

# Standard and guidance for stewardship for the historic environment

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# Standard and guidance

## Stewardship for the historic environment

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## The Standard

**Stewardship<sup>1</sup> activities will respect the values<sup>2</sup> ascribed to historic assets and places<sup>3</sup>, and ensure their conservation<sup>4</sup> for the benefit<sup>5</sup> of existing and future users. Stewardship tasks will be devised in the light of a sufficient understanding of significance<sup>6</sup> and condition<sup>7</sup>; they will be implemented through processes that are fit for purpose and appropriately documented<sup>8</sup>. Activities and tasks will comply with the CIfA *Code of conduct* and take due account of prevailing legislation and policies.**

### Key words in the Standard as defined below

**1 Stewardship** protects and enhances what is valued in inherited historic assets and places. It responds to the needs and perceptions of people today and seeks to have regard for the needs of those in the future. The stewardship role includes undertaking conservation management tasks, communicating the public value of the heritage, promoting community awareness of the historic environment and encouraging active engagement in protection and enhancement.

**2 Values** are cultural, social and economic attributes, aspects of worth or importance, ascribed to historic assets and places. Distinct sets of values can complement or conflict with each other.

**3 Historic assets** are the material products of past human activity, discrete entities of recognised value at any scale from artefact to landscape. They can be, or can form part of, **places**, environmental locations people perceive as having a distinctive identity.

**4 Conservation** is the process of managing change through strategies and tasks that sustain the significance of inherited historic assets and places so that they can be used and enjoyed now and in the future. This can be done:

- (a) **physically or intrusively**, through interventions to protect significant fabric, character or appearance
- (b) **intellectually or non-intrusively**, through activities such as research, investigation, interpretation, communication and advocacy that promote beneficial change or alter perceptions of the asset and its context.

**5** The **benefits** derived from historic assets – which can be cultural, economic, social, and environmental – flow from enjoying them and investing in their conservation

**6** The **significance** of a historic asset or place is the sum of the cultural, natural and social values ascribed to it. Economic value in this context is restricted to its functional contribution towards economic activity rather than to its market value or costs associated with its conservation.

**7** The **condition** of a historic asset or place is the state of repair and material stability in which it currently survives.

**8 Documentation of** a historic asset or place includes documentary evidence for the past human activities associated with it (often as copies or transcripts) and the records generated by conservation management and investigation of it as a historic asset. **Documents** can be artefacts in their own right as well as sources of evidence.

## **Introduction**

This document is for people commissioning, carrying out and regulating work on historic assets and places. A short Standard defines the outcome of work that satisfies aspirations for good stewardship, and more detailed guidance describes best practices for achieving it. A set of definitions explains key terms (Section 4, this document). Appendices (p 23) discuss current conservation concepts, list some key advisory and regulatory documents, and reprint the two Institutes' Codes of conduct (p 31).

The Standard and guidance is issued by the Chartered Institute for Archaeologists and was prepared with the assistance of the Institute for Historic Building Conservation, together with the Association of Local Government Archaeological Officers (UK). It augments the Institutes' adopted Codes of conduct and will assist their application to particular issues and situations. It applies throughout the United Kingdom, complementing principles and guidelines prepared by national agencies and devolved administrations.

## **Stewardship**

Our historic environment is the material product of past human activities in the world from earliest times until the present. It is the result of innumerable interactions that have created the places where we live and work today. Its physical elements range from buildings, settlements and landscapes to individual artefacts and ecofacts, at all scales from single sites to extensive urban areas. In whole or in part, the historic environment is valued as a cultural, social and economic asset that makes a major contribution to the quality of people's lives.

Protection and enhancement are part of stewardship for a global environment. By managing change, stewardship sustains valued assets so that they can meet the needs of today's communities and remain available for the benefit of future generations. Stewardship reflects the public value of the historic environment by encouraging active involvement in its management and promoting community awareness.

Stewardship requires conservation practitioners with special skills in understanding, listening, investigating, managing, facilitating, renewing, enhancing, communicating and sharing the legacy of the past. The historic environment sector includes professionals working in public services, for independent and private practices, and for charitable, academic and educational institutions, as well as active volunteers and voluntary groups. A diverse and developing sector like ours needs guidance to help it go about its core activities.

Those core activities are organised around the issues of stewardship, what is conserved, why it is done, and how it is achieved. This provides the tripartite framework of the guidance and helps identify important connections between its elements.

## **Application**

The document has three main aims. First, it seeks to disseminate best practice amongst those who devise, regulate, manage and carry out stewardship tasks. Second, by amplifying the Institutes' Codes of conduct it will help clarify uncertainties about the correct handling of work. Third, as a high-level framework, it will stand between those Codes and more detailed guidance, some existing and some yet to be drafted, dealing with particular types of historic asset and stewardship activity.

The guidance should be applied appropriately and proportionately. Different sets of factors may have to be taken into account when managing assets still in use and monuments to past uses; minor or routine works rarely require the complicated processes and extent of information essential for major projects. Not every piece of guidance informs all parts of the historic environment sector, nor all its tasks and activities. But members of the sponsoring organisations are expected (as part of their Continuing Professional Development) to be familiar with the whole so that they can identify what is relevant to their particular activities and expand their understanding of the wider picture.

This document was drafted by David Baker MCIfA IHBC and Dr Gill Chitty MCIfA IHBC, with the support of Dr Rowan Whimster MCIfA as assessor. It has benefited crucially from the responses of numerous consultees who have drawn upon their own deep past experience. Its future usefulness and strength will rely upon regular review in the light of accumulating experience and changing contexts for stewardship of the historic environment.

### **Guidance**

The Guidance is arranged under the headings of understanding, benefiting, and managing. This reflects the proper sequence of the three key questions of informed stewardship that aims to sustain what is valued in the historic environment for the benefit of present and future generations. 'What' is the significance of the historic assets in question? 'Why' are they useful in terms of the benefits they bring? 'How' are they best managed for sustainable change? Bad practice formulates proposals with an insufficient understanding of 'what', which then has to be revisited in order to understand significance, before reviewing 'why' and devising or revising 'how'. The guidance embodies conservation principles contained in a range of current international and national strategic documents, some of which are listed in Appendix B. It is the high-level foundation for separate, more detailed 'handbook' guidance covering specific tasks and activities.

Understanding –What?	Benefiting – Why?	Managing – How?
<p><b>1.1 What is it?</b>            1 Components and contexts            2 Completeness and complexity            3 Unique and common characteristics            4 Rarity and importance            5 Attributions            6 Function and design            7 Natural and historic assets</p> <p><b>1.2 How old is it?</b>            1 Absolute and relative dating            2 Original and later elements            3 Basis of dating</p> <p><b>1.3 How do we know?</b>            1 Documentation            2 Interpretation and evidence            3 Conclusions and hypotheses            4 Levels of confidence</p> <p><b>1.4 What is its significance?</b>            1 Significance and values            2 Understanding the past through physical survivals            3 Reconciling values            4 Values for stewardship            5 Changing significance</p>	<p><b>2.1 Adding to knowledge</b>            1 Approach            2 Inter-disciplinarity            3 Particular and general outputs            4 Revision            5 Empirical and theoretical            6 Typical and unique            7 Presenting results            8 Traditions and evidence</p> <p><b>2.2 Functional uses</b>            1 Optimum uses            2 Alternative uses            3 Use and disuse            4 Long-term usefulness            5 Awareness of uses and benefits</p> <p><b>2.3 Social and community benefit</b>            1 Community identity and cohesion            2 Public value and private interests            3 Education and the historic environment            4 Passing it on to future generations</p> <p><b>2.4 Economic benefit</b>            1 Adding value in regeneration            2 Weighing public value and economic use            3 Materials and sustainability</p> <p><b>2.5 Leisure and tourism interest</b>            1 Managing visitor attractions            2 Access and capacity            3 Transportation and tourism            4 Interpretative infrastructure            5 Explanation and evidence            6 Visitor-focused interpretation            7 Interpretative liaison            8 Amenity areas</p>	<p><b>3.1 Overall frameworks</b>            1 Commonality of process            2 Private and public interests            3 Professional approach            4 Policies and plans            5 Managing projects            6 Review of work in progress            7 Assessment and recording            8 Knowledge, experience, skills and training</p> <p><b>3.2 Informing proposals and decisions</b>            1 Preliminary investigations            2 Proportionality            3 Timescales            4 Informed debate about values            5 Assessment of condition            6 Informing decision-making</p> <p><b>3.3 Advising and deciding</b>            1 Considering options            2 Proportional control and advice            3 The ‘precautionary’ principle            4 Informed balance judgements            5 Precedents            6 Reversibility            7 Clarity about types of change            8 The scope for ‘new’ heritage</p> <p><b>3.4 Implementing decisions</b>            1 Continuity of expertise and experience            2 Competition and competence            3 Mitigating impacts of research            4 Long term versus short term</p> <p><b>3.5 Documentation</b>            1 Documenting tasks and activities            2 Proportionality of documentation            3 Recording results            4 Availability of documentation            5 Keeping records</p> <p><b>3.6 Communication</b>            1 Communicating historic interest            2 Excitement and engagement            3 Explaining conservation            4 Communicating results</p>

## 1 Understanding – what are we conserving?

1.1 Sound stewardship is based on a good understanding of the cultural significance of what is being affected by change, whether as the first stage in developing a proposal or in response to a proposal that has already been made. Essential aspects are physical characteristics, information already available, the past human activities that it represents and the range of values comprising overall significance. Gaining the understanding needed for the task in hand may require some of the research activities that are themselves a major use of historic assets.

1.2 What is it?

1.3 Misunderstanding or incomplete understanding of historic assets causes avoidable controversy, hindering care and communication. A few simple guidelines can help minimise difficulties.

### 1.3.1 Components and contexts

Understand a historic asset through an informed account of its constituent elements including associated contents and collections, any intangible associations, its context (both physical and intellectual), any larger whole of which it is part, and any context it provides for other assets.

### 1.3.2 Completeness and complexity

Qualify the understanding of a historic asset by indicating the complexity of its history, together with what is known about its completeness and elements that may have been removed or are hidden.

### 1.3.3 Unique and common characteristics

In understanding a historic asset, take into account both its own unique characteristics and common factors of type, design, period and location shared with others.

### 1.3.4 Rarity and importance

In assessing the rarity or importance of a historic asset within its type, design, period and location, take into account the present state of knowledge and the scope for discovering or recognising further examples.

### 1.3.5 Attributions

Attribute a historic asset to its designer, builder and cultural context where evidence permits; indicate the basis for undocumented attributions.

### 1.3.6 Function and design

In assessing a historic asset's functional and aesthetic interest, distinguish between considerations that may have governed its original making, those that affected later usage and alterations, and the perceptions of those involved with it today.

### 1.3.7 Natural and historic assets

Recognise the natural aspect of the historic environment, the dependence of past human activity upon the availability and usefulness of flora, fauna and geological materials, and the relevance of the natural world, at all scales from palaeo-environmental evidence to landform, for recognising and understanding historic assets.

#### 1.4 How old is it?

The age of a historic asset is a key element of its significance and a source of major interest, requiring careful and accurate expression, qualified as necessary.

##### 1.4.1 Absolute and relative dating

Distinguish between relative phasing in sequences of buried deposits, structural development and land-use change, and absolute dates derived from documents, inscriptions and scientific measurement, whether point-in-time or ranged.

##### 1.4.2 Original and later elements

Distinguish between primary features and later additions or alterations; indicate the level of confidence about the interpretation of sequences.

##### 1.4.3 Basis of dating

Indicate the basis of dates ascribed to the construction, use, alteration or destruction of historic assets; make explicit any limitations of dating based on analogies or typology; clearly label any imprecise dating references.

#### 1.5 How do we know?

Information is needed about the source, nature, completeness and reliability of the evidence upon which the understanding of historic assets depends.

##### 1.5.1 Documentation

In understanding historic assets, take account of both documented history and records of previous investigation and management; maintain critical awareness of the relative reliability of different types of documentation. Always state the basis for correlations between documentary and material evidence.

##### 1.5.2 Interpretation and evidence

Support interpretations and conclusions about historic assets with clear statements about the evidence on which they are based.

##### 1.5.3 Conclusions and hypotheses

Distinguish between conclusions derived from available evidence and hypotheses that require testing through further investigation before conclusions can safely be drawn.



#### 1.5.4 Levels of confidence

Indicate levels of confidence in identifications and interpretations, distinguishing between what is known from direct evidence, what is inferred from soundly based records or parallels, and what is uncertain or unknown.

#### 1.6 What is its significance?

The significance of a historic asset or place is the totality of its ascribed cultural, natural, and social values.

##### 1.6.1 Significance and values

In describing the 'significance' of historic assets, summarise the values attributed to them – academic and professional evaluations, the perceptions of communities and interested individuals. Assess significance by ranking or prioritising sets of values but not by excluding any of them.

##### 1.6.2 Understanding the past through physical survivals

In understanding the significance of historic assets, distinguish between what is known about the physical survivals themselves and what can be inferred from them about the past human activities for which they are evidence. Indicate the extent to which activities can be safely deduced from survivals. Indicate clearly the basis for 'intangible' heritage, such as traditions attached to assets and places and documentary evidence for battlefields.

##### 1.6.3 Reconciling values

When managing change to historic assets, seek to reconcile sets of values derived from evidence, from past, present and possible future uses, and from how they are recognised by individuals and communities.

##### 1.6.4 Values for stewardship

While using evidential values as the basis for stewardship tasks and activities, ensure that other measures of value held by other groups are duly recognised and respected.

##### 1.6.5 Changing significance

Re-evaluate the significance of historic assets at appropriate intervals, either regularly or when affected by change or demands for new explanations. Ensure it reflects any altered understanding, from new evidence and new research methodologies, or any new cultural perceptions and associations for individuals and communities.

## **2 Benefiting – why are we conserving?**

The wide range of potential uses for historic assets, from academic to functional, reflect values derived from cultural, economic, environmental and social interests.

### **2.1 Adding to knowledge and understanding**

Research in the service of conservation management, focused on understanding the physical assets themselves, uses the approaches and methods that apply generally in research to increase knowledge and understanding of past human activity. See Section 1 above (Understanding – What do we conserve?).

#### **2.1.1 Approach**

Devise all research activity into historic assets around questions based on research agenda and/or management plans; apply consistent methodological approaches to all types of investigations; consider the scope for historic assets to demonstrate or elucidate aspects of past human activity.

#### **2.1.2 Inter-disciplinarity**

Have regard for the extent to which historic assets can contribute to research in other disciplines, such as demolished structures and settlements to historical geography, buildings and their contents to art-history, social and economic history, industrial archaeology, and gardens and landscapes to ecology, etc. Be aware of how archaeological and architectural history studies can benefit from collaboration with other disciplines. Be aware of available scientific techniques such as paint analysis and dendrochronology and utilise them in appropriate situations.

#### **2.1.3 Particular and general outputs**

Where possible and appropriate, use discoveries about particular historic assets to enhance understanding of their contexts and past human activity generally.

#### **2.1.4 Revision**

When using new evidence to revise or replace existing interpretations, be prepared to explain why they were held and justify why they have been changed.

#### **2.1.5 Empirical and theoretical**

In interpreting and presenting the results of investigations, make explicit what is derived directly from recorded evidence and what is based upon judgments of probability or the application of a theoretical framework.

### 2.1.6 Typical and unique discoveries

Avoid presenting further or typical examples of known asset types as unique and unprecedented discoveries, but do not minimise their particular individual interest.

### 2.1.7 Presenting results

Facilitate the expansion of knowledge by presenting and publishing the results of investigations in ways that can reach and engage various types and levels of audiences; avoid talking down or blinding with science; explain contexts clearly; introduce the unknown by relating it where possible with the known.

### 2.1.8 Traditions and evidence

Distinguish between understanding based on evidence-based research and the intangible associations of tradition or legend, while respecting the latter for their particular interest, metaphorical qualities and the cultural esteem in which they may be held.

## **2.2 Functional uses**

Sustainable uses justify retaining historic assets, whether by continuing original ones, or introducing alternatives after careful assessment of significance.

### 2.2.1 Optimum uses

Identify and promote uses for historic assets that reveal and retain their significance. If historic uses cannot be continued, seek modernised or alternative ones that respect original fabric, distinctive features, plan form, design, appearance and spatial characteristics.

### 2.2.2 Alternative uses

When comparing modernised versions of original uses with alternative uses, assess the capacity of a historic asset to accept change without diminishing its significance or suffering critical loss of fabric.

### 2.2.3 Use and disuse

Recognise that the primary significance of a historic asset irreversibly deprived of its original use through physical decay or redundancy is as a monument to (or a record of) past uses and their associated values, but do not exclude values that reflect other perceptions.

### 2.2.4 Long-term usefulness

Take into account the benefits of retaining historic assets in long-term uses when evaluating the immediate costs of conservation.

#### 2.2.5 Awareness of uses and benefits

Promote awareness at all political levels of the social, economic, cultural, educational and environmental benefits that can be derived from using historic assets.

### **2.3 Social and community benefit**

Contrasts and continuities between past and present societies can invest historic assets and places with a significance that supports awareness of community and a sense of roots.

#### 2.3.1 Community identity and cohesion

Discover how regional and local communities regard their historic assets and the extent to which they reflect distinctive regional or local identities; identify their scope for stimulating historical and cultural awareness and promoting a sense of identifiable place; recognise that local environmental perceptions may embrace both nature and history; recognise that different sections within communities may ascribe different or conflicting values to assets. Engage in dialogue about well-founded community attitudes to historic areas when devising regeneration schemes.

#### 2.3.2 Public value and private interests

When assessing the significance of privately owned historic assets, take account of the wider public interest in them and any public benefits they can bring; respect the rights of private ownership and draw the attention of owners to their public value.

#### 2.3.3 Education and the historic environment

Promote the study of historic assets, for their particular interest and in wider contexts, for understanding past peoples and for appreciating present places; offer the intellectual and imaginative challenge of analysing and reconstructing past human activity.

#### 2.3.4 Passing it on to future generations

Use formal and informal educational opportunities at all school ages to communicate the interest of historic assets and places.

### **2.4 Economic benefit**

Conserving historic assets can bring economic benefits through revived or alternative uses. By themselves or together with the value of social benefits, these can equal or exceed the financial costs of conservation.

#### 2.4.1 Adding value in regeneration

Ensure area-based regeneration schemes in the urban historic environment are conservation-led and based upon an informed and proportionate understanding of historic development. Promote the value of the historic environment in bringing a conservation dividend that can

enhance the quality of new development. Retain the continuity of architectural and cultural interest in the historic townscape by re-using locally distinctive buildings and street patterns.

#### 2.4.2 Weighing public value and economic use

When evaluating the economic benefits of historic assets, take account of the public value ascribed to them. In seeking to manage market forces or justify subsidising a 'conservation deficit' (a budgetary deficit arising from conservation requirements), ensure all aspects of public value are appreciated, especially benefits to community identity and cultural tourism.

#### 2.4.3 Materials and sustainability

When considering proposals for altering or replacing historic assets, take into account how far their materials and construction represent valuable embedded environmental capital. Challenge unsupported assertions that old materials and construction are inherently poor in terms of energy conservation and carbon footprint. Seek to ensure new or recycled materials are derived from sustainable sources.

### **2.5 Leisure and tourism interest**

Community benefit is connected with leisure interest, economic benefit with tourism interest. For historic assets to serve them all requires a good understanding of their particular qualities and of public expectations.

#### 2.5.1 Managing visitor attractions

Ensure that historic assets used as visitor attractions have visitor management and audience development plans in addition to a conservation management plan embodying a statement of its significance.

#### 2.5.2 Access and capacity

Audit arrangements for access to historic assets for their robustness and capacity to accept variable levels of visiting. Assess potential environmental impacts, the physical capacity to absorb wear, and the need to protect important intangible qualities such as ambience and tranquillity. Explain necessary protective measures as part of the presentation to visitors.

#### 2.5.3 Transportation and tourism

Minimise the environmental impacts of access arrangements to historic assets by integrating them with sustainable transport policies that manage pressures on local transport networks.

#### 2.5.4 Interpretative infrastructure

Incorporate the design and positioning of signage, interpretation material and local facilities within the management strategy for a visited historic asset or place; aim for minimum

environmental and visual impacts, sustainable use of construction materials and maximum reversibility.

#### 2.5.5 Explanation and evidence

Use appropriate research and verified evidence as the basis for explaining and presenting historic assets; be explicit about unavoidable ambiguities and uncertainties on key issues.

#### 2.5.6 Visitor-focused interpretation

Recognise that visitors bring a range of different perceptions and prior knowledge to a historic asset. Design explanation accordingly, seeking professional advice where appropriate so that interpretation engages and stimulates interest, clarifies what is known, facilitates learning and further enquiry, and maximises enjoyment.

#### 2.5.7 Interpretative liaison

Involve Museums and Record Offices as key partners in the public explanation of historic sites and buildings, for their skills in interpretation, communication and display and by signposting their related collections and displays.

#### 2.5.8 Amenity areas

Ensure due regard for the management and interpretation of historic assets located in areas primarily maintained as urban parks, recreational open spaces and areas of nature conservation interest.

### **3 Managing – how do we conserve?**

Historic assets are managed effectively by facilitating sympathetic and sustainable uses. This requires well-considered and proportionate decisions based on well-informed proposals that minimise avoidable destruction, prevent incremental loss and decay, and ensure appropriate repairs.

#### **3.1 Overall frameworks**

Like all tasks and activities, stewardship benefits from a consistent framework of approach.

##### 3.1.1 Commonality of process

Use and promote the basic conservation process of understanding the cultural significance of a historic asset, understanding the impact of a proposal upon that significance, and advising or deciding on an option that enhances or does not damage it.

### 3.1.2 Private and public interests

Recognise the scope for tensions in stewardship activities and tasks between private interests in property and the wider public good; promote mutual appreciation where appropriate and practicable.

### 3.1.3 Professional approach

Carry out stewardship tasks with transparency of purpose and action, and openness of approach. Exercise professional judgement accountably when weighing different or conflicting considerations and provide reasoned adjudications. Be prepared to modify views in the light of relevant new information.

### 3.1.4 Policies and plans

Work within systematically devised and regularly reviewed frameworks of policy and technical advice that respond to the significance of historic assets and the needs of their users. Where these are absent, press for and contribute to their compilation. Make appropriate use of Conservation (or Conservation Management) Plans, Conservation Statements and Statements of Significance, as well as plans for developing audiences and managing visitors.

### 3.1.5 Managing projects

Design and manage conservation tasks so that

- a. stated aims, objectives and intended outputs meet the requirements of commissioning organisations and regulatory authorities
- b. they accord with professional standards adopted by the relevant professional and partner bodies
- c. programmes of work are realistically planned and resourced, include scope for appropriate professional and public consultations, and include review points at which they can be amended, supplemented or abandoned.

### 3.1.6 Review of work in progress

Monitor conservation tasks in accord with best professional practice, whether as an external regulator or in response to contractual requirements; ensure objectives are being met, standards of performance maintained, and contingencies properly handled.

### 3.1.7 Assessment and recording

Distinguish clearly, in purpose, design, timing and outcome, between tasks assessing the potential impact of proposed work on historic assets, and tasks recording what will be affected by agreed or permitted works.

### 3.1.8 Knowledge, experience, skills and training

Ensure those undertaking conservation tasks have appropriate knowledge, experience and skills, where possible formally accredited or certified; promote and take opportunities for training.

## 3.2 Informing proposals and decisions

An understanding of the significance of a historic asset (Sections 1, 2.1) is fundamental to the design of stewardship tasks and activities.

### 3.2.1 Preliminary investigations

Ensure the design of all tasks is informed by any preliminary investigations needed to understand significance and condition adequately, to define necessary work, to identify positive and negative impacts, to minimise adverse impacts, and to incorporate appropriate measures of mitigation; ensure prior agreement on the scope of such work between the regulatory authorities, applicants and their agents.

### 3.2.2 Proportionality

Ensure requirements for information in support of proposals for change are proportionate to the nature of the affected historic asset, the scale of what is proposed, and their likely impacts on its significance.

### 3.2.3 Timescales

Seek to ensure that time-limited statutory processes for determining proposals affecting historic assets do not commence until the relevant information is available or satisfactory procedures for obtaining it are in place. Engage in pre-application discussion where this is appropriate and can help bring forward better-informed proposals for determination in a timely manner.

### 3.2.4 Informed debate about values

When devising or negotiating proposals affecting historic assets, give due weight to the range of values ascribed to them by stakeholders. Seek to reconcile sets of values derived from evidence, from past, present and possible future uses, and from how assets and places are recognised by individuals and communities. Clarify and seek to resolve disagreements by ensuring significance is neither exaggerated nor underplayed.

### 3.2.5 Assessment of condition

When assessing the condition of a historic asset, take into account the performance characteristics of its constituent materials and the conditions under which they can decay or fail. Identify any features or areas excluded from inspection; neither exaggerate nor minimise defects. Involve specialist engineering advice in addressing concerns over the stability of earthworks and structures.



### 3.2.6 Informing decision-making

Ensure the availability of sufficient information so that advice or decisions about managing historic assets are neither made prematurely nor postponed unreasonably. State levels of confidence about uncertain assessments of significance or condition, and clearly label any best- or worst-case scenarios.

## 3.3 Advising and deciding

Stewardship advice and decisions should be reasonable; they should balance conflicting factors and show awareness of possible implications.

### 3.3.1 Considering options

In managing change to historic assets, identify the range of options for achieving desired objectives and clarify their relative impacts upon significance. Be prepared to consider less adverse changes that would avert more adverse ones. Do not promote or accept any adverse change before less damaging alternatives have been properly considered.

### 3.3.2 Proportional control and advice

Ensure that the exercise of controls and the provision of advice over proposals for change to a historic asset reflect its relative significance and the relative scale and impact of what is proposed.

### 3.3.3 The 'precautionary' principle

Invoke the 'precautionary principle' to oppose proposals affecting historic assets only after a structured assessment of risk has found unacceptably high levels of uncertainty or failures to identify potential impacts. Distinguish between uncertainties that proponents of change fail to clarify and the lack of regulatory resources to assess proposals properly.

### 3.3.4 Informed balanced judgements

Ensure that advice about the potential impacts of a proposal on a historic asset is based on appropriate knowledge and expertise; keep separate any comments on the acceptability of any wider proposal of which it forms part. When assessing the acceptability of a proposal in conservation terms, do not prejudge any wider balance others have to make between heritage value and economic, social or other environmental factors, but be prepared to contribute to the debate. When devising or assessing a conservation-led proposal, have regard for other relevant considerations.

### 3.3.5 Precedents

Support advice and decisions about conservation tasks with what has been learnt from comparable situations against the background of a consistent conservation process; where

advice or decisions are contrary to established policies or procedures make the circumstances explicit so that precedents can be confined to directly comparable cases.

### 3.3.6 Reversibility

Ensure as far as possible that interventions to historic assets are capable of being undone without long-term damage to their significance. Do not uncritically accept claims of reversibility as grounds by themselves for impairing the integrity and legibility of an asset. Assess claims of potential reversibility by securing tests that demonstrate its practical and economic realism and the absence of unidentified impacts.

### 3.3.7 Clarity about types of change (Section 4: Definitions 17, 18)

Distinguish between, on the one hand, fully informed works of maintenance and repair intended to preserve historic fabric within the constraints of natural decay, and, on the other hand, actions intended to counter varying degrees of physical loss. Within the latter, distinguish between restoration, renovation, reconstruction and replication; resist and clarify confusions between these types of change when assessing the impacts of proposed change upon the significance of historic assets.

### 3.3.8 The scope for 'new' heritage

Promote new construction in the setting of historic buildings or within historic areas that has good design and functional qualities and relates well with existing historic assets.

## 3.4 Implementing decisions

Some general considerations can contribute towards successful outcomes of stewardship tasks and activities, in addition to those that are largely a matter for more detailed guidance.

### 3.4.1 Continuity of expertise and experience

Promote continuity of expertise and experience (as far as is reasonable and practicable) in the care of complex historic assets and in appropriate multi-stage or extended tasks; ensure either continuity of individuals and organisations or an ordered transmission of relevant experience, documentation and archive between successive agents.

### 3.4.2 Competition and competence

Have due regard for the reasonable requirements of competition on quality and price when ensuring the use of suitably accredited and competent organisations for works affecting historic assets

### 3.4.3 Mitigating impacts of research

Justify proposals for the destructive investigation of historic assets with a fully worked out research design that shows how the potential gain in knowledge and understanding

outweighs the specific loss; support the justification in appropriate cases with incontrovertible evidence of unavoidable impending destruction by natural or human agency.

#### 3.4.4 Long term versus short term

Encourage private owners and developers and their agents to seek accredited, experienced and competent professional advice on the management of their historic assets; offer advice on repair grants from public and charitable sources. Promote the long-term benefits of cyclical planned maintenance and repair using appropriate materials and techniques; warn against inappropriate short-term 'quick-fix' solutions.

### 3.5 Documentation

The documentation of stewardship tasks and activities covers work done to historic assets as well as what is known about their significance.

#### 3.5.1 Documenting tasks and activities

Document tasks by means of briefs, specifications and written schemes of work; keep records of actions taken or varied at all appropriate stages. Deposit such documentation as evidence of adequate and appropriate processes alongside records of the historic assets concerned.

#### 3.5.2 Proportionality of documentation

Ensure that requirements for documenting stewardship tasks are clearly justified by their relevance for future management and their potential for improving understanding. Ensure that the pressures of regulatory processes do not force out a proper provision for documentation. Be prepared to review recording requirements as a conservation task is implemented.

#### 3.5.3 Recording results

In designing investigations, anticipate the likely scope of evidence that will be recovered, and make appropriate provision for recording and reporting it.

#### 3.5.4 Availability of documentation

Make documentation arising from the investigation of historic assets available as soon as possible after its completion. Respect but do not exceed reasonable time-limited requirements for confidentiality.

#### 3.5.5 Keeping records

Ensure that information gained from investigations is archived in useable form in maintained record systems compliant with national data standards; ensure information is deposited in formats that are accessible through the relevant index, catalogue and bibliographic resources.

### 3.6 Communication

Two-way communication is a vital part of conservation, to ensure there is an informed public, to understand public perceptions of the historic environment, and to sustain the public interest that justifies its protection.

#### 3.6.1 Communicating historic interest

Recognise that the privilege of investigating and managing historic assets brings with it responsibilities, for sharing their particular interest with owners, clients and the public, and for recognising and including their perceptions of significance.

#### 3.6.2 Excitement and engagement

Use every opportunity to communicate the excitement of discovery when presenting the results of investigating historic assets. Engage audiences with the fascination of exploring the human past; where appropriate explain the evidence for alternative explanations and pose unanswered questions.

#### 3.6.3 Explaining conservation

Inform local and wider communities about conservation work that is suitable for publicity. Bring out the significance of the assets involved, why work is required, what is being done currently and what might need to be done in the future.

#### 3.6.4 Communicating results

Publish and communicate results from investigations in a timely and intelligible manner, using effective media that are accessible to an appropriate range of audiences.

## 4 Definitions

These selected short definitions explain how words and phrases have been used in this *Standard and guidance for Stewardship of the Historic Environment*. Some terms mean different things in different intellectual and national traditions, and the meanings of others have changed subtly over time. The interpretations used here are intended as far as possible to be consistent with fuller sets of definitions in the 'Burra Charter' (1999) and other European and international documents (see Section 11, this document).

1. The *historic environment* is the imprint of past human activity upon the natural world from prehistoric times onwards, the product of an interactive process that has created the places where we live and work now.
2. *Historic assets* are the material products of past human activity, discrete entities of recognised value at any scale from artefact to landscape, terrestrial and maritime.

3. Historic assets can be, or can form part of, *places*, environmental locations people perceive as having a distinctive identity.
4. The term *artefact* has a general application to historic assets and places at any scale, and a more particular one to individual human-made objects located in or originating from sites and structures.
5. *Heritage* describes inherited historic and natural assets and places that are valued by people for reasons beyond mere utility.
6. *Stewardship* protects and enhances what is valued in inherited historic assets and places. It responds to the needs and perceptions of people today and seeks to have regard for the needs of those in the future. The stewardship role includes undertaking conservation management tasks, communicating the public value of the heritage, promoting community awareness of the historic environment and encouraging active engagement in protection and enhancement.
7. *Values* are cultural, social and economic attributes, aspects of worth or importance, ascribed to historic assets and places. Distinct sets of values can complement or conflict with each other.
8. *Designation* recognises the special interest of historic assets and places by bestowing formal status under law or public policies intended to sustain those values.
9. The *significance* of a historic asset or place is the sum of the cultural, natural, and social values ascribed to it. Economic value in this context is restricted to its functional contribution towards economic activity rather than to its market value or costs associated with its conservation.
10. The *benefits* derived from historic assets – which can be cultural, economic, social, and environmental – flow from enjoying them and investing in their conservation.
11. The *setting* of a historic asset or place is land and/or buildings that are physically intervisible with it, the visual surroundings within which it is experienced and with which it may be historically connected.
12. The *context* of a historic asset or place is its wider significance within a historic period, asset-type or cultural tradition.
13. The *condition* of a historic asset or place is the state of repair and material stability in which it currently survives.
14. *Documentation* of a historic asset or place includes documentary evidence for the past human activities associated with it, (often as copies or transcripts) and the records generated by conservation management and investigation of it as a historic asset. Documentary evidence is both an artefact that may itself be a historic asset and also a source for evidential values.
15. *Conservation* is the process of managing change through strategies and tasks that sustain the significance of inherited historic assets and places so that they can be used and enjoyed now and in the future. This can be done

- a. physically or intrusively, through interventions to protect significant fabric, character or appearance, or
  - b. intellectually or non-intrusively, through activities such as research, investigation, interpretation, communication and advocacy that promote beneficial change or alter perceptions of the asset and its context.
16. *Sustainable* actions and policies for conserving historic assets and places meet present needs without compromising the ability to meet future ones.
17. Managing change to historic assets and places has three broad types of outcome differentiated by type of impact:
- a. *preservation* in the context of stewardship has been defined as ‘to do no harm’. It has traditionally meant keeping inherited historic fabric unaltered, but in practice it encompasses changes to fabric that have minimal effect on significance, arising from:
    - I. maintenance, or routine work necessary to keep the fabric of historic assets and places in its existing condition, preventing or inhibiting the development of defects, but not involving repair
    - II. repair, reversing changes caused by decay, damage or use, taking an asset or place back to a readily known condition before the defects occurred, but not involving restoration
  - b. *alteration* is physical change that modifies function or appearance. It can include:
    - I. adaptation, lesser-scale changes associated with modification to suit a use
    - II. conversion, larger scale changes usually associated with a change of use
  - c. *demolition or destruction* is the physical loss of part or all of a historic asset.
18. A series of terms describe actions to counter the effects of physical loss.
- a. *restoration* makes a historic asset or place conform to its known design or appearance at an earlier time. It is achieved by altering or replacing what has decayed, been lost, damaged, inappropriately repaired or added
  - b. *renovation* literally means ‘making new again’. It usually requires qualification to indicate the scope and scale of renewal works
  - c. *reconstruction* goes beyond repair or restoration in re-creating what no longer exists. It is speculative to the extent that physical and documentary evidence has to be supplemented with logical deduction or intelligent guesswork, often based on known parallels.
  - d. *replication* makes an exact copy or facsimile of all or part of a historic asset
  - e. *rebuilding* is a general term for the complete or partial replacement of a building or artefact, through repair, reconstruction, replication or restoration
  - f. *reversibility* is the characteristic of physical alterations to historic assets that can realistically and practicably be undone subsequently without adversely affecting their significance as existing before the alterations had been done.

## Appendix A

### Stewardship concepts

Several key concepts underpin the Standard and inform the more detailed guidance. Some are still being debated so this commentary will require review and updating.

## 5 The 'historic' environment

- 5.1 The concept of a 'historic' environment emerged in the 1970s as the counterpart of an already well-recognised natural environment. It was a useful metaphor for the need to manage a resource that is theoretically finite but that can also yield new discoveries increasing understanding of the human past. Thirty years later other collective descriptors are available and voices have been heard wondering whether the 'historic environment', in the limited physical sense as first perceived, does actually exist.
- 5.2 The original concept was innovative for its comprehensiveness, embracing above- and below-ground evidence, and ranging in scale from buried artefact and building fitting to landscapes and cities. This helped connect things that were (and to some extent still are) compartmentalised and bring out a broader picture of past human activity. It also helped connect these 'historical' matters with related areas of interest that have their own integrity, the most obvious being the natural world and its ecofacts upon which the evidence for past human activity has been engraved. Other important connections included museums holding displaced artefacts of all kinds and documentary archives containing written sources.
- 5.3 At the professional level, the emphasis on managing elements of a historic environment made further connections. Documentation has been the growth industry of the last generation; record systems whose development has been boosted by the digital revolution now hold material about both historic assets and their management. There is greater awareness of the interest in historic assets legitimately held by colleague professions, notably architects, planners and surveyors.
- 5.4 A more fundamental debate, part political, part administrative and part academic, has been whether historic assets are part of environment or of culture. Its sterility is indicated by the obvious point that they belong to both, but the differential availability of funding and influence under the two banners has kept the debate alive. On the broader international canvas, 'cultural heritage' has currency, though the 'historic environment' has not been rejected.
- 5.5 However, the words have their own intellectual traditions and outlooks. 'Environment' tends to focus on things that are separate from people but used by them for a wide range of activities, whilst 'culture' has a more inclusive approach. The Council of Europe's draft Framework Convention on the Value of Cultural Heritage for Society (October 2005) defines cultural heritage as 'a group of resources inherited from the past which people identify, independently of ownership, as a reflection and expression of their constantly evolving values, beliefs, knowledge and traditions.' It includes expressions of community or national pride, the so-called intangible heritage of oral traditions and folklore, and alternative histories and constructions of the past.
- 5.6 This links directly with another new element, largely of the 21st century – the concept of 'significance', comprising multiple sets of values, some additional to traditional academic

ones based on allegedly objective evidence. It has prompted a continuing debate. Some prefer to talk about a 'cultural' rather than a 'historic' environment because it is nothing without people and their valuations, but the open-ended concept of culture and the relativity of a values-based approach do not yet seem to have reached a workable accommodation with the systematics of research and conservation. Others are inclined to expand the concept of a 'historic' environment to take account of the range of contemporary valuations applied to it, but have yet to show whether this requires new ways of working within an old framework or a new framework.

## **Stewardship and the management of change**

### **6.1 Stewardship as facilitation**

Stewardship acts for the benefit of people now as well as in the future, helping them make their own informed judgements about change through an active process of public engagement and dialogue based on sound accessible information. Specialist skills are needed to understand and communicate the significance of complex historic assets; well communicated expert contributions should inform and can influence public opinion.

### **6.2 Conservation, preservation and sustainability**

The promotion of 'conservation' as the management of change owes much to the 1987 Brundtland Report's definition of 'sustainable development' as that which 'meets the needs of the present without compromising the ability of future generations to meet their own needs.' Conservation embraces a range of environmental interventions from straightforward repairs to the promotion of mutually beneficial alliances with sympathetic development. Preservation 'as found' is now regarded not so much as its antithesis as one of several management options, often associated with assets preserved primarily for study and enjoyment.

### **6.3 Types of change**

Change, whether by deliberate human intervention or through natural processes of decay, can create the need to protect historic assets from harm or can provide an opportunity to reinforce their values. Different words, such as repair, restoration, reconstruction, etc, are used for various kinds of change, depending upon why action is taken, what information is available, and what outcome is achieved. It is part of stewardship and conservation to identify and explain the type of change in a given situation, drawing upon the available information about the asset and how people perceive it. This can help people distinguish, for example, when the 'restoration of a building' is indeed 'to its former glory', and when, for lack of information about its earlier states, it can be little more than speculative reconstruction.

### **6.4 Conservation and climate change**

It is important to maintain an awareness of how the physical context for stewardship is changing, just as the next section discusses its changing philosophical framework. Climate change will impact in several ways. It will directly affect the decay paths of buildings and earthworks and growth patterns in historic parks and gardens. Indirect effects will arise from the need to reconcile government-led requirements for better insulation and more energy micro-generation with protection of historic fabric, demanding inventive conservation solutions. Public resources for the conservation of the historic environment will come under increasing pressure from competing demands to cope with the effects of climate change.



## Values

### 7.1 Survivals, values and significance

Historic assets consist of material survivals from past human activity and the available information about them. Understanding their 'significance' is the key to managing change, because it encompasses the full range of their values, or 'aspects of worth or importance'. Significance justifies legal protection, public funding, regulation in the public interest, and inspires the involvement of people and communities. Debate continues about how best to characterise these sets of values, how they relate to each other, and what role they should play in decision-making.

### 7.2 Recognising multiple values

Seeing conservation of the historic environment as part of wider environmental management has helped articulate its relationship with various aspects of 'public value', defined simply as 'what the public values'. It has expanded a received view, that the value of historic assets is intrinsic and self-justifying, into recognition that they do incorporate multiple values. These values reflect cultural, economic and community interests, as well as the evidence they can provide for the study and understanding of past human activity.

### 7.3 Types of values

This Guidance identifies three broad groups of values

- a. Evidential values underpin all stewardship. These derive from understanding the physical survival of an asset, as it appears in the present, and from its potential to provide information about past human activity. It should be possible to secure agreement on what evidence exists, though there is often scope for debate about what it represents.
- b. Conferred values reflect the perceptions of individuals and communities about the assets they encounter. These include aesthetic (informed sensory perceptions), imaginative or associative (visualisations and reconstructions of past human activity), and communal (how people identify with an asset or place and what it tells them about their and its past). The same asset can be perceived in different ways by different people, using the same or different sets of evidence.
- c. Functional or instrumental values reflect benefits derivable from historic assets. These include economic (generating wealth), educational (facilitating learning), academic (researching to increase human knowledge), recreational (satisfying curiosity and creating enjoyment) and social (providing cohesion and continuity in neighbourhoods). The instrumental values of historic assets are an important driving force behind stewardship and conservation, and it is a feature of this analysis that they include research for its own sake. They generate much of the resources it needs and the interest that justifies it.

### 7.4 Assets – inherent or ascribed values?

Describing historic survivals as 'assets' implies they have an inherent value; actually, it is a recognised or ascribed value that does not exist independently of an analysis of significance. Identifying component evidential values in the course of making that analysis is already

routine conservation procedure. Taking instrumental and conferred values into account when making decisions about proposed changes to assets is equally familiar in properly managed situations. Clear and well-understood conservation processes can be a double 'win', helping constructively manage the relativism inherent in a values-based approach while benefiting from its inclusive approach.

### 7.5 The role of evidential values

Philosophically, all values are ascribed or conferred, but are not necessarily ascribed equal weight when assessing the significance of an asset. Evidential values are often of particular relevance in deciding the best options for the conservation of material assets and for that reason, stewardship actions lead with evidential values but also recognise and do not exclude any other sets of values. Evidential values, derived from the understanding provided through research, explain what the assets are and what past activity they represent; they underpin how they can be useful, and how they are perceived. They are not necessarily always more important than all other types of value but their recognition is an essential element of conservation processes that must be sufficiently informed by a proper understanding of what is affected. Part of the task of practitioners is to ensure that evidential values are adequately understood by those involved with the assets, and to facilitate review of conferred values in the light of that understanding. This dialogue between specialised knowledge and public interests or perceptions (evidential and conferred), from which both parties can learn, is what authorises conservation action on behalf of present and future generations. It need not be privileged and elitist: if there is a risk that it can be so, that is a matter for reflection and training rather than a reason for abandoning this analysis.

### 7.6 Values and relativity

Defining significance as the sum of the values ascribed to a historic asset reflects the relativism inherent in conservation defined as the management of change. A historic asset may be less or more important to the community than to the expert; proposals for change may require a balance between, for example, economic and recreational benefits. The judgements that have to be made are relative; there are no absolutes, only consequences reflected in potential impacts upon values, which have to be judged within a framework of policies, guidance and informed public opinion. Ensuring that the values relating to a historic asset and its particular situation have been identified is a general responsibility; ensuring that they have been properly understood so that they can be given due weight in decision-making is a particular regulatory responsibility, making high demands on communication skills.

### 7.7 Changing values

Changes in evidential values can be brought about by physical decay or alteration, new information and new contexts of perception. They may make physical alteration less or more acceptable, and the prevention of decay less or more important. Also, conferred values may differ from person to person, according to interests and preferences determined by background and available information. Instrumental values may also change as society places less or more weight on the particular benefits that flow from managing the historic environment.

### 7.8 Values and process

The three process questions – what, why and how – around which the above guidance is structured, do not completely correlate with the three sets of values – evidential, conferred and instrumental. But, as a set, they provide a sound and intelligible mechanism for achieving

conservation outcomes that can benefit both the historic assets and the people they are intended to serve.

- a. 'What' largely equates with evidential value, but is concerned with the fullest available physical understanding of the survival per se as well as with an understanding of what it can tell about past human activity.
- b. 'Why' equates with instrumental and conferred values; these also include inquiry into the human past as an intrinsically valuable activity.
- c. 'How' links the evidential – what an asset is and what past activity it represents – with the outcomes required from conservation, which will be influenced by the intended uses for an asset and how people regard it. 'How' embodies professional values, Codes of conduct and related documents, and connects with the wider framework of policy governing conservation work.

## Appendix B

### **Context for documentation\* (*\*Please be aware that the information below has not been updated so some information may be out of date*)**

This guidance sits within a wider context of legislation, policy, and guidance on best practice, for the UK countries and within a wider European context. The main elements are briefly outlined here for the information of members of the Institutes.

## **8 Codes of conduct, other by-laws and other documents of ClfA, IHBC and ALGAO(UK)**

8.1 This guidance underpins the Codes of Conduct that govern professional behaviour for members of the Chartered Institute for Archaeologists (ClfA) and the Institute for Historic Building Conservation (IHBC) (Appendix C). It stands over more specific sets of Standards and guidance that already exist or will be prepared. The Codes of Conduct of ClfA and IHBC seek 'to promote those standards of conduct and self-discipline required of an archaeologist/member of the IHBC in the interests of the public and in the pursuit of archaeological research/the protection of the built heritage'. The ClfA *Code of conduct*, adopted as a by-law in 1985 and amended subsequently, has five Principles, each with an attached set of Rules, mostly beginning 'A member shall ...'. The IHBC *Code of conduct*, adopted in 1997, is established within its Articles of Association. It has 23 clauses mostly beginning 'Members shall ...'. Both Codes have associated arrangements for continuing professional development and professional conduct matters.

8.2 ClfA has adopted 13 sets of more specific Standards and guidance documents, covering desk-based assessment, field evaluation, excavation, watching briefs, finds, and building investigation and recording, among others. The IHBC is developing occupational standards and has prepared a few technical guidance notes. ALGAO(UK) has published guidance on archaeological briefs and specifications and on archaeological analysis and recording for works to historic buildings.

## **9 UK legislation, circulars, advice notes, etc**

### 9.1 Legislation

ClfA and IHBC Standards and guidance apply within the legal framework of the United Kingdom. Legislation broadly operates on the principle that where formal consents are needed, they should normally be forthcoming unless acknowledged interests are adversely affected. Set against this principle is a presumption in favour of giving special consideration to the conservation of the acknowledged interests represented by designated sites, buildings and areas. Legislative reviews are in progress or contemplated in most UK countries.

### 9.2 Government Policy Statements, Guidance and Circulars

A range of non-statutory government documents cover the expression of law as policy and its general application to cases. Guidance and Policy Statements can be amended and revised to take expanding knowledge and experience into account without changing the law that is being interpreted. Some of these documents are produced by government ministries or departments; others are produced by government agencies and officially endorsed.

### 9.3 Local Government Plans, Strategies, etc

The local government and planning systems in the four UK countries are too complex and diverse for detailed exposition here. Generally, they aid stewardship of the historic environment at the local level by formulating plans and strategies that exemplify national law and guidance, and provide the policy context for managing change on a case-by-case basis. The English planning system is in process of moving from the old Structure and Local Plans to new Spatial Strategies and Local Development Frameworks. Both old and new have the capability of dealing with the historic environment and historic assets at a strategic policy level and on a site-specific basis. Emerging systems are placing more emphasis on community involvement alongside planning's traditional role as the regulator of private interests in the name of the public good. Scotland is in the process of revising its two National Planning Policy Guidelines into a single Scottish Planning Policy on the Historic Environment. It is also preparing a series of Scottish Historic Environment Policies.

## 10 Standards and policy documents for the UK and UK countries

### 10.1 General

BS 7913: Guide to the Principles of the Conservation of Historic Buildings (1998)

This guide provides discursive information and guidance on the principles of the conservation of historic buildings, including their settings, interiors and associated contents, fixtures and fittings, and the design of associated new work. A review of this document is understood to be under consideration (2007).

### 10.2 English Heritage's Conservation Principles

In process of preparation currently (2007), English Heritage's Conservation Principles, Policies and Guidance for the Sustainable Management of the Historic Environment (EHCP) are for use by English Heritage in carrying out its functions, but also are intended to inform the historic environment sector more widely. The current (December 2006) consultation draft contains six Principles:

1. The historic environment is a shared resource
2. Everyone should be able to participate in sustaining the historic environment
3. Understanding the heritage values of places is vital
4. Significant places should be managed to sustain their values.
5. Decisions about change must be reasonable, transparent and consistent
6. Recording and learning from decisions is essential

Scotland is implementing the new Planning etc (Scotland) Act 2006 with a new emphasis on Strategic Development Plans.

### 10.3 Guidance from other professions and elsewhere

Examples of guidance are the Royal Town Planning Institute's (RTPI) *Good Practice Guide for Planners on the Conservation of the Historic Environment* (2000), practice notes prepared by Royal Institute of Chartered Surveyors (RICS), *Landscape Character Assessment* (Countryside Agency and Scottish Natural Heritage 2002), and *Conservation Principles* prepared by the National Trust for Scotland (2003).

#### 10.4 Heritage White Paper

10.5 A joint England and Wales White Paper, Heritage Protection for the 21st Century, was published in March 2007 for consultation by the Department of Culture, Media and Sport. It is based on three core principles: the need to develop a unified approach to the historic environment; maximising opportunities for inclusion and involvement; and supporting sustainable communities by putting the historic environment at the heart of an effective planning system.

#### 10.6 Maritime archaeology

10.7 The UK-wide Marine Bill White Paper was published in March 2007. It includes important proposals for the management of the marine cultural heritage. These should be seen alongside separate proposals in the Heritage White Paper to introduce new legislation to protect the marine historic environment on a UK-wide basis. The Marine Bill text is available from the Department for Environment, Food and Rural Affairs (DEFRA) website. <http://www.defra.gov.uk/corporate/consult/marinebill-whitepaper07/index.htm>

### 11 International charters, treaties, conventions, standards and policy documents

11.1 Over the last half century, a range of generally high-level documentation relating to the stewardship of the historic environment has been promulgated in a European or world-wide context. A selection of leading documents follows. Those marked \*\* are international conventions which place legal obligations upon the UK government. Those marked \* are statements of good professional practice by non-governmental organisations.

11.2 \*International Charter for the Conservation and Restoration of Monuments and Sites (1964)

The Athens Charter (1931) had asserted that the principles guiding the preservation and restoration of ancient buildings should be agreed and laid down on an international basis, with each country being responsible for applying the plan within the framework of its own culture and traditions. This was the foundation of what is known as the Venice Charter, which inspired the foundation of the International Council on Monuments and Sites (ICOMOS) in 1965 at Warsaw. This remains a benchmark for the world's conservation community. The text can be found at [http://www.icomos.org/venice\\_charter.html](http://www.icomos.org/venice_charter.html)

11.3 \*\*World Heritage Convention (1972)

11.4 This set up the machinery for the designation of World Heritage Sites and laid down many of the heritage concepts and definitions that are in use today. The text can be found at [http://whc.unesco.org/world\\_he.htm](http://whc.unesco.org/world_he.htm)

11.5 The Florence Charter

This is an ICOMOS addendum to the Venice Charter drawn up in 1981 specifically to cover Historic Gardens. Its text can be found at [http://www.international.icomos.org/e\\_floren.htm](http://www.international.icomos.org/e_floren.htm)

11.6 \*\*Convention for the Protection of the Architectural Heritage of Europe – the Granada Convention (1985)

This provides a broad definition of architectural heritage to include places of 'conspicuous historical, archaeological, artistic, scientific, social or technical interest'. It has an equally broad sweep of requirements covering all aspects of conservation management affecting mainly the built heritage. The text can be found at <http://conventions.coe.int/Treaty/en/Treaties/Html/121.htm>

#### 11.7 The Nara Document on Authenticity (1994)

This is an addendum to the World Heritage Convention. It can be found at [http://www.international.icomos.org/naradoc\\_eng.htm](http://www.international.icomos.org/naradoc_eng.htm)

#### 11.8 \*Principles for the Recording of Monuments, Groups of Buildings and Sites (1996)

These were adopted by ICOMOS at Sofia in response to the requirement of the Charter of Venice (Article 16) that 'responsible organisations and individuals record the nature of the cultural heritage'. Its five sections cover the reasons for recording, responsibility for recording, planning for recording, the content of records, and their management, dissemination and sharing. The text can be found at <http://www.international.icomos.org/recording.htm>

#### 11.9 \*Burra Charter (1979, revision of 1999)

The Burra Charter provides guidance for the conservation and management of places of cultural significance (cultural heritage places) and is based on the knowledge and experience of Australia ICOMOS members. It regards conservation as an integral part of the management of places of cultural significance and as an ongoing responsibility. It sets a standard of practice for those who provide advice, make decisions about, or undertake works to places of cultural significance, including owners, managers and custodians. Its principles are widely applicable and have been generally accepted outside Australia. The text can be found at <http://www.icomos.org/australia/burra.html>

#### 11.10 \*\*European Landscape Convention (2000)

This Convention, now signed and ratified by the UK government, emphasises the public interest in landscape in relation to natural and cultural identity and the quality of life, and in people playing an active part in perception conservation and development. The text can be found at [http://www.coe.int/t/e/Cultural\\_Co-operation/Environment/Landscape/](http://www.coe.int/t/e/Cultural_Co-operation/Environment/Landscape/)

#### 11.11 \*\*The European Convention on the Protection of the Archaeological Heritage (1969, revision of 2001)

The 'Valetta Convention' is part of the group of Council of Europe treaties for the protection of cultural heritage. It aims to protect the archaeological heritage as a source of the European collective memory and as an instrument for historical and scientific study. Its 18 Articles contain provisions for the identification and protection of archaeological heritage including the control of excavations and the use of metal detectors, its integrated conservation, the financing of archaeological research and conservation, the collection and dissemination of scientific information, the promotion of public awareness, and the prevention of illicit circulation of archaeological objects. The text can be found at <http://www.compulink.co.uk/~archaeology/cia/valetta/convention.htm>

#### 11.12 The Framework Convention of the Council of Europe on the Value of Cultural Heritage for Society (October 2005)

The 23 Articles of this new Convention, which is a further development of several earlier European documents, deals at a high level with the contribution of a broadly defined cultural heritage to society and human development, and emphasises a shared responsibility for public participation in the care and understanding of cultural heritage.

#### 11.13 European Directives on environmental impacts

These require that the potential impacts of major projects on interests including the historic environment be properly assessed and taken into account as part of the processes for project development and planning approval. European requirements are reflected by requirements in UK planning law.



## Appendix C

### Codes of conduct of the Institutes

#### The Chartered Institute for Archaeologists

##### Introduction

The object of the *Code* is to promote those standards of conduct and self-discipline required of an archaeologist in the interests of the public and in the pursuit of archaeological research.

Archaeology is the study and care of the physical evidence of the human past. This imprint of past human activity upon the natural world from prehistoric times onwards, the product of an interactive process that has created the places where we live and work now, constitutes the historic environment, a vulnerable and diminishing resource.

The fuller understanding of our past provided by archaeology is part of society's common heritage and it should be available to everyone. Because of this, and because the historic environment is an irreplaceable resource, archaeologists both corporately and individually have a responsibility to help conserve the historic environment, to use it economically in their work, to conduct their studies in such a way that reliable information may be acquired, and to disseminate the results of their studies.

Subscription to this *Code of conduct* for individuals engaged in the study and care of the historic environment assumes acceptance of these responsibilities. Those who subscribe to it and carry out its provisions will thereby be identified as persons professing specific standards of competence, responsibility and ethical behaviour in the pursuit of archaeological work.

The *Code* indicates the general standard of conduct to which members of the Institute are expected to adhere, failing which its governing body may judge them guilty of conduct unbecoming to a member of the Institute and may either reprimand, suspend or expel them. The Institute from time to time produces written standards and guidance for the execution of archaeological projects, and policy statements. All members are advised to respect such standards, guidance and policy statements in the interests of good professional practice; a full list of CIfA Standard and guidance documents published to date will be found in the 'Regulations, standards and guidelines' section on the CIfA website.

The *Code of conduct* was formally ratified and adopted as a by-law of the Institute at the Annual General Meeting held on 3 June 1985, and amended by Ordinary Resolutions passed at Annual General Meetings held on 12 September 1988, 17 September 1993, 14 October 1994, 22 September 1995, 11 September 1996, 10 September 1997, 7 September 2000, 5 September 2002, 2 October 2006, 1 October 2007 and 15 October 2008. It should be read in conjunction with the Charter, by-law, regulations and Standard and guidance documents of CIfA.

## 12 Principle 1

The *member* shall adhere to high standards of ethical and responsible behaviour in the conduct of archaeological affairs.

### Rules

- 12.1 A *member* shall conduct himself or herself in a manner which will not bring archaeology or the Institute into disrepute.**
- 12.2 A *member* shall present archaeology and its results in a responsible manner and shall avoid and discourage exaggerated, misleading or unwarranted statements about archaeological matters.**
- 12.3 A *member* shall not offer advice, make a public statement, or give legal testimony involving archaeological matters, without being as thoroughly informed on the matters concerned as might reasonably be expected.**
- 12.4 A *member* shall not undertake archaeological work for which he or she is not adequately qualified. He or she should ensure that adequate support, whether of advice, personnel or facilities, has been arranged.**

*Note: It is the archaeologist's duty to have regard to his/her skills, proficiencies and capabilities and to the maintenance and enhancement of these through appropriate training and learning experiences. It is the archaeologist's responsibility to inform current or prospective employers or clients of inadequacies in his/her qualifications for any work which may be proposed; he/she may of course seek to minimise such inadequacies by acquiring additional expertise, by seeking the advice or involvement of associates or consultants, or by arranging for modifications of the work involved; similar considerations apply where an archaeologist, during the course of a project, encounters problems which lie beyond his/her competence at that time. It is also the archaeologist's responsibility to seek adequate support services for any project in which he/she may become involved, either directly or by way of recommendation.*

- 12.5 A *member* shall give appropriate credit for work done by others, and shall not commit plagiarism in oral or written communication, and shall not enter into conduct that might unjustifiably injure the reputation of another archaeologist.**
- 12.6 A *member* shall know and comply with all laws applicable to his or her archaeological activities whether as employer or employee, and with national and international agreements relating to the illicit import, export or transfer of ownership of archaeological material. A member shall not engage in, and shall seek to discourage, illicit or unethical dealings in antiquities.**

### Note:

- a. The *member* should also consider his/her position in respect of seeking or accepting financial benefit on his/her own behalf or that of relatives in relation to the recovery or disposal of objects or materials recovered during archaeological work.
- b. A *member* must ensure that:
  - i. they do not knowingly permit their names or services to be used in a manner which may promote the recovery of archaeological material unless the primary objective of their work is to preserve the scientific integrity of the total site archive in a

- permanent professionally curated and publicly accessible collection, and unless provision is made for its study, interpretation and publication
- II. they do not enter into any contract or agreement whereby archaeological or curatorial standards may be compromised in deference to commercial interests
  - III. so far as excavated material is concerned, they do not encourage the purchase of objects in any case where they have reasonable cause to believe that their recovery involved the deliberate unscientific destruction or damage of archaeological sites, and that they discourage the sale and consequent dispersal of excavated material
  - IV. they do not encourage the purchase of objects where there is reasonable cause to believe that recovery involved the failure to disclose the finds to the proper legal or governmental authorities.

**12.7 A member shall abstain from, and shall not sanction in others, conduct involving dishonesty, fraud, deceit or misrepresentation in archaeological matters, nor knowingly permit the use of his/her name in support of activities involving such conduct.**

**12.8 A member, in the conduct of his/her archaeological work, shall not offer or accept inducements which could reasonably be construed as bribes.**

**12.9 [deleted]**

**12.10 A member shall not reveal confidential information unless required by law; nor use confidential or privileged information to his/her own advantage or that of a third person.**

*Note: The member should also exercise care to prevent employees, colleagues, associates and helpers from revealing or using confidential information in these ways. Confidential information means information gained in the course of the project which the employer or client has for the time being requested be held inviolate, or the disclosure of which would be potentially embarrassing or detrimental to the employer or client. Information ceases to be confidential when the employer or client so indicates, or when such information becomes publicly known. Where specifically archaeological information is involved, it is however the responsibility of the archaeologist to inform the employer or client of any conflict with his/her own responsibilities under Principle 4 of the Code (dissemination of archaeological information) and to seek to minimise or remove any such conflict.*

**12.11 A member shall take account of the legitimate concerns of groups whose material past may be the subject of archaeological investigation.**

**12.12 A member has a duty to ensure that this Code is observed throughout the membership of the Institute, and also to encourage its adoption by others**

*Note: From time to time the Institute receives formal or informal complaints about members and allegations of breaches of its regulations. A member's duty to ensure that the Code of conduct is observed includes providing information in response to a request from the Chair or a Vice Chair, and/or giving evidence to such panels and hearings as may be established for the purposes of investigating an alleged breach of the Institute's regulations. This requirement is without prejudice to the provisions of Rule 12.10 regarding confidential information.*

**12.13** A *member* shall ensure, as far as is reasonably practical, that all work for which he/she is directly or indirectly responsible by virtue of his/her position in the organisation undertaking the work, is carried out in accordance with this Code.

**12.14** A *member* may find himself/herself in an ethical dilemma where he/she is confronted by competing loyalties, responsibilities or duties. In such circumstances an archaeologist shall act in accordance with the Principles of the *Code of conduct*.

## **13 Principle 2**

The *member* has a responsibility for the conservation of the historic environment.

### **Rules**

**13.1** A *member* shall strive to conserve archaeological sites and material as a resource for study and enjoyment now and in the future and shall encourage others to do the same. Where such conservation is not possible he/she shall seek to ensure the creation and maintenance of an adequate record through appropriate forms of research, recording and dissemination of results.

**Note:** *Dissemination in these rules is taken to include the deposition of primary records and unpublished material in an accessible public archive.*

**13.2** Where destructive investigation is undertaken the member shall ensure that it causes minimal attrition of the historic environment consistent with the stated objects of the project.

**Note:** *Particular attention should be paid to this injunction in the case of projects carried out for purposes of pure research. In all projects, whether prompted by pure research or the needs of rescue, consideration should be given to the legitimate interests of other archaeologists; for example, the upper levels of a site should be conscientiously excavated and recorded, within the exigencies of the project, even if the main focus is on the underlying levels.*

A *member* shall ensure that the objects of a research project are an adequate justification for the destruction of the archaeological evidence which it will entail.

## **14 Principle 3**

The *member* shall conduct his/her work in such a way that reliable information about the past may be acquired, and shall ensure that the results be properly recorded.

### **Rules**

**14.1** The *member* shall keep himself/herself informed about developments in his/her field or fields of specialisation.

**14.2** A *member* shall prepare adequately for any project he/she may undertake.

**14.3** A *member* shall ensure that experimental design, recording, and sampling procedures, where relevant, are adequate for the project in hand.

- 14.4** A *member* shall ensure that the record resulting from his/her work is prepared in a comprehensible, readily usable and durable form.
- 14.5** A *member* shall ensure that the record, including artefacts and specimens and experimental results, is maintained in good condition while in his/her charge and shall seek to ensure that it is eventually deposited where it is likely to receive adequate curatorial care and storage conditions and to be readily available for study and examination.
- 14.6** A *member* shall seek to determine whether a project he/she undertakes is likely detrimentally to affect research work or projects of other archaeologists. If there is such likelihood, he/she shall attempt to minimise such effects.

## **15 Principle 4**

The *member* has responsibility for making available the results of archaeological work with reasonable dispatch.

### **Rules**

- 15.1** A *member* shall communicate and cooperate with colleagues having common archaeological interests and give due respect to colleagues' interests in, and rights to information about sites, areas, collections or data where there is a shared field of concern, whether active or potentially so.
- 15.2** A *member* shall accurately and without undue delay prepare and properly disseminate an appropriate record of work done under his/her control.

**Note:** *Dissemination in these rules is taken to include the deposition of primary records and unpublished material in an accessible public archive. This rule carries with it the implication that an archaeologist should not initiate, take part in or support work which materially damages the historic environment unless reasonably prompt and appropriate analysis and reporting can be expected. Where results are felt to be substantial contributions to knowledge or to the advancement of theory, method or technique, they should be communicated as soon as reasonably possible to colleagues and others by means of letters, lectures, reports to meetings or interim publications, especially where full publication is likely to be significantly delayed.*

- 15.3** A *member* shall honour requests from colleagues or students for information on the results of research or projects if consistent with his/her prior rights to publication and with his/her other archaeological responsibilities.

**Note:** *Archaeologists receiving such information shall observe such prior rights, remembering that laws of copyright may also apply.*

- 15.4** A *member* is responsible for the analysis and publication of data derived from projects under his/her control. While the archaeologist exercises this responsibility he/she shall enjoy consequent rights of primacy. However, failure to prepare or publish the results within 10 years of completion of the fieldwork shall be construed as a waiver of such rights, unless such failure can reasonably be attributed to circumstances beyond the archaeologist's control.

**Note:** *It is accepted that the movement of archaeologists from one employment to another raises problems of responsibility for the publication of projects. This ultimate responsibility for publication of a piece of work must be determined either by the contract of employment through which the work was undertaken, or by agreement with the original promoter of the work. It is the responsibility of the archaeologist, either as employer or employee, to establish a satisfactory agreement on this issue at the outset of work.*

**15.5** A *member*, in the event of his/her failure to prepare or publish the results within 10 years of completion of the fieldwork and in the absence of countervailing circumstances, or in the event of his/her determining not to publish the results, shall if requested make data concerning the project available to other archaeologists for analysis and *publication*.

**15.6** A *member* shall accept the responsibility of informing the public of the purpose and results of his/her work and shall accede to reasonable requests for information for dispersal to the general public.

**Note:** *The member should be prepared to allow access to sites at suitable times and under controlled conditions, within limitations laid down by the funding agency or by the owners or the tenants of the site, or by considerations of safety or the well-being of the site.*

**15.7A** *member* shall respect contractual obligations in reporting but shall not enter into a contract which prohibits the archaeologist from including his/her own interpretations or conclusions in the resulting record, or from a continuing right to use the data after completion of the project.

**Note:** *Adherence to this rule may on occasion appear to clash with the requirements of rule 12.10. A client employer may legitimately seek to impose whatever conditions of confidentiality he/she wishes. A member should not accept conditions which require the permanent suppression of archaeological discoveries or interpretations.*

## **16 Principle 5**

The *member* shall recognise the aspirations of employees, colleagues and helpers with regard to all matters relating to employment, including career development, health and safety, terms and conditions of employment and equality of opportunity.

### **Rules**

**16.1** A *member* shall give due regard to the requirements of employment legislation relating to employees, colleagues or helpers.

**16.2** A *member* shall give due regard to the requirements of health and safety legislation relating to employees or to other persons potentially affected by his or her archaeological activities.

**16.3** A *member* shall give due regard to the requirements of legislation relating to employment discrimination on grounds of race, sex, disability, age, sexual orientation or religious belief.

- 16.4** A *member* shall ensure that adequate insurance cover is maintained for persons or property which may be affected by his or her archaeological activities.
- 16.5** A *member* shall give due regard to the welfare of employees, colleagues and helpers in relation to terms and conditions of service. He or she shall give reasonable consideration to any CIfA recommended pay minima and conditions of employment.
- 16.6** A *member* shall give reasonable consideration to cumulative service and proven experience of employees, colleagues or helpers when deciding rates of remuneration and other employment benefits, such as leave.
- 16.7** A *member* shall have due regard to the rights of individuals who wish to join or belong to a trade union, professional or trade association.
- 16.8** A *member* shall give due regard and appropriate support to the training and development of employees, colleagues or helpers to enable them to execute their duties.

## **The Institute of Historic Building Conservation**

The object of this *Code* is to promote those standards of conduct and self-discipline required of a member of the Institute of Historic Building Conservation in the interests of the public and the protection of the built heritage.

The main object of the Institute of Historic Building Conservation is the promotion, for the benefit of the public, of the conservation of, and education and training in, the conservation and preservation of buildings, structures, areas, gardens and landscapes which are of architectural and historical interest and/or value in the United Kingdom. This built heritage of the United Kingdom, which is part of society's common heritage and which should be available to everyone, is, however, a limited and irreplaceable resource. It is therefore the duty of all members of the Institute of Historic Building Conservation to act for and to promote the protection of this built heritage.

Subscription to this *Code of conduct* for individuals involved in the conservation and preservation of the built heritage assumes acceptance of these responsibilities. Those who subscribe to it and carry out its provisions will thereby be identified as persons professing specific standards of competence, responsibility and ethical behaviour in the pursuit of historic building conservation work.

This *Code* therefore indicates the general standard of conduct to which members of the Institute are expected to adhere, failing which its governing body may judge them guilty of conduct unbecoming to a member of the Institute and may reprimand, suspend or expel them. It is established under the terms of Article 7.3 of the Articles of Association of the Institute of Historic Building Conservation and all members and affiliates shall subscribe to it. To this end the Council has agreed the following clauses giving more detail of the requirements of the *Code*, which requirements of which shall apply notwithstanding any permission or agreement to the contrary by or with any body or client employing or consulting any member.

1. Those engaged in the conservation of historic buildings, areas and landscapes will adhere to the highest standards of ethical and responsible behaviour in the conduct of the conservation of such buildings and sites.
2. Members shall conduct themselves in a manner which will not bring the conservation of the built heritage or the Institute into disrepute.
3. Members shall not discriminate on the grounds of race, sex, creed, religion, disability or age in their professional activities and shall seek to eliminate such discrimination by others and to promote equality of opportunity.
4. Members shall present historic buildings, areas and landscapes and the conservation and preservation thereof, in a responsible manner and shall avoid and discourage exaggerated, misleading or unwarranted statements about conservation matters.
5. Members shall not offer advice, make a public statement or give legal testimony involving the conservation of the built heritage, without being as thoroughly informed on the matters concerned as might reasonably be expected.
6. Members shall take all reasonable steps to maintain their professional competence throughout their working lives and shall comply with the Institute's continuing professional development regulations; as employers and managers, members shall take all reasonable steps to encourage and support other members in maintenance of professional competence and in compliance with the Institute's continuing professional development regulations.



7. Members shall not undertake work for which they are not adequately and appropriately qualified and experienced. They should ensure that adequate support, whether of advice, personnel or facilities, has been arranged.
8. Members shall not appropriate credit for work done by others, and shall not commit plagiarism in oral or written communication, and shall not enter into conduct that might unjustifiably injure the reputation of another individual engaged in the conservation of the built environment.
9. Members shall not make or subscribe to any statements or reports which are contrary to their own bona fide professional opinions and shall not knowingly enter into any contract or agreement which requires them so to do.
10. Members shall know and comply with all laws applicable to their conservation activities whether as employer or employee.
11. Members shall abstain from, and shall not sanction in others, conduct involving dishonesty, fraud, deceit or misrepresentation in historic building conservation matters, nor knowingly permit the use of their name in support of activities involving such conduct.
12. Members, in the conduct of their historic buildings conservation work, shall not offer or accept inducements which could reasonably be construed as bribes.
13. Members shall respect the interests of employees, colleagues and helpers. They shall give due regard to the welfare of employees in terms of pay, conditions, security of employment, health and safety and career development.
14. Members shall not reveal confidential information unless required by law; nor use confidential or privileged information to their own advantage or that of a third party.
15. Members shall take account of the legitimate concerns of those others involved in the conservation and preservation of the built heritage.
16. Members have a duty to ensure that this Code is observed throughout the membership of the Institute, and also to encourage its adoption by others.
17. Those involved in the conservation of the built environment have a responsibility for its conservation, preservation and enhancement.
18. Members shall strive to conserve and preserve historic buildings as an artistic, archaeological, academic, educational and economic resource and as a source of enjoyment now and in the future. Where such conservation is not possible they shall seek to ensure the creation and maintenance of an adequate record through appropriate means of research, recording and dissemination of results.
19. Members shall seek to encourage owners and managers of historic buildings and sites to respect and enjoy their buildings and sites and consider repairs, alterations and extensions in a sensitive and caring manner.
20. Members may, as part of their duties, legitimately work with salvaged building materials as long as the primary objective of the work is the conservation and preservation of the historic building or site and as long as they do not knowingly permit their names or services to be used in a manner which may promote the recovery and re-use of such salvaged material in deference to commercial interests.
21. Members shall report to the Institute any alleged breach of this *Code* of which they become aware and thereafter assist the Institute in its investigations, subject to any restrictions imposed by law or the courts.
22. Members who are the subject of complaint shall assist the Institute in its investigations to their utmost.
23. Council shall discipline any member who, in the opinion of Council, is personally responsible for a contravention of this *Code of conduct*; or who is, in the opinion of Council, personally guilty of gross professional misconduct or incompetence or of such conduct as to render him or her unfit to continue as a member of the Institute.