

Professional archaeology:
a guide for clients



Project: Station Square, Stirling
Project type: School extension
Contractor: GUARD Archaeology Limited
Location: Goosecroft Road, Stirling
Website: www.guard-archaeology.co.uk

"This is the most significant excavation in Stirling for over a decade; the archaeology was dealt with professionally by a ClfA Registered Organisation, GUARD Archaeology Limited resulting in no delay to the development."

Murray Cook, Stirling Council Planning Authority Archaeologist

This guide is for anyone who needs to meet the requirements of legislation or policy that relate to archaeology. It explains what you need to do and why you need a professional archaeologist to help you through the process. Following this guide will increase your chances of reaping benefits from your archaeological work and avoiding some of the possible hazards of working in the historic environment. Involving professional archaeologists early in your project will

- ensure you have the right skills in place to interpret and fulfil your obligations
- help you to plan your resources
- enable you to balance the potentially conflicting demands of managing archaeology properly and delivering your project

You can find a copy of this guide, along with further information, on ClfA's website at www.archaeologists.net/find

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Cover image © MOLA (see p5 for project details)

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Chartered Institute for Archaeologists (CIfA)

The Chartered Institute for Archaeologists is the leading professional body for archaeologists working in the UK and overseas. IfA was created in 1982 (as the Institute for Field Archaeologists) and achieved a Royal Charter in 2014, at which time it had over 3200 individual members. The Institute administers a Register of Organisations, which are run by accredited members and adhere to the same professional standards as individual members. In 2015 there are 74 Registered Organisations with CIfA.

CIfA champions professionalism in archaeology. It promotes high professional standards and strong ethics in archaeological practice to maximise the benefits that archaeologists bring to society. Members of CIfA are professionally accredited and skilled in the study and care of the historic environment. They are committed to offering high quality service to clients and to the public. CIfA's *Code of conduct* provides a framework which underpins the professional lives of archaeologists. If an accredited archaeologist or Registered Organisation does not meet the standards set, CIfA can take action against them.

Archaeologists can be professional (accredited) or non-professional (not accredited). An accredited archaeologist, like any professional person, is bound by an ethical code, has demonstrated necessary technical and ethical competence, and is subject to the oversight of their peers. You need to ensure that you are commissioning a professional – someone accountable to CIfA (or to one of the few non-UK-based professional registers).

For further information about CIfA, its *Code of conduct* and our Standards, you can visit our website at www.archaeologists.net or contact a member of our team on 0118 378 6446.

Archaeology: a quick introduction

Our physical environment is transforming, faster than at any time in human history. Environmental change is affecting where and how we live: our cities are growing and the way we travel and produce energy is being revolutionised through major infrastructure projects. We need our economy to grow, and we also face pressure for space, global competition, technological, cultural and social change.

Archaeologists understand how these kinds of challenges have been met in the near and distant past, how our modern society has evolved, how we built the places we live in, why they succeed and why they fail. Archaeologists investigate the evidence of the past and produce crucial data to inform new development, to enhance the design of new and old places, to educate us and to help provide sustainable and desirable places for us to live in, work in and enjoy.

Archaeological evidence is uniquely able to illuminate the impact of human interaction with our environment through time. This 'historic' environment is made up of buildings, monuments, settlements, buried sites or landscapes. They can be on land or underwater, and can range from the extraordinary to the everyday. Archaeologists have a clear identity among the many other disciplines that work in the historic environment in that it is their job to unravel this evidence: to characterise it, to explore its meaning, and to assess its value for society.



Client: Bloomberg
Project: Bloomberg London
Project type: Urban development
Location: Central London
Contractor: MOLA (Museum of London Archaeology)
Website: www.mola.org.uk/projects/commercial/walbrook-engagement-programme

"The [Walbrook] walk is still improving at each outing. I was particularly lucky that a splendid 'visual aid' was supplied by Bloomberg and MOLA in the form of a hoarding down the whole of Walbrook. With QR codes for the technically minded."

Footprints of London blogger

You may be seeking archaeological expertise as

- a national or international government department or agency
- a private developer or contractor
- a land owner
- a local authority
- a public sector body
- a local community or
- another private organisation

You need a professional archaeologist if

- you are carrying out investigations prior to purchasing a development site
 - you are working within the planning process and you need someone to help you meet a planning condition
 - you are developing a project within your local community
 - you own a historic site or visitor attraction
 - you are developing a programme of research or education
-

The historic environment – a resource and an opportunity

Some elements of the historic environment are protected by statute (they are ‘designated’ as Listed Buildings or Scheduled Monuments, for example) and some are not, but both kinds are often described in current legislation and policy as ‘assets’. These assets are generally considered by local and national government, by experts and by society as a resource capable of producing value.

The need to understand and manage historic environment assets will present challenges and opportunities for your project – there will be a process involved (see *Archaeology, planning policy and legislation* below) to establish what the

resource is that you are dealing with, but also the opportunity for realising some of the value that the historic environment holds. If archaeology is to be part of your project, you need to know what you are dealing with so you can plan your project with a good knowledge of any cost or time implications.

You will need professional advice to help you

- understand the nature and significance of the assets you are responsible for before you submit any application or start your project
- to inform planning decisions and to avoid planning refusal, prosecution, delays and costs or community distrust
- understand the level of legal protection afforded to assets within your project
- decide whether to avoid damaging assets and how to use them to enhance your project
- understand how managing archaeological assets will affect your costs and programme

Working with a professional archaeologist enables you

- to design and develop places that fit into and enhance the cultural and social fabric of our society, without losing important resources and information that could be used in future
 - to make a contribution to human knowledge – the opportunity to produce a research dividend that is acceptable mitigation or compensation in response to approved destruction of the resource in some instances
 - to support education through the involvement of local communities, schools and through the work of universities using the results of your work
 - to develop better community relations through sharing information
 - to get beneficial publicity for your project, particularly for controversial development schemes
 - to meet corporate and commercial targets for social responsibility
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Client: Hanson
Project: Must Farm
Project type: Quarry
Contractor: Cambridge
Archaeological Unit
Location: Cambridgeshire
Website: www.mustfarm.com

"We are delighted to be involved with the Must Farm project, which has shown what can be achieved through co-operation and teamwork. The archaeologists have unearthed some internationally important finds successfully and safely whilst working alongside the giant drag lines that extract clay for our brick works at Kings Dyke. This partnership approach demonstrates yet again the important part that the quarrying industry has to play in supporting and funding large-scale archaeological research. If we weren't digging the clay, none of this would have been possible."

David Weeks, Head of
Communication, Hanson

Realising economic and social benefits through archaeology

In the UK the emphasis of planning policy is on sustainable development that benefits economy, society and the environment and requires, among other things, the protection and enhancement of the historic environment. For projects in the developing world, banks and development agencies increasingly require cultural assets to be looked after and to be incorporated into new development.

There is growing evidence that proper understanding and enlisting of historic environment resources carries benefits across all three areas of sustainability – economy, society and environment. It is the responsibility of archaeologists to help you understand how to realise this potential.

Archaeology and environmental benefit

An archaeologist can help you understand the significance and value of the historic environment and the benefits it can offer alongside the natural environment. Environmental benefit can be secured through retaining and enhancing the historic landscape and protecting our most valued monuments and traditional villages, towns and cities. The appearance of a new development can sometimes be improved by the conservation and reuse of buildings and spaces. This can make a place more desirable to live in and can also have valuable knock-on benefits for other aspects of the environment, such as energy efficiency.

Enhancement of the historic environment often takes place hand in hand with ecological and landscape conservation, providing more green space and biodiversity, both desirable for sustainable development.

Archaeology and economic benefit

Economic benefit derives from the regeneration of historic places, often leading to revitalisation of surrounding communities and neighbourhoods. Reinforcing historic character, reusing historic fabric and maintaining locally distinctive patterns of development can play a significant role in the recovery of declining towns and cities. Archaeology can contribute substantially to place-making – enhancing the image of a place, making it somewhere people want to live and so increasing the potential income it can realise. The World Bank positively encourages development that looks to preserve cultural heritage – it sees that understanding and enhancement of cultural significance or ‘cultural capital’, has a positive effect on the value of its projects and assets. Historic buildings and places can also provide the opportunity for types of commercial activity that might not otherwise be possible, providing additional economic activity and new employment opportunities for local people.

In the UK and abroad the historic environment plays an important role in tourism, providing focal points and venues for visitors, creating jobs, and supporting business on the local and national scale, stimulating small and medium sized enterprises, developing new markets and encouraging inward investment.

An archaeologist can tell you what it is about your city or community that makes it historically interesting and distinct, its contemporary cultural importance and where the potential lies for development and enhancement of the historic fabric.



Client: Peel Group
Project: Worsley New Hall Project
Project type: Social engagement programme within hotel development
Contractor: Centre for Applied Archaeology
Location: Salford
Website: www.peel.co.uk/projects/worsleynewhallproject
www.salford.ac.uk/library/archives-and-special-collections/worsley

“The Worsley New Hall Project will be looking at the future potential of the New Hall site, particularly the restoration of the terraced gardens which were designed by the renowned landscape architect William Andrews Nesfield. This research will be important in informing that process.”

Peter Nears, Strategic Planning Director at Peel Holdings (Management) Ltd

Archaeology and social benefit

Social benefits can be closely linked to the historic environment, in particular benefits for individuals through learning and development and the ability to acquire new skills (such as volunteering). Community strength and cultural identity can be enhanced through contact with the historic environment – in particular through community heritage projects. These projects have the ability to engage diverse groups of people, from refugee groups to the homeless, young offenders and injured service personnel, offering new skills, confidence, the opportunity to become an active citizen and to connect with a shared human past. There is also evidence that engaging with the historic environment can make a significant contribution to community wellbeing and promote social capital, leading to improvement in health, wealth and education. A professional archaeologist can tell you how to approach the investigation of the historic environment with the widest public benefit.

Archaeology and corporate social responsibility

Many larger companies monitor themselves against self-imposed criteria for responsible business performance, adherence to legal and ethical standards and their contribution to society and social development. Engaging with professional archaeologists offers the opportunity for such organisations to demonstrate

- the value they place on ethics and integrity – professional archaeologists are bound by a code of conduct
- their respect for the environment – professional archaeologists know what is best for the historic environment
- responsible business conduct – many professional archaeological organisations are local and small businesses
- a contribution to training and capacity building – professional archaeologists have a strong training ethos and commitment to workplace learning

Archaeology, planning policy and legislation in the UK

Legislation and policy relating to archaeology and the historic environment is complex and constantly changing. If you need to understand the legal context for the archaeology you are doing, an appropriately skilled professional archaeologist can advise you.

Governments recognise the historic environment as a fragile resource and have adopted policies for understanding its significance and for ensuring its appropriate management. In the UK, legislation and planning guidance provides the framework for protection of the historic environment, together with European legislation and guidance from international non-governmental organisations.

Although the resources of the historic environment have the potential to bring great benefits, the interests of different parties involved in their management and use are not always aligned. In the UK, the planning systems and legislation relating to heritage provide a framework for mediation of those interests. They recognise that landowners have rights to do what they wish with their property, but that those rights may need to be constrained if changes planned to benefit the owner will have particularly damaging effects on resources that are important to society at large. This concept of balancing conflicting needs involves weighing up short-term benefits with potential impoverishment of society's resources for future use. Where the demand for development is found to outweigh the need for preservation of the historic environment, destruction of assets can be permitted but offset by an improved understanding of what happened in the past, normally through excavation or other types of investigation.

All historic environment assets whether designated or not are material considerations in the planning process. The spatial planning processes in the UK involve a regularly used series of steps or phases to manage change in the historic environment. Any professional archaeologist you appoint will be familiar with these steps, although they may only have experience of a particular step themselves, and will need to pass you on to a different expert as the project progresses.

Client: Carmarthenshire County Council
Project: Ysgol Bro Dinefwr
Project type: Archaeological Excavation
Contractor: AB Heritage & Rubicon Heritage
Location: Llandeilo, Wales
Website: www.abheritage.co.uk
www.rubiconheritage.com

AB Heritage and Rubicon Heritage undertook an extensive array of archaeological works at a site in Llandeilo, as part of the Ysgol Bro Dinefwr scheme. The team delivered ahead of time and within budget ensuring that the potentially conflicting requirements of archaeology and the construction programme worked seamlessly together.



There are ClfA Standards and guidance for all stages of the process: it is the duty of the archaeologist and their ethical obligation to make sure that these standards are met. The ClfA Standards and guidance can be found on our website at www.archaeologists.net/codes/ifa. You can refer to any of these documents to ensure you are receiving a service that meets industry standards.

Steps taken within the spatial planning process in the UK can include

- communication with a local or national authority to discuss historic environment assets and their value or legal protection
 - desk-based assessment of the resource and its significance (to support outline or detailed planning applications)
 - field investigations, if the significance of archaeological remains cannot be adequately defined without (geophysical survey, targeted trench or pit excavation, or limited building investigation might be used)
 - reporting to the local authority on the results of investigations or production of an Environmental Impact Assessment chapter
 - determination of planning permission by the Local Authority, with or without an archaeological condition
 - if significant remains are present, recording or conservation work in advance of or during development in accordance with the terms of a planning condition
 - if appropriate, community or public engagement in the work
 - analysis and interpretation of results
 - publication of findings of all stages
 - archiving of documentation, digital data, research material and finds
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Enlisting the help of professionally accredited archaeologists at the start of your project will benefit all stages of a development. A professional archaeologist will guide you through the planning process from start to finish. For more detailed guidance on managing archaeology within development projects, we recommend the CIRIA good practice guide (see www.ciria.org), which provides technical advice alongside good practice examples.

Working on projects outside the UK

The Chartered Institute for Archaeologists requires that the Institute's *Code of conduct* and Standards are adhered to wherever a member or Registered Organisation works. If you are looking for an archaeologist to help you with a project based outside the UK you will need to select an archaeologist with experience of working with different types and levels of legislation and guidance and in different cultural contexts. Internationally, legislation and policy varies in its scope and focus. International conventions and charters need to be interpreted and applied by experts for each case as it arises.

A professional archaeologist will be able to help you interpret the requirements of

- Environmental and Social Impact Assessment
 - internal policies of international banks and lending institutions
 - International Finance Corporation (IFC) Performance Standard 8 and accompanying guidance in relation to tangible and intangible heritage
 - relevant local legislation and guidelines
 - World Bank Environmental and Social Framework Standard 8 Cultural Heritage 2014
 - the Burra Charter
 - the need to appropriate guidance or methodologies from the UK
-



Client: Sintoukola Potash/Elemental Minerals
Project: Mining proposals
Project type: Environmental and Social Impact Assessments, local consultations and development of mitigation/offsetting schemes
Contractor: Nexus Heritage
Location: Kouilou, Republic of Congo
Website: www.elementalminerals.com/

Recording during archaeological field surveys which found sites ranging from 3000 years old to the recent colonial past. Fieldwork included capacity building linked to IFAN at the University of Dakar and with the Ministry of Culture Republic of Congo, and encompassed archaeology, intangible heritage, and ethnographic studies.

The role of the professional archaeologist

Archaeologists are used to working in multi-disciplinary teams on projects that affect the historic environment. Whether you are putting together an environmental or design team for a development project or a panel of experts for a community heritage or research project there should be a place for an archaeologist on it. The earlier you appoint an archaeologist, the greater chance you have of realising the benefits that professional advice can bring.

The sort of archaeologist you will engage at project level will normally be an archaeological consultant. They may work for a specialist archaeological organisation that offers consulting services or for a larger consultancy organisation that employs archaeological specialists. You might receive initial advice from your archaeologist through a face-to-face meeting, a design or community workshop, or through a more formal form of written advice.

However you engage with an archaeologist, they should be able to

- interpret the requirements of your project
 - liaise with stakeholders, including planning authorities, national agencies and land owners
 - specify how, and through what process archaeology will add to your project's success
 - identify specialist areas of archaeological expertise that may be required
 - provide an estimate of the cost of archaeological work on your project
 - carry out archaeological investigations or procure specialists to carry out specific types of investigation in accordance with industry standards
 - liaise with your project team to ensure that archaeological work is taken into account in the design and delivery of the project
 - ensure that public relations and community benefit from archaeology on the project are maximised
-

The sorts of projects you might find an archaeologist working on could be

- local authority development plans
 - planning applications for new development
 - applications for Listed Building Consent and Scheduled Monument Consent
 - minerals planning
 - urban design
 - landscape design
 - infrastructure design
 - architectural design
 - construction
 - environmental impact assessments
 - heritage management or conservation plans
 - tourism strategies
 - research projects for universities, regional or national agencies
 - local economic development plans
 - transport plans
 - planning policy and guidance development
 - education strategies
 - school projects
 - community projects
 - PR or media projects
 - film and television programme writing
 - housing and regeneration
 - forensic investigation
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Client: Bovis Homes
Project: Land at Pocock's Field,
Eastbourne
Project type: Residential Development
Contractor: Archaeology South-East, UCL
Location: Pocock's Field, Eastbourne,
East Sussex
Website: [www.ucl.ac.uk/archaeologyse/
projects/pococks](http://www.ucl.ac.uk/archaeologyse/projects/pococks)

"This project represents a small part of how we work with communities - and we are delighted to fund it. Bovis Homes looks forward to developing a productive relationship with local residents and organisations at the next stage of development later in the year, when work begins on the new homes at Meadows View."

David Ivell, Regional Technical Director,
Bovis Homes



Working with professionally accredited archaeologists and Registered Organisations

A professional archaeologist can be trusted to carry out work to high professional standards and in the public interest. A professional archaeologist will not sell you services you don't need and will help you to carry out your obligations in a way that is beneficial to you and to others.

ClfA has three progressive levels of corporate membership. ClfA Members (MCIfA) are accredited professionals with the highest level of understanding of the sector and its requirements, able to take full responsibility and be accountable for their own work and to deal with complex issues. Individuals can also be accredited as Associate (ACIfA) and Practitioner (PCIfA) level members. All levels of membership demonstrate a commitment to professional practice and recognition of a certain level of knowledge and experience but archaeological projects should be led by a Member.

In addition to individual accredited members, Registered Organisations are businesses and suppliers of archaeological services that are also members of ClfA. The Registered Organisations scheme is a unique quality assurance scheme in archaeology. It is a 'kite mark' indicating high professional standards and competence. All businesses in the Registered Organisation scheme are assessed and inspected by ClfA. They have demonstrated they have the skills to provide informed and reliable advice and execute appropriate schemes of work while minimising uncertainty, delays and cost. These businesses subscribe to the same codes of professional conduct and practice as individual members.

Depending on your particular needs, you may wish to employ a different type of accredited archaeologist. Usually a consultant archaeologist can point you in the right direction, but it's worth knowing that different consultants and specialists are used to working for different clients and on different types of project. All of these archaeologists are professional experts in their own field, but virtually none is an expert across the whole field. Be clear on the nature of your project when you approach archaeologists to tender for work or to provide advice.

You may wish to procure your archaeologist through direct appointment, competitive tender or other means. It is important that you are clear in your invitation to tender how offers for archaeological services will be judged (fee only, quality only, quality and fee, fee and initial project design), bearing in mind that offers based on price alone which do not specify exactly how the work will be delivered could exclude major components and thereby present a risk to your project.

Every year ClfA publishes a Directory listing our professionally accredited members and Registered Organisations. If you would like to receive a copy of this, please get in touch with us at admin@archaeologists.net. You can also find details of our Registered Organisations on our website at www.archaeologists.net/find

Check that the archaeologist you approach has worked

- at the local/regional/national/international level – whichever is appropriate to your project
- on projects that deliver similar outcomes to your project
- in a multi-disciplinary design team, if required for your project
- at project level, and can report to a project team in a way that will be understood
- to professional standards across their portfolio
- within project communication and reporting structures that are similar to yours

Tell the archaeologist

- whether you already have a brief for their work, or if developing the brief is part of the commission
 - what outcomes you are looking for from archaeology on your project
 - what your budget is likely to be
 - what the constraints are on archaeological work
 - whether there are any risks you foresee
-

Regulation and disciplinary procedures

The Institute's disciplinary process and its sanctions underpin its primary function of public and consumer protection. Its disciplinary process is subject to annual external review.

Anyone may raise a complaint if they believe that a member or a Registered Organisation has failed to comply with the ClfA *Code of conduct* or by-laws of the Institute, identifying the relevant principle(s) and rule(s) that have allegedly been breached.

All cases need supporting evidence to proceed. ClfA will not get involved in contractual or professional disputes other than allegations of misconduct, except where parties have agreed to be subject to its arbitration scheme. Members and Registered Organisations have the right to appeal.

You can find further guidance about regulation and disciplinary processes on our website at www.archaeologists.net/regulation/complaints




About ClfA

The Chartered Institute for Archaeologists is the leading professional body representing archaeologists working in the UK and overseas. We promote high professional standards and strong ethics in archaeological practice, to maximise the benefits that archaeologists bring to society.

Professional archaeology: a guide for clients is a ClfA Professional Practice Paper. For details of other practice papers and reports, please visit our publications webpage at www.archaeologists.net/publications.

For more information about ClfA, contact us on

tel: 0118 378 6446
email: admin@archaeologists.net
web: www.archaeologists.net

A close-up photograph of a person's hands holding a large, dark, cracked piece of ancient pottery or clay. The person is wearing a dark jacket and a white helmet. The background is a blurred outdoor setting.

Client: Hanleys' Village Society
Project: Hanley Castle Community Project
Project type: Community led excavation
Contractor: Worcestershire Archive and Archaeology Service
Location: Worcestershire
Website: www.gjs.worcestershire.gov.uk/website/HanleyCastleCommunityProject/

"Archaeology can add real value to communities, and help people to take pride in and gain enjoyment from their environment, as well as to develop new skills. Our work in different areas, with different groups, always results in positive feedback from those involved. And, apart from being revitalised by this response, the archaeologist can benefit from a fresh and expanding outlook on the subject as seen through the eyes of others."

Worcestershire Archive and Archaeology Service