

Standards for all Archaeological Work in County Durham and Darlington

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Introduction

Durham County Council Archaeology Section (DCCAS) will endeavour to keep this document up to date. To that end this document will be reviewed annually for updated guidance, and on a more irregular basis for the core standards – to reflect changes in practice, new techniques, or changes in policy and/or legislation.

If any users notice that this document is referring to guidance which has been superseded, we would be obliged if you would inform us accordingly.

A general tenet of work in the DCCAS area is that if a point mentioned in this document is not specifically changed in a project Specification, Written Scheme of Investigation, or other relevant documentation, then the standard in this document will apply by default.

General Standards prior to commencement of fieldwork

It is expected that all archaeological works will be carried out according to archaeological best practice based on the sources below:

A) Yorkshire, the Humber and the North-East: A Regional Statement of Good Practice for Archaeology in the Development Process (SYAS 2011) (see Appendix 1)

B) Standards and Guidance for archaeological work produced by the Chartered Institute for Archaeologists <http://www.archaeologists.net/codes/cifa>

C) Management of Research Projects in the Historic Environment (MoRPHE) <https://historicengland.org.uk/advice/technical-advice/project-management-for-heritage/>

D) All relevant Historic England (HE) Guidance <https://historicengland.org.uk/advice/find/a-z-publications/>

E) Other relevant standards and guidance documents (see Appendix 2 for an indicative list of relevant standards)

2.2 Contractors should plan for work based on the following assumptions:

Desk Based Assessment (DBA) – this will rarely be asked for by DCCAS, so you should check with us before producing one if a client asks for one. See also our Guidance for Desk Based Assessments at www.durham.gov.uk/archaeology

As of April 2022, only a digital copy of the report in pdf/a format must be submitted to the HER, and the provisions for OASIS (See Section 8) will apply.

Geophysics – this should cover 100% of a Greenfield site or as near as practicable to this, but exclude known areas of landfill, areas with problematic geology, and areas of known disturbance or previous development. The Geophysics report should be a hybrid document which includes desk-based research (see our Guidance for Desk Based Assessments). This should be used to help interpret the survey results, and this MUST include a full HER search. As of April 2022, only a digital copy of the report in pdf/a format must be submitted to the HER, and the provisions for OASIS (See Section 8) will apply. Work should be carried out in accordance with the EAC guidelines (EAC 2016), including digital archiving of data.

Geophysical Survey will always need to be tested and confirmed by trial trench evaluation.

Evaluation by sample trenching. Following geophysical survey, the proportion of a site to be sampled will be a minimum of 4%, with an assumed 1% contingency to expand trenches. If no prior geophysical survey is possible, then the sampling of an even higher percentage will be required, and you are advised to liaise with DCCAS to determine this. This sample percentage should be used when tendering for work. As of April 2022, only a digital copy of the report in pdf/a format must be submitted to the HER, and the provisions for OASIS (See Section 8) will apply.

2.3 Final on-site methodology must be confirmed with the DCCAS prior to work commencing, via a Written Scheme of Investigation (WSI) (See section 3)

2.4 The client must give the archaeological contractor advance notice of scheme timetables and adequate notice of when their presence will be required on site. The anticipated extent of the work must be confirmed with the client in advance of tendering.

2.5 The line of communication on-site between the client and/or their representative and the archaeological contractor must be clearly stated in advance. This is especially important with regards to who must be advised of any necessary stoppage time if the scheme requires it (for example during a 'watching brief').

2.6 It must be clearly agreed before the site works begin that the archaeological contractor has access to all appropriate areas on site. If upon arrival on site it is found that areas expected to be accessible are not available for any reason, DCCAS should be informed as soon as possible.

2.7 It is the archaeological contractor's responsibility to ensure they comply with all relevant Health and Safety legislation, guidance, and best practice. DCCAS staff are not qualified to comment on any Health and Safety aspects of a WSI. Any issues regarding this are a matter to be worked out between the Contractor, the client and, if necessary, the Health and Safety Executive.

2.8 Changing Contractors: A Developer may decide to change archaeological contractor between different phases of work eg between different techniques or phases of evaluation, or between evaluation and mitigation. They may also decide to change contractor within a phase – eg part way through an excavation. Finally, the developer may want to use a different contractor to do Post Excavation assessment than the contractor who carried out the excavation.

2.9 Changing contractor mid phase, or between Excavation and Post Excavation Assessment is not desirable, though DCCAS cannot prevent a Developer from doing this. DCCAS will endeavour to ensure that any change-over is carried out in a way that does not adversely affect the quality and consistency of archaeological work. With that in mind, the following points need to be considered.

2.10 In such an eventuality the contractor will complete all reporting on the work they have carried out in accordance with the agreed WSI, unless agreed otherwise with DCCAS.

2.11 The archive for any completed phases will be handed over to the new contractor so that it can be used to complete any relevant work eg inclusion of material from evaluation for further assessment as part of post excavation assessment, following mitigation.

2.12 If the WSI has already been agreed, then DCCAS would accept an addendum to the WSI which updates any relatively minor changes to the WSI eg use of different specialists for assessment. The new contractor must comply with the full elements of the WSI in this case, so they should check it carefully before accepting it. If only an addendum is needed, no additional charges for agreeing the WSI will be levied.

2.13 If more detailed changes of the WSI are needed, eg changes in field methodology etc, then a new WSI will be needed, and a fee for agreeing this will be levied.

2.14 Project Monitoring: DCCAS must be given two weeks (or in exceptional circumstances a minimum of 48 hours) notice in writing of the commencement of groundworks and/or archaeological fieldwork. During such works representatives of DCCAS must be allowed access to the site and excavations at all reasonable times.

The Written Scheme of Investigation

3.1 A WSI should be produced for all intrusive archaeological works. These must be agreed with DCCAS before submission in support of a planning application.

3.2 The WSI does not need to re-iterate information included in this document. The WSI should focus on identifying the challenges and opportunities presented by an individual site, and how best to address them. It should also clearly identify any proposed variations from this document, along with the justification for them. If a point mentioned in this document is not specifically discussed, the standard in this document will apply by default.

3.3 The WSI should include:
The background to the project including reasons for work

- a) Site location (including a map, detailed location plan and a central National Grid Reference), site description, as well as all relevant site names and identifier codes (e.g. Planning Application References)
- b) Site geology – and more specifically, what this means for the archaeological investigation – for example, how will it affect the reliability of geophysical survey? Will the geology effect preservation of remains, and if so how? etc.
- c) Archaeological and historical background including any previous archaeological work on the site or nearby. This should include a critical discussion about what this implies for the possible archaeology on the site to be investigated, and not merely be a list of information found out about the area. This section should attempt to synthesise the information available into a narrative which will help understand the known or potential archaeology on the site.
- d) Aims and objectives of the project including specific research questions the project hopes to address, in line with published artefactual research frameworks, period specific research frameworks and more generally the North East Regional Research Framework,
- e) Areas included or excluded from field work (e.g. areas previously disturbed etc.). DCCAS expect producers of a WSI to carry out due diligence to ensure that the proposed methodology can be carried out on a site, e.g. that proposed trench locations are practicable. This may necessitate a site visit in advance. Areas of work should also be shown on a plan of a suitable scale.
- f) The programme and methodology of site investigation and recording, appropriate to achieving the stated aims of the project (i.e. broadly speaking, evaluation of the site, or mitigation of impact) (see section 4 of this document). This should consider the appropriateness of different techniques, depending on the site and type of remains expected. For example, if flint scatters are likely to be encountered, is test pitting more appropriate than trial trenching?
- g) Details on sampling strategies for excavation of features (see 4.9), but also for scientific analysis
- h) Capability statement on the staff to be used. This should give details of the skills and experience of the on-site manager. Whoever produces the WSI, and the relevant on-site managers, should be MORPHE trained. The appropriate certificates should be

included as appendices in the WSI. If the on-site manager is not known at the time of the WSI, this needs to be confirmed in writing to DCCAS at the same time as they are notified of the proposed commencement of work

- i) Arrangements for public engagement (see section 6 of this document)
- j) Contingency arrangements for all aspects of the project
- k) Details of expected on-site Staffing. We would recommend that details of staffing are included so the client is clear how many people will be on site and that the timetable is based on this level. This should make it clearer to the client if there are additional costs on a site due to increased staffing. DCCAS do not propose any staffing levels, except to say we would consider it exceptional for a Watching Brief to use more than one staff member per machine being monitored and would expect to see additional staffing justified in the WSI.
- l) Specialists to be used for post-excavation analysis. This should include details of their suitability for the role they will undertake (see section 5 of this document)
- m) The anticipated programme for the post-excavation assessment of the site, including anticipated timescales for assessment and report production. NOTE: If it is proposed to Condition the WSI, special thought must be given to how the LPA will be updated of any changes in the timetable for this work.
- n) The provision made for archiving of all site material, both digital and physical (see section 9 of this document), including the anticipated timescale for archive deposition. Digital Archiving should be carried out in accordance with a digital management plan. For guidance, please see [https://archaeologydataservice.ac.uk/advice/PreparingDatasets.xhtml#Data%20Management%20Plans%20\(DMP\)](https://archaeologydataservice.ac.uk/advice/PreparingDatasets.xhtml#Data%20Management%20Plans%20(DMP)) , <https://historicengland.org.uk/research/methods/archaeology/archaeological-archives/adapt-toolkit/> and <https://digventures.com/projects/digital-archives/>
- o) To ensure appropriate material is archived, the ClfA Archive Selection Toolkit should be used (available via <http://cifa.heritech.net/selection-toolkit>).
- p) The provision to be made for publication and dissemination of the analysis and records of the site investigation (see section 10 of this document)

- q) Detail the provision to ensure the preservation in situ, or the preservation by record, of archaeological features identified during site works.

The author of the WSI should also be clearly identified.

3.4 Techniques and technology are continually progressing. The WSI should consider if new techniques which are useful, but not routinely used at present, could be included in the project – for example the use of drones to take overhead site photographs.

3.5 It is the archaeological contractor's responsibility to ensure that a WSI has been agreed before starting work. It should be noted that there is a fee for agreeing of a WSI, which we will charge to the archaeological contractor who prepared it (see online charging schedule).

3.6 Once a WSI is agreed, it is not set in stone and unchangeable. However, DCCAS must be contacted if, as further information on the site is revealed, the contractors consider it would be sensible to alter strategies on site. These changes should be agreed in writing.

3.7 Planning conditions relating to WSIs will not be discharged until the WSI has been agreed by DCCAS.

3.8 Tenders for the work must include a method statement, day rates and the following:

- A. Brief details of the organisation and the number of staff who are proposing to carry out the work including any relevant specialisms or experience
- B. The earliest date at which the work can begin, and the amount of notice required to initiate the work
- C. Details concerning proposed methods of recording and source material
- D. An estimate of how long the work will take broken down by time and cost in terms of data collection and report production (the anticipated extent of the work must be confirmed with the client in advance). The tender must include a breakdown of costs attributable to:
 - I. travelling and subsistence
 - II. fieldwork
 - III. report production
 - IV. archive preparation & deposition - this is a requirement of all projects so should not be included as a contingency, but as part of the main tender
 - V. administration
 - VI. relevant DCCAS fees – WSI and report agreement for example
 - VII. other

Contingency sums must be clearly allocated for the following:

- 1. publication
- 2. DCC monitoring visits

Fieldwork standards

4.1 DCCAS would expect to receive regular updates on site work, where projects have a duration of several weeks or more.

4.2 DCCAS must be informed immediately if site conditions mean that evaluation trenches need to be omitted (though note 3.3 E above), or if significant numbers (over 5%) of the trenches need to be repositioned. Agreement to any changes must be obtained in writing by the Contractor. This is to ensure that the aims of the evaluation are still being met. Failure to inform DCCAS during the fieldwork phase may result in a return to a site being necessitated to do additional trenching.

4.3 Where human remains are uncovered, the delay between a site being stripped or trenched, and being archaeologically investigated must be kept to a reasonable period. If unreasonable delays are introduced by the developer, the contractor should inform DCCAS as soon as possible, so compliance action can be instigated, if necessary.

4.4 Machining: Where a machine is required during the groundworks phase of development, a toothless ditching bucket on a back-acting machine must be used by the contractor, unless agreed otherwise with DCCAS. This will be used under archaeological supervision until an archaeological horizon or natural sub soil is encountered. Where a deposit of potential archaeological interest is only partially exposed in a trench, consideration should be given to expanding the trench sufficiently to allow it to be appropriately investigated. Machines should not track over stripped areas until they have been cleared to do so by the on-site archaeologists. Machined areas should be manually cleaned before further investigation is carried out.

4.5 Excavation: All archaeological deposits will be manually excavated, using appropriate tools, to determine their nature and extent.

4.6 Evaluation: Excavation undertaken for evaluation purposes should be sufficient to clarify the extent, nature, and significance of any archaeology present and no more. It is appreciated that in some cases a higher than usual proportion of a feature may need to be excavated to reveal its true character. However, in most cases where it is clear that excavation will be required if planning permission is granted the approach will be one of recording and minimal intervention. This will enable the formulation of the most appropriate mitigation strategy whilst leaving the maximum percentage of archaeology undisturbed.

4.7 However, it must also be borne in mind that the evaluation needs to provide evidence of conclusions used to inform planning decisions. Accordingly, sampling of features must be carried out to enable robust, evidence-based decisions to be made. Finding the balance between 4.6 and 4.7 is a matter of professional judgement, but decisions should be fully documented and explained in the report.

4.8 Trenches should be re-surveyed following excavation to ensure they are accurately located as investigated, as opposed to accurately located where planned to be investigated.

4.9 Where excavation is required the following will apply:

- A. Discrete features, such as post-holes and pits, will be half sectioned as a minimum whilst smaller features (such as stake holes) should be fully excavated.
- B. Linear features will have sample sections put through them at intervals so that a maximum 50% of the exposed feature is excavated and it is anticipated that no less than a 20% sample of a linear will be excavated. Lesser sample intervals may be acceptable depending on the nature of the site. The WSI should set out the sampling strategy for linears on the site, which can vary depending on the significance of the feature. Alternatively, the WSI needs to set out a mechanism for agreeing the sampling strategy once the initial site strip has been completed or is well under way. The agreement of the sampling strategy should occur no later than 48 hours after the completion of the site strip. All linear feature terminals will be excavated.
- C. All Intersections between any features or deposit will be excavated.
- D. Burials: to include inhumations, cremations, isolated charnel material as well as any grave goods associated with such material. These should be excavated in accordance with the latest versions of the standard guidelines regarding such material (see Appendix 2 for examples)
- E. Deep features e.g. wells. Such features may also include levels of waterlogging which may need to be anticipated in contingency plans for the project.

4.10 Metal Detecting: Where appropriate, metal detecting should be carried out on spoil. Details must be provided of the machine being used and the experience of the operator. The machine should be set to not discriminate against ferrous objects. Larger projects may need involvement from local Metal Detecting groups. In these instances, contact should be made with the local Finds Liaison Officer to get contact details.

4.11 Recording: Horizontal survey control of the site must be by means of a coordinate grid, using metric measurements. The location of the grid must be established, where possible, relative to the National Grid. Vertical survey control must be tied to the Ordnance Survey datum. Details of the method employed must be recorded, including the height of the reference point.

4.12 Recording: Where electronic means are used to establish grids or heights (e.g. GPS) then appropriate detail of the methodology to allow for geo-referencing of the data should be included in the report.

4.13 Recording: Sections must be recorded by means of a measured drawing at an appropriate scale. Sections should normally be drawn at 1:10. The height of a datum on the drawing must be calculated and recorded. The locations of sections must be recorded on the site plans, relative to the site grid. Cut features must be recorded in profile, planned at an appropriate scale and their location accurately identified on the appropriate trench plan.

Please note that in those cases where the trenches prove to be devoid of any archaeology, plans and sections will not be required. However, proof in some form (i.e. photographic) that no archaeology was encountered will be required in the final report on the project.

4.14 Recording: All drawn records must be clearly marked with a unique site number and must be individually identified. The scale and orientation of the plan must be recorded, and all plans should include a North arrow. All drawings must be drawn on dimensionally stable media. All plans must be drawn relative to the site grid and at least two grid references marked on each plan. Plans should be labelled with appropriate Context numbers. Born Digital documentation should be created in a suitable archival format, ready for deposition.

4.15 Recording: Each archaeological context must be recorded separately by means of a written description. The stratigraphic relationships of each context must be recorded. Pro-forma record sheets must be used throughout. An index must be kept of all record types.

4.16 Recording: A full record of excavated features must be made using a single context planning system. Plans should normally be drawn at 1:20. All archaeological features will be photographed and recorded at an appropriate scale. Levels should be taken at appropriate intervals across the site, including the tops and bottoms of suitable sized features, as well as significant breaks of slope. All levels will be tied into Ordnance Datum and the trenches accurately located with the National Grid.

4.17 Recording: Photographs must be of archival quality; either as black & white print and negatives or as born-digital images. Born digital images should be captured at a minimum resolution of 10 megapixels, in colour, and generically follow the advice in Digital Image

Capture and File Storage (Historic England 2015c). DCCAS has no preference for which medium of capture is used, but if more than one medium is used, then appropriate archiving of all media must be carried out. All photos should as a minimum have a legible Scale bar in them, and consideration should be given to the use of North Arrows and legible Context numbers.

4.18 Environmental Sampling: requirements for the site will be agreed in the approved WSI. The proposals should comply with the advice set out in the current Historic England Guidelines (English heritage 2011). Sampling should be demonstrated to be both fit for purpose and in keeping with the aims and objectives of the project. In some cases, deposits may be encountered which were not anticipated when groundworks commenced, and so the sampling strategy must be sufficiently flexible to cope with this situation. Specialist guidance is available for certain forms of evidence (See appendix 2)

4.19 Human Remains: any human remains encountered must be accurately recorded. The advice of a palaeo-pathologist should be sought as soon as it is clear that one or more burials have been encountered and they should be given the opportunity to examine the remains in situ before excavation of the remains has commenced. The remains cannot be excavated and lifted until a Section 25 Licence has been obtained from the Ministry of Justice. Both the client and DCCAS must be informed if human remains are found so that an agreement can be reached on the best possible way forward.

4.20 Waterlogged Remains: if these are encountered, they should be dealt with in accordance with relevant national guidance (see Appendix 2)

4.21 Finds: Pottery and animal bone must be collected in a manner appropriate to their significance, ideally as bulk samples by context. Small finds must be three dimensionally located prior to collection. Detail of the find collection policy should be given in the WSI.

4.22 Industrial Remains: where remains from any industrial process of any period are expected, appropriate specialist advice should be sought and sampling strategies etc. agreed before the commencement of fieldwork. Where such remains are encountered unexpectedly during fieldwork, DCCAS should be informed and appropriate specialist advice obtained as soon as possible.

4.23 Unexpected remains: If remains of an un-expected nature (either in presence or complexity) are encountered, the client and DCCAS should be notified as soon as possible, so appropriate changes to the WSI can be formally agreed. This includes features which were not detected by previous work on site (eg geophysical survey) or which are more extensive than previously thought (eg extend beyond any mitigation limits agreed). Where

such situations arise, it is the contractor's responsibility to inform DCCAS explicitly of this, so any necessary amendments to the work needed can be agreed.

4.24 Preservation in situ: in exceptional cases it may be considered desirable to preserve archaeological remains in situ either by modifying the foundation design or altering the extent, depth or siting of a development, or part thereof. The feasibility of any such proposal will need to be assessed and formally approved by DCCAS taking account of relevant guidance (e.g. Preserving Archaeological Remains. Historic England 2016).

4.25 End of Fieldwork: Following the completion of recording the site must be left in a condition to be agreed with the client.

4.26 End of Fieldwork: The Contractor should ensure they have written confirmation from DCCAS that the fieldwork phase has been completed before handing the site back to the developer. DCCAS will not normally issue such confirmation until at least an interim statement has been produced. This needs to contain sufficient information for DCCAS to be able to check that the field work aspects of the WSI have been complied with eg information regarding the work carried out on site, illustration(s) of areas excavated, in plan, showing features, and excavated areas of features eg various slots through linears etc.

Post excavation standards

5.1 Finds: It must be noted that archaeological finds legally remain the property of the landowner. They must not be removed from site unless previously arranged by agreement with the landowner. It is the contractor's responsibility to ensure that such an agreement is sought in advance of work commencing on site if the client is not the landowner.

5.2 Bulk Finds: All finds must be processed to appropriate standards and subject to specialist assessment. Finds should be conserved and made stable to allow for specialist study.

5.3 Small Finds: X-ray photography of metal objects must be used where appropriate. (as per English Heritage 2006). In some cases, areas of specialised manufacture might be uncovered and relevant guidelines should be consulted in such cases, such as for glass (English Heritage 2011), pottery production sites (Historic England 2015a), or areas of archaeo-metallurgical production (Historic England 2015b). Finds should be conserved and made stable for the deposition with the local museum.

5.4 Dating: Scientific dating techniques must be applied where appropriate. The form (radiocarbon dating, archaeo-magnetism, optical luminescence, etc.) and number should be

discussed with DCCAS and the Historic England North-East Science Advisor. A consideration of the application of Bayesian chronological modelling should be standard for all excavation projects and this can be discussed in advance with DCCAS and the Historic England North-East Science Advisor.

5.5 Other Scientific techniques – consideration must be given to the appropriateness of using other scientific techniques for analysis, as techniques are developed. For example, Organic Residue Analysis should be considered for pottery sherds.

5.6 Treasure: Any item which qualifies as Treasure under the 1996 Treasure Act must be reported to the local coroner as such. Contact should be made with the local Finds Liaison Officer or the treasure team at the British Museum (treasure@britishmuseumn.org) who will be able to assign a treasure number and report the find to the coroner. The treasure number should be quoted in the final report. A short report on the object and photographs will be required. For more information see <https://finds.org.uk/treasure/advice/forarchaeologists>

5.7 Specialist reports and services: Sites where excavation takes place will normally require the input of archaeological specialists for dating, artefact analysis, palaeo-environmental sampling and conservation and may require the input of other specialists such as archaeo-metallurgists. Specialists involved must be kept informed of the start date and progress of sites so that sampling and necessary on-site conservation needs can be timetabled.

5.8 Specialist reports and services: Specialist advice regarding the need for palaeo-environmental sampling, appropriate sampling techniques and research questions for specific sites must be identified in advance if possible. The contractor must contact and ensure that any proposed sampling strategy includes the input of, the Historic England (HE) Science Advisor for the North East (NE), based at the HE NE offices in Newcastle. DCCAS should be copied into correspondence with the Science Advisor.

5.9 All specialist used must be able to provide evidence of their suitability for the tasks they are proposing to carry out. This could be in the form of evidence of membership of an appropriate peer-reviewed specialist group, and/or a short statement of their professional history including a sample of relevant publications and reports. DCCAS reserve the right to ask to see such evidence to ensure work is carried out by appropriately qualified and experienced professionals.

5.10 Adequate provision must be built into the project to ensure that post excavation assessment, analysis, reporting and, where appropriate, publication can be carried out as appropriate to the significance of any remains encountered.

Public Engagement

6.1 All excavation projects should, where practicable, make provision for Public Engagement in the project, in some form.

6.2 Depending on the nature scale and duration of the project, this will vary from site to site, and should be detailed in the WSI, even if it is to state that practical or safety limitations prevent it (with justifications).

6.3 Options for Public Engagement include, but are not limited to:

Open days on site to allow visitors to see, or be given tours, of the remains

Opportunities for volunteers to become involved in aspects of the project, from fieldwork to post excavation work (see 6.4 below).

Presentation of findings at public events, such as Durham County Councils Archaeology Day or other for a.

Specially organized events to disseminate the results e.g. talks to local societies or at village halls, community centres etc.

Presentation of results in non-academic publications, such as Archaeology County Durham Magazine, Current Archaeology, and British Archaeology.

Use of blogs, or other social media outlets, for updates on progress.

6.4 Use of Volunteers. The use of volunteers on sites presents a range of opportunities and issues. The following should be borne in mind.

Volunteers must NEVER be used to substitute for professional staff on commercial projects, but only to allow additional work to be carried out i.e. extra sample excavation of features above and beyond the percentages in the WSI.

To that end, it is recommended that a log is kept of volunteer input, so it is possible to clearly identify and demonstrate the additional value they have added to the project.

If volunteers are used in areas where it is reasonable to expect that on a commercial project this would involve staff time (e.g. finds washing), then any cost saving made in staff time must be clearly identified. This saving must then also be shown to have been spent in other aspects of the project e.g. additional dating of samples, for example.

Use of volunteers on sites can raise additional issues regarding Health and Safety. These must be considered at the planning stage of any project, and adequate provision made.

When it is proposed to use volunteers on a site, the anticipated use should be detailed in the WSI in term of volunteer days. These days should be divided into on- site and off-site days.

6.5 Appropriate costings for these aspects of work should be built into the project.

The Report

7.1 Reporting may take place over several stages. There may be an interim report, and/or a post excavation assessment before the final report is produced. The guidelines for reporting below apply to all stages of reporting. For interim reports, a lesser amount of appropriate information can be submitted, in agreement with DCCAS.

7.2 Where a Post Excavation Assessment (PXA) is carried out, and this leads to proposals for further analysis and/or reporting and/or publication, then the PXA report must include an Updated Project Design (UPD) for this work. The PXA and UPD must be agreed with DCCAS prior to the works being commissioned. For guidance, see *Advice Note for Post-Excavation Assessment* (ALGAO, 2015) available via https://www.algao.org.uk/sites/default/files/documents/ALGAO_England_PXA_Advice_Note.pdf

7.3 The final report is the culmination of the project, and in many cases may be the only product for dissemination of the results. The final report is also the main document most people interested in a site will use to find out about the site. It is therefore important that the final report:

Includes sufficient information so that its results and main conclusions are clearly demonstrated and evidenced.

Does not repeat significant proportions of the text verbatim in different sections.

Attempts to present the archaeological remains in an engaging and readable manner. It is understood that aspects of the report will be more technical than others, but where appropriate, it should be possible to tell the story of the site in an engaging way.

7.4 Reports should contain at least the following information:

1. An executive summary
2. A site location plan to at least 1:10,000 scale, with at least an 8-figure central grid reference in the text.
3. Relevant reference numbers (if available) – such as OASIS number, digital archive DOI reference; unique site code; museum accession number, Planning Application reference.
4. Contractor's details, including the author of the report, and exact dates the work was carried out.
5. Nature and extent of the proposed development including developer/client details as far as is known at the time of preparation.
6. A description of the site location and geology, with reference to how this may have affected previous use of the site or survival of remains, etc.
7. A site plan to a suitable scale and tied into the national grid so that features can be correctly orientated, including a north arrow.

8. A discussion of previous work on the site as part of the current project – ie previous stages of evaluation. This should be referred to throughout the report to make it clear how the results of the current phase of work have confirmed or otherwise the previous phases of work. In particular, detailing archaeology which were not identified in previous phases should be made obvious, as well as consideration as to why this might be the case eg excavated features not identified by geophysical survey
9. A discussion of the results of field work.
10. Context & feature descriptions.
11. Discussion of how features and deposits have been grouped and phased together
12. Features, number and class of artefacts, spot dating & scientific dating of significant finds presented in tabular format.
13. Stratigraphic matrices for the various areas examined.
14. Plans and section drawings of the features drawn at a suitable scale and including details of location on site, and orientation.
15. Appropriate photographs of features, deposits, structures or finds mentioned in the text.
16. Initial assessment reports by specialists.
17. Discussion of how the work has contributed to the NERFF objectives identified in the WSI, and how the site fits into the wider archaeological context of the site e.g. comparator sites locally, regionally, and nationally, as appropriate.
18. Recommendations regarding the need for, and scope of, any further archaeological fieldwork.
19. Recommendations for any further post excavation analysis, including proposals for publication, and an Updated Project Design (UPD), if appropriate. If a full post-excavation assessment is not going to be produced, a post excavation statement (as per ALGAO 2015) should be included in the report. This should include a date for completion of the Final Report.
20. An assessment of the impact of the proposed development on any archaeological remains identified, if relevant (i.e. during an evaluation phase).
21. Bibliography.

PLEASE NOTE

In those cases where no archaeology is found it will be sufficient to include a plan of the trench locations and evidence in some form (i.e. photographic) that the trenches were devoid of archaeology.

7.5 As of April 2022, only digital copies of reports in PDF/a format are needed.

7.6 Copyright: remains as agreed between the client and contractor. However, DCCAS are granted a licence to use the outputs of the work to fulfil their functions, which may include partial copying by third parties.

7.7 Reports must contain a title page listing site/development name, County, together with a central NGR, the name of the archaeological contractor and the developer or

commissioning agent. Reports must be page numbered and supplemented with sections and paragraph numbering for ease of reference.

7.8 Copies of all reports must be prepared for the client. A PDF/A version of reports must be sent to DCCAS for inclusion into the County Durham Historic Environment Record (HER) at:

Archaeology Section
Environment & Design,
Environment,
Neighbourhoods and Climate Change
Durham County Council
County Hall
Durham
DH1 5UQ

Digital version of reports should not be sent on CD or DVD, but by some form of file transfer.

7.9 Contractors should submit a digital copy of the final report to DCCAS for approval, prior to its submission as part of a Discharge of Condition. As of April 2019, there is a charge for approval of reports, which is detailed in our charging policy. DCCAS advise that until finalized, any reports circulated should include a digital watermark identifying them as draft.

7.10 Conditions relating to reporting will not be discharged until all the relevant stages have been completed, and the final version of relevant reports have been received.

OASIS

8.1 DCCAS supports the Online Access to Index of Archaeological Investigations (OASIS) Project. The overall aim of the OASIS project is to provide an online index to the mass of archaeological grey literature that has been produced as a result of large-scale developer-funded fieldwork.

8.2 The archaeological contractor must therefore complete the online OASIS form at <https://oasis.ac.uk/form/> within 3 months of completion of the work. Contractors are advised to ensure that adequate time and costings are built into their tenders to allow the forms to be filled in.

8.3 An appropriately formatted copy of all reports must also be uploaded to OASIS within 3 months of approval by DCCAS. These reports should be agreed with DCCAS before

uploading to OASIS. This final version will be the version downloaded and included in the HER, if required.

8.4 Conditions relating to reporting will not be discharged until all the relevant stages of OASIS have been completed.

Archiving Standards

9.1 The site archive comprising the original paper records and plans, photographs, negatives, and finds etc., must be deposited in the appropriate museum at the completion of post-excavation work. For the area formerly covered by the district of Durham City, this is the:

Museum of Archaeology, Palace Green Library, Palace Green, Durham, DH1 3RN.

For the rest of the county this is:

County Durham Archaeological Archive (CoDAA); Sevenhills; Greenhills Business Park; Enterprise Way; Spennymoor; DL16 6JB

9.2 Archiving should be carried out in accordance with the ClfA Toolkit for Selecting Archaeological Archives <https://www.archaeologists.net/selection-toolkit> and the Dig Digital Toolkit for Managing Digital Data <https://www.archaeologists.net/digdigital>

9.3 Unless overridden by National Law any artefacts recovered from the site belong to the landowner. The contracting archaeologist should arrange for the artefacts to be deposited with the appropriate repository as described above. A completed Transfer of Title Deed should accompany any material deposited. The curating institutions must possess legal ownership of artefacts in order to justify expenditure on documentation, packaging, storage, and research.

9.4 In the rare event that the landowner should wish to retain the finds, then a full measured, written, and graphic record of the assemblage must be made.

9.5 Contact should be made with the relevant curators prior to the submission of the WSI so that the accession number for the site can be included.

9.6 Deposition must be in accordance with guidance for deposition provided by the collecting museums (please contact the relevant curators for further information). Failure to adhere to this guidance can mean refusal of the archive by the intended museum

9.7 Contractors must ensure that suitable costs to cover archiving requirements are included in the original tender document. (See Charging Document)

9.8 All Born Digital files should also be deposited with the collecting museum in an appropriate format as agreed.

9.9 If the receiving museums do not have Trusted Digital Repository status, then all born digital aspects of the archive should be archived via the Archaeology Data Service (ADS). The contractor should inform DCCAS of the relevant archive DOI when it has been released.

9.10 Conditions relating to, archiving will not be discharged until all the relevant archiving stages have been completed.

Publication

10.1 All assessments, evaluations and watching briefs must have time and budget allocation identified for publication unless it can be shown that further excavation and research will be taking place. This must be to a minimum standard to include a summary of the work, findings, dates, illustrations and photographs and references to where the archive has been deposited.

10.2 Editors of regional journals, such as the Durham Archaeological Journal or Archaeologia Aeliana, and/or other relevant journals must be contacted for information on outline publication costs, fuller figures may be worked out on completion of the project. A contingency sum for publication appropriate to the scale of the project must be set aside at the outset of work and included in the tender. Other forms of publication may be appropriate in certain cases, to be agreed with DCCAS.

10.3 Where publication is required, conditions will not be discharged until DCCAS have received written agreement from the planning permission holder that publication will be funded.

10.4 If you are archiving digitally with ADS, it is efficient to consider a related digital publication in the open access journal Internet Archaeology <http://intarch.ac.uk> . As well as taking a very broad range of formats, data, and visualisations, such a publication can integrate with, and help further publicise, the digital archive. The journal editor can be contacted for information on publication costs.

10.5 Publicity: in cases where archaeological work is undertaken because of DCCAS's recommendation and approval, either through the planning system or otherwise, then this

should be acknowledged in any and all publicity (conventional and online) describing the results.

DCCAS

23/03/2022

Version 4.1

Appendix 1 Yorkshire, The Humber & The North East: A Regional Statement Of Good Practice For Archaeology In The Development Process

This document contains general principles on Archaeology in the development process and has been endorsed by the organisations listed below:

The intention is to help improve standards of archaeological work in the Yorkshire & the Humber and the North East Regions and to help establish a consistent approach for the benefit of archaeological contractors, consultants, curators and developers who are funding the work, as well as to the historic environment. The historic environment is an encompassing term that includes “All aspects of the environment resulting from the interaction between people and places through time, including all surviving physical remains of past human activity, whether visible, buried or submerged, and landscaped and planted or managed flora” (Annex 2, NPPF, 2018). It should be noted that there is a presumption within the Region that archaeological interest may apply not only to below ground archaeological remains, but also may apply to upstanding structures / buildings (both listed and unlisted), marine and maritime assets as well as paleoenvironmental deposits. Archaeological interest is defined as “evidence of past human activity worthy of expert investigation at some point.” (ibid)

This document should be read in conjunction with any issued specification/WSI/brief/project design.

The following general principles are expected to pertain to archaeological work carried out as part of the development process in these Regions in accordance with Central Government Guidance and Local Plans and policies:

Pre-application discussion on the potential archaeological impact of a development is encouraged as is pre-determination evaluation where it is necessary to help define the character, extent and significance of the archaeological remains that may exist in the area of a proposed development prior to a planning decision.

Archaeological work in the development process should be carried out using appropriate expertise (NPPF, 189) and the archaeologists undertaking the work should be adequately qualified (CIfA Code of Conduct). It is good practice to “use professionally accredited experts” (HE, Good Practice Advice Note 2).

In accordance with long-standing professional practice (see footnote below) it is expected that all archaeological specifications/WSIs/ briefs/project designs will have been agreed in advance with the relevant archaeological curator before

archaeological work commences. Any variations to the previously established programme of work must be agreed in writing by the archaeological curator acting on behalf of the local planning authority.

As part of the implementation of the Planning Consent process archaeological work will be monitored on behalf of the LPA by its archaeological curator (who may seek advice where appropriate from the Historic England Science Advisor). There may be exceptions, but consultants and contractors should expect monitoring to be the norm unless informed otherwise. To allow monitoring to occur, the relevant curatorial archaeologist should be given reasonable notice of intention to commence any fieldwork undertaken as part of the development process and confirmation of the actual start date.

Archaeological work carried out within the development process is expected to accord with best practice as published in Historic England guidelines and the ClfA's standards and guidance.

Historic Environment Records (also known as Sites and Monuments Records) are key to understanding and managing the historic environment. Archaeological contractors and consultants should consult the relevant HER / SMR in person prior to producing desk-based assessments or commencing fieldwork (unless otherwise agreed with the relevant curator).

Archaeological fieldwork carried out as part of the development process should have regard to both national and local published research agenda, and should have an intention of furthering these agenda.

Archaeological contractors and consultants are expected to discuss any recommendations they make in archaeological reports submitted as part of the development process with the relevant curatorial archaeologist prior to formal submission. If this has not been done, the absence of discussion / agreement should be formally stated in the submitted document. It should be noted that the final decision on the need for and scope of any further works lies with the Archaeological curator acting on behalf of the Local Authority.

All reports and required data produced following archaeological work as part of the development process should be supplied by the archaeological contractor / consultant directly to the relevant HER / SMR within a reasonable timescale following completion of the fieldwork, in the format agreed with the curatorial body, and in accordance with any issued or agreed specification or project design.

The curatorial archaeologist will make any comments they wish to make on the report within a reasonable timescale of receipt.

Where considered appropriate by the archaeological curator, and particularly where supported by the relevant research agenda, it is expected that significant archaeological results will be submitted for publication in a suitable journal or journals.

The archive produced as a result of archaeological fieldwork is expected to be deposited in an ordered fashion with an appropriate public repository within a reasonable timescale following completion of the project. Details of the location of the (intended) repository should be included in the archaeological fieldwork report. It is expected that copyright will either be transferred to the repository or that it will be licensed to reproduce material held in perpetuity.

The historic environment is a shared resource. During the course of archaeological work on site, it is normally expected that arrangements will be made for dissemination of information to the general public, providing intellectual access where physical access is not possible or appropriate.

Organisations that have accepted and agreed these Principles within Yorkshire & the Humber & the North East are listed below:

Durham County Council Archaeology Section, Heritage, Landscapes and Design Team

City of York Design, Conservation & Sustainable Development Team

Humber Archaeology Partnership

North East Lincolnshire Archaeology Service

North Lincolnshire Council Historic Environment Record

North York Moors National Park Authority Historic Environment Service

North Yorkshire County Council Historic Environment Team

Northumberland Conservation, Northumberland County Council

South Yorkshire Archaeology Service

Tees Archaeology

Tyne and Wear Archaeology Service

West Yorkshire Archaeology Advisory Service

Yorkshire Dales National Park Authority Historic Environment Service

Footnote: ClfA Standard and guidance for archaeological field evaluation para. 3.3.1; ClfA Standard and guidance for historic environment desk-based assessment para. 3.2.4; ClfA Standard and guidance for an archaeological watching brief para. 3.2.5; ACAO Model Briefs and Specifications for Archaeological Assessments and Field Evaluations, Appendix D iv (b))

Revised November 2018 to reflect the updated NPPF.

Appendix 2 Indicative list of relevant Standards

This list is as up to date as possible, but may not include all relevant guidance and standards. If you note any missing or superceded documents, please inform DCCAS.

General

Aitchison, K 2004, Disaster management planning for archaeological archives. IFA Professional Practice Paper 8, Institute of Field Archaeologists, Reading

ALGAO 2015 Advice Note for Post-Excavation Assessment

Archaeology Data Service / Digital Antiquity Guides to Good Practice

Bayley, J, Crossley, D, and Ponting, M (eds) 2008 - <https://historicalmetallurgy.org/publications/>) This is only available from HMS as a free download rather than hard copy - it should also be available on the HE website

Carey, C; Howard, A J; Knight, D; Corcoran, J; Heathcote, J (EDS) 2018 Deposit Modelling and Archaeology <https://www.brighton.ac.uk/research-and-enterprise/groups/past-human-and-environment-dynamics/deposit-modelling-and-archaeology.aspx>

ClfA 2014 Code of Conduct. Chartered Institute for Archaeologists, Reading, December 2014

ClfA 2014 Standard and guidance for the creation, compilation, transfer and deposition of archaeological archives. Chartered Institute for Archaeologists, Reading, December 2014

ClfA 2014 Standard and guidance for the collection, documentation, conservation and research of archaeological materials. Chartered Institute for Archaeologists, Reading, December 2014

ClfA 2014 Standard and guidance. Excavation. Chartered Institute for Archaeologists, Reading, December 2014

ClfA 2014 Standard and guidance. Archaeological watching brief. Chartered Institute for Archaeologists, Reading, December 2014

ClfA 2014 Standard and guidance. Appendices. Chartered Institute for Archaeologists, Reading, December 2014

ClfA 2014 An introduction to providing career entry training in your organisation. ClfA Professional Practice Paper No. 11, Chartered Institute for Archaeologists, Reading

ClfA 2014 Policy statements (Equal opportunities in archaeology; Health and safety; The use of volunteers and students on archaeological projects; Environmental protection; Self-employment and the use of self-employed sub-contractors; The use of training posts on archaeological project). Chartered Institute for Archaeologists, Reading

ClfA (2014) Standard and guidance for archaeological field evaluation, Chartered Institute for Archaeologists, Reading

CIRIA 2015 Environmental good practice on site (fourth edition). CIRIA C741. Construction Industry Research and Information Association

Dawson, A and Hillhouse, S 2011 SPECTRUM 4.0: the UK Collections Management Standard. Collections Trust

FAME 2006 Employment Practice Manual. Federation of Archaeological Managers and Employers

Ferguson, L and Murray, D 1997 Archaeological Documentary Archives. IFA Professional Practice Paper 1, Institute of Field Archaeologists, Reading

Handley, M 1999 Microfilming Archaeological Archives. IFA Professional Practice Paper 2, Institute of Field Archaeologists, Reading

Historic England 2015 Archaeometallurgy: guidelines for best practice

Longworth, C and Wood, B 2000 Standards in Action Book 3: working with archaeology guidelines. Society of Museum Archaeologists/Museum Documentation Association

MGC 1992 Standards in the Museum Care of Archaeological Collections. Museums and Galleries Commission

UKIC 1983 Packaging and Storage of Freshly Excavated Artefacts from Archaeological Sites. (United Kingdom Institute for Conservation, Conservation Guidelines No 2) UKIC 1984

Environmental Standards for Permanent Storage of Excavated material from Archaeological Sites. (United Kingdom Institute for Conservation, Conservation Guidelines No 3)

UKIC 1990 Guidance for Conservation Practice. United Kingdom Institute for Conservation

UKIC 1990 Guidelines for the Preparation of Excavation Archives for Long-term Storage. United Kingdom Institute for Conservation Archaeology Section

UKIC 2001 Excavated Artefacts and Conservation. (United Kingdom Institute for Conservation, Conservation Guidelines No 1, revised)

White, Mark and Bates, Martin and Pope, Matthew and Schreve, Danielle and Scott, Beccy and Shaw, Andrew and Stafford, Elizabeth (2016) Lost Landscapes of Palaeolithic Britain. Project Report. Oxford Archaeology.

<https://library.thehumanjourney.net/2795/>

Other sources of relevant Standards include:

<http://www.isgap.org.uk/>

<https://historicensland.org.uk/advice/find/>

Finds

English Heritage 1995 A Strategy for the Care and Investigation of Finds. English Heritage Ancient Monuments Laboratory, London

Watkinson, DE and Neal, V 2001 First Aid for Finds. RESCUE/United Kingdom Institute for Conservation

Packaging and Storage of Freshly Excavated Artefacts from Archaeological Sites (UKIC 1983)

Standard and guidance: for the collection, documentation, conservation and research of archaeological materials (ClfA 2014b).

English Heritage 2006. Guidelines on the X-radiography of Archaeological Metalwork. <https://historicensland.org.uk/images-books/publications/x-radiography-of-archaeological-metalwork/>

English Heritage 2008c Investigative Conservation. Guidelines on how the detailed examination of artefacts from archaeological sites can shed light on their manufacture and use.

<https://historicengland.org.uk/images-books/publications/investigative-conservation/>

English Heritage 2011 Glass manufacture: Archaeological Evidence for Glassworking. Guidance for Best Practice. <https://historicengland.org.uk/images-books/publications/glassworkingguidelines/>

Historic England 2015. Archaeological and Historical Pottery Production Sites (2015). <https://historicengland.org.uk/images-books/publications/archaeological-and-historic-pottery-production-sites/>

HE/ APABE (2017) Guidance for Best Practice for the Treatment of Human Remains Excavated from Christian Burial Grounds in England
<https://www.babao.org.uk/assets/Uploads-to-Web/APABE-ToHREFCBG-FINAL-WEB.pdf>

Environmental Archaeology

English Heritage 2008b. Guidelines for the Curation of Waterlogged Macroscopic Plant and Invertebrate Remains.

<https://historicengland.org.uk/images-books/publications/curation-of-waterlogged-macroscopic-plant-and-invertebrate-remains/>

English Heritage 2010. Waterlogged Wood: Guidelines on the Recording, Sampling, Conservation and Curation of Waterlogged Wood.

<https://historicengland.org.uk/images-books/publications/waterlogged-wood/>

English Heritage 2011. Environmental Archaeology: A Guide to the Theory and Practice of Methods, from Sampling and Recovery to Post-excavation. 2nd Edition
<https://historicengland.org.uk/images-books/publications/environmental-archaeology-2nd/>

English Heritage 2014. Animal bones and Archaeology: Guidelines for Best Practice.
<https://historicengland.org.uk/images-books/publications/animal-bones-and-archaeology/>

Human Remains

English Heritage 2004. Human Bones from Archaeological Sites: Guidelines for Producing Assessment Documents and Analytical Reports.

<https://www.babao.org.uk/assets/Uploads-to-Web/eh-humanbones-assessments.pdf>

English Heritage 2013. Science and the Dead: A Guideline for the Destructive Sampling of Archaeological Human Remains for Scientific Analysis.

<https://historicengland.org.uk/images-books/publications/science-and-dead/>

Historic England 2018 The Role of the Human Osteologist in an Archaeological Fieldwork Project <https://historicengland.org.uk/images-books/publications/role-of-human-osteologist-in-archaeological-fieldwork-project/heag263-human-osteologist-archaeological-fieldwork-project/>

Remote Sensing and Imaging

EAC. 2016. Guidelines for the Use of Geophysics in Archaeology.

<https://historicengland.org.uk/images-books/publications/eac-guidelines-for-use-of-geophysics-in-archaeology/>

Historic England. 2015c. Digital Image Capture and File Storage: Guidelines for Best Practice.

<https://historicengland.org.uk/images-books/publications/digital-image-capture-and-file-storage/>

Assessing Significance

English Heritage 2008 Conservation Principles Policies And Guidance For The Sustainable Management Of The Historic Environment

<https://historicengland.org.uk/images-books/publications/conservation-principles-sustainable-management-historic-environment/>

Historic England 2015 Managing Significance in Decision-Taking in the Historic Environment Historic Environment Good Practice Advice in Planning: 2

<https://historicengland.org.uk/images-books/publications/gpa2-managing-significance-in-decision-taking/>

Historic England Introduction to Heritage Assets series

Historic England Listing Selection Guides