

Notes and Guidance

This document provides curatorial advisors, archaeological practitioners and other interested parties with additional information and guidance on the standards and expectations for archaeological written schemes of investigation (WSI) and project designs (PD) that are submitted for approval by the *Archaeological Planning Service of the Glamorgan-Gwent Archaeological Trust*.

These notes and guidance should be read in conjunction with the *Archaeological WSI/Project Design Monitoring Form*. Questions with an asterisk represent those that should normally be answered Yes or Not/Applicable, if the report is to be considered acceptable. However, it should be noted that not all of the questions below are applicable to all types of archaeological work.

1. *Does the document clearly specify the aims, objectives and scope of the proposed programme of archaeological work?

The document should include, preferably near the beginning, a clear statement of why the proposed work will be conducted, what it aims to achieve, and how it will be carried out.

2. *Is the proposed programme of archaeological work appropriate and sufficient for achieving its stated aims and objectives?

Is the proposed work 'fit for purpose'? For example, if the project aims to evaluate the archaeological potential of an area, does it propose to excavate enough appropriately located trenches of sufficient size in order to satisfactorily achieve this? If the project aims to conduct a watching brief in order to identify and record archaeological discoveries, will there be a sufficient number of staff, and will they have adequate access, to enable them to satisfactorily monitor the development?

3. *Does the document meet the ClfA's accepted professional standards?

Although the ClfA does not have a written standard for either written schemes of investigation or project designs, the written standards contain guidelines for the structure and content of specifications and project designs for different types of archaeological work. Documents will be assessed in terms of whether the programme that they propose will meet the relevant *ClfA* standard for that type of archaeological work. These standards currently include:

▪ **Desk-Based Assessments (2017)**

Desk-based assessment will determine, as far as is reasonably possible from existing records, the nature, extent and significance of the historic environment within a specified area. Desk-based assessment will be undertaken using appropriate methods and practices which satisfy the stated aims of the project, and which comply with the Code of conduct, Code of approved practice for the regulation of contractual arrangements in field archaeology, and other relevant by-laws of the ClfA. In a development context desk-based assessment will establish the impact of the proposed development on the significance of the

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Registered Office: As above
Registered in Wales
No.1276976

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No.505609



historic environment (or will identify the need for further evaluation to do so), and will enable reasoned proposals and decisions to be made whether to mitigate, offset or accept without further intervention that impact.

- **Archaeological Field Evaluation (2014)**

An archaeological field evaluation will determine, as far as is reasonably possible, the nature of the archaeological resource within a specified area using appropriate methods and practises. These will satisfy the stated aims on the project, and comply with the Code of Conduct, Code of approved practise for the regulation of contractual arrangements in archaeology, and other relevant by-laws of the ClfA.

- **Geophysical Survey (2016)**

An archaeological geophysical survey will determine, as far as is reasonably possible, the nature of the detectable archaeological resource within a specified area using appropriate methods and practices. These will satisfy the stated aims of the project, and comply with the Code of conduct, and other relevant regulations of ClfA.

- **Archaeological investigation and Recording of Standing Buildings or Structures (2014)**

A programme of archaeological building investigation and recording will determine, as far as is reasonably possible, the nature of the archaeological resource associated with a specified building, structure or complex. It will draw on existing records (both archaeological and historical sources) and fieldwork. It will be undertaken using appropriate methods and practices which satisfy the stated aims of the project, and which comply with the Code of conduct, Code of approved practice for the regulation of contractual arrangements in archaeology, and other relevant regulations and by-laws of the ClfA. The programme will result in the production of drawings, an ordered accessible archive and a report.

- **Archaeological Watching Brief (2014)**

An archaeological watching brief will record the archaeological resource during development within a specified area using appropriate methods and practices. These will satisfy the stated aims of the project, and comply with the Code of conduct, and other relevant regulations of ClfA.

- **Archaeological Excavation (2014)**

An archaeological excavation will examine and record the archaeological resource within a specified area using appropriate methods and practices. These will satisfy the stated aims of the project, and comply with the Code of conduct and other relevant regulations of ClfA. It will result in one or more published accounts and an ordered, accessible archive.

4. ***Does the document have an understandable structure?**

The document should be logically structured and contain an accurate table of contents and a list of tables and figures that include page numbers. The Welsh Government suite of legislation, policy and supporting advice relating to the historic environment, should be included as the basis on which the

process is founded. The structure would commonly be ordered in a similar manner to:

- Title page
- Table of contents
- List of tables, figures and plates
- Summary
- Introduction
 - Legislative context
 - Site description
- Background
- Aims and objectives
- Methodology
- Reporting and archiving
- Staff/Specialists and timetable
- Health and safety
- Insurance
- Monitoring
- Quality Assurance
- Arbitration
- Bibliography

Figures may be in-text or at the end of the report, but should preferably include, where relevant:

- Location map
- Survey/excavation locations

5. *Does the document provide an adequate site description?

The site description should accurately describe the location and character of the study area and its surroundings. This should include a brief summary of the topography, environment and current land-use, along with the study area's dimensions, geographical coordinates and elevation.

6. *Does the document contain an accurate NGR or other grid reference?

The document must contain an accurate grid reference so that the study area can be easily located by other interested parties. It should preferably appear on the title page, within the introduction or on a location map. It can be in the form of an NGR or easting and northing. It should be accurate to a minimum of six figures and reference the centre of the study area or other specified datum.

The document should preferably contain at least one map that clearly shows the location of the study area in a regional and local context. The map should include a north arrow and scale.

NOTE:

- Maps obtained from third-parties, including the *Ordnance Survey*, must be accompanied by a licence number.
- The terms and conditions of most online mapping services, such as *Google* and *Bing*, do not allow their maps to be used for commercial purposes without a licence.
- Some Open Data services, such as *OpenStreetMap*, do allow commercial use, but must be credited accordingly.

7. *Does the document provide sufficient background information about the relevant legislative framework within which it will be conducted?

The document should explain whether the proposed works will be undertaken as part of the planning process or within some other context. If the proposed programme is part of pre-determination work for an existing application, the relevant local authority planning application number should be clearly stated. If the work is required under a planning condition, the local authority planning application number should be clearly stated along with the relevant condition.

8. *Has sufficient research been undertaken on the archaeological background and potential of the site?

The document should contain a written summary of the archaeological and historical background of the study area. Although extensive background research is not expected, the document should demonstrate that the programme has been designed with a sufficient level of understanding of the current archaeological and historical knowledge of the area. This should include a brief description of any previous archaeological work conducted within the study area and its nearby vicinity.

***Has an *HER Enquiry* been undertaken to inform question 8 above?**

The report should include the *HER Enquiry* reference number. This is a four-figure number that appears at the top of the cover letter accompanying the *HER* search results.

NOTE:

The *Archwilio* licence agreement does not authorise its use for commercial projects: https://www.archwilio.org.uk/arch/archwilio_pages/english/policies.html

Similarly, the use of *Coflein* is not permitted for commercial projects: <https://coflein.gov.uk/en/about>

9. *Does the document contain a clear statement of the methodology to be followed?

The document should clearly explain, and provide adequate justification of, the proposed methods to be used during the programme of work. This should not be an exhaustive, detailed account of common archaeological methods, but rather a concise description of the methods that will be used for achieving the stated aims and objectives of the project for the specific study area.

10. Does the document contain appropriate reference to the HER Submission/Deposition Guidelines (2018) including Welsh Language Requirements?

This document can be read at <http://www.ggat.org.uk/her/her.html> at the base of the page. It should be referenced and adhered to in the agreed methodology for all stages of work. Bilingual aspects, addition of data, and other elements need to be understood. If the report does not contain this, it will not meet the standard for deposition in the HER.

11. *Does the document describe how the potential effects of the development upon the archaeological resource will be assessed?

The document should state the principles, standards and methods by which the potential impact of the development on the archaeological resource will be measured. These should be either described or reference accepted standards for:

- How the value of the archaeological resource within the study area will be measured
- It is recommended that the value categories adopted by the Welsh Trusts be used for assessing value:

Category A Sites and Monuments of National Importance

Includes Scheduled Monuments (SMs), Grade I and II* (and some Grade II) Listed Buildings and sites of similar quality, including those that are principally buried remains. These sites are those of national and international significance that are a highly valued part of our cultural heritage. All such sites and their settings carry a strong presumption in favour of preservation *in situ*.

Category B Sites and Monuments of Regional Importance

All Grade II Listed Building that are not of Category A importance, and sites of a similar quality. These sites are of moderate value, possessing regional importance but not considered to meet either the criteria for Scheduling or for Listing at one of the higher grades. Such sites and their settings carry a presumption in favour of preservation *in situ*, although a comprehensive programme of archaeological investigation may be an acceptable alternative in some cases.

Category C Sites / Features of Local Importance

These are considered to be examples of relatively common types of archaeological sites, features and historic structures, including those that contribute towards the historic character of a local area. However, they lack sufficient distinctiveness or information potential to be classified as being of regional importance. As a result, while their preservation *in situ* may be preferred, their preservation by record as part of a programme of archaeological investigation will often be acceptable.

Category D Minor and Damaged Sites / Features

These are sites, features and historic structures that are of minor value due to their lack of distinctiveness or possession of a low level of information potential. This may, perhaps, be as a result of their nature, relative ubiquity or state of preservation. Preservation by record as part of a programme of archaeological

investigation will commonly represent sufficient mitigation for this category of assets.

Category U Sites / Features Needing Further Investigation

These are sites, features or buildings whose character, importance or location is currently undetermined. These include verified and unverified buried archaeological sites, those identified from archival evidence, place-name evidence or retrospective map analysis, and the locations of find spots. Further work will be required before they can be allocated to Categories A–D.

- How the impact of the development on the archaeological resource will be evaluated.

12. *Does the document contain a plan showing the position of the proposed trenches/areas to be investigated?

The document should include drawn plans showing the accurate location(s) of any areas to be surveyed or excavated, including the size and position of any evaluation trenches. All such areas should be labelled with their appropriate numbers. Each plan should include a north arrow and scale.

13. *Do all maps and plans in the document include a scale?

It is essential that all drawn maps and plans included in the document have a scale in order to ensure that there is agreement on the location and extent of the proposed programme of work.

14. *Does the document specify sufficient contingency arrangements for the full investigation of any significant archaeological materials that are encountered during the project?

Particularly for projects that include any form of excavation or monitoring of ground disturbance, the document should make a clear statement of the arrangements that have been made in the event that significant archaeological discoveries, including human remains, are made during the project. This should address questions of liability, specify the procedures that will be followed upon initial discovery, and outline how the archaeological materials will be properly investigated or preserved.

15. *Does the document specify an appropriate standard of recording, documentation and reporting for the proposed works?

The document should specify the archaeological recording system to be used, preferably in reference to established standards and methods. It should include written, graphic and photographic records, and give details such as the scale at which any plans, sections or elevations will be drawn, the type of survey equipment to be used, and the resolution and file format of any digital photography. It should also provide an overview of the recording system that will be used for different classes of finds, and any sampling strategy for the project. In addition, the document should provide an outline of the report and its structure.

16. ***Does the document specify the personnel requirements for the proposed programme of work?**

The document should provide an estimate of the personnel requirements for the proposed work, and should preferably give details of named members of staff for key positions, along with a statement of their competence. All archaeological staff should be professionally qualified to a level that meets or exceeds the *ClfA* standard for their position.

17. ***Does the document detail the specialists who will be engaged to analyse different types of finds?**

The document should specify which specialists will be employed or consulted with for each class or type of find. This should preferably be a named individual but may also be an institution. All specialists should be able to demonstrate a sufficient level of expertise and competence appropriate for their role in the proposed project.

18. ***Have details of the project archive and the location for its deposition been specified?**

It is essential that the document contains a detailed statement of where the project archive will be deposited. The project archive is commonly deposited with either:

- The local museum
- The regional museum
- The *National Museum of Wales*

Copies of the written archive are expected to be deposited with:

- The *HER*
- The *NMR*
- The local record office

NOTE: *The National Standard and Guidance to Best Practice for Collecting and Depositing Archaeological Archives in Wales* should be both referenced and adhered to <http://www.welshmuseumsfederation.org/en/news-archive/resources-landing/Collections/national-standard-and-guidance-for-collecting-and-depositing-archaeological-archives-in-wales-2017.html>

NOTE: the written archive includes the report and any associated data files and media. It should not be confused with the project archive, which includes any retained finds and samples. For more information, please see the current *ClfA Standard and Guidance for the creation, compilation, transfer and deposition of archaeological archives*.

19. ***Does the document specify where and with whom any retained finds will be deposited?**

Any retained finds should be cleaned and catalogued in line with the current *ClfA's Standard and Guidance for the collection, documentation, conservation and research of archaeological material*. The document should include a clear statement of where any retained finds will be deposited and

with whom. This information is essential for enabling future research on this material.

20. Does the document provide an outline of the proposed timetable for the proposed programme of work?

The document should outline a proposed timetable that includes, where possible, an estimate of the start date, end date, and duration of the proposed work.

21. *Does the document specify quality assurance measures?

The document should specify what quality assurance measures will be implemented for all stages of the proposed work, preferably in reference to professionally accepted standards. This should include management and oversight of any fieldwork, post-excavation work and recording, as well as measures for reviewing written reports prior to their submission to the curators or local planning authority.

22. Does the document specify appropriate insurance arrangements?

The document should contain a statement of the insurance arrangements that will be in place with respect to Public Liability cover, and in the interests of the contractor, Professional Indemnity cover.

23. Does the document contain an appropriate health and safety statement and risk assessment?

The document should contain a statement explaining the health and safety measures that will be implemented, including any risk assessments that will be carried out as part of the proposed work.

24. Does the document specify an arbitration policy?

The document should specify how any contractual disputes or differences in respect to the proposed work will be dealt with, such as through referral to the *CIfA*'s arbitration scheme.

25. *Is the document acceptable?

Does the document provide a clear and coherent proposal for a programme of archaeological work that will reach or exceed the *CIfA*'s professional standards for archaeological work?