential role for information and communications technologies (ICT).
- There is a problem keeping in touch with members working abroad or serving any overseas membership. Both these can require significant resources and expensive infrastructure.
- Almost all PIs have a 'branch versus centre' syndrome i.e. they find it difficult to achieve an acceptable balance between the needs of members in different regions and the volume of decentralised activity.
- PIs are continuously evolving and seeking to adapt to change in their environment. In particular they are seeking: to be more inclusive; to market themselves to their members, potential members and the general public; to cope with internationalisation, new forms of work organisation, qualifications (including the emergence of occupational standards) and technology.
- Many PIs have experienced, or are experiencing, some difficulties in maintaining their numbers. This has stimulated a number of attempts to 're-engineer' the institutes concerned, including tackling new markets, implementing mergers and decentralisation.

The remainder of the Study examines how other PIs are coping with these challenges.

4. Entering the Profession

4.1 Overview

This Section examines how people enter their chosen profession and how professional institutions regulate entry.

First, we have to define what we mean by 'entry into the profession'. The phrase is often used rather loosely. There is nearly always an important distinction to be made between being accepted into corporate or Chartered membership of a PI and being 'fully professionally competent'. Whereas the former is usually well defined, the latter is not (See section on 'Professional Competency' below).

4.2 Findings of the Study

Entry into support roles

It is helpful to distinguish between professionals and their support staff. The latter normally have their own distinct routes to membership. They may or may not be looked after by the same PI, and they may or may not have possible progression routes into the mainstream profession.

This Study does not look in detail at this group of non-corporate professionals. However, many PIs devote considerable attention to their needs as part of a 'holistic' approach to the profession. There may be special attention paid to 'bridging' mechanisms – so that movement is possible between technical and corporate membership.

For example, Technical Members of the RTPI have to show an appropriate combination of qualifications (to HNC/HND or NVQ Level 3 standard) and experience. They enjoy many of the same benefits of membership as their Chartered colleagues and their interests are safeguarded by the Institute. However, careers in Town Planning Support are seen as a worthwhile end in their own right. Technical Members wishing to become Chartered Town Planners will still have to meet the requirements for full membership i.e. a graduate or postgraduate qualification in planning together with two years of appropriate experience.

For example, the interests of Architectural Technicians are not looked after by the RIBA but by the British Institute of Architectural Technicians (BIAT). This is a separate organisation with a different type of entry qualification and different membership requirements.

For example, the RICS has recently merged with the Society of Surveying Technicians. It now recognises two points of entry – one for professionals and one for technical members, and the latter has been defined in terms of NVQs as well as the traditional HNC/HND.

Entry into full professional membership **Table C**

There are three common models of entry into full membership of a profession:

1. A student completes an accredited first degree in their chosen professional area; the course has a substantial vocational content. Next they obtain employment where they log the required amount and type of work experience. Then they apply for membership of their profession.

For example, a planner may study for a degree in Town and Country planning accredited by the RTPI. On graduation they obtain employment in a planning office, where they complete two years of work experience prior to applying for Membership.

2. In some cases the studies incorporate a substantial period of work experience, so that the graduate enters employment already equipped with the required professional capabilities.

For example, a young architect usually emerges from an undergraduate programme in architecture, goes on to a Diploma and then a Masters programme. These all contain significant elements of vocational training and there is a substantial period of work experience. At the end of 7 years of education they are able to apply for full [Associate] membership of the RIBA.

3. A student completes a first degree that provides a general educational basis for their profession, but has little direct vocational content. In order to provide an educational basis the degree must generally be in a 'related subject'. They then progress to an accredited postgraduate programme in their professional field. On completion they start employment. Having obtained the required length and breadth of experience they can apply for membership of their PI.

For example, a young planner may take a first degree in Geography, followed by a postgraduate course in Town Planning. They would then move into work, obtain the required experience and apply for membership of the RTPI.

Standard entry routes

So called 'standard entry routes' into full membership of the professions generally involve some combination of academic qualification and work experience. These aspects are examined separately in more detail in Sections 5 and 6.

For example, the IHT has 5 routes to membership (MIHT) based on a combination of age, degree and/or professional qualifications, experience and position held; experience alone may satisfy the criteria.

For example, the MA has 3 routes to membership (AMA - Associateship) based on a combination of relevant and acceptable qualifications (academic or vocational), experience, specified N/SVQ Units, specified CPD and a Professional Review interview.

For example, the ICE has a number of routes to membership (MICE) to take into account the different ways in which individual careers may develop. The most common route is via the ICE review system – as set out in document ICE2001. This comprises an approved training programme, work experience, CPD (known as CET) and a Professional Review (a project report, two essays and an interview).

Given the complexity of these arrangements it may be helpful to summarise the main elements in a Diagram which shows movement into the profession as a set of steps:

Diagram – Steps into a profession

Step 1	Step 2	Step 3	Step 4
Educational base	Initial Professional Development	Professional Review	Continuing Professional Development
The PI role: The PI encourages the provision of courses of a high standard leading to the development of sufficient intellectual capability.	The PI provides/ encourages the provision of professional training opportunities; personal development planning, CPD and structured work experience.	The PI provides the systems and documentation	The PI provides the systems and documentation
Through, for example: Accredited courses	Accredited courses; CPD services; certification and support	Expert panel	CPD services
The individual role: The individual obtains a solid foundation of knowledge in the chosen profession.	The individual acquires and develops skills, special knowledge and competences required to practise in a specified field.	The individual provides written and oral evidence of professional competence. They are accepted into the profession.	The individual takes responsibility for maintaining and broadening their professional competence.

Special entry routes

PIs are generally seeking to balance the need to attract as many members as possible against the need to maintain standards. Special entry routes are often used to:

- Encourage people in related professions to become members i.e. enabling people who are already members of one profession but working closely with people from another to join the latter.
- Widen the opportunity for membership to people who have contributed to the profession, for example through substantial work in the field, but are unable to meet other elements of the entry requirements. The most common example is to accept people having substantial amounts of work experience but no accredited academic qualification.

The main reasons given by people seeking special entry are:

- So that they can have their contribution to a profession recognised
- So that they can contribute to the development of the profession
- A desire for improved career progression and salary
- A desire to change employment into a field more closely related to the new profession
- A desire to take advantage of the benefits and networking opportunities offered by the new profession.

For example, ICE has a 'mature candidate route' for people who cannot meet the usual academic requirements.

For example, the RTPI has a Special Entry arrangement for entry into Chartered Membership. This is definitely not seen as an easy alternative route into the profession, but a means of broadening opportunities to those in related professions having substantial experience of working in a planning environment but no accredited planning qualification. Since 1989, 500 members have joined via this arrangement (out of a total membership of around 14,500.

The roles of the Professional Institution

In overseeing entry into the profession, the main roles of the PI include:

- Accreditation and monitoring of certain education and training courses (including structure, content, delivery and assessment) and their institutional contexts (e.g. the support services available)
- Providing guidance to course providers on appropriate curricula, vocational content, delivery and assessment, and related matters
- Provision of PI's own [external] examinations
- Dissemination of current good practice and liaison with related professions
- Provision of guidance to candidates on the acceptable length and breadth of experience
- Guidance on CPD requirements and options
- Provision of an efficient and impartial administration, with adequate safeguards for the candidate. The latter will include a clear appeals procedure.

Professional Competency

The above describes how someone joins their chosen profession; it does not necessarily say anything about how professionally competent they are. There have been various attempts to define what is meant by 'professional competence'. Arguably, it is possible to be professionally competent to carry out certain specified tasks at any stage of the career – given an adequate input of education, training and experience.

For example, a young architect is said to be professionally competent when they are accepted as an ARIBA, but no-one would put them in sole charge of a major development project.

In other words, professional competence is something that evolves through the individual's career. It is therefore very difficult to say when - or if - someone is 'fully professionally competent'. However, there have been attempts to define this state and to express it in terms of Occupational Standards.

For example, the Professional Competence Model developed for the construction and built environment sector under the auspices of CISC¹. This work suggested that certain competences could be identified that might define a 'rounded professional' and that these could be expressed in terms of Occupational Standards.

The work of CISC referred to above concluded, inter alia, that:

- "Professionalism consists of using a broad and deep knowledge base to work beyond the area of prescribed solutions on problems of major significance".
- "Professionalism is found...at all levels".
- "There is probably a greater requirement for professionalism at the higher levels since a higher proportion of the problems and opportunities encountered will lie beyond the prescribed solutions".

According to this line of logic the competent professional must:

- Remain technically competent and up-to-date in a situation of constantly expanding knowledge
- Be able to communicate with others of the same profession (sharing experience, discourse on problems, and everyday communication)
- Know their own limitations
- Be able to identify and reframe problems and opportunities
- Be able to communicate with non specialists (e.g. clients) on technical subjects
- Be able to communicate with those who will implement their recommended solution
- Be able to communicate with other professions of the same or related industries
- Be able to develop the trust and confidence of others
- Maintain self-imposed high standards of excellence
- Be able to influence decision-makers in the absence of formal authority

¹ Construction Industry Standing Conference – now part of the Construction Industry Training Board NTO structure.

- Have sound technical judgement
- Be creative in generating innovative solutions
- Be good at learning from their own experience
- Be good at learning from and continuing their own professional development
- Pass on their expertise to subordinates
- Avoid damaging the image of their profession
- Show a duty of care to client, society and the environment, in the short and long term, before their own self interest
- Contribute to the development of the profession.

These professional competences are in addition to any technical and managerial competences that the individual requires in order to carry out their job effectively. Arguably, it is a key role of CPD to develop professional competences, as well as keeping the individuals technical knowledge and skills up to date. More details are given in Section 8.

Management Competency

A lack of management competence and experience amongst new members has been a concern of many PIs for some time now, especially where the young professional is expected to take charge of project management or the management of budgets and staff at an early stage in their career. Employers too have sometimes been critical of the lack of management skills imparted by standard Higher Education programmes. There have been a number of attempts to address the problem.

For example, the RTPI now examines the management content of a candidate's Professional Development Plan and experience record when they apply for corporate membership. The Institute provides members with the opportunity to access MCI² Units from the NVQ in Project Management.

4.3 Some Lessons for Archaeology

The following points may be made:

- Archaeology employs a small but substantial number of dedicated support staff. It may be helpful to consider their needs alongside those of professional archaeologists.
- Chitty argues that there is a lack of a structured route in archaeology taking people from education into professional practice. Other PIs have developed a variety of ways of addressing this problem, and ensuring that prospective members have the required mix of qualifications and experience. These approaches are examined in more detail in the following Sections.
- It is useful to distinguish between initial entry into the profession and the development of professional competences as part of a continuing process of professional development.
- All PIs have established a set of entry criteria for their members and they have each established a set of mechanisms for the measurement, monitoring and maintenance of professional standards. These vary in complexity.
- Entry criteria usually comprise a standard entry route together with one or more special entry routes. The package involves balancing the need to retain high standards against the desire to broaden membership and be as inclusive as possible.
- All PIs recognise that professional development involves a mix of technical, managerial and professional competences, and that these are acquired by a variety of means over a lifetime of working and learning.

² Management Charter Initiative – the body responsible for occupational standards in management.

5. Obtaining Qualifications

5.1 Overview

This Section examines the way in which the prospective members of different PIs obtain relevant academic qualifications.

5.2 Findings of the Study **Table C**

Course provision

Most PIs specify a minimum entry standard of academic qualification for membership. This is generally set at first degree or equivalent level. A candidate will generally study for a first degree accredited by their PI; this may be full-time or part-time. The key question for the PI is whether the chosen course covers the core content of the profession - whether it does this to the required depth and in an acceptable way. The main role of the PI is in accrediting and monitoring the provision of relevant higher education courses.

For some professions there are clear links to undergraduate degree programmes. For others there is no clear link. Where the first degree is of a general nature, the usual route into the profession is to convert this through additional postgraduate study. Again, the PI's main role is to accredit and monitor provision. The PI will probably also comment on the relevance of the first degree.

Some PIs have supported the development of open learning courses as a means of obtaining this postgraduate qualification.

For example, the RTPI accredits 22 undergraduate programmes and 28 postgraduate programmes at 22 UK institutes of Higher Education.

The undergraduate programmes are available either full-time, part-time, sandwich, or some combination of these; they generally take 4 to 6 years to complete, depending on the mode of study. The graduate will have obtained a BA or BSc in e.g. Environmental Planning, Town & Country Planning, City & Regional Planning, plus a Diploma or Masters.

The postgraduate programmes are available either full-time, part-time or a combination of these. They generally take 2 or 3 years. The postgraduate will usually emerge with an MA, MSc or Diploma e.g. in Town & Country Planning, Town Planning, European Planning.

There is also a Joint Distance Learning Diploma, developed by the Open University in consortium with 4 other universities. This satisfies the RTPI's academic requirement for membership.

Entry into RTPI membership is possible with other academic qualifications at first degree level, as long as they can be shown to have sufficient planning content and relevance – though this is unlikely. Six Higher Education institutes offer courses that are accepted as providing the essential basis for entry to accredited postgraduate programmes. One of these is available through distance learning. This provides an option for people who have not obtained a 'normal' degree or professional qualification.

For example, the RICS accredits around 162 courses at 53 UK institutions.

Undergraduate programmes are available full-time, part-time or sandwich, and generally take 3-5 years. Typical qualifications include BAs and BScs in Land Economy, Building Surveying, Valuation & Estate Management.

Postgraduate programmes are available full-time, part-time and by distance learning. They generally take 2 years, and typical qualifications include MAs, MScs and Diplomas in Housing Studies, Surveying and Estate Management.

Professional Institutions' own examinations

Some PIs have developed their own external examinations that are designed to bridge the gap between academic qualification and practical professional competence. Other PIs have dropped this approach, mainly because of its [alleged] large call on resources, but also because of the growth of Higher Education provision. The RTPI supported the development of a Distance Learning Joint Diploma as a substitute for its own examinations. External examinations often have a complex set of exemptions attaching to them.

For example, the IHT and RIBA still operate external professional practice examinations; the RTPI ceased to do this some years ago, but continues to issue guidance for course providers on what a Chartered Planner is expected to be able to do.

The roles of the Professional Institution

Accreditation is intended to encourage the provision of educational programmes that equip graduates to enter the PI and make a contribution to the profession. In accrediting courses, PIs are seeking to ensure that they are of the required quality. This involves looking at the overall objectives and context of the course, as well as examining the details of format, length, mode of study and content. Each PI generally publishes guidance on these matters for course providers, a description of the accreditation process and performance criteria for the provider institution to meet. There are established procedures for monitoring and inspection.

The PI will consider the practical vocational content of the courses as well as the academic content and coherence. It is generally seen as important to ensure adequate links between academia and professional practitioners in the design and monitoring of courses, and the PI can play an important role in stimulating innovation and a response to emerging gaps in knowledge and skills as the profession evolves. Additional objectives include ensuring consistency between initial professional education and CPD throughout a lifetime of learning, and ensuring the effective dissemination of good practice between providers.

For example, the RTPI issues a "Guidance Note on Initial Professional Education Programmes in Planning: The Accreditation Process", which describes how the accreditation process works. It also produces "The Education of Planners: Policy Statement and General Guidance for Academic Institutions Offering Initial Professional Education in Planning". This includes guidance on the qualities that the RTPI is seeking in a professional planner, together with the knowledge, skills and values/attitudes components that should be covered by any accredited course. Course providers are also given guidance on appropriate performance indicators.

For example, the Engineering Council provides its own examinations and these act as exemplars for applicants proposing alternative academic qualifications i.e. the latter are judged by the EC against the content and depth of their own examinations in order to assess whether a satisfactory standard has been achieved.

Vocational content

Some PIs prefer to refer to this as the 'professional' content of a course, in order to avoid confusion with [lower level] vocational qualifications. Course providers may be given guidance on the appropriate professional content of different types of course and, in some cases, employers may also be given guidance on good practice in professional development. This generally covers the professional competences set out in the model on Pages 14 and 15.

It is unusual for the vocational content of courses to be separated out for formal recognition. However, PIs involved in accrediting degree courses in the construction field have signed a Memorandum of Understanding, under the auspices of the Construction Industry Council, which commits them to deliver 'common learning outcomes'. These are as follows:

Communication – candidates are required to

- Prepare and present a written report
- Prepare and make an oral presentation
- Participate in a forum where their own view(s) are subjected to peer criticism

- Engage in an activity requiring manipulation of numbers
- Prepare and make a presentation involving graphical description
- Engage in an activity requiring use of information technology

Group dynamics - candidates are required to

- Obtain set goals whilst working in a group
- Perform a set role within a group setting
- Achieve set goals whilst chairing a group
- Negotiate and progress the resolution of a dispute
- Identify and codify the roles of individuals in a group at work

Professional awareness - candidates are required to

- Engage in an activity where ethical standards are central to the problem
- Engage in an activity where issues of protection and/or care of the natural and the built environment are central to the problem
- Engage in an activity where issues of energy management and energy conservation are central to the problem
- Perform a task which illustrates the differences in interpretation of the idea of quality in construction
- Perform a task which illustrates the essential components of the legislative framework within which construction activity takes place
- Perform a task where the concept of value for money is illustrated
- Perform a task where design imperatives are in conflict with the cost of the solution and resolve the conflict
- Perform a task where health and safety are major issues in the brief and the solution.

Individual PIs have then interpreted these to reflect their own circumstances. For example, the RTPI has distinguished between those learning outcomes where competence must be demonstrated, and those where an awareness is sufficient.

Multidisciplinary aspects

Interdisciplinary, multidisciplinary and team-working are recognised as vital elements of the work of most of the professions examined here. In planning, for example, because of the holistic nature of the role, they are unavoidable. The recent report of the Urban Task Force³ has emphasised the importance of built environment professionals being able to understand each others' 'professional cultures' and being able to work effectively together. These requirements are increasingly reflected in the way in which degree programmes – both undergraduate and postgraduate - are structured and assessed.

For example, planning programmes may involve sharing of modules between undergraduates and postgraduates, sharing of modules between different university departments, and project-based work with individual and group assessment and review.

Coping with diversity

Where there is no clear academic qualification which caters for all the normal entry routes into a profession a more complex approach is necessary. This generally involves some combination of academic qualification and work experience being reviewed by a panel of experts.

³ "Towards an Urban Renaissance", June 1999.

For example, a candidate can apply for Associate Membership of the LI when they have a qualification at degree level or equivalent. However, the rules are different for each of the three divisions of the LI:

- Landscape Design – successful completion of an accredited landscape design course.
- Landscape Management – successful completion of one of the four accredited management courses; or a relevant first degree/postgraduate qualification, but in this case some work experience is also required. A common route involves a first degree in a natural science plus 2-4 years experience (depending on the relevance of the degree). Where the degree is not very relevant, a postgraduate qualification is generally required.
- Landscape Science – a wide range of first degrees/postgraduate qualifications may be relevant, but again some work experience is required as in the case of Landscape Management. The ‘science’ content may be highly specialised.

The relevance and appropriateness of the qualifications and experience are all subject to consideration by the LI Admissions Assessment Panel. Movement into Membership is then dependent on the candidate obtaining 2 years of approved work experience, and passing the written and oral elements of the LI’s professional practice examination.

For example, it is interesting to compare and contrast the approaches to education in the ‘architecture’ and ‘surveying’ professions. Architecture is a fairly homogenous course i.e. all architects study roughly the same material irrespective of their ultimate specialisation within RIBA. By contrast RICS applicants are much more diverse; their study programmes generally have a common first two years, followed by specialisation.

5.3 Some Lessons for Archaeology

The following points may be made:

- According to Chitty most people entering archaeology as a career do so by obtaining a first degree in archaeology. However, this is not a vocational qualification designed to equip people to enter work and make an immediate, effective contribution. Further, more vocationally-oriented training is considered necessary before this can be achieved. The first degree provides an essential framework of knowledge and learning as a basis for vocational training and progression into work – but no more.
- There are other professions besides archaeology where entry is generally via a first degree that is not vocationally oriented. The usual way of handling this situation is either to encourage the candidate to take a relevant accredited postgraduate course at an institution of Higher Education or to study for the PI’s own external examinations. A key issue with postgraduate programme is that of who is going to pay; for full-time courses the individual student will need a loan, while for part-time courses the employer will be expected to pay.
- It is vital to identify and conserve the ‘core’ of professional knowledge and skills. Then Higher Education institutions can respond with a diversity of programmes that suit the needs of different candidates.
- External examinations are expensive to administer but they can provide a ‘benchmark’ of content and depth against which other qualifications can be assessed. Most PIs have now abandoned external examinations. The main reason for this is the expansion of [and competition within] Higher Education – which has widened the availability of appropriate courses, while increased numbers have improved their viability. There has also been an issue surrounding the quality of the educational experience provided by some of these courses.
- There are serious resource implications in the choice of accreditation system. This involves issuing guidance, developing procedures and safeguards, implementing inspections and reviews; implementing reporting procedures – all of which require expert people.

- PIs can play an important role in Labour Market Intelligence – monitoring the demand and supply for labour and skills in their sector, and attempting to intervene in order to help balance the two or take ameliorative measures.
- The importance of the relationship between a PI and Higher Education cannot be overstated. There are many mutual benefits to be gained, including:
 - (a) The provision of positive feedback by the accrediting PI to the Higher Education institution's management
 - (b) PI support for additional resources for a department or course, including staffing and equipment
 - (c) The PI lobbying against down-sizing or closure of a course/department
 - (d) The PI making representations to government or Research Councils, or supporting the research assessment and quality assurance procedures
 - (e) Provision/exchange of information on good practice – including employer opinions and feedback
 - (f) Accreditation of courses – providing a 'kite mark'
 - (g) Assistance with recruitment.
- Other mechanisms for networking and cross-fertilisation are important to the health of a PI, including those which:
 - (a) Bring together staff of the PI with academics and practitioners/employers
 - (b) Bring together education and training experts from PIs in related professions
 - (c) Bring together heads of university departments.

6. Obtaining Work Experience

6.1 Overview

This Section examines how work experience is generally obtained. How is the required length and breadth of experience necessary to meet any professional entry requirement achieved? Are there possibilities for secondments, placements and other mechanisms supporting professional mobility?

6.2 Findings of the Study **Table C**

Types of work experience

People in other professions obtain work experience in a number of ways:

1. As part of a vocationally-oriented academic course that includes a period of practice; this might be a sandwich arrangement in which the student has one or more placements.

For example, architectural education lasts 7 years and this includes 2 years of practical experience.

2. Informal work experience – through vacation employment or in a ‘gap’ year.

For example, many young planners get involved in local planning or environmental activities on a voluntary basis while on their planning course or during vacations.

3. Through placement as a graduate on course completion.

For example, some universities encourage their students to obtain practical work experience on completion of their first degree, with mutual benefit to the employer and the student. In many cases these schemes are subsidised as part of a local regeneration or economic development project.

4. Whilst in employment.

For example, a young planner will proceed from their undergraduate or postgraduate course into employment. They then work for 2 years in a range of planning tasks and environments before applying for Chartered Membership.

Length of work experience

A specified length of work experience may be required for initial entry into the profession or in order to move on into higher categories of membership. Length of experience is especially important with respect to special entry routes.

For example, the RTPI requires an applicant for Chartered Membership via the standard entry route to demonstrate a minimum of 2 years of relevant and appropriate experience. For special entry, a minimum of 10 years is required.

Timing of work experience

In many cases where PIs set a requirement for experience, in addition to specifying the length they also specify whether this must have been obtained all or in part since gaining the relevant academic qualification. Many PIs will not accept vacation work or short periods of experience while on an academic course as contributing to the required total of work experience.

For example, in the above special entry route the RTPI requires at least 5 years of the experience to be since qualification.

For example, the LI requires new applicants to demonstrate at least 2 years of experience post qualification.

Breadth of work experience

There may also be a specified breadth of experience. The PI may issue guidance about the types of experience that are acceptable. There has to be a pragmatic balance between encouraging the candidate to acquire a 'rounded' experience, and what is practically possible. In order to accumulate a range of work experience the candidate will generally either have to rotate between different sections of the same workplace, move through a number of jobs, or take part in some exchange/placement/secondment arrangement. All these options have their difficulties.

For example, the RIBA has found that it is often difficult for candidates to demonstrate adequate breadth of experience given that most practices are small, local and specialised. The RTPI found that it was becoming increasingly difficult for young planners to rotate around local authority planning departments and thereby gain the specified breadth of experience.

For example, academic work experience may be allowable, but subject to special conditions. e.g. in the RTPI example above, where a maximum of 6 years out of the 10 years of experience can have been obtained through teaching.

For example, for Associate Membership of the LI (Landscape Science), the requirement is not only a first degree but also "skills and experience in applying scientific knowledge to practical problems together with an awareness of other areas such as design, management, planning, contracts and legislation, which are unlikely to have been covered in an initial science course".

Documentation and quality control

A key concern is to ensure that information about the candidate's experience is collected and recorded in a systematic way, which makes it easy to judge and verify. The usual way of achieving this is to issue a standard 'log book' in which each task or group of tasks is recorded by the candidate, together with the start and end dates. Each task/group is then signed-off by the candidate's line manager or supervisor.

Some PIs require a corporate member to oversee the work experience of others or perhaps to provide mentoring support. In a few cases this involves agreeing the type of experience that the candidate will obtain in advance in some detail. The Law Society adopts this approach with Articled Clerks, for example.

However, no matter which way this process is handled it inevitably retains a degree of subjectivity.

For example, the RTPI seeks a minimum period of 2 years full-time work experience, at least a year of which must have been obtained since qualification. Because planning is such a broad discipline the Institute simply gives some examples of the types of activity that are acceptable. Then a set of criteria is applied in order to assess its relevance:

- The professional level it has been obtained at i.e. seniority
- Whether it is really 'town planning' experience
- Breadth of experience – its 'substance, compactness and coherence'; conversely it should not be 'fragmented, diffuse or peripheral'
- The attainments of the candidate i.e. the contribution made by the candidate
- Whether it has been supervised by a Chartered Planner.

Some PIs have tried to make the recording of work experience less subjective by linking the experience requirement to the attainment of NVQs – or parts of them. The theory is that as NVQs (or their Scottish equivalent SVQs) involve the assessment of on-the-job competences, they provide a systematic record of experience. However, this is a relatively new development and it assumes the availability of relevant NVQs.

For example, the IHT has developed its own NVQs and runs its own Assessment Centre (ACTRAN). Membership is open to candidates holding 80% of an acceptable Level 4 N/SVQ or 50% of a Level 5.

For example, applicants for MA Associateship may have to complete a specified CH-NTQ NVQ Unit.

Mobility

Placements form an essential element of sandwich courses, and these may count towards a PI's experience specification. There are many examples of graduate placement programmes, especially in technology and business fields, where the graduate is placed in an organisation or business for mutual benefit. This may be linked to obtaining all or part of an NVQ.

Secondments do occur – for example to provide maternity cover - but these are generally mainly for the benefit of the organisations concerned rather than the individuals.

PIs have made various attempts to facilitate placements, secondments and other ways of obtaining varied work experience, for example through 'brokerage' registers and directories, items in newsletters and on web sites. Generally, however, this is left up to the individual concerned and their Higher Education institution.

6.3 Some Lessons for Archaeology

- All professions find difficulty in being prescriptive about the breadth and nature of work experience.
- Breadth of experience is a particular problem given the trend towards smaller and more specialist units and organisations. PIs have responded with more guidance and less prescription. The onus is placed on the candidate to establish that they have an adequate breadth of experience, while the PI provides better documentation, effective assessment and appeal procedures. Most PIs then see it as the ultimate responsibility of the employer to assess whether a candidate for a particular job has an appropriate mix – breadth and depth - of experience.
- Chitty suggests that, in archaeology, there are limited opportunities for high quality work experience and that, inter alia, there might be wider use of placements and secondments. However, little systematic use appears to be made, in the professions covered by this Study, of secondments and placements as a means of gaining varied work experience [post qualification].
- Many PIs are moving towards the use of occupational standards and NVQs. There is limited availability of appropriate NVQs in aspects of archaeology, but more generic NVQs in e.g. management, might be helpful.
- It is also worth noting that relationships between Professional Institutions and NTOs remain unclear at this time. Most of the professions considered here do not fit neatly within the compass of a single NTO, and there appears to be some potential for duplication and confusion of roles.

7. Progress through the Profession

7.1 Overview

This Section examines the criteria for acceptance into/maintenance of different grades of membership of a Professional Institution. It looks at the respective roles of academic qualifications, practical qualifications and experience in career progression, how movement through the profession is regulated and standards maintained.

7.2 Findings of the Study **Table D**

Each professional institution has a 'portfolio' of membership categories, reflecting their objectives, the nature of the potential membership and the historical roots of the institution. There is little general agreement about the names attached to categories of membership or to the requirements for entry into them. There are, however, some general principles.

Types of Institution Membership

An institution may offer some or all of the following types of membership:

1. **Open membership** – sometimes referred to as 'subscriber' membership. This is commonly used where it is a clearly stated aim of the profession to appeal to the general public or at least the wider interested public. It can help raise the profile of the profession and may be a useful source of additional income.

For example, the RIBA has relatively recently introduced 'Subscriber Membership', enabling anyone with an interest in the 'advancement of architecture' to benefit from RIBA networks and resources.

For example, ICE has an 'affiliate' class which enables those with a general interest in civil engineering to take advantage of Institute activities.

2. **Institutional membership** – sometimes referred to as 'organisational' or 'employer' membership. This is less common, but some PIs encourage this form of membership, for example, in order to access private sponsorship, or because they aim to represent the interests of a particular sector (e.g. local authority museums). Most National Training Organisations (NTOs) operate on an institutional membership basis as they seek to represent employers in their sector.

For example, the MA currently has some 600 'Institutional Members' drawn from the world of museums, galleries and academia.

3. **Sectoral or thematic membership** – where a PI - or more usually an association - seeks to represent people working in a specific sector and occupation.

For example, someone working in a local authority engineers department might be a member of IHT, but also join the Association of Municipal Engineers.

For example, an archaeologist working in a local authority museum might be a member of the MA, but also join the Society of Museum Archaeologists and/or the Institute of Field Archaeologists.

4. **Support roles** – people working in support of a profession but not professionally qualified in their own right e.g. technicians, may have their own association or may be able to join a particular category of membership within their 'own' PI. This varies from occupation to occupation but there have been recent moves by several PIs to become more inclusive.

For example, the RICS has recently (1998) merged with the Society of Surveying Technicians.

5. **Individual membership** – Most PIs provide a range of categories of individual membership, the main distinction being between ‘corporate’ and ‘non-corporate’. A corporate member of a PI is generally someone who has been accepted into full membership by proving their credentials; in some PIs the term ‘corporate’ includes those who have shown their intention to move in this direction but do not as yet have all the required credentials.

For example, ICE has the following categories of individual membership: Corporate Member, Associate Member, Technician (these three are linked to Engineering Council categories); Honorary Member, Fellow, Companion, Affiliate, Graduate, Student.

Movement through the ‘Corporate Route’

The general principle applied is that different levels of seniority within the profession require a person to demonstrate different combinations of knowledge, practical competence, work experience and professional ability. How this is measured, and the combination of measures at each stage of a persons career vary considerably between PIs.

Entry into a particular category of membership is generally regulated by some combination of the following factors:

1. **Age** – there may be a minimum age limit. More often there is some statement to the effect that a candidate is unlikely to have reached the required standard before a certain age. Seniority is a common proxy for experience.

For example, applicants for Membership of IHT (designated MIHT) must have a minimum age of 24, while Fellows (FIHT) must be over 35.

2. **Employment status** – the membership category may be targeted at a candidate having a specific employment status. For example, most PIs have a ‘student’ membership category; to enter some categories the candidate may have to be in work or employed in a particular professional field. Many PIs have a special category of membership for retired professionals who wish to retain an active interest or role in their profession. A subsidiary requirement may be that the candidate has to be working in a specified country, location or sector.

For example, all IHT applicants must “work wholly or partly in the fields of highways and transportation”.

For example, a candidate for membership of the MA must work in the museums service.

3. **Previous membership status** – it may only be possible to move into a more senior category of membership if you have already served time in a more junior one.

For example, a candidate for membership of the LI is required to demonstrate that they have accumulated experience as an ‘associate member’ before they can progress to full membership.

4. **Academic qualifications** – for different categories of membership there will normally be a requirement for the candidate to show that they have achieved a relevant academic qualification. For full corporate membership of most PIs this is a first degree or equivalent qualification. There is often a distinction made between a first degree in the actual substance of the profession and a postgraduate ‘top-up’ to a relevant/appropriate first degree. Some PIs retain their own examinations.

For example, see Section 5.

For non-corporate membership most PIs now provide guidance on equivalent HNC/HND and N/SVQ qualifications; some PIs are developing N/SVQ routes to full membership.

For example, IHT sees its unique role as offering “a route to registration based on NVQ/SVQs, which are assessed on a candidate’s competence in the workplace rather than by current professional routes”.

5. **Experience** – corporate membership usually requires the candidate to demonstrate some practical work experience in their chosen profession. The length of experience is generally specified, and there are various mechanisms for ensuring that it is genuine and of the required quality. For example, most PIs require some form of log book to be maintained and verified; some require the work experience to be overseen and recorded in a more formal way by a ‘mentor’. Breadth of experience is another factor that may be taken into consideration. For example, a PI may require the candidate to show experience in two out of five recognised fields. This becomes increasingly difficult to achieve the more specialised the structure of employment in the profession is, and may be actively discouraged by employers.

Many PIs have ‘special entry routes’ in which long and/or varied and/or high level experience may be acceptable in its own right for entry into the membership category.

For example, see Section 6.

6. **Written tests or evidence** – in addition to a written record of experience (described above), some PIs require candidates to submit project reports or essays on an approved subject. In some instances a Personal Development Plan and/or record of CPD undertaken may be required to move from one category of membership to another. The PDP may have to be approved in advance.

For example, ICE requires a project report and written test.

For example, the MA requires a CPD record as evidence of work experience; the RTPI requires a CPD record with evidence of management experience; the LI requires a CPD record.

7. **Oral tests** – a few PIs require candidates to attend for interview. In some cases the interview is used to determine ‘borderline’ cases or may be part of an appeals procedure.

For example, ICE carries out a 45 minute professional practice interview, conducted by two Chartered Members

For example, the LI conducts an oral professional practice interview.

8. **Special factors** – almost all PIs require a candidate to name sponsors who are already corporate members. This is part of the quality control procedure. Achievement can also be part of the selection process. For example, candidates seeking Fellowships or Honorary Memberships of most PIs have to demonstrate that they have made an exceptional contribution to the profession.

For example, the RTPI requires an application for membership to be sponsored by two Chartered Planners.

Membership 'life cycle'

The Diagram below shows how a typical PI relates its categories of membership to the life cycle or career stage of the individual.

Diagram – Career stage and membership categories

Stage of Career	Start/Early	Early	Established	Mature	Retired
Employment Status	Student full-time	First job; Junior Professional	Working; Senior Professional	Working; Senior Professional	Ceased work
Membership Category	Student	Graduate/ Affiliate/ Associate	Member	Member/ Fellow	Member/ Fellow
Qualifications	Studying approved course	Approved first degree or post-graduate; CPD	CPD; management and professional competences	CPD; management and professional competences	N/A
Work Experience	None/ little	Obtaining structured experience	Obtained specified amount (generally 2 years)	(Generally 5-10 years for Fellow)	N/A

Membership categories

The actual terms used for different categories of membership vary between PIs and are often confusing – both to the individual and the general public i.e. potential clients. The most common are as follows:

1. **Student** – this is generally used to describe someone who is studying on a course approved by the profession as being the accepted entry route. However, it may include students who are merely studying the subject and wish to be kept informed while they are doing so, but who have no intention of entering the profession for a career. In many PIs relatively few students become members, perhaps because of the cost of membership. In some PIs people remain 'students' until they are accepted into corporate membership.
2. **Graduates or Affiliates or Associates** – these terms may be used to describe members of a PI who have graduated in an approved subject, but have not yet achieved the required amount of work experience to be accepted as a full or corporate member of the profession. 'Associates' is a particularly problematic term. In some professions a full member is still an associate (for example an ARIBA), whereas in others an associateship is what the candidate goes through on their way to full membership.
3. **Members** – describes the condition where the candidate has fulfilled all the requirements to be a full, corporate or chartered (where the PI concerned has a Royal Charter) member of the profession.
4. **Fellows** – most PIs now use this category of membership to recognise an individual's achievement within, or contribution to, their profession. Formerly, in many cases, it was largely just a question of paying an enhanced membership subscription, but this is increasingly seen as 'elitist'.
5. **Honorary members** – some PIs use this as a way of honouring the contribution that an individual has made to the profession – where the person concerned would not be eligible to join in their own right. In some PIs corporate members are also eligible to be designated 'honorary'.

Presenting the profession to the outside world

Ultimately, the status attributed to a PI and its members depends on how it is perceived by the wider society, including government and employers.

It is important when considering the 'portfolio' of membership categories, PIs take into account the need to present a clear and coherent picture to the outside world – especially the prospective customers or clients of the profession. This would tend to point towards simple systems with few categories of membership, and titles/designatory letters that are as self-explanatory as possible.

For example, the RIBA conducted a survey in 1992 which showed confusion amongst clients as to the status of architects. There have been moves to address this by including the specialisation of the member in the designatory letters e.g. ARIBA (General Practice).

7.3 Some Lessons for Archaeology

The following points may be made:

- In deciding on a structure of membership categories it is critical to find the right balance between simplicity and inclusiveness. The basic categories are likely to be 'student', 'member' and 'fellow', and clarity on these is especially important.
- Keeping systems – including categories of membership - simple minimises cost and bureaucracy, and helps to present a clear picture to the outside world.
- There is a wide degree of public interest in archaeology, suggesting that general/subscription membership may be an option to raise the overall numbers.
- Further, there is already a substantial institutional interest in archaeology, suggesting that acceptable forms of sponsorship and low cost channels for dissemination may be available.
- Overlapping membership of different PIs and associations is commonplace as a way of belonging to a professional umbrella group but also networking with colleagues with the same interests or working in a similar environment.

8. Maintaining Professional Standards

8.1 Overview

Both organisations and individuals are being encouraged to recognise the need to respond to the constantly changing work/professional environment by maintaining and broadening their professional competence. Clients and customers want to be reassured that the people they engage to carry out work are fully competent. Businesses want to boost their competitiveness and performance. Individuals may be motivated by a desire to tackle shortcomings, prepare for new tasks/jobs, or simply by the intellectual challenge; they may also be driven by the need to comply with employer or PI regulations or the threat of litigation.

CPD takes place at all stages of the individual's career after they have completed their initial education. Ideally it should continue good learning habits that have been established at an early stage.

For practical purposes CPD can be defined⁴ as: "The systematic maintenance, improvement and broadening of knowledge and skill and the development of personal qualities necessary for the execution of professional and technical duties throughout the practitioner's working life".

8.2 Findings of the Study **Table E**

Status of CPD

The importance of CPD (sometimes known as CET or Continuing Education and Training) is now universally recognised by PIs. However, whilst the principles are similar, there is little common ground in the detail of how they approach the subject.

In recent years some PIs have introduced a CPD requirement as one of the entry criteria for membership. This may take the form of a Personal Development Plan, setting out how the candidate intends to obtain additional professional, managerial and technical training; more commonly it is a record of the CPD undertaken during the previous [2 years] of work experience.

***For example,** since January 1998 prospective members of the RTPI have been required to submit a Professional Development Plan. CPD is seen as demonstrating essential management experience.*

Only a few PIs make a direct link between CPD and career progression. However, completion of adequate CPD may form part of an employer's staff appraisal scheme which, in turn, may influence career progression and rewards.

***For example,** the ICE sets a CET requirement for membership, and evidence of further CET activity is required for elevation to Fellowship.*

The main impact on the individual of a failure to engage in CPD is generally indirect i.e. failure to provide evidence of adequate CPD can result in withdrawal of membership of the PI. This means loss of the individual 'kite mark', with possible knock-on effects on business and career. Individuals and practices may still be able to operate, but they can no longer promote or advertise themselves as chartered or corporate members of their profession.

***For example,** an RTPI Member who fails to demonstrate that they have met the CPD requirement can have their Chartered status withdrawn and will have to reapply for membership. RIBA and RICS can strike businesses off their Registers of Practices where the staff fail to meet their CPD obligations.*

⁴ Quoted in "A Framework for CPD Systems for Practitioners in the Construction Industry", March 1998, CISC.

Amount and type of CPD

The type of CPD recommended varies widely between PIs, and most distinguish between 'formal' and 'informal' methods. However, CPD is generally taken to include not just courses and qualifications, but a wide variety of activities leading to learning and development – including open learning, private study and work experience.

Most PIs play a mainly advisory role when it comes to the choice of CPD material, but some endorse specific CPD products or only count these specified products towards the CPD requirement. Some PIs give added weight to longer courses or their own products. Yet other PIs e.g. The American Institute of Architects, restrict CPD entirely to their own/endorsed products.

The amount of CPD required also varies widely between PIs, but generally ranges between 20 and 40 hours per year.

***For example,** the IHT adheres to the CPD specification laid down by the Engineering Council. This comprises a CPD obligation and code, plus supporting guidance and software. No amount of CPD is specified, but advice is given about fields of study.*

***For example,** the RIBA requires members (except retired ones) to undertake 35 hours of CPD per year and to achieve a minimum of 100 points – calculated by multiplying the number of hours by the assessed value to the individual. RIBA defines CPD as “Any relevant study that enhances your ability to practice architecture”.*

In the construction professions there has been increased attention to CPD matters as a result of the recent Urban Task Force report (see earlier reference). This encompasses not only content, but continuity and interdisciplinary working.

Recording and verification

All PIs require that the individual thinks about their personal/professional development and relates their choice of CPD to this. It usually involves the development and maintenance of some kind of 'personal development plan'; it is generally recommended that this should relate to the employer organisation's business planning process. It always involves the maintenance of a CPD record.

***For example,** the RIBA publishes a model Personal Development Plan and CDP Record. Each year 5% of practices are required to make a monitoring return covering their architects' PDPs and CDP.*

***For example,** the ICE produces “CPD: A Guide for all Members (ICE 2008)” which comprises a guidance pack, together with a blank Development Action Plan and Personal Development Record.*

The CPD Framework

The CPD in Construction Group has developed a common 'framework' for CPD and has tried to link this to Occupational Standards. The framework is actually a cycle of continuous improvement, involving four stages: review, planning, development activities and assessing achievement. Each of these stages produces outputs which inform the following stage: the outputs are called profiles, plans, records and evidence.

There has also been some consideration given to using NVQs as formal ways of measuring CPD. Now that individual Units of NVQs can be accredited, there is the possibility of people adding Units from different N/SVQs e.g. in aspects of management, as part of their personal [or professional] development plan.

***For example,** CISC has developed a Level 5 NVQ in Conservation Consultancy specifically to support CPD. It has also developed Level 4 NVQs in Conservation Control and Building Site Management (Conservation) that can either be completed whole or in individual Units.*

For example, the Cultural Heritage NTO has developed NVQs at Levels 3, 4 and 5 in Cultural Heritage Operations, Cultural Heritage and Cultural Heritage Management respectively. Again, they can be completed whole or in Units.

For example, the RTPI's policy on N/SVQs recognises that they may play a useful role in formalising CPD. The Institute has not supported the development of a Level 5 N/SVQ in Planning, but has accepted that higher level N/SVQs in fields such as management may be a helpful addition to the range of available qualifications for the Chartered Planner.

The roles of the Professional Institution

PIs play a number of roles with respect to CPD, including:

- Advice – to members and employer organisations; raising awareness of the importance of maintaining and broadening knowledge and skills.
- Guidance – on how to plan, undertake and record CPD activities.
- Provision – of appropriate courses (often via a trading arm of the PI), including commissioning of new materials.
- Kite-marking – the provision of CPD courses and materials by other agencies, including open and distance learning materials
- Inspection – monitoring members' CPD activities, generally through sampling.
- Enforcement – setting the rules, and taking action against individuals who fail to comply.

In many cases, CPD provision is an important role of the PI's branch network, providing an essential, practical focus for branch activities.

8.3 Some Lessons for Archaeology

The following points can be made:

- CPD is generally seen as an effective means of ensuring that professional competences are maintained and developed. The archaeology profession should consider the introduction of a formal CPD requirement as part of its overall move to develop a professional infrastructure.
- There are few examples of CPD being tied directly to career progression or rewards. The connection is more usually indirect. CPD may be linked to movement up the different categories of membership of a PI.
- CPD is frequently linked to the ability to continue to practice one's profession and market oneself as a full or Chartered member of that profession.
- The operation of a CPD system has implications in terms of resources. The more complex the system, the more it costs. Most PIs now employ expert staff to oversee CPD.

9. Coping with Specialisation and Diversity

9.1 Overview

This Section examines the relationship between different categories or grades of membership and variations in diverse areas of expertise within a profession. It looks at how other professional institutions cope with the diversity of expertise/job specialisation within their membership whilst maintaining coherence of approach.

9.2 Findings of the Study

Addressing Specialisation and Fragmentation

All PIs show a tendency towards increased specialisation as the body of professional knowledge expands and new tasks emerge. PIs are evolving structures and mechanisms that allow these specialisms to 'find a voice' whilst retaining the essential core of the profession and realising 'economies of scale'. This is a fine balancing act!

1. **Divisional structures** – One way of coping with specialisation is to structure the PI on the basis of 'divisions'. This can be taken to various degrees i.e. the extent of devolution of professional activities to division level can be relatively large or small.

For example, the RICS is divided into 7 Practice Divisions: Building Surveying; General Practice; Land & Hydrographic; Minerals Surveying; Rural Practice; Planning & Development; Quantity Surveying. These encompass substantially different areas of surveying practice. The applicant for RICS membership specifies the Division that they wish to join.

For example, the LI has three 'landscape practitioner divisions'. All LI members are 'concerned with the whole spectrum of developing and conserving the landscape' but there are three distinct roles: Landscape Designers, Landscape Managers and Landscape Scientists. Each member of the LI includes one of the titles in their designatory letters e.g. MLI (Management).

2. **Other special interest groups and mechanisms** – Another way of coping with specialisation is to provide structures and opportunities within the PI for members having special interests to come together, to network and express their opinions. Again, this can be taken to various degrees and levels of formality.

For example, the RIBA maintains 'special interest groups' at arms-length. These are groups of like-minded professionals having their own knowledge base. They may have separate registers and activities, and are supported by web discussion groups. The RIBA is currently reviewing the implications of specialisation.

For example, the RTPPI maintains a series of sector and advisory 'panels' both nationally and at branch level that enable people with common interests to meet and correspond e.g. on European planning policy or planning consultancy.

For example, the ICE operates 11 Engineering Boards that represent special interests within civil engineering. These are 'centres of excellence' that organise meetings and conferences, comment on policies in their field, liaise with/report to the main Council of ICE, and maintain links with other organisations active in their area of interest.

3. **Overlapping memberships** – In some cases the diversity of interests is not dealt with internally by the PI, and an individual chooses to join a number of organisations in order to ensure that their own interests and aspirations are covered.

For example, a member of ICE (MICE) working in highways and transportation might also join IHT (MIHT); being an engineer they may also want to register as a Chartered Engineer with the Engineering Council and obtain their designatory letters (CEng); finally they may work on contracts in the European Union and seek membership of the Fédération Européenne d'Associations Ingénieurs (FEANI) and register as a European Engineer (Eurlng).

4. **Absorption and/or reconstitution** – Most PIs have periodically to review the scope of their membership in the light of changes in their sector. In some cases there has been a merger between two or more organisations with the intention of taking advantages of economies of scale. In others, an existing PI has reconstituted itself with a new mission and objectives – and sometimes a new title – in order to address a wider membership.

For example, the Institute of Landscape Architects, founded in 1929, became the Landscape Institute in 1978 following a decision to broaden the membership to include landscape scientists and managers on an equal footing with landscape architects. The LI obtained a Royal Charter in 1997.

For example, the RICS is currently planning a merger with the Institute of Surveyors, Valuers and Auctioneers – to take place in January 2000 if the members vote in favour.

For example, the IHT was founded in 1930 as the Institution of Highway Engineers. In recognition of changes in the sector it adopted the name IHT in 1987. It is now considering becoming a 'Nominated Body' of the Engineering Council. This would enable it to train people to obtain membership of the Engineering Council.

The EC was established by Royal Charter in 1981 with the remit to ensure high standards across the engineering profession. It acts as an umbrella organisation for all the main engineering PIs, including ICE. At present some 290,000 engineers are registered with the EC in three categories: Chartered Engineer; Incorporated Engineer and Engineering Technician.

For example, ICE and the Institution of Municipal Engineers merged in 1984. IME surrendered its own Royal Charter, but its essential traditions and aims were preserved by the creation within the ICE of the Association of Municipal Engineers. The latter has its own constitution and rules to govern membership and activities under the Charter, Bylaws and Council of ICE.

At the same time, however, fragmentation is continuing – with the formation of a large number of 'quasi PIs'.

For example, the planning field has seen the establishment of a number of new bodies, including: the Institute of Historic Buildings Conservation, the Urban Design Group, the Transport Planning Society and the Institute of Economic Development Officers.

Addressing Diverse Memberships

PIs want to retain and expand their memberships and buoyant recruitment. At the same time, they have to reflect changes in society, in particular the trend away from exclusiveness and elitism.

1. **Broad categories of membership** – partly this is a question of opening-up membership of the PI to the widest possible audience, for example, through encouraging subscription or institutional membership. However, it is also a question of opening-up membership of the profession whilst maintaining standards. The latter involves the framing of criteria governing membership in such a way that there are a number of routes to membership catering for the most numerous areas of recruitment. It also involves criteria and systems that can be seen to deal fairly with exceptions. It involves setting fees at an appropriate level, so that members feel they are getting value for money. Finally, it involves a structure of membership categories and criteria for membership that can cope with the evolving role of the profession and changes in the nature and organisation of work.

For example, planning has a long-standing relationship with the legal profession. The RTPI recognises two special categories of membership in order to accommodate them: Legal Associates at the non-corporate level, and Legal Members at the corporate level.

For example, ICE has a long-standing relationship with military engineering. It has special guidance on military qualifications and experience in order to accommodate this.

For example, most PIs in this Study have 'mature entry' and 'special entry' routes which enable suitable candidates to join even though they do not have the appropriate academic qualifications. All the PIs have ways of coping with exceptions to the rules – often a special panel or appeals procedure. The onus is usually on the prospective member to demonstrate that their combination of qualifications and experience meet the entry criteria.

2. **Support staff** – There has been a move towards a more holistic view of the profession - with the PI seeking to look after the interests of all those in the profession irrespective of status.

For example, RICS and RTPI have absorbed the organisations that previously represented technicians. The RTPI has supported the development of new qualifications for 'planning support staff' and has helped establish an association – the Planning Executives Association – to provide them with appropriate forms of support.

3. **Equal opportunities** – All PIs are increasingly concerned to promote inclusiveness in terms of gender, race and disability – reflecting changes in wider society as well as a desire to tap new markets.

For example, the RTPI has Panels on Race and Women that provide particular perspectives both on the operation of the Institute itself and on wider policy matters. There are also womens' networks at branch level.

For example, RICS is very concerned to encourage more women and ethnic minorities into the profession, and is trying to reflect this in its recruitment and promotional literature.

For example, the Engineering Council has been involved with the Equal Opportunities Commission since 1984 on the 'Women into Science and Engineering' (WISE) project. The proportion of women undergraduates on engineering programmes has now risen to 14%.

Addressing Geographic Spread

PIs have addressed the problem of widely dispersed memberships through a number of mechanisms:

1. **The establishment of a branch network** – The larger PIs support networks of branches in the regions. These provide an opportunity for members to organise their own education/training events, social activities and networking activities such as newsletters. They are often seen as a means of bringing the direct benefits of membership to the members, redressing the dominance of central office [mainly in London], and generally enabling more involvement by more people.

For example, the IHT has a network of 18 geographic branches in the UK, plus 3 more overseas.

For example, the RTPI maintains an active branch network, providing many of the direct benefits of membership at the local level, including opportunities for personal involvement in a range of activities.

However, there are issues of viability and cost in supporting branch networks, and several PIs are currently re-evaluating their role. Some people argue that such networks are no longer necessary given the advances in ICT. Within the construction and built environment sector there have been moves to encourage collaborative branch activities – linking a number of related professions, and providing an opportunity for multi-disciplinary working.

2. **The establishment of regional offices** – Some of the large PIs also support one or more regional offices i.e. they have physical presence rather than simply having a branch.

For example, the RIBA maintains a network of 14 regional offices, including a special centre in Newcastle upon Tyne. This provides a means of decentralising services, making them more accessible to the membership and the general public.

3. **The application of information and communications technologies (ICT)** – All the PIs in the Study are developing their use of ICT as a means of improving the standard of service to their members and the general public.

For example, the RIBA has developed RIBANet – providing information and discussion groups on over 40 topics, together with key documents and a help service. This has involved large scale investment, and two full-time staff are concerned with its maintenance.

For example, the RTPI has developed a number of discussion forums on topics of special interest on its web site. These are only accessible to members logging-in with their membership registration number.

4. **Special arrangements for different parts of the UK** – Most PIs, either through tradition or in response to devolution and decentralisation, are making new arrangements for the delivery of their services in Scotland, Wales and Northern Ireland. Several PIs also serve the Republic of Ireland.

For example, the RTPI has established a strong Scottish Branch - “The RTPI in Scotland” - with a degree of autonomy. This reflects differences in law and practice north of the border.

5. **Special arrangements for EU members** – Some PIs have sought to develop a strong European dimension to their work and, in some cases working in collaboration across the EU. Reciprocal recognition of qualifications has been a significant issue as labour market mobility and globalisation of business has progressed.

For example, membership of the RIBA is open to people who have been awarded an architectural qualification (listed in European Economic Area Council Directive 85/384, subsequently amended) in the last 5 years, and have 5 years of professional experience since qualification.

For example, the RTPI has active Northern and Southern Sections in Ireland, with a new post of Policy Officer covering both.

For example, the RICS has developed strong links with the separate, but closely related, Society of Chartered Surveyors in the Republic of Ireland.

6. **Special arrangements for overseas members** – Most PIs have some historic connections with fellow professionals in other countries of the world. There are especially strong ties with members of the Commonwealth. Again there is greater mobility and the question of mutual recognition of qualifications. Some PIs already market themselves as key global institutions, while most are trying to market themselves and their services more vigorously.

For example, the RTPI has special entry arrangements for people with planning qualifications accepted by the New Zealand and Royal Australian Planning Institutes.

7. **The central facilities and functions** – Some PIs have extensive central facilities that can be used by members across the Country; others organise events and conferences aimed at the broader membership. The intention is to ‘bind together’ the membership and offer opportunities for networking.

For example, the RIBA Reference and Loan Library is an internationally recognised collection of materials available to all members. The HQ building also provides a base for events and exhibitions, plus meeting and conference facilities.

For example, the RTPI runs a Summer School which moves to a different location each year in order to make it as accessible as possible to the membership.

Coping with Wider Changes

Reference has been made earlier to the need for PIs to keep abreast of changes in the wider economy and society. This requires effective systems for reflecting on the nature and implications of these changes, and recommending suitable responses. It might involve anything from a minor adjustment to the by-laws to a fundamental re-orientation of the profession.

For example, the ICE is undertaking a major ongoing review of its future role and strategy under the banner of the “Future Framework Project”. This has been taking place since 1995, and it involves a specially formed Implementation Team, a number of Task Forces, and a programme of communications and consultations with the membership.

For example, the RICS is undertaking a reassessment of its structure and functions in the light of global and national trends, under the title of “Agenda for Change”. Again, this involves special Task Forces and a communications strategy.

9.3 Some Lessons for Archaeology

The following points may be made:

- According to Chitty the archaeological profession has shown an increasing tendency towards specialisation and it is characterised by diversity. It is not alone.
- All professions exhibit a diversity of membership – whether in terms of their working environment, their sector, age or other personal factors.
- All professions involve a wide range of technical practice in the workplace, and increasingly make use of multi-disciplinary team working.
- These factors can be strengths as well as weaknesses. It is a question of finding the common ground – defining and maintaining the essential core of the profession – whilst developing structures and mechanisms that can reflect the diversity. It is critical to ensure that the institution can, and does, adapt to change.
- Some of the solutions are very expensive and are only really practicable for a large organisation/PI.

10. Cost and Benefits of Professional Activities

10.1 Overview

This Section reviews the costs of professional membership and accreditation both for the institution and the individual. It argues that the costs to the individual of membership of a professional institution must be considered in the light of the benefits. It is important to recognise that these benefits can be both direct and indirect.

10.2 Findings of the Study

Financial considerations for the individual

The way in which subscriptions are organised and the level at which they are set vary enormously between the PIs examined in this Study. First, there is a distinction – where applicable - between membership for the general public, for institutions and for individuals. Next, there is generally a distinction drawn between corporate and non-corporate individual members.

Typical fees for corporate membership of a PI vary from £33 to £230 per year after the initial registration.

For example, an Associate of the RIBA would pay an annual fee of £154 for the first 5 years of membership, rising to £230 per year thereafter.

For example, a Member of the IHT would pay £60 per year once elected.

Within the main 'corporate' membership subscriptions may be banded in one or more of the following ways:

- To take account of the career stage that the member is at i.e. to reflect their likely increase in salary through their career
- To reflect the length of their membership – i.e. the same effect as above
- Directly in line with their stated salary band
- To make special concessions to specified groups – students; retired members; overseas members; unemployed or 'career break' i.e. those who are on limited incomes or who cannot take advantage of all the benefits on offer
- Special categories of people that the PI wishes to attract
- According to the way the payment is made e.g. more expensive by instalments.

The first three of the above are all attempts to tie subscriptions to career progress.

For example, the RTPI sets Member subscriptions according to the date of election to membership in a few broad bands.

For example, the ICE has a special low subscription for retired members. It bands Members' subscriptions according to distance – and therefore ability to access – HQ.

Financial considerations for the Professional Institution

The PIs examined for this Study vary enormously in the scale of their resources – their total budgets, staffing, assets and overheads. Because of the way in which the data is collected and presented, it is very difficult to make direct comparisons. The following are illustrative:

For example, RICS had an expenditure in 1997/8 of almost £23 million; by comparison, the figures for RIBA and IHT were just over £7 million and just over £1 million respectively; the figure for the LI was £0.6 million.

For example, RIBA has fixed assets valued at over £10 million – mainly represented by its Portland Place HQ; other PIs may have very few fixed assets.

For example, RICS has 326 staff; IHT has 14; LI has only 11.

The main sources of income are:

- Membership subscriptions – generally accounting for around 50% of the total, but higher in the smaller PIs
- Sales – of publications, courses, facilities, information – often through a specially established trading arm
- Investments – interest on savings, trust funds and sponsorship.

For example, 53% of RIBA income is from subscriptions, 42% from sales and earnings, and 5% other.

For example, 51% of RICS income is from subscriptions, 33% from sales and services, and 16% other.

For example, 80% of LI income is from subscriptions, the balance from sales and investments.

The main categories of expenditure are:

- Direct services to members
- Support services – also benefiting members, but mainly involving staff and overhead in the provision of information and advice
- Management and administration – usually around 10-12% of the total.

There is no consistency about the presentation of expenditure, and it is therefore very difficult to compare PIs.

For example, in 1997/8 the RICS spent 30% on promotion, 26% on business services, 19% on corporate services, 10% on standards, 7% on education, and 8% was surplus.

For example, in 1997/8 the LI spent 62% on administration (of which around two-thirds was salaries), 12% on committee activities and 26% on non-committee activities.

Professional Institution functions

It may be helpful to remind ourselves briefly here of the aims and objectives of PIs and to look at some of the ways in which these can be achieved. Only then can we start to understand the benefits – both direct and indirect – to the individual member of belonging to a particular PI.

All PIs perform a number of basic functions. The depth and breadth of activity depends on the scale of the membership, the amount of subscription income that can be raised, and the amount of income that can be generated through other activities. It also depends crucially on the good will of the membership – because many of the activities will always depend on the efforts of volunteers.

The main functions performed by PIs can be categorised as follows:

1. **Membership** – PIs define criteria for election to different categories of membership. They set the standards that underpin their credibility as a professional institution.

For example, guidance on membership criteria and acceptable routes; guidance on careers and roles; registration of individuals and practices.

2. **Education** – the PI sets standards of professional education and generally accredits Higher Education courses meeting these standards.

For example, through publication of guidance on curricula; accreditation procedures; or perhaps through involvement in an Assessment Centre for NVQs.

3. **Regulation** – PIs regulate entry into the profession and the conduct of their members; they promote the competence of their members.

For example, through a Code of Professional Conduct; disciplinary procedures; CPD obligation and guidance.

4. **Representation** – PIs play a consultative role, providing opinions on policy proposals. They lobby on behalf of the profession and its members, and ensure press and media coverage for the profession. PIs may commission research into key issues.

For example, through publications, prizes and competitions, library and information services; press releases and informed comment; contribution to media activities; activities of sector or thematic panels.

5. **Member Services** – PIs provide members with information on good practice and advice and support services for professional practice. They may provide various kinds of employment services. Courses and conferences are run, branches and networks supported; special panels supported. Financial services to members may be negotiated and administered.

For example, through newsletters and journals, web sites, libraries and databases; training courses/course registers, attendance subsidies; discussion forums and networks, international contacts; studies of the supply and demand for labour, employment and exchange registers; professional indemnity insurance, credit card endorsement, loans and advice on personal financial planning.

6. **Public services** – PIs provide the general public with advice and guidance on topics relevant to the profession. They may be involved in a wide range of educational activities. The involvement of the PI may provide a 'kite mark' – reassuring people that an activity is being conducted in a truly professional way.

For example, through exhibitions, leaflets, advice services; consultants registers and guidance on employing consultants; careers advice in schools and colleges.

10.3 Some Lessons for Archaeology

The following points may be made:

- All PIs carry out most, if not all, of the above functions. It is the extent or depth to which they are carried out that varies with the PI's size and income.
- Discussions with the PIs involved in this Study suggest that some of their members are motivated by the broad professional ethic, others by immediate personal benefit. It is not always easy to balance the expectations of these two groups.
- A characteristic of archaeology seems to be the high drop-out of young professionals early in their careers. It is possible that an active PI could play a useful supporting role here.

11. Summary of the Lessons for Archaeology

This simply repeats the lessons previously presented at the end of each Section so that they can be considered together:

Some Lessons from Section 3

- Archaeology is a relatively small profession. As a rule of thumb, the smaller the number, the more limited the resources and therefore the range and depth of professional support activities that will be possible.
- This limitation may be reinforced where the membership exhibits relative job insecurity and below average salaries - and this impacts on the scale of membership fees that are realistic.
- Small numbers also restrict the possible activities because the pool of available 'volunteers' needed to sustain professional activity is limited. Continuity can be a particular problem where people are not employed on permanent contracts and are constantly on the move. Many PIs are heavily dependent on members based in Higher Education and retired members to sustain their activities; many report a continuing [and increasing] problem of apathy i.e. an unwillingness of members to get actively involved in the affairs of the PI.
- There are several different ways of viewing the 'diversity' within a profession. All professions have a profusion of [sometimes confusing] job profiles and titles; archaeology is not alone in this.
- All professions exhibit a variety of working environments, a tendency towards operating in smaller and more commercially-oriented units, and a move towards specialisation. Again, archaeology is not unique. It is a question of balance between satisfying the needs of a diverse membership and the costs of doing so.
- Geographic spread only really becomes an issue when combined with small overall numbers. The problem is how to provide effective support services to a widely scattered, small population; economies of scale are largely absent, but there is a potential role for information and communications technologies (ICT).
- There is a problem keeping in touch with members working abroad or serving any overseas membership. Both these can require significant resources and expensive infrastructure.
- Almost all PIs have a 'branch versus centre' syndrome i.e. they find it difficult to achieve an acceptable balance between the needs of members in different regions and the volume of decentralised activity.
- PIs are continuously evolving and seeking to adapt to change in their environment. In particular they are seeking: to be more inclusive; to market themselves to their members, potential members and the general public; to cope with internationalisation, new forms of work organisation, qualifications (including the emergence of occupational standards) and technology.
- Many PIs have experienced, or are experiencing, some difficulties in maintaining their numbers. This has stimulated a number of attempts to 're-engineer' the institutes concerned, including tackling new markets, implementing mergers and decentralisation.

Some Lessons from Section 4

- Archaeology employs a small but substantial number of dedicated support staff. It may be helpful to consider their needs alongside those of professional archaeologists.
- Chitty argues that there is a lack of a structured route in archaeology taking people from education into professional practice. Other PIs have developed a variety of ways of addressing this problem, and ensuring that prospective members have the required mix of qualifications and experience. These approaches are examined in more detail in the following Sections.
- It is useful to distinguish between initial entry into the profession and the development of professional competences as part of a continuing process of professional development.
- All PIs have established a set of entry criteria for their members and they have each established a set of mechanisms for the measurement, monitoring and maintenance of professional standards. These vary in complexity.
- Entry criteria usually comprise a standard entry route together with one or more special entry routes. The package involves balancing the need to retain high standards against the desire to broaden membership and be as inclusive as possible.
- All PIs recognise that professional development involves a mix of technical, managerial and professional competences, and that these are acquired by a variety of means over a lifetime of working and learning.

Some Lessons from Section 5

- According to Chitty most people entering archaeology as a career do so by obtaining a first degree in archaeology. However, this is not a vocational qualification designed to equip people to enter work and make an immediate, effective contribution. Further, more vocationally-oriented training is considered necessary before this can be achieved. The first degree provides an essential framework of knowledge and learning as a basis for vocational training and progression into work – but no more.
- There are other professions besides archaeology where entry is generally via a first degree that is not vocationally oriented. The usual way of handling this situation is either to encourage the candidate to take a relevant accredited postgraduate course at an institution of Higher Education or to study for the PI's own external examinations. A key issue with postgraduate programme is that of who is going to pay; for full-time courses the individual student will need a loan, while for part-time courses the employer will be expected to pay.
- It is vital to identify and conserve the 'core' of professional knowledge and skills. Then Higher Education institutions can respond with a diversity of programmes that suit the needs of different candidates.
- External examinations are expensive to administer but they can provide a 'benchmark' of content and depth against which other qualifications can be assessed. Most PIs have now abandoned external examinations. The main reason for this is the expansion of [and competition within] Higher Education – which has widened the availability of appropriate courses, while increased numbers have improved their viability. There has also been an issue surrounding the quality of the educational experience provided by some of these courses.

- There are serious resource implications in the choice of accreditation system. This involves issuing guidance, developing procedures and safeguards, implementing inspections and reviews; implementing reporting procedures – all of which require expert people.
- PIs can play an important role in Labour Market Intelligence – monitoring the demand and supply for labour and skills in their sector, and attempting to intervene in order to help balance the two or take ameliorative measures.
- The importance of the relationship between a PI and Higher Education cannot be overstated. There are many mutual benefits to be gained, including:
 - (h) The provision of positive feedback by the accrediting PI to the Higher Education institution's management
 - (i) PI support for additional resources for a department or course, including staffing and equipment
 - (j) The PI lobbying against down-sizing or closure of a course/department
 - (k) The PI making representations to government or Research Councils, or supporting the research assessment and quality assurance procedures
 - (l) Provision/exchange of information on good practice – including employer opinions and feedback
 - (m) Accreditation of courses – providing a 'kite mark'
 - (n) Assistance with recruitment.
- Other mechanisms for networking and cross-fertilisation are important to the health of a PI, including those which:
 - (d) Bring together staff of the PI with academics and practitioners/employers
 - (e) Bring together education and training experts from PIs in related professions
 - (f) Bring together heads of university departments.

Some Lessons from Section 6

- All professions find difficulty in being prescriptive about the breadth and nature of work experience.
- Breadth of experience is a particular problem given the trend towards smaller and more specialist units and organisations. PIs have responded with more guidance and less prescription. The onus is placed on the candidate, while the PI provides better documentation, effective assessment and appeal procedures. Ultimately, it is seen to be the employer's responsibility to assess whether a candidate for a particular job has an appropriate mix and depth of experience.
- Chitty suggests that, in archaeology, there are limited opportunities for high quality work experience and that, inter alia, there might be wider use of placements and secondments. However, little systematic use appears to be made, in the professions covered by this Study, of secondments and placements as a means of gaining varied work experience [post qualification].
- Many PIs are moving towards the use of occupational standards and NVQs. There is limited availability of appropriate NVQs in aspects of archaeology, but more generic NVQs in e.g. management, might be helpful.
- It is also worth noting that relationships between Professional Institutions and NTOs remain unclear at this time. Most of the professions considered here do not fit neatly within the compass of a single NTO, and there appears to be some potential for duplication and confusion of roles.

Some Lessons from Section 7

- In deciding on a structure of membership categories it is critical to find the right balance between simplicity and inclusiveness. The basic categories are likely to be 'student', 'member' and 'fellow', and clarity on these is especially important.
- Keeping systems – including categories of membership - simple minimises cost and bureaucracy, and helps to present a clear picture to the outside world.
- There is a wide degree of public interest in archaeology, suggesting that general/subscription membership may be an option to raise the overall numbers.
- Further, there is already a substantial institutional interest in archaeology, suggesting that acceptable forms of sponsorship and low cost channels for dissemination may be available.
- Overlapping membership of different PIs and associations is commonplace as a way of belonging to a professional umbrella group but also networking with colleagues with the same interests or working in a similar environment.

Some Lessons from Section 8

- CPD is generally seen as an effective means of ensuring that professional competences are maintained and developed. The archaeology profession should consider the introduction of a formal CPD requirement as part of its overall move to develop a professional infrastructure.
- There are few examples of CPD being tied directly to career progression or rewards. The connection is more usually indirect. CPD may be linked to movement up the different categories of membership of a PI.
- CPD is frequently linked to the ability to continue to practice one's profession and market oneself as a full or Chartered member of that profession.
- The operation of a CPD system has implications in terms of resources. The more complex the system, the more it costs. Most PIs now employ expert staff to oversee CPD.

Some Lessons from Section 9

- According to Chitty the archaeological profession has shown an increasing tendency towards specialisation and it is characterised by diversity. It is not alone.
- All professions exhibit a diversity of membership – whether in terms of their working environment, their sector, age or other personal factors.
- All professions involve a wide range of technical practice in the workplace, and increasingly make use of multi-disciplinary team working.
- These factors can be strengths as well as weaknesses. It is a question of finding the common ground – defining and maintaining the essential core of the profession – whilst developing structures and mechanisms that can reflect the diversity. It is critical to ensure that the institution can, and does, adapt to change.
- Some of the solutions are very expensive and are only really practicable for a large organisation/PI.

Some Lessons from Section 10

- All PIs carry out most, if not all, of the above functions. It is the extent or depth to which they are carried out that varies with the PI's size and income.
- Discussions with the PIs involved in this Study suggest that some of their members are motivated by the broad professional ethic, others by immediate personal benefit. It is not always easy to balance the expectations of these two groups.
- A characteristic of archaeology seems to be the high drop-out of young professionals early in their careers. It is possible that an active PI could play a useful supporting role here.

12. Conclusions

The following general conclusions can be drawn from the study:

- A unified profession can safeguard the interests of its members more effectively and can generally be more successful in representing the values of the profession in public and governmental circles.
- All professions are subject to increased specialisation and fragmentation. All PIs are attempting to cope with a diverse membership. This is a question of balance between the 'common core' of professional interests that can be represented by a single institution, and the need to feel that the 'special interests' of individuals and groups are given sufficient weight. This can be achieved through a variety of formal and informal mechanisms.
- The volume of professional development activity that is possible is largely a reflection of sheer numbers and having adequate resources available. Archaeology is a small profession and it may have most to learn from the smaller PIs in this Study.
- Where the overall numbers involved are small it is necessary to minimise overheads and maximise economies of scale. Complex systems e.g. of membership categories or CPD, have a direct impact on the scale of resources required to run them.
- It is useful to consider both the direct and indirect benefits of PI membership to the individual. Improving the working conditions and rewards of members, for example, is likely to be more effective as a result of education and lobbying – raising the status of the profession as a whole – rather than actions at an individual level.
- Setting and maintaining standards is a critical role for the PI. It is important for both internal and external purposes to develop clear and straightforward systems, and to keep them under continuous review.
- Perhaps the best approach for archaeology is an incremental one – first introducing the critical parts of the PI system, then adding further systems as resources permit.

13. Annexes

13.1 List of Sources

1. "Training in Professional Archaeology", Chitty, April 1999.
2. "Profiling the Profession", Landward Archaeology Research Report 99/06, published May 1999.
3. "A Framework for CPD Systems for Practitioners in the Construction Industry", EUSCCCIP project, CISC, March 1998.
4. "Research and Development of a Professional Competence Model", CISC, June 1993.
5. "Towards an Urban Renaissance", Urban Task Force, June 1999.
6. "A future for archaeologists: Professional training and career structure in archaeology", Bishop M, Collis J and Hinton P, *The Archaeologist*, 35, 14-16, 1999 (www.archaeologists.net/propose/html).

13.2 Materials Supplied by

1. Construction Industry Standing Conference (CISC)
2. Training of Professionals in Construction (TOPIC)
3. The Royal Town Planning Institute (RTPI)
4. The Royal Institute of British Architects (RIBA)
5. The Royal Institution of Chartered Surveyors (RICS)
6. The Institution of Civil Engineers (ICE)
7. The Museums Association (MA)
8. The Landscape Institute (LI)
9. The Institution of Highways and Transportation (IHT)
10. The Engineering Council
11. The Cultural Heritage National Training Organisation (CHNTO)
12. English Heritage
13. The Institute of Field Archaeologists (IFA)
14. The Council for British Archaeology (CBA)
15. The Association for Environmental Archaeology (AEA)
16. The Society of Museum Archaeologists (SMA)
17. Other NTOs.

13.3 Tables

- A. Profile of Archaeologists
- B. Profile of Comparative Professional Institutions
- C. Entry Routes – Qualifications and Experience
- D. Membership Categories
- E. CPD and Professional Maintenance.