



Regulations for the registration of organisations

Additional guidance

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Please get in touch if you have any questions.

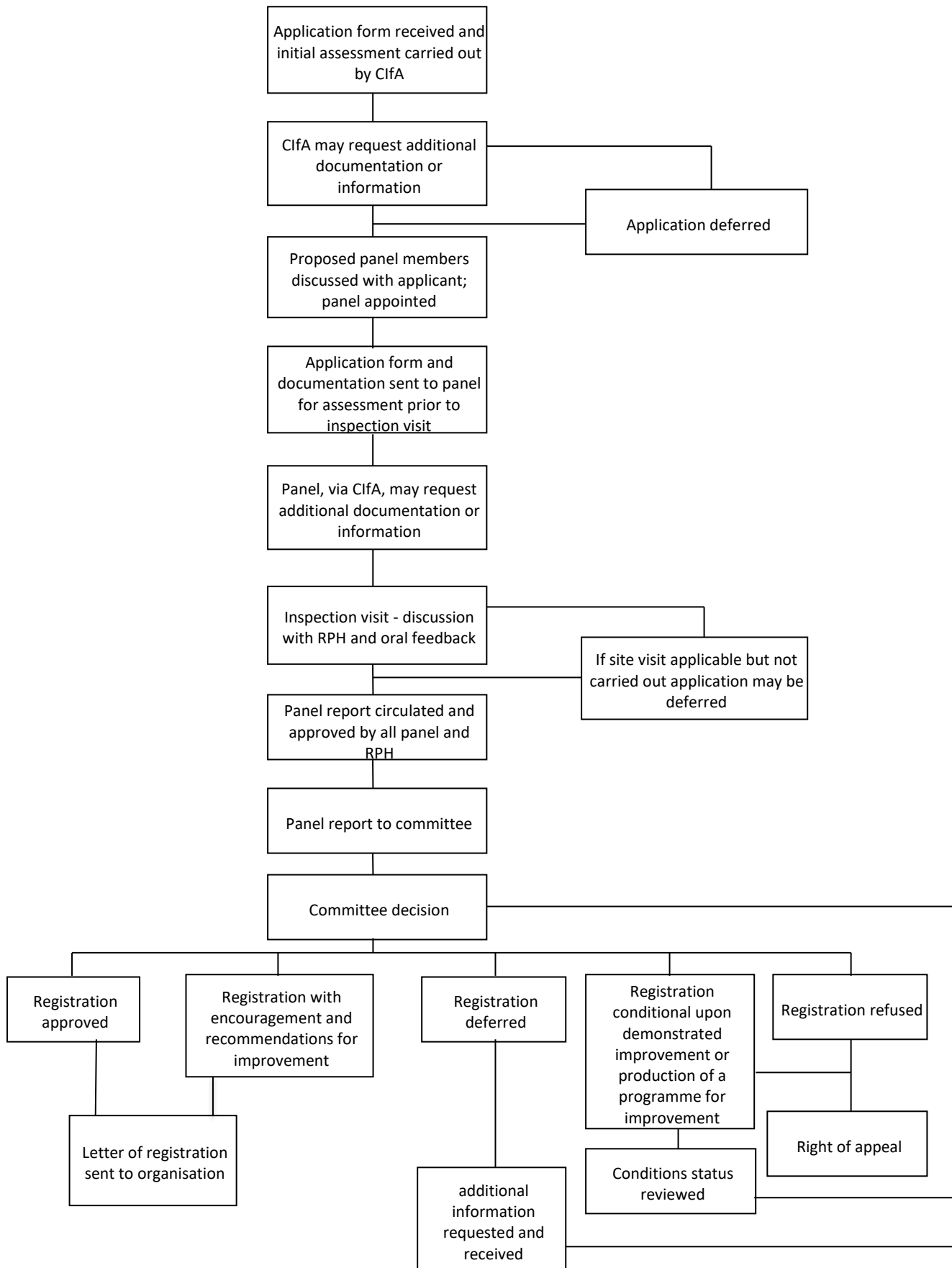
Kerry.wiggins@archaeologists.net / ellen.mcnamara@archaeologists.net

This document provides additional guidance on the Regulations for the registration of organisations, for those applying for registration and those involved in inspection panels. It is essential that any organisation applying for registration has read the Regulations for the registration of organisations available on the Cifa website at <http://www.archaeologists.net/codes/cifa>.

Please note Regulations for the registration of organisations 10.6 - All documents reviewed and information discussed at the inspections and committee meetings shall be treated as strictly confidential

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SECTION 1: THE APPLICATION PROCESS FLOW CHART



SECTION 2: GUIDANCE ON COMPLETING THE APPLICATION FORM

All questions relevant to the organisation should be completed.

For questions referring to employment matters or staffing, you should include information on all employees, not just 'core' or 'long-term contract' staff.

If the organisation is a sole trader (self-employed) please answer the relevant questions as they apply to yourself, as an 'employee' of your company.

All organisations, regardless of size or role, must comply with the *Code of conduct* ClfA regulations, *Standards and guidance*, and policies in all historic environment activities. The application form demonstrates your organisation's adherence to these requirements.

Both the application form and these guidance notes are updated regularly so please check the website for the latest versions if you do not apply immediately.

For new applications to the Registration scheme an application fee is due with the application form, see website for current fees and subscriptions.

To register, organisations must formally commit to ClfA's Code of Conduct and regulations (Regulations for the Registration of Organisations 2.3). If an organisation can show that its parent organisation is committed to passing the required resolution but needs more time, provisional registration may be granted for a limited period.

The resolution must be formally adopted by the organisation's governing body, such as:

- The board of directors (for a company)
- Partners (for a partnership)
- A committee or directorate-level officer (for a local authority or similar)
- Trustees (for a trust)
- Another relevant governing body

(Regulations for the Registration of Organisations 2.4). The required resolution must be worded as follows:

All [archaeological/historic environment] work of [the organisation] shall be carried out in accordance with the Code of conduct, the Charter, by-law and regulations of the Chartered Institute for Archaeologists

A signed copy of the resolution or an appropriate signed minute must be submitted with the initial application. However, it is not required for renewal applications unless the original resolution is no longer valid due to a change of circumstances.

Organisations registered in the scheme must apply for the next registration period in the year before their current registration expires. This allows time for processing, inspection visits, and review by the Registration Committee (Organisations).

The resolution signed by the Board of Directors or equivalent on initial Registration must be reviewed to ensure that it is up to date. If necessary, a new resolution should be submitted with the application.

The application form must be completed by all organisations involved in historic environment work, including investigation, advisory, or procurement activities. This includes the study of buried, upstanding, or submerged heritage assets through research, desk-based assessment (including DBAs and Heritage Statements in consultancy), geophysics, fieldwork, and various assessments. It also applies to post-fieldwork activities such as post-excavation assessments, publications (including grey literature), and archive deposition.

The Stewardship Section is to be completed by all organisations that provide archaeological advice to national or local government bodies responsible for implementing planning and heritage consent processes.

The Responsible Post-holder (RPH) of the organisation must be identified (see Regulations for the Registration of Organisations 2.1 - 2.3). Supporting documents, such as an organisational structure chart or relevant reports, should be included to confirm the identified RPH(s).

Your application should include any relevant supporting documents that show your work. You do not need to provide everything on the list if your organisation does not have certain documents. However, you must show that you plan training or record CPD, have a strategy for managing and depositing any archive backlog, and have documented your approach to key areas of your work in line with the Standards and guidance, Code of Conduct, and ClfA policies.

Questions relate to the historic environment activities and practices provided by the organisation and its commitment to professional ethics.

Please note that the recording of Continuing Professional Development (CPD) is compulsory for all accredited members (MCIfAs, ACIfAs, PCIfAs).

It is a condition of Registration that the organisation has professional indemnity insurance (Regulations for the Registration of Organisations 4.4).

The declaration page serves as a formal acknowledgment by the proposed RPHs, confirming the organisation's wish to be registered with ClfA.

Once received, the application will undergo an initial assessment to determine its readiness for inspection. The organisation may be asked to provide additional information before the inspection panel review and visit.

SECTION 3: GUIDANCE ON REGISTRATION PROCESS AND INSPECTIONS FOR APPLICANTS

Through the application process, organisations demonstrate their compliance with ClfA regulations, standards, guidance, and policy statements, meeting the expectations of their peers. Relevant documents are available at www.archaeologists.net/codes/cifa.

Upon receipt, ClfA reviews each registration application to ensure it is complete and includes all necessary documentation. The applicant will receive confirmation, either requesting additional information or discussing the inspection visit.

As part of the registration process, a panel of peers (inspection panel) will typically visit the organisation to assess its suitability, provide guidance, and gather information for the Registration Committee (Organisations). All applicants must undergo an inspection (in-person or online) before a decision is made, though the committee may choose to proceed without an inspection if necessary.

To organise an inspection ClfA will contact the applicant to discuss possible panel members, available sites/projects to visit, and suitable dates. The organisation will also be required to forward some examples of its publications/work to be reviewed by the panel.

Confidentiality will be maintained at all times by all concerned.

ClfA staff will provide the RPH with documents or links to help prepare for the inspection. These will include

- confirmation letter and details of the organisation and inspection visit (including date and location, names and contact details of the other panel members, practical details for the day)
- a ClfA expenses claim form
- the Regulations for the registration of organisations

Since not all aspects can be assessed, priorities should be set beforehand. The applicant organisation should co-operate in planning the inspection visit in advance to ensure it runs smoothly and focuses on key areas.

The inspection visit will normally be confirmed before the start of the inspection year in May. The application form and supporting documents must be submitted at least six weeks before the inspection date to allow sufficient time for distribution and review by the panel. The inspection panel will meet prior to the inspection visit to discuss the application information and report reviews.

The main elements of an inspection visit will normally include discussion with the RPH and others they would like to have present:

- a quick tour of the organisation premises and brief introduction to members of staff
- inspection of a completed project - the panel should review a project from beginning to end to review its quality management system with a senior member of the project team. This may include inspection of relevant documents which should be provided in advance
- informal discussions with staff (in office and at other workplaces online via a video link)
- a private meeting of the panel to agree its provisional findings
- a concluding meeting with the RPH to discuss its findings and for the RPH to have an opportunity to comment on these and give the panel feedback on the inspection, the scheme and ClfA

The requirements of the panel include

- a meeting room to have discussions in private (if the meeting is held in person)
- presence of the RPH
- presence of a range of staff from across the organisation and a private room to interview staff either in person or via a video link

and may also include

- the opportunity to obtain lunch as the lunch break is kept short in order to ensure minimum disruption and maximise time
- further examples of work
- policies and procedures
- PPE if an in-person site visit is planned

A site visit will be required as part of the inspection for all organisations undertaking investigation and recording of the built, buried or submerged historic environment. This can be completed on the day by a panel member, or at any time during the inspection year either by a panel member or by arrangement with a local authority archaeologist or other suitable CfA member.

CfA staff members or representatives will ensure that a report is completed and circulated to all parties for approval as a factual record of the day.

The inspection panel will report to the Registration Committee (Organisations) who will make a decision on the application for registration and the RPH will be notified of the decision.

SECTION 4: GUIDANCE ON REGISTRATION AND INSPECTIONS FOR PANEL MEMBERS

Panel members should read and have an understanding of these Guidance notes and take particular note of guidance on registration process and inspections for applicants.

When ClfA receives a registration application, they check it has everything required for assessment.

To arrange an inspection panel, ClfA will contact the applicant to discuss panel members, potential workplaces/projects to visit, and suitable dates.-The applicant organisation should co-operate in planning the inspection visit in advance to ensure it runs smoothly and focuses on key areas. Since not all aspects can be assessed, priorities should be set beforehand.

A panel inspection planning meeting will be held to discuss the initial assessment. Panel members should review the application form beforehand (using supporting documents as needed) to prepare discussion points and questions for the inspection visit.

ClfA requests application information is submitted at least six weeks before the inspection so the panel has time to review. These will include:

- the completed application form and any additional supporting documents from the organisation (for reference)
- examples of work
- information on previous registration recommendations and inspections, where appropriate
- any other information submitted or requested prior to the inspection

ClfA staff will also provide the inspection panel with documents or links to help the panel prepare for the inspection. These will include

- a benchmarking form (this is completed and circulated after the inspection planning meeting. If a benchmark has been triggered, notes will be added, including any positive comments about the organisation)
- confirmation letter and details of the organisation and inspection visit (including date and location, names and contact details of the other panel members, practical details for the day)
- a site visit report form (if applicable)
- a ClfA expenses claim form (train or plane tickets should be booked in advance for the best deals)
- the Regulations for the registration of organisations

The main elements of an inspection visit will normally include

- discussion with the RPH, and others they would like to have present
- a quick tour of the organisation premises and brief introduction to members of staff
- inspection of a completed project - the panel should review a project from beginning to end to review its quality management system with a senior member of the project team. This may include inspection of relevant documents which should be provided in advance
- informal discussions with staff
- a private meeting of the panel to agree its provisional findings
- a concluding meeting with the RPH to discuss its findings and for the RPH to have an opportunity to comment on these and provide feedback

A site visit will be required as part of the inspection for all organisations undertaking investigation and recording of the built, buried or submerged historic environment. This can be completed on the day by a panel member, or at any time during the inspection year either by a panel member or by arrangement with a local authority archaeologist or other suitable ClfA member.

CifA staff will facilitate the inspection process by

- Identifying the panel chair, typically a staff member or consultant, though sometimes a panel member.
- providing a summary of queries and topics to discuss with the organisation based on the benchmarked application form, previous recommended improvements, and the inspection planning meeting
- confirming with the panel and organisation which documents the panel will want to review during the inspection
- Coordinating with the panel and organisation to create a timetable for the inspection
- drafting findings, recommendations and conditions
- assisting with reporting to the proposed RPH

The panel may recommend improvements or set conditions for the Committee, following the Regulations for the Registration of Organisations (8.2). These recommendations should relate to concerns noted in the inspection report and aim to enhance the organisation's quality or reliability. The applicant decides how to meet CifA regulations, and the panel should highlight any relevant CifA guidance and support.

- If a recommendation could improve the organisation's work, the panel may suggest it for consideration.
- If an improvement would be beneficial but not critical to compliance, the panel may recommend it for implementation within a timeframe set by the Registration Committee (Organisations).
- If failing to improve could lead to work that breaches *the Code of Conduct or Standards and Guidance*, the panel may advise making registration conditional on demonstrated improvement.

If the panel believes the organisation is already in breach, they should report this to the RPH and record it in the inspection form.

After the inspection, panel members will dispose of all papers related to the visit as confidential waste and securely delete any electronically held documents.

The CifA staff representative will complete the report and share it with all parties for approval as an accurate record of the day. The inspection report is treated as confidential. RPHs and all panel members will be able to comment on the draft before it goes to the Registration Committee (Organisations). The RCO will then review the report and make the final decision on registration.

The annual published summary will list the organisations monitored and may include general observations, but it will not share information or findings about specific organisations.