

EVALuation Strategies
Stage 1 – understanding current practice
and encouraging sector engagement

(EVALS1)

Project Design

Version control		
Project name	Evaluation Strategies, Stage 1 – understanding current practice and encouraging sector engagement (EVALS1)	
Applicant	Chartered Institute for Archaeologists (CIfA)	
HE reference:	7754PD	CIfA reference: PP 2017.04
Author	Taryn Nixon, e - tn@tarynnixon.uk , t – +44(0)7913 116639	
Version	1.2 (20200716)	
Summary of changes	Revised by KG in line with HE comments – see highlighted text and queries table	
Circulation	Jenni Butterworth (for circulation to HE team), Peter Hinton, Kenneth Aitchison	
Status/action	For CIfA-FAME approval and submission to HE	

Contents

Contents	2
1. DESCRIPTION OF PROJECT	4
1.1 Project name	4
1.2 Project summary	4
1.3 Background	5
1.3.1 Project Origins	5
1.3.2 Planning context.....	5
1.3.3 Practice	6
1.3.4 Need.....	7
1.4 Aims and objectives	8
1.4.1 Aims	8
1.4.2 Objectives.....	8
1.5 Business case	10
1.5.1 NPPF.....	10
1.5.2 Historic England corporate plan	10
1.5.3 Timing	10
1.5.4 Sector collaboration and resilience	11
1.5.5 Research partnership	11
1.6 Interfaces	13
1.7 Communication and project review	14
1.8 Health, Safety and Welfare	14
2. RESOURCES AND PROGRAMMING.....	15
2.1 Stakeholders	15
2.2 Project Team structure	15
2.3 Methods statement	16
2.3.1 Scope and overview	16
2.3.2 Stages, tasks and products	18
2.3.3 Summary of stages, tasks, products and cost/time.....	22
2.4 Product descriptions	23
2.5 Ownership.....	23
2.6 Risk Log	24
2.7 Programme	25
2.8 Budget.....	Error! Bookmark not defined.
APPENDICES.....	26
Appendix 1 – Product Descriptions	26
Appendix 2 - References	33

1. DESCRIPTION OF PROJECT

1.1 Project name

EVALuation Strategies (EVALS)

1.2 Project summary

EVALS is a project to develop and implement strategic improvements in the practice of archaeological field evaluation in England, including in archaeological advice, standards and guidance. The project will ensure sector-wide recognition of archaeological evaluation not only as a process to scope stages of further work, but also as the means of unlocking public benefit in line with the National Planning Policy Framework (MHCLG, 2019).

EVALS is to be delivered in two stages:

EVALS1 (July 2020 – November 2021 and the subject of this Project Design) will determine which factors are most important in selecting appropriate and proportionate strategies for archaeological field evaluation in England, with a particular focus on sampling (trial trenching) strategies.

- A process of stakeholder engagement will gain a shared understanding of current evaluation practice, constraints and goals in the context of the NPPF, and enable Historic England (HE) to review its guidance in light of new evidence.
- It will focus on evaluation in advance of minerals extraction, house-building and infrastructure development, where the need for validation and consensus on effective and proportionate evaluation strategies is particularly urgent – albeit with outcomes that are relevant to other types of development.
- Supporting case studies will be identified from a representative range of chronologies, geologies and locations in England, with simple comparisons drawn between what was forecast at evaluation and what was found during subsequent archaeological investigation.
- An interface will be established between EVALS1 and project 7798, the PhD research project supported by HE and the EPSRC Centre for Doctoral Training in Science and Engineering in Arts, Heritage and Archaeology (SEAHA), ‘Evaluating Evaluation Trenching in Archaeological Projects’ (hereafter, HE/SEAHA 7798). There are clear benefits of liaison during the course of EVALS1, as set out in section 1.6 below, and the HE/SEAHA 7798 dataset has high potential to form part of a future evidence base when it becomes available upon completion of the PhD, toward the end of 2022. The interface is proposed in order to benefit both projects and avoid any risk of duplication; however, the projects are not interdependent.

EVALS2 will develop a robust evidence base to support ongoing sector confidence in future advice and continual improvement in archaeological evaluation practice. Additional, in-depth modelling of alternative evaluation strategies will be carried out where required to

support specific archaeology and developer sector concerns, and involve practitioners in making the necessary changes to ensure that evaluation in England is consistent, proportionate and question-led so as to optimise the benefits of the work.

The need for and details of the second stage of the EVALS project will be considered in 2022 in light of the results of EVALS1.

1.3 Background

1.3.1 Project Origins

The original proposal for this project supported actions in the *21st Century Challenges for Archaeology* project (7521) which, in turn, built on the cross-sector *Southport Report* (2011) funded by HE. Southport set out a vision for realising public benefit from planning-led investigation of the historic environment wherein *'historic environment projects instigated through the planning process would consistently add value to development, and the market for services would deliver maximum net value to society (rather than least-cost compliance with regulation)'*.

The proposal also reflected the needs highlighted during the work of the Minerals and Historic Environment Forum (MHEF) to prepare *Minerals Extraction and Archaeology* (Historic England 2020). It is clear that if guidance on sample sizes is needed, then it must be evidence-based. In a situation where stakeholders debate what the recommended sample size should be, the absence of validated data makes it difficult if not impossible to arbitrate between opinions. Reliable, peer-reviewed data from analysed evaluation projects, on the other hand, would help to ensure that evaluation is sufficient, cost-effective and proportionate and also enable greater consistency and reliability in conservation judgements and decisions across the country.

1.3.2 Planning context

The National Planning Policy Framework advocates a question-led, creative and proportionate approach to planning and development, with core principles that seek, *inter alia*, to enhance and improve the places in which people live their lives, and to enable heritage assets to be conserved in ways commensurate with their significance so that they may be enjoyed for their contribution to the quality of life (MHCLG, 2019).

Archaeological field evaluation plays a vital role in NPPF implementation as a means of building an early appreciation of heritage assets with archaeological interest in a given area or site (ibid, para 189). Under the NPPF, local authorities require planning applicants to describe the significance of heritage assets that may be affected, including their setting.

The professional Standard for Archaeological Evaluation in the UK describes the purpose of evaluation as *to gain information about the archaeological resource within a given area or site (including its presence or absence, character, extent, date, integrity, state of preservation and quality), in order to make an assessment of its merit in the appropriate context* (CifA 2014) in order to provide the information needed by all parties for effective and efficient decision-making within the planning process. The level of detail required should be proportionate to the assets' importance

and no more than is sufficient to understand the potential impact of the proposal on their significance.

1.3.3 Practice

Some important studies over the last two decades have particularly influenced practice.

- (i) The Confederation of British Industry's *Code of Practice for Mineral Operators* (CBI 1991) stipulated that trial trenching in evaluation would not normally be expected to exceed 1% to 2% of the directly affected area of potential archaeological interest. This continues to influence debate on evaluation sampling percentages in the context of the minerals industry.
- (ii) *Evaluation of Archaeological decision-making Processes and Sampling Strategies* (Hey and Lacey, 2001) was commissioned and funded by English Heritage. It addressed the complexity of evaluating archaeological remains, toward establishing procedures to determine appropriate archaeological evaluation strategies. Conceived as a pilot study, it was clear that despite only studying 12 sites (all rural, linear schemes in South-East England), valuable extrapolations could be made through data analysis, for example about sampling sizes, selection of different techniques and evaluation cost as a percentage of total [future] archaeological costs. The report was cautious to make more than general observations about the efficacy of different evaluation techniques or sample sizes in different circumstances, given the small number of projects studied and the wide variety of their physical attributes. Importantly, the work noted that low percentages of evaluation sampling (such as the 2% commonly advocated since the 1990s) would not be sufficient to locate significant remains, for example Neolithic houses, Saxon timber halls, important pit groups, many Bronze Age houses or even small Roman shrines (Hey, *pers comm*).
- (iii) The PhD thesis, *Archaeological Evaluation, Land Use and Development: an application of Decision Analysis to current practices within the local government development control processes in England* (Waller, 2008) identified and assessed decision points in the curatorial process. The thesis concluded that evaluation sampling would need to be well above the 2% sample size that was then increasingly being cited as a norm – for example at least 6% to identify two thirds of the archaeological periods present on a site, and potentially a sample of between 21% and 30% to identify all archaeological periods (Waller 2008, 201).
- (iv) The HE-funded study '*What Value? Archaeological evaluation and mitigation in Worcestershire 1990-2014*', HE project 6912, had hoped to provide an evidence base capable of interrogation and analysis but this was hampered by the large number of variables involved (Nash et al, 2017, 91). This study drew important conclusions about evaluation practice in Worcestershire and the City of Worcester, with recommendations for practice and guidance improvement that have national relevance. For example, evaluation sample sizes had steadily increased over the last 25 years to around 4% and, within the City of Worcester, to an average of 5.6%.
- (v) The factors influencing choice of evaluation strategy National advice on *Mineral Extraction and Archaeology* are directly addressed in Historic England's Advice Note 13 (Historic England 2020). It emphasises the need for strategies to be site-specific, to consider a wide range of evaluation techniques and to ensure work is proportionate and question-led in order to inform decision-making in accordance with the NPPF. The work and consultation leading to the publication of the Advice Note specifically highlighted the need for an improved evidence base on evaluation best practice.

1.3.4 Need

The effectiveness of different evaluation strategies requires rigorous review, in order to provide validated evidence to substantiate the choice of evaluation strategy, to ensure that strategies are selected in proportion to the significance and potential of the assets, and in order to learn, cumulatively, from practice.

This need for evidence to validate evaluation strategy choices is made more urgent by current market pressures which can be summarised as:

- (i) Pressure on the construction industry to scale up productivity as the country emerges from the economic interruptions of lock-down during the COVID19 pandemic. These pressures have been particularly evident in recent years in the aggregates industry, housing – with Government targets to build 300,000 new homes by the mid-2020s, and infrastructure - with Government plans for substantial investment in a new National Infrastructure Strategy. Construction project starts are forecast to rise by around 5% in 2021 (source: Glenigan.com Index of new construction activity).
- (ii) Increase in construction gives rise to increased demand for minerals, and so to archaeological work in advance of minerals extraction. This is emphasised by the Minerals Products Association and CBI: “It is crucial therefore that the link is made between the need for more and better housing and infrastructure and the raw material supply chain that enables them to be delivered” (MPA & CBI 2018, 1).
- (iii) The consequent likely increased demand for professional archaeological services and selective sampling of archaeological sites – working in innovative ways to deliver the required value for less time and cost.
- (iv) The challenges of pre-determination evaluation are already significant. The cost of pre-determination evaluation to the construction and aggregates industry commonly requires ‘at risk’ investment prior to permission being granted. Research commissioned by ALGAO UK (Rocks-Macqueen & Lewis 2019) indicated that out of the 16,000 planning applications with archaeological implications (from a total of 525,000 applications in England in 2018) only 2,200 involved recommendations for pre-determination evaluation. A lack or insufficiency of pre-determination evaluation has caused significant cost/time and protection problems both for the historic environment and for development (eg Wills & Bryant 2019) Anticipated further streamlining of the planning process in England. More detail on reform to planning policy in England is expected to be announced later in July 2020. There are widespread concerns that likely further streamlining of the National Planning Policy Framework coupled with reduced resources would further constrain the use of important tools such as pre-commencement planning conditions to specify the need for evaluation.
- (v) Under-resourcing in local authority heritage service provision (Historic England 2018) will only increase the risk of unevenness in the design and delivery of field evaluation projects. The number of local authority heritage specialists and conservation officer posts in England has reduced by around 35% since 2006, with only 264.7 specialists (full time equivalent) providing archaeological advice: planning application numbers continue to rise while heritage expertise available to local authorities continues to fall (ibid).

Overall, the pressures are such that if archaeological evaluation work were to be inadequate, and/or if it did not address public value delivery, and/or if evaluation reports were to make falsely confident assertions, then the very place of archaeology within the planning process would be at risk. In this context, the need is for swift and demonstrably cost- and value-efficient archaeological services that demonstrate to society as a whole the validity of planning decisions affecting *in situ* archaeological remains.

1.4 Aims and objectives

EVALS is conceived as a two stage project to establish a robust evidence base to transform evaluation practice. The first stage requires stakeholder engagement and the demonstration of the role and value in the planning framework of archaeological field evaluation.

1.4.1 Aims

The aims for EVALS1 are:

Aim 1. To determine which factors are most important in influencing the choice of archaeological evaluation strategy

Aim 2. To encourage recognition within the construction, development and aggregates industries of the value of archaeological evaluation as a pivotal process in sustainable development that benefits the public in line with the National Planning Policy Framework.

Aim 3. To strengthen the existing evidence base and provide a platform for sector-wide, strategic improvement and implementation of good practice in archaeological field evaluation in England.

1.4.2 Objectives

To achieve these aims, the objectives are to:

- a. Engage with archaeology sector and construction, development and aggregates industry stakeholders to build cross-sectoral relationships, working together to develop and map a shared understanding of current archaeological evaluation practice in England. This will include
 - (i) Identifying the reasons for and usefulness of different evaluation strategies including
 - advice given and guidance used
 - common practices such as deposit models and geotechnical test-pits to serve both archaeological and construction information
 - availability of choice of evaluation strategy
 - objectives for value creation compared with value created
 - costs, timing of costs and the balance of reasonable cost against adequate certainty in line with the principles in HE's Public Benefit Framework (Historic England 2019); it is expected that archaeological costs will be expressed as a percentage of net costs of construction but may also be expressed in other ways.
 - (ii) Identifying and assessing sector and industry concerns over current practice (for example: the particular challenges of detecting different categories of archaeological remains such as prehistoric lithic scatters and early medieval sites; the questions of purpose in the context of NPPF principles; the balance of early cost against certainty of evaluation forecast; the usefulness of a sample size percentage as an industry standard).

b. Draw on a representative range of case study evidence to inform and validate the mapped decision-making process, and compare what was forecast in evaluation with what was found in subsequent investigation in order to evaluate the effectiveness of the chosen strategy.

(i) This will address the questions:

- What advice and steps, Standards and Guidance are required to ensure that decisions about the future treatment and management of the archaeological interest of heritage assets in England are informed, proportionate and cost efficient?
- Which evaluation strategy(ies) in which circumstances will reflect the type, period, layout and burial conditions of assets of archaeological interest so as to determine their significance and potential and support the principles in the NPPF of knowledge creation, contribution to place-making and creation of public value for society at large?
- Which evaluation strategies in which circumstances reflect the quantity, nature of archaeological assets and the cost (and time) required for their further investigation or management and so deliver greater stakeholder value and certainty?

(ii) And will involve:

- Collating and/or digitising data, as required to enable later comparison and ensure compatibility of these datasets and those of Project 7798.
- Identifying hypotheses about alternative evaluation strategies where appropriate. However, alternative evaluation strategies will not be modelled or simulated as part of EVALS1; rather, they may be absorbed within Project 7798 or deferred to EVALS2).
- Applying a standardised process to assign value to the effectiveness of the evaluation.

(iii) And will take account of:

- different evaluation strategies (including geomorphological deposit modelling (see, for example, Historic England 2020 b) and borehole surveys, evaluation trenching and the use of formulaic trench arrays), evaluation trenching and test-pitting;
- different chronologies;
- different locations in England; and
- different types of scheme (namely, minerals extraction, house-building and linear infrastructure development).

c. Add mutual project value through an interface with project 7798 PhD research project.

This will involve regular liaison between the Lead Consultant and the HE/SEAHA PhD researcher through EVALS1 Project Board meetings and PhD supervision meetings, with the benefits of:

- ground academic research in practice;
- avoiding duplication or repetition;
- identifying case study material for subsequent analysis;
- ensuring dataset compatibility.

d. Provide a report on this work by November 2021. This will:

- (i) Update the main conclusions regarding decision making and choice of evaluation strategy and good practice in Waller (2008) and Hey and Lacey (2001).

- (ii) Make clear recommendations on the need for updated guidance to support good practice implementation. This is likely to include:
- the need for further advice and training in order to build sector resilience, especially within local authorities;
 - the mechanism to continue with a process of sector engagement that supports collaboration for innovation and continual practice improvement;
 - the requirement for HE to update its published advice in light of EVALS1 findings;
 - the requirement for ClfA to update the Standard and Guidance on Archaeological Evaluation (2014) in light of EVALS1 findings.
 - the need for further detailed modelling and comparison of simulated alternative evaluation strategies building on this study and *HE/SEAHA 7798 – Evaluating Evaluation trenching in archaeological projects* as a second phase of the project (EVALS2)

1.5 Business case

1.5.1 NPPF

Despite enormous advances in practice in recent decades, there are significant concerns that evaluation is still rooted in outdated principles, and to continue to apply the same practices would be irresponsible, demotivating and, ultimately, very damaging for the sector. Archaeological evaluation appears to be seen largely as a land-use planning process stage to manage threat to the resource, rather than as a knowledge-centred activity with the potential to contribute to community and place interests, education and socio-economic growth. The Raynsford Review of Planning (TCPA 2018), in describing the currently fragmented and underfunded planning system, calls for a ‘people-centred’ planning system supporting outcomes that work in the long-term public interest of communities and the nation. EVALS is an historic environment sector leadership initiative to ensure that the pivotal step of archaeological field evaluation within the planning and development process supports NPPF principles of sustainable growth including the realisation of social and cultural benefits.

1.5.2 Historic England corporate plan

The EVALS project directly supports HE’s corporate objective (2), to ‘*Ensure that our advice and evidence results in well-informed decisions that serve people, places and the economy well*’ and the strategic activity of ‘*providing expert and robust advice to inform the care and development of the historic environment*’ (Historic England, 2020c). The outcomes of EVALS1 will help to develop influence and reputation, and provide the consensus and tools for strengthening sector guidance and practice (Tier 1 Strategic Activities 3 and 4, Historic England 2020c). It directly supports local decision-making while strengthening national capacity, and will enable better applied heritage science and a focus on the value of the historic environment.

1.5.3 Timing

Timing is driven both by external pressures and by project interfaces. Externally, the need for validation and consensus on effective and proportionate evaluation strategies is seen as particularly urgent in the context of economic and political pressures on minerals extraction, house-building and infrastructure development. EVALS1 is an important opportunity to engage with archaeology and construction stakeholders in these industries, to build shared understanding of the relevant issues and objectives in the context of the NPPF.

EVALS1 will draw comparisons between what was forecast in archaeological evaluation and what was subsequently found, in order to inform and illustrate that shared understanding and to enable HE to review its guidance in light of new evidence. However, detailed modelling and the comparison of simulated alternative evaluation strategies will be deferred to second stage work, EVALS2, or may, be addressed if that team considers it appropriate, by HE/SEAHA 7798 (see section 2.3).

After the completion of the HE/SEAHA-supported PhD toward the end of 2022, its dataset will become available and, alongside proposed further work in EVALS2, has the potential to form a vital part of the future evidence base. The business case and details of the second stage of the EVALS project will be considered in light of results from EVALS1 and the results of the HE/SEAHA project 7798 and developed in a separate Project Design.

1.5.4 Sector collaboration and resilience

While desk-based assessment generally locates the presence of archaeological remains, it is not strong at predicting detailed location, condition and quality of finds (Hey and Lacey 2001). The sector needs a widely available, up-to-date evidence base to demonstrate the appropriateness of different techniques in different circumstances, including the effect of sample size and sample structure on accurate prediction and the implications from evaluation results both for project planning and for knowledge and benefit gain. While EVALS1 will only address 18 case studies, it will begin a sector-wide, collaborative conversation about what, potentially, is a game-changing approach to both desk-based and field evaluation.

EVALS1 will also develop HE's research partnerships by '*supporting work to ensure the full value of developer-led investigation is realised*'. There is scope for EVALS1 to consider actions that will reinforce wider policy implementation, for example work in Heritage Action Zones.

Improved evaluation practice is seen as a key factor in reducing calls on 'bail out' funding in the case of significant remains not anticipated during evaluation subsequently coming to light.

The results of EVALS will be of value to a wide range of stakeholders in the historic environment sector and planning, construction and aggregates industries.

1.5.5 Research partnership

EVALS will be led by a research partnership involving HE, ClfA – the Chartered Institute for Archaeologists, FAME – the Federation of Archaeological Managers and Employers, and a lead consultant to be appointed, overseen by a Project Executive Board and advised by a Project Advisory Group (see Section 2.2)

ClfA and FAME are ideally placed to orchestrate a wide-reaching and purposeful collaborative project with the archaeology sector and members of their client sector. Both organisations operate with a view to forging stronger historic environment sector integration, cohesion, profile and professional development by working collaboratively and communicatively with experts from across the historic environment sector and providing online professional development opportunities among its outputs.

The EVALS project directly supports the following ClfA and FAME strategic objectives:

- the promotion of exemplary practice and innovation;
- the definition and promotion of standards and ethics;

- the stimulation of knowledge exchange;
- the encouragement of intellectual rigour and a research ethos;
- the promotion of training and development to build capacity and improve standards within the profession;
- to affirm the value of using accredited professionals working to professional standards that meet stakeholder needs;
- the development of partnerships across the historic environment and cognate sectors; and
- the conservation and advancement of knowledge of the past for the benefit of society.

1.6 Project scope

The project will focus specifically on geomorphological deposit modelling and borehole surveys, evaluation trenching and the use of formulaic trench arrays, and test-pitting across different chronologies, locations and types of scheme (minerals extraction, house-building and linear infrastructure development).

EVALS 1 will not consider non-intrusive evaluation/prospection techniques at this stage, for example geophysical survey, remote sensing, geochemical survey, earthwork survey, field scanning or surface collection of artefacts, or building survey, or other development/construction scheme types. It may make recommendations for these to be considered as part of the second stage of the project, EVALS2.

1.7 Interfaces

There is an important interface between EVALS and *HE/SEAHA 7798 – Evaluating Evaluation trenching in archaeological projects*, with significant benefits to be gained through collaboration, although the projects are not mutually dependant:

HE/SEAHA 7798 is a four-year doctoral research project being carried out through the EPSRC Centre for Doctoral Training in Science and engineering in Arts, Heritage and Archaeology, at University College London Institute for Sustainable Heritage, University of Oxford and University of Brighton, in collaboration with HE and Trent & Peak Archaeology.

The project aims to assess the usefulness and limitations of evaluation trenching in different environment types, for the detection of different archaeological remains. This involves synthesising and analysing pre-existing archaeological data from projects that included a significant evaluation trenching component that have been followed by a full excavation stage. Using GIS, it will compare the forecast evaluation results with what was found during excavation (as will EVALS1 project) but will delve deeper than EVALS1 to assess the effectiveness of the evaluation strategy and run simulations to test the most effective levels of feature and site identification, using a series of different evaluation trenching designs and applications, and validating these with results from the full mitigation excavation databases. A key driver for the overall HE/SEAHA funded PhD programme is to build new skills in the historic environment sector.

An interface between HE/SEAHA 7798 and EVALS creates important opportunities to:

- Ground academic research in practice, with PhD research benefitting from EVALS market insight, informed by practitioner and client industry experience;
- Generate additional case studies through sector engagement, for incorporation where they may be useful in the HE/SEAHA 7798 dataset;
- Optimise the potential to add mutual project value and wider public value, in line with HE's Public Value Framework;
- Avoid duplication;
- Ensure compatibility of datasets;
- Optimise the potential for ongoing links between academia and commercial archaeology;
- Enable both teams to consider practical proposals for the future development, curation and benefits of the datasets resulting from each project (which are currently beyond the scope both of HE/SEAHA 7798 and of EVALS1 project).

The HE/SEAHA 7798 PhD candidate will be a member of the EVALS Project Advisory Group. This provides a pathway into the EVALS project and the opportunity to be involved in recommending arrangements for the later use of the research dataset after completion of the PhD and EVALS1, while retaining ownership of the PhD material and protecting the originality of the PhD.

There are also an interfaces between this project and a number of wider sector initiatives including the 21st Century Challenges in Archaeology work programme, the Historic Environment Forum's review of heritage guidance and ClfA's own programme of review of its Standards and guidance. There is significant cross-over of representation on these initiatives and the Project Executive Board for this project which will facilitate effective communication and coordination of work.

1.8 Communication and project review

The project requires sustained stakeholder engagement, and external communications will be set out in a Communications Plan, prepared by the appointed Lead Partner for sign-off by ClfA and FAME and HE, in the Preliminaries Stage (1) of the project.

The required contents of the Communications Plan are included as Product Description 4 (Appendix 1).

Most if not all communications are expected to be online, in order to respect any Government advice (as in force at the time of writing) on physical distancing in the context of the COVID 19 pandemic. In any event, online communications would have significant benefits for the EVALS1 project, enabling participation from a wide geographic reach, making attendance more inclusive and avoiding travel and venue. As large online meetings and workshops bring particular challenges, extra work and innovation is expected, in order to make engagement not only efficient but also motivational and impactful – attributes that will be important to the success of this project.

Most meetings and workshops are expected to use the Zoom meeting platform (or equivalent by agreement), email and telephone, and to be supported by the project team social media platforms and web sites as appropriate.

A short Internal Communications Protocol will also be prepared at the start of the project to provide clarity on the communications interface between EVALS and HE/SEAHA 7798, and to protect the originality of the SEAHA PhD research (Product Description 4, Appendix 1).

EVALS will be established as a project group using Heritage Workspace, HE's digital collaboration space, hosted on its Knowledge Hub platform. This will enable secure file sharing and online discussion.

1.9 Health, Safety and Welfare

ClfA and FAME as project partners recognise and accepts its responsibilities for ensuring as far as is reasonably practicable, the health, safety and welfare of its employees.

All work carried on the project will be expected to conform to the policies set out in the ClfA *Health and Safety Policy Statement*, dated December 2014, copies of which can be provided on request. The Lead Consultant to be appointed will be expected to demonstrate their awareness of and compliance with relevant safe working arrangements, including safeguarding arrangements appropriate to online working.

2. RESOURCES AND PROGRAMMING

2.1 Stakeholders

Stakeholder engagement is critical to achieving the project aims and objectives: the likely outcomes of EVALS1 will include recommendations for implementing practice changes for which sector and industry buy-in will be needed.

Stakeholders for this project can be grouped broadly as follows:

- (i) Planning professionals and decision-makers in local and regional authorities, including historic environment officers, national agencies, ALGAO, Historic England – that would benefit through validated evidence to demonstrate and strengthen planning decisions;
- (ii) Construction and development professionals – in particular those in the minerals extraction, house-building and infrastructure sectors – that would benefit through greater certainty of approach, clearer definition in pre-planning discussions and by seeing a reduction in the funds needed for unexpected archaeological work during construction;
- (iii) Archaeologists – including commercial archaeology practices and academia – that would benefit from the ability to make more confidence and consistent recommendations and a stronger, more unified professional voice and external profile in its client sector;
- (iv) Society at large, including those affected by development proposals and those wishing to engage in archaeological endeavour and with the knowledge it creates.

2.2 Project Team structure

The EVALS project will be funded by HE and commissioned from ClfA as the managing partner. HE's Project Assurance Officer will be Jenni Butterworth.

The project will be managed for ClfA by Kate Geary, Head of Professional Development and Practice, with quality assurance provided by Peter Hinton, Chief Executive. The Lead Consultant will be expected to undertake day to day management of project tasks and to manage and report on progress against agreed milestones.

Project Team: Lead Consultant will be appointed through a competitive process to work alongside ClfA and FAME as a Project Partner. The Lead Consultant will bring project coordination and stakeholder engagement skills to the project as well as direct knowledge and expertise in archaeological evaluation in the context of the planning and development process, likely to be more than one individual. They will be responsible for organising sector and industry engagement, collating and analysing case study data, maintaining effective project communications and reporting. The Lead Consultant may be a single organisation or the Lead for a collaboration or consortium involving more than one consultant or organisations.

The Lead Consultant will report to the Project Executive Board, responsible for taking key decisions and for managing delivery of the project in line with Historic England's Public Value Framework (Historic England 2019); it will comprise

- Kate Geary (Head of Professional Development and Practice, ClfA) – Chair
- Peter Hinton (Chief Executive, ClfA)
- Kenneth Aitchison (Chief Executive, FAME)
- Guy Robinson (Historic England lead)
- Magnus Alexander (HE archaeology lead)

A Project Advisory Group convened by the Project Executive Board will meet around six times during the course of the project and will include

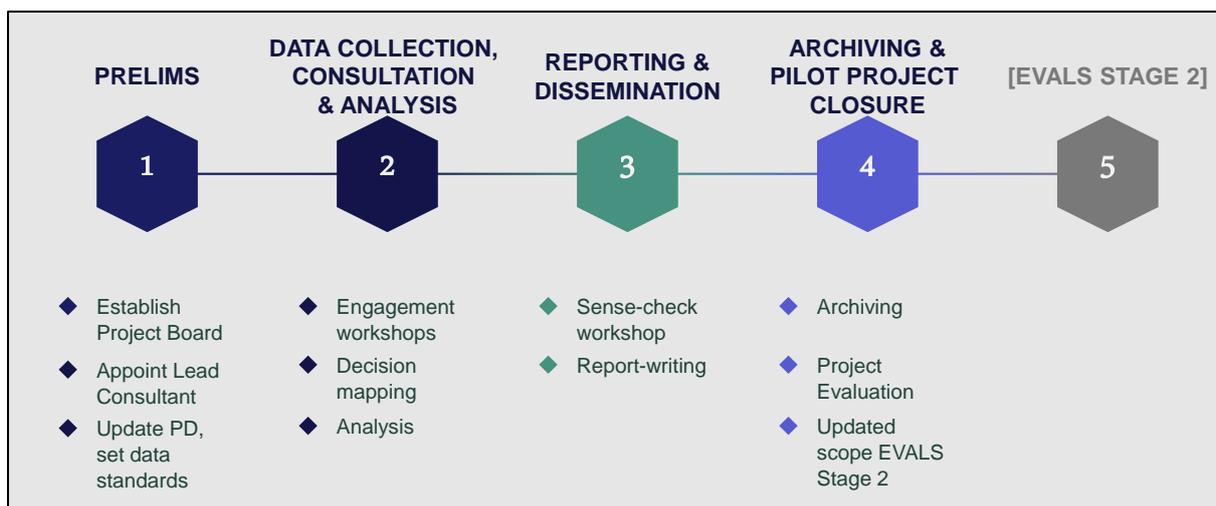
- Members of the Project Executive Board as above
- A representative of ALGAO (the Association of Local Government Archaeology Officer)
- Richard Higham (the HE/SEAHA 7798 PhD candidate)
- Stakeholder developers with direct experience of evaluation in the context of minerals extraction, housing and infrastructure development (to be confirmed at the project initiation stage)

EVALS1 will explicitly build a correspondence group of interested archaeology and developer sector stakeholders, as a mechanism to build consensus and engagement. Letters, emails and open calls to attend workshops will invite individuals to sign up to receive information and be part of this 'consultation group'.

2.3 Methods statement

2.3.1 Scope and overview

- The project will be carried out in line with the project management guidance set out in MoRPHE (Historic England 2015).
- EVALS1 focuses on engaging with the archaeology sector and development and extraction industries to improve evaluation practice in England, and the first elements of work will involve mainly desk-based activity through workshop and consultation, simple analysis of case study data using existing GIS software, communications and reporting.
- The project breaks down into stages as follows:



- Five online workshops will be held during the first half of the project. These are critical for the understanding issues and decision-making in current practice, for building a consensus around practice improvement and to source case study material.

ONLINE WORKSHOP	TARGET STAKEHOLDERS	PURPOSE
1	Archaeology sector workshop	<ul style="list-style-type: none"> I. To launch EVALS1 within the archaeology sector II. To understand and map the decision-making process (project Objective (i)). III. To invite case study material (project Objective (ii)), ensuring a broad range of different types of site/intervention (including those less often investigated in commercial archaeology, such as deeply buried Pleistocene and plough-zone remains) and a representative range of extraction sites (limestone, igneous and metamorphic rock, sandstone, sand and gravel) IV. To invite individuals to sign up to continue to receive information about the project and accordingly form part of a consultation group [project partners] for ongoing participation in the project.
2	Minerals extraction and archaeology workshop	<ul style="list-style-type: none"> ▪ To invite representatives including: Minerals extraction: Minerals Products Association, British Aggregates Association, Minerals UK (BGS Centre for sustainable mineral development) and aggregates companies (including the five largest UK aggregates producers, Aggregate Industries, Breedon, Cemex, Hanson and Tarmac). ▪ Aims as for points I to IV above.
3	House-building and archaeology workshop	<ul style="list-style-type: none"> ▪ Home Builders Federation, Federation of Master Builders, National Federation of Builders (and NBFB Heritage Group), NHBC; ▪ Aims as for points I to IV above.
4	Linear infrastructure	<ul style="list-style-type: none"> ▪ Build UK, Construction Industry Council, HS2, Highways England, Crossrail, Town and Country Planning

	and archaeology workshop	Association (Linear Infrastructure Network), the Infrastructure and Projects Authority, Chartered Institute of Building (CIOB), Tier 1 Contractors. <ul style="list-style-type: none"> Aims as for points I to IV above.
5	Archaeology sector and industry representatives together	<ul style="list-style-type: none"> To share and discuss interim findings with the contribution group and other invited consultees as appropriate To gain interim feedback on the most significant outcomes from the work, prior to finalising the written report.

- Building on the Hey and Lacey 2001 dataset, EVALS1 will study a further 18 case studies from evaluations on minerals extraction and housing development and linear infrastructure sites. The team will invite case studies from across a range of different terrestrial locations, geologies and chronologies. Marine archaeology is outside the scope of this project. EVALS will compare what was forecast in evaluation with what was subsequently found during further archaeological fieldwork, using a Geographic Information System (GIS) to achieve simple, quantifiable overlays.
- Accordingly, the EVALS1 will demonstrate how choice of evaluation strategy can deliver different heritage outcomes, and will identify instances where more detailed analysis and simulation of alternative strategies would strengthen the evidence base, in order to make recommendations for further work. For clarity, the detailed modelling of *alternative* evaluation strategies itself is beyond the scope of the EVALS1 project. An interface and cooperation has been established, however, between EVALS and the HE/SEAHA 7798 project, enabling the EVALS Project Team to refer any case studies with likely high potential for useful simulation modelling to the HE/SEAHA 7798 PhD candidate, for incorporation in that research if appropriate, or to be addressed after the completion of the PhD. Compatibility between datasets will be ensured, so that any digitised data from the EVAL1 project may be easily integrated if appropriate with the HE/SEAHA 7798 PhD research.
- The CifA *Standard and guidance for Archaeological Evaluation* (2014) is expected to require updating in light of the findings of EVALS1 and will take place after project completion.
- Arrangements will be made for depositing digital data with the Archaeology Data Service.
- The EVALS1 project report will be submitted by the end of November 2021.
- Project outputs will be compliant with public sector website accessibility regulations.

2.3.2 Stages, tasks and products

The following table details the proposed stages and tasks; the product numbers cross-refer to the Product Descriptions in Appendix 1.

Abbreviations: Client = HE; PM = Project Manager;
 PB = Project Executive Board; LC = Lead Consultant to be appointed.

STAGE	TASK	PRODUCT	No.	Who	By date
-------	------	---------	-----	-----	---------

1 - Prelims	1.1 Project approval given and project initiation meeting (Client and PM) held.	Commission	-	Client	
	1.2 Start-up and procurement: schedule Executive Board meetings, agree procurement process, convene Project Advisory Group.	Procurement documentation email	1	PM	End July 2020
	1.3 Appoint Lead Consultant.		1	PM	End Aug 2020
	1.4 Liaise with Project HE/SEAHA 7798 PhD candidate regarding dataset compatibility and internal comms protocols.	(incorporated in UPD and Communications Plan)	2, 4	LC	Sept 2020
	1.5 Create project collaboration space with the Knowledge Hub or alternative by PEB approval, liaising with Edmund Lee, HE.	email	-		End Sept 2020
	1.6 Set out methodology and agree with Project Executive Board the process and measures of evaluation (i.e. assignment of value to) case study data, which will take into account: <ul style="list-style-type: none"> i. type/character and size of development scheme; ii. geographic location; iii. geology, topography, depth and nature of overburden; iv. date/period, density, nature and state of preservation of archaeological remains/features/finds; <p style="text-align: center;">and</p> <ul style="list-style-type: none"> v. decision-making steps within the planning process; vi. protocol for capturing the financial costs of evaluation; vii. evaluation (value assignment) of the significance of archaeological assets - or factors influencing the future evaluation of significance – including how evaluation strategies might differ for assets where any post-determination strategy is likely to be strip, map and sample, compared with those where the response might be targeted excavation; viii. Planning and policy context, taking into account NPPF principles and 	Updated Project Design (UPD)	2	LC	End Oct 2020

	the potential benefits of identifying case studies in Heritage Action Zones.				
	1.7 Confirm dataset archiving assumptions with Archaeology Data Service	email	-		
	1.8 Update project Risk Log (to maintain during the course of the project)	Risk Log	3	LC	End Oct 2020
	1.9 Liaise with HE regarding its HELM and webinar programmes and the EVALS1 Project Manager, in order to scope potential training and practice development that may result from the project	UPD	2	LC, PM	End Oct 2020
	1.10 Present UPD including updated stakeholder lists to Project Board for sign-off (suggest use of a Boston matrix of interest/influence to identify and invite key stakeholders and consultees); agree workshops and methods of engagement; update the timetabled Communications Plan	Communications (Comms) Plan	4	LC	End Oct 2020
2 – Data collection, consultation and analysis	2.1 Prepare content and collateral for Workshops – notices and calls in advance, workshop materials, follow-up	Stakeholder invitation and media release	4	LC for PB approval	Early Nov 2020
	2.2 Host online consultation workshops and sustain sector and developer industry engagement with the aim of understanding, mapping and validating the factors that are most important in choosing the optimum evaluation strategy (that balances cost, certainty and stakeholder value in line with the NPPF)	UPD	2	LC	Workshops: Nov 2020, Jan 2021, Feb 2021
	2.3 Identify and step up communications with the a consultation group;		4		Feb 2021
	2.4 Reports for Project Board and Advisory Group – comprising a Highlight Report, updated project Issues Log (every two to three months)	Issues Log	5		ongoing
	2.5 Select, digitise where necessary and analyse case study data Consider opportunistic field visits to photograph relevant sites/work, liaise with	UPD	2		Feb 2021 – June 2021

	project partners and provide content to support good communications, presentation at ClfA annual conference, FAME annual Forum				
	2.6 Maintain project profile in sector and industry, commensurate with Communications Plan	Comms Plan	4	LC	quarterly
3 – Reporting and dissemination	3.1 Host final online workshop to feed back to consultation group	UPD	2		End Sept 2021
	3.2 Provide Highlight Report on Workshop 4 to Project Board	Comms Plan	4		“
	3.3 Submit Project Report (two iterations: draft for review and final draft) to HE with recommendations regarding practice and approach that include: <ul style="list-style-type: none"> i. The benefits or otherwise of iterative evaluation methodologies; ii. Requirements to update professional standards and guidance; iii. The decision-making factors most important in archaeological effective archaeological evaluation; iv. The merits or otherwise of further developing a digital dataset that the sector could continue to add to, in order to support continual learning and improvement in evaluation practice; v. Strategies to weigh the balance between reasonable cost, adequate certainty and enhancing the value of heritage assets; vi. Sector training and development needs in order to provide practitioners in the heritage, planning, construction and minerals extraction sectors with the tools and strategies they need to evaluate their sites effectively in line with national planning policy. 	Project Report – including recommendation and key messages.	6	LC	Final report by End Nov 2021
	3.4 Agree key messages and share findings widely with stakeholders	Project report	6	LC, PB	Dec 2021

4 – Archiving and project closure	4.1 Prepare project archive for deposition with the ADS after ensuring that any confidential material has been excluded	Project archive	7	LC	Dec-Jan 2021
	4.2 Deliver end-of-project evaluation report to HE to assess the project against the agreed performance measures, record impact and identify lessons learned in line with HE's Public Value Framework (2019). This report will consider, in particular, the success of the project in gaining sector and industry recognition of evaluation as a value-adding process for all stakeholders (rather than a cost or scope reduction and mitigation exercise), and the impact of the project on practice improvement and resilience.	Comms Plan	-	CifA	Feb 2022
	4.5 Sign off the EVALS1 (7754) project	email	-	Client	End Feb 2022

2.3.3 Summary of stages, tasks, products and cost/time

Stage. Task	Task description	CifA- FAME person days	Lead Consultant person days
1	PRELIMS		
1.1	Project approval (HE)		
1.2	Start-up and procurement: Schedule Executive Board meetings; agree procurement process; convene Project Advisory Group	2	
1.3	Appoint Lead Consultant	2	
1.4	Interface between 7735 and 7798: establish dataset compatibility; confirm internal communications protocol		1
1.5	Create digital collaboration space		0.25
1.6	Update Project Design - methodology for decision process mapping and case study evaluation	0.25	2.5
1.7	Confirm ADS archive deposition arrangements		0.25
1.8	Update Risk Log		0.25
1.9	Scope potential training and development with HE, CifA and FAME	0.5	0.25
1.1	Update Communications Plan for Project Executive Board sign off	0.25	0.5
		5	5
2	DATA COLLECTION, CONSULTATION AND ANALYSIS		
2.1	Prepare workshops and collateral - notices, calls in advance, materials		2

2.2	Plan and host four consultation workshops: archaeology, minerals extraction, house-building and infrastructure stakeholders		4
2.3	Follow-up stakeholder communications with 'consultation group' and chasing case study input		2
2.4	Four Project Executive Board and Advisory Group meetings to consider Highlight Reports on progress, and updated project Issues Log	6	2
2.5	Select, digitise where necessary and analyse case study data, with concurrent decision process mapping		22
2.6	Provide content and key messages around each workshop for archaeology and developer trade journals	2	2
	Ongoing project management	6	
		14	34
3	REPORTING AND DISSEMINATION		
3.1	Host final feedback workshop		2
3.2	Highlight Report discussion with Project Board and Advisory Group	5	1
3.3	Reporting with final recommendations: draft for review and final draft incorporating Project Board and Advisory Group comments	3	5
3.4	Content for publication in trade journals	1	2
	Ongoing project management	1	
		10	10
4	ARCHIVING AND PROJECT CLOSURE		
4.1	Archive preparation and ADS deposition		1
4.2	End of project evaluation report	1	
		1	1
TOTAL PERSON DAYS		30	50

2.4 Product descriptions

Product Descriptions – in effect specifications for items to be delivered through the project – are set out in Appendix 1.

2.5 Ownership

All intellectual property rights in the materials and records created by The Chartered Institute for Archaeologists (CifA), their employees, agents and sub-contractors for the Project (whether in existence at the date of this agreement or created in the future), and all other materials created by CifA and FAME, their employees and sub-contractors in connection with the work for the 7754 EVALS1 project will vest in CifA. CifA will obtain the assignment of such Intellectual Property Rights in CifA's favour, at its own expense, and will set this out in the contract of appointment for the Lead Consultant.

CifA will grant to HE a non-exclusive, transferable, sub-licensable, perpetual, irrevocable and royalty-free licence to use, copy, reproduce, adapt, modify, enhance, create derivative works and/or commercially exploit the Materials prepared for the project, for any purpose required by HE.

CifA waives, and will procure that all of its employees and sub-contractors and any other relevant third parties waive, all moral rights in the Materials in favour of HE. The Lead Consultant, in turn, will be responsible for securing waived rights for the use of case study materials.

The confidentiality and originality of the HE/SEAHA project 7798 is recognised as paramount and no material will be used for EVALS1 without the express written permission given in advance.

2.6 Risk Log

Product Description 3 (Appendix 1) sets out the main project risks, with a table of risk and mitigation actions. The Risk Log will be updated by the Lead Consultant upon appointment and updated as required for each Project Executive Board meeting.

2.7 Programme

		2020					2021								2022							
Stage		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	
1	Prelims	+																				
2	Data collection, consultation, analysis				♦	+	♦	♦	♦				+									
3	Reporting and dissemination														♦	+		+	♦			
4	Archiving and project closure																					
	EVALS2 review and Project Design																					
	♦ Workshops																					
	+ Project Board and Advisory Group meetings																					

APPENDICES

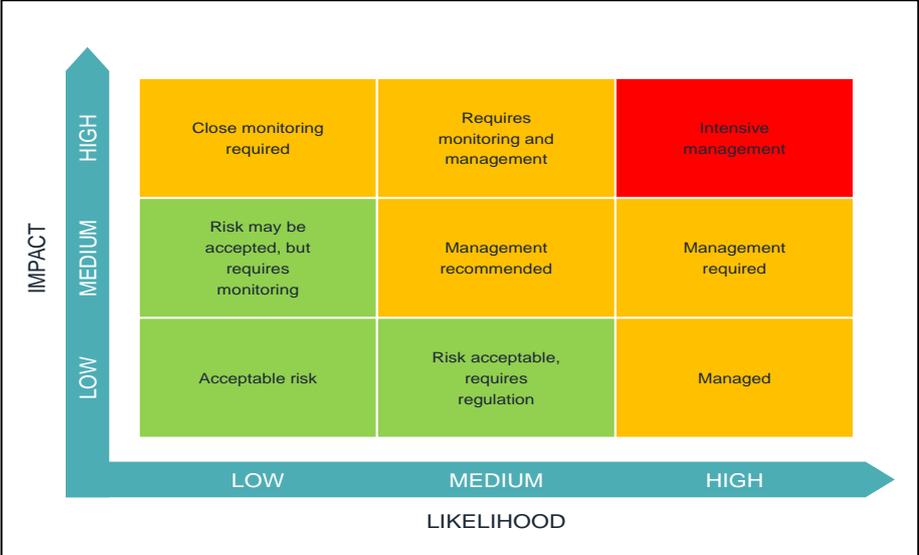
Appendix 1 – Product Descriptions

The following are specifications to be prepared at the start of the project in Stage 1 (Prelims) and updated as indicated.

Product number	1
Product title	Procurement documentation
Purpose	To invite applicants for and appoint to the role of Lead Consultant, contracted to ClfA for delivery of the EVALS1 project
Composition	Project and contractual documents including <ul style="list-style-type: none"> • Call for expressions of interest • Terms of reference including skills and experience required and proposed performance measures in line with HE Public Value Framework • Project Specification including Request for Price, Project Design and Product Descriptions with KPIs • Letter or contract of appointment incorporating schedule of payments against KPIs • Information about the appointment process and timetable
Format	Suite of documents
Allocated to	ClfA Project Manager
Quality criteria/method	CIFA and FAME policy
QA	ClfA and FAME CEOs
Approval	Client
Completion milestone	Mid July 2020

Product number	2
Product title	Updated Project Design (UPD) Incorporating updated methods statement and data standard
Purpose	To set out the timetabled methodology for Project Board approval at the start of the project, including <ul style="list-style-type: none"> - arrangements for archive deposition - agreed data standards
Composition	Updated single document
Format	Digital

Allocated to	Lead Consultant
Quality criteria/method	Historic England Public Value Framework (Historic England 2019)
QA	Project Advisory Group
Approval	Project Executive Board
Completion milestone	End October 2020

Product number	3																								
Product title	Risk Log																								
Purpose	To consider, identify and keep under regular review the risks to the successful delivery of the project and put in place appropriate mechanisms to avoid, mitigate or manage risks																								
Composition	<p>Risk and mitigation approach:</p>  <p>The diagram is a 3x3 risk matrix. The vertical axis is labeled 'IMPACT' with levels LOW, MEDIUM, and HIGH. The horizontal axis is labeled 'LIKELIHOOD' with levels LOW, MEDIUM, and HIGH. The cells contain the following descriptions:</p> <table border="1"> <tr> <td>Close monitoring required</td> <td>Requires monitoring and management</td> <td>Intensive management</td> </tr> <tr> <td>Risk may be accepted, but requires monitoring</td> <td>Management recommended</td> <td>Management required</td> </tr> <tr> <td>Acceptable risk</td> <td>Risk acceptable, requires regulation</td> <td>Managed</td> </tr> </table> <p>PM = Project Manager PB = Project Board LC = Lead Consultant Client = Historic England</p> <table border="1"> <thead> <tr> <th>UNMANAGED RISK</th> <th>LIKELIHOOD</th> <th>IMPACT</th> <th>HOW WE WILL MITIGATE, MANAGE OR REMOVE THE RISK</th> <th>OWNER</th> </tr> </thead> <tbody> <tr> <td>Analysis failure due to tech or misapplication</td> <td>low</td> <td>high</td> <td>Close monitoring</td> <td>PB, LC</td> </tr> <tr> <td>Findings fail to elucidate evaluation process, demonstrate guidance requirements or meet market concerns [project failure]</td> <td>low</td> <td>high</td> <td>Close monitoring of Product Specification and Updated Project Design; close scrutiny and clear steer from Project Board</td> <td>PB</td> </tr> </tbody> </table>	Close monitoring required	Requires monitoring and management	Intensive management	Risk may be accepted, but requires monitoring	Management recommended	Management required	Acceptable risk	Risk acceptable, requires regulation	Managed	UNMANAGED RISK	LIKELIHOOD	IMPACT	HOW WE WILL MITIGATE, MANAGE OR REMOVE THE RISK	OWNER	Analysis failure due to tech or misapplication	low	high	Close monitoring	PB, LC	Findings fail to elucidate evaluation process, demonstrate guidance requirements or meet market concerns [project failure]	low	high	Close monitoring of Product Specification and Updated Project Design; close scrutiny and clear steer from Project Board	PB
Close monitoring required	Requires monitoring and management	Intensive management																							
Risk may be accepted, but requires monitoring	Management recommended	Management required																							
Acceptable risk	Risk acceptable, requires regulation	Managed																							
UNMANAGED RISK	LIKELIHOOD	IMPACT	HOW WE WILL MITIGATE, MANAGE OR REMOVE THE RISK	OWNER																					
Analysis failure due to tech or misapplication	low	high	Close monitoring	PB, LC																					
Findings fail to elucidate evaluation process, demonstrate guidance requirements or meet market concerns [project failure]	low	high	Close monitoring of Product Specification and Updated Project Design; close scrutiny and clear steer from Project Board	PB																					

	Time or budget shortfall	med	high	Monitoring and management; Ring-fencing within budget for different tasks	PM
	Suitable case studies not found	med	high	Monitoring and managing	PB
	Industry and/or archaeology sector stakeholders unsupportive of project, process or findings	med	high	Requires monitoring and management; Retain contingency to hold additional discussions if required	LC
	Non-availability of Lead Contractor resources causes delay or failure to deliver the project	low	high	Commitment at project inception; contingency arrangements considered in advance; close monitoring by PM	PM
	Lack of interest in project/workshop participation	low	low	Early promotion and invitation by all project partners; Ample time allowed for stakeholder responses	PM
	Data confidentiality means case study not available for EVALS1	med	low	Use another case study; Reserve case study for EVALS project Stage 2 after completion of HE/SEAHA PhD	LC
Format	Living single document				
Allocated to	Lead Consultant				
Quality criteria/method	By agreement				
QA	Advised by Lead Consultant				
Approval	PM				
Completion milestone	Copied to UPD by end Oct and reviewed at Project Board and Advisory Group meetings as required				

Product number	4
Product title	Project Communications Plan
Purpose	Given the high level of stakeholder engagement in this project, a detailed, timetabled communications plan to ensure the project maintains effective communication with the intended audiences and stakeholders in the archaeology sector and relevant developer industries – minerals extraction, house-building and infrastructure development.
Composition	<p>1. Overarching living document (updated as required), to include:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <p>INTRODUCTION Project Aim and Objectives, milestones and deliverables/Key Performance Indicators against each milestone Short statement of purpose and status of the document Contact details in the event of enquiries</p> <p>PROJECT GOVERNANCE, ROLES and RESPONSIBILITIES Protocol for acknowledging funder and other partner support Project Team – table of names, project roles and contact information Project Executive Board and Project Advisory Group – table of names, roles and organisations where appropriate</p> <p>AUDIENCE AND STAKEHOLDERS Identification of audiences and key stakeholders Selected mediums and reasons for stakeholder communication Mechanism(s) for inviting stakeholder participation Mechanism for collating, analysing and reporting on project communications Statement of ethics</p> <p>TIMETABLED COMMUNICATIONS PLAN</p> <ul style="list-style-type: none"> - the content, purpose, mechanism, timing and owner of stakeholder communications - format, timing, responsibility and circulation of <u>project Highlight Reports</u> - - internal reports to provide to the Project Executive Board and Project Advisory Group concise progress updates on achievements against plan and particular events e.g. project workshops - <u>Issues Log</u> - format </div> <p>2. <u>Internal project communications protocol</u> to ensure that any concerns over confidentiality, ethics or protecting the originality of the PhD can be addressed and resolved immediately, setting out:</p>

	<ul style="list-style-type: none"> • The scope and duration of the protocol; • Agreed basis of protocol – e.g. the xx partners agree to invest in communication and liaison in support of each other’s projects, for mutual project benefit, while recognising that each has obligations to other supporters and interested parties, which this agreement does not prejudice; aims are to avoid duplication and add mutual value; that the PhD candidate will be embedded in the EVALS project as a member of the EVALS Project Board, and the EVALS Project Manager or Lead Consultant will be invited to attend HE/SEAHA supervisory meetings; • Principles – agreements regarding: collaboration toward ensuring compatibility of data standards; the primacy of data, confidentiality of information regarding methodology, conclusions of analysis and publication; funder acknowledgments; mechanism for approval in writing by the parties in advance of any material being released by agreement; presentation by the PhD Researcher at EVALS workshops are voluntary, decided by the PhD candidate; • Dispute – mechanism for arbitration or decision in the very unlikely event of any disagreement over the use of data. Contact details and authority. <p>3. <u>External media release(s)</u>, for prior approval by the Project Executive Board (and through them the Historic England Communications Team as required).</p> <p>4. <u>Short article and content</u> for publication in The Archaeologist and/or Cultural Resource Management journal, and relevant construction and minerals trade journals, to raise awareness of the issues, encourage peer feedback and participation, and inform the scope and design of Stage 2 of EVALS.</p>
Format	Document (PDF)
Allocated to	Lead consultant
Quality criteria	Sign off by Project Manager and living document reviewed routinely throughout the project
QA	Project Board Review at each Project Board meeting
Approval	Historic England – Jenni Butterworth/Guy Robinson
Completion	First draft before Project Start

Product number	5
Product title	Issues Log
Purpose	a record, in a single document, of all unforeseen events, results and discoveries, requests for changes to completed Products, discussion or review outcomes and other Issues that might otherwise be dispersed among various project documents The Issues Log may serve to supplement or stand as the formal project meeting minutes.
Composition	Digital table
Format	Table with columns for: Issue number: For identification. Description of the Issue: Raised by: Date raised: Resolution: Document proposed solution(s) for any open Issues, or agreed resolution(s) for closed Issues. Date this entry last updated: Status: Open or, when all necessary actions have been taken, closed. Priority: As assessed by the Lead Consultant
Allocated to	Project Manager to update whenever an Issue is raised, and again when the Issue is resolved
Quality criteria	MoRPhe
QA	As advised by Lead Consultant
Approval	PM
Milestones	In place by end October 2020, reviewed at Project Boards and Advisory Gp meetings as required

Product number	6
Product title	Workshops
Purpose	To facilitate understanding of issues and decision-making in current practice To build consensus around practice improvement To source case study material
Composition	Online workshops
Format	Five online workshops to be held during the first half of the project. See 2.3.1 for format and details
Allocated to	Lead Consultant
Quality criteria	MoRPhe
QA	Structure, invite list and content to be signed of by PEB
Approval	PM
Milestones	Workshop outlines and draft invite lists prepared by Oct 20 to be signed of by PEB. Workshops held Nov 20, Jan 21, Feb 21 and Mar 21. Final workshop held

	Sept 21
--	---------

Product number	7
Product title	Final report of Evaluation Strategies Stage One
Purpose	To report on the work and conclusions of EVALS 1 (HE project reference 7754)
Composition	Single document
Format	Word and pdf The final report is expected to include: <ul style="list-style-type: none"> - Executive Summary leading with the main findings - Aims and objectives - Methodology – decision process mapping, comparison of evaluation forecast with subsequent findings, evaluation of effectiveness, Quality Assurance - Results against project objectives and research questions <ul style="list-style-type: none"> o Value and cost-effectiveness of evaluation strategies o Sample size percentages and standards o Key factors influencing selection of evaluation strategy - Recommendations and implications <ul style="list-style-type: none"> o for the decision-making process o for training, revised guidance and further work if appropriate
Allocated to	Lead Consultant
Quality criteria/method	Historic England Public Value Framework (Historic England 2019)
QA	Project Advisory Group
Approval	Project Executive Board
Completion milestone	Draft/outline for presentation to and discussion with Project Executive Board and Project Advisory Group, ahead of Submission of final report by end November 2021

Product number	8
Product title	Project Archive
Purpose	To prepare and deposit a record of the EVALS1 project including GIS datasets, with the Archaeology Data Service, as set out in the UPD
Composition	Digital records
Format	Per ADS requirements
Allocated to	Lead Consultant
Quality criteria	Pre ADS requirements
QA	Lead Consultant arrangements
Approval	Project Executive Board
Completion	Incorporated within UPD by end Oct 2020; archive deposition February 2022

Appendix 2 - References

Association of Local Government Archaeological Officers (ALGAO:UK)	1993	Model Briefs and Specifications for Archaeological Assessments and Field Evaluations: https://www.algao.org.uk/sites/default/files/documents/Archaeological_Model_Briefs_Specifications.pdf
Chartered Institute for Archaeologists (CifA)	2014	Standard and guidance for archaeological field evaluation 17pp: https://www.archaeologists.net/sites/default/files/CifAS&GFieldevaluation_1.pdf
Wills, J	2018	https://www.archaeologists.net/21st-century-challenges-archaeology
Wills, J and Bryant, S	2019	https://historicengland.org.uk/images-books/publications/archaeology-and-planning-case-studies/
Confederation of British Industry (CBI)	1991	Archaeological Investigations Code of Practice for Mineral Operators: http://www.archaeologicalresearchservices.com/CBI%20Arch%20Invest%20Code%20of%20Practice.pdf
Boschi, F	2016	'Non-destructive field evaluation in preventive archaeology – looking at the current situation in Europe' in <i>Looking to the Future, Caring for the Past – preventive archaeology in theory and practice</i> , Proceedings of the 2013-2014 Erasmus IP Summer Schools in Preventive Archaeology: evaluating sites and landscapes, methods and techniques for evaluating the archaeological value, Bononia University Press
Hey, G. and Lacey, M. with Linford, N., David, A. and Shepherd, N.	2001	Evaluation of Archaeological Decision-Making Processes and Sampling Strategies, European Regional Development Fund Interreg IIC – Planarch Project, Kent County Council publication, 124pp
Historic England	2015	Management of Research Projects in the Historic Environment: The MoRPHE Project Managers' Guide. https://historicengland.org.uk/images-books/publications/morphe-project-managers-guide/heag024-morphe-managers-guide/
Historic England	2016	National Infrastructure Development and Historic Environment Skills and Capacity 2015-33: An Assessment. Historic England. https://content.historicengland.org.uk/images-books/publications/national-infrastructure-development-and-capacity-2015-33-assessment/national-infrastructure-development-and-archaeology-capacity-shortages.pdf/
Historic England, Association of Local Government Archaeological Officers & Institute of Historic Building Conservation	2018	The Tenth Report on Local Authority Staff Resources. Historic England, ALGAO:UK & IHBC. https://historicengland.org.uk/images-books/publications/tenth-report-la-staff-resources/
Historic England	2019	Public Value Framework, Historic England 2019: https://historicengland.org.uk/about/what-we-do/corporate-strategy/public-value-framework/
Historic England	2020a	Mineral Extraction and Archaeology Historic England Advice Note 13 (HEAG278), Swindon, Historic England. https://www.historicengland.org.uk/images-books/publications/mineral-extraction-and-archaeology-advice-note-13/heag278-mineral-extraction-and-archaeology/
Historic England	2020b	Deposit Modelling and Archaeology, Guidance for Mapping Buried Deposits (HEAG272), Swindon, Historic England. https://www.HistoricEngland.org.uk/advice/technical-advice/archaeological-science/
	2020c	Historic England Corporate Plan 2019-2022 – Building the future. May 2020. https://historicengland.org.uk/about/what-we-do/corporate-strategy/
Minerals and Historic	2008	Minerals Extraction and Archaeology: A Practice Guide

Environment Forum (MHEF)		
Minerals Products Association and CBI	2018	UK Minerals Strategy: meeting the demand for minerals and minerals products sustainably for the next 25 years. https://mineralproducts.org/documents/UK_Minerals_Strategy.pdf
Ministry of Housing, Communities & Local Government (MHCLG)	2019	National Planning Policy Framework, UK Government, 19 February 2019, 76pp: https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/810197/NPPF_Feb_2019_revised.pdf
Nash A, Dinn J, Edwards R & Hancox E	2018	What Value? Archaeological evaluation and mitigation in Worcestershire 1990-2014. Historic Environment Project 6912. 106pp. Worcestershire County Council, Worcester City Council. Published Sept 2017, Revised Feb 2018. https://historicengland.org.uk/content/docs/research/what-value-archaeological-evaluation-and-mitigation-in-worcestershire-1990-2014/
Rocks-Macqueen, D and Lewis, B	2019	Archaeology in Development Management – its contribution in England, Scotland & Wales. Doug Rocks-Macqueen & Ben Lewis, Landward Research Ltd, July 2019. https://www.algao.org.uk/sites/default/files/documents/Archaeology_in_Development_Management.pdf 52pp
Southport Group	2011	Realising the benefits of planning-led investigation in the historic environment: a framework for delivery. A report by the Southport Group, Hinton P and Nixon T, July 2011. https://www.archaeologists.net/sites/default/files/node-files/SouthportreportA4.pdf
Town & Country Planning Association (Raynsford N, author)	2018	Planning 2020 – Final Report of the Raynsford Review of Planning in England, Nov 2018, Town and Country Planning Association: https://www.tcpa.org.uk/Handlers/Download.ashx?IDMF=cf9beaea-1bec-41c2-9dbf-3dbb9ce64b7c
Waller, R	2008	Archaeological evaluation, land use and development: an application of Decision Analysis to current practices within the local government development control processes in England, Vols 1 & 2, Thesis submitted in partial fulfilment of the requirements of Bournemouth University of the degree of Doctor of Philosophy https://eprints.bournemouth.ac.uk/10417/1/Waller%2CRuth_Ph.D._2008_Vol._1.pdf