

**REALISING THE  
BENEFITS  
OF PLANNING-LED  
INVESTIGATION  
IN THE HISTORIC  
ENVIRONMENT:  
A FRAMEWORK  
FOR DELIVERY**

**A report by the Southport Group  
July 2011**





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**Final report, July 2011**

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# DEFINITIONS

The *historic environment* is the physical evidence of past human interaction with the natural world from prehistoric times onwards, the product of an interactive process that has created the places of today.

*Archaeology* is the study of the physical evidence of the human past, whether built, buried or underwater, ranging from investigations of landscape through settlements, structures and features to artefacts and biological remains.

In this report, when we refer to **quality** we mean fitness for purpose – the extent to which something meets the required standard or requirement. What we perceive as quality depends on what we perceive as required: satisfaction and disappointment depends not only on performance but shared understanding of what the required standard is.

We use **standards** to define a product or outcome. In archaeology, for example, there are ‘product standards’ for excavation which set out what the end-product should look like, and there is guidance on how with our shared understanding of good practice we envisage it might be achieved. There are clear ‘people standards’ for membership of IfA or of IHBC, which set out the technical and ethical competence required.

The processes of assessing compliance with standards – particularly those relating to skills and competence – is often referred to as **accreditation**. The end-product of a process of accreditation is a formal recognition that the standards have been met. It may result in admission to a register (eg the IfA Register of Organisations), and can confer a privileged position in access to practice.

Practitioners with accredited competence who subscribe to the ethical codes of the professional institutes (eg in our world IfA, IHBC, RIBA, RIAS, RICS, RTPI, CIOB and so forth) and who are subject to their disciplinary processes can refer to themselves, whether paid or not, as **professionals**.

# 1 EXECUTIVE SUMMARY

The publication of English Planning Policy Statement 5 by the Department of Communities and Local Government (2010), alongside a strong and insightful Government vision statement on the historic environment (DCMS 2010), offered an extraordinary and rare opportunity – of the sort that comes along only once or twice in a professional lifetime. It had particular implications for the planning-led investigation of the historic environment, and cleared the way for far more consistent delivery of a range of powerful and imaginative public benefits than could be achieved before.

This report has been prepared as a response to the opportunity presented by the adoption of PPS5 principles. It reports on findings from workshops, and economic study and consultation, and sets out a vision for planning-led investigation of the historic environment sector that

- enables and encourages public involvement and participation, research and the use of archived and published results
- equips historic environment sector professionals with a powerful toolkit and
- provides high-value services to the property and development sector

It provides a series of recommendations, to be developed by suggested partner organisations. The recommendations aim to enable the sector to make a deliberate, bold and consistent set of improvements to how it understands, investigates, records, involves communities and communicates the significance of historic environment assets in the context of the planning process, in order to realise the benefits to society intended by PPS5 principles.

The future envisioned in this report is one in which the management of the historic environment as a partnership between local authorities and community groups and where decisions proactively, confidently and genuinely take account of public values and concerns. Planning-led research into the historic environment should be a collaborative venture involving commercially-funded, local authority, higher education and voluntary sectors. Recognising the fundamental value of a solid record and evidence base, planning-led investigation should be focused on interpretation, understanding and significance, not on record alone. In all cases decisions should be founded on sound knowledge derived from Historic Environment Records managed, maintained and mediated by expert professionals, and from proportionate and appropriate professional research commissioned by the applicant into the interests of a place and its significance. It should be conducted in a way that increases opportunities for public participation alongside properly resourced commercial practitioners. Voluntary public participation is an adjunct to, not a replacement of or alternative to, professional leadership. Commercial and voluntary practitioners should be encouraged to acquire new skills, and where appropriate to have them accredited. The report advises how to develop a sector that consistently adds value to development by contributing to the sustainable development agenda, to design, brand, place-shaping, securing consents, risk management, Public Relations, Corporate Social Responsibility, marketing and sales/rental values. It sees the market for services investigating the historic environment placing greater emphasis on quality than it has done to date. Planning-led investigation and explanation of the historic environment should be commissioned to comply with clear professional standards for person, process and product.

Based on these achievable aspirations, the report makes a series of recommendations which, the Southport Group believes, will provide the sector with the tools it needs to implement the principles of PPS5. A good number of the recommendations could be addressed through a stronger specification for standardised Written Schemes of Investigation documents.

The scope of this report is the planning-led investigation of the historic environment. It does not cover conservation, design or conservation and design services per se. The report does not seek to cover investigation of the historic environment that takes place outside the planning process, though it does make recommendations on closer working between university, museum, curatorial and commercial archaeologists and historic building conservation professionals.

Many of the recommendations can at present only be applied explicitly to the English planning regime. When PPS5 is absorbed into the National Planning Policy Framework, it has been made clear in public Government statements that those principles are set to endure. The reform of PAN42 in Scotland may enable some of the recommendations to have application there. Reform of PPS6 in Northern Ireland and the historic environment elements of PG Wales have been mooted, providing further opportunities for UK-wide application. But many of the findings are not restricted to a particular planning policy framework, and so many of the recommendations are of immediate relevance across the UK – and beyond. The starting point for the Southport Group’s work was the recognition that there have been huge achievements under the previous planning regime and that there are excellent examples of good practice; it is this good practice that the recommendations in this report seek to make more widespread.

The roots of the Southport Group lie in the area of planning-led archaeological investigation, and in a specific wish to see the greatest possible public benefit obtained from this particular activity under PPS5 principles. A small working party of historic environment professionals, the Southport Group, was formed following a debate at the Institute for Archaeologists’ conference in Southport in April 2010. The Group fully recognises, however, that planning-led investigation of the historic environment is a diverse activity involving many interests, many professional groups and many approaches. The diversity of the historic environment sector is reflected in the report, and the Southport Group recommends wider discussion. Indeed, the input of other professional groupings is needed if some of the recommendations of this report are to be fully implemented and

one of the important next steps recommended in this Report is a workshop specifically focused on the historic built environment.

The report sets out the key findings from a series of workshops and from consultation over a draft report: each written submission has directly influenced this final report.

The work also included an economic analysis of the commercial archaeology services market, commissioned from the London School of Economics. That analysis recognises a quality assurance framework that has depended on self-regulation but has operated in a price-driven market that has not required the providers or specifiers of services to submit to self-regulation. The analysis identifies strong commercial drivers that work against the consistent delivery of the high quality services that service providers can and wish to deliver. In doing so it describes, in economic terms a ‘failure’ of the market that, to be clear, is a technical term and in no way a criticism of curatorial, contracting or consulting services, or of individuals.

The visions and general thrust of the recommendations have received widespread support, and many sector bodies have already endorsed the recommendations and pledge practical support, funding and partnership working to take them forward. The Southport Group will cease to exist upon the publication of this report, and concludes overwhelmingly that the historic environment sector is ready for and committed to change and further improvements for public benefit. It is now up to established organisations and the many skilled and committed practitioners in the sector to consider adopting the recommendations and products into their working practice.

## 2 INTRODUCTION

### 2.1 Background to the project

- 2.1.1 PPGs 15 and 16 have given the historic environment sector a strong foundation from which to build. PPG 16 (1990), building on the publicly funded ‘rescue archaeology’ programmes of the 1970s and 1980s, led to a massive expansion of planning-led investigation (regulated through the planning system) of below-ground archaeological remains in England. The scale of this activity has been prodigious; it was estimated in 2008 that developers in England were spending around £125m per annum on archaeological work (see Hinton and Jennings 2007). PPG 15 (1994) also led to an expansion of planning-led investigation, though to a lesser extent, of historic buildings. Frequently PPG 16 was used to secure the investigation of some historic buildings, generally unlisted ones, often industrial structures, since listed ones were covered by PPG 15, (Gould 2004). Such work also became commercialised, with implications for the professions involved.
- 2.1.2 When PPS5 (Planning Policy Statement 5 – *Planning for the historic environment, Department of Communities and Local Government 2010*) was published, it fundamentally changed the ground rules for planning-led investigation of the historic environment in England. The change in philosophy from its predecessor policy statements

(Planning Policy Guidance 15: Planning and the Historic Environment 1994, Planning Policy Guidance 16: Archaeology and Planning 1990) reflects important professional developments (see 2.2), and in turn has potentially profound implications for professional practice and for procurement of historic environment services.

- 2.1.3 Planning guidance is now in line with the more holistic approach to the planning-led investigation of the historic environment that the PPGs did not accommodate.
- 2.1.4 There is a far stronger emphasis than ever before on the need for planning- and development-led historic environment work to deliver public benefit – ‘*to contribute to our knowledge and understanding of the past by ensuring that opportunities are taken to capture evidence from the historic environment and to make this publicly available, particularly where a heritage asset is to be lost*’ (PPS5, HE 7.3).
- 2.1.5 Where heritage assets and their significance may be lost, the developer should be required to ‘advance understanding’ of the heritage asset, and to publish this evidence. The extent of this requirement should be proportionate to the asset’s significance (PPS5,



Recording the lighting grid at the Barbican Theatre (Photo: Museum of London Archaeology)

Urban regeneration in Manchester: remains of pioneering furnace technology at the 19th-century Bradford Iron Works, below the 21st century City of Manchester Stadium (Photo: Greater Manchester Archaeological Unit)



- Policy HE12). So post-determination investigation is seen as offsetting: the replacement of a loss of one kind (eg of intact remains or fabric) with a gain of another (eg increased public knowledge and understanding).
- 2.1.6 The Practice Guide published by English Heritage (English Heritage 2010 paragraph 138) to accompany PPS5 further emphasises the importance of publication, and also underlines the value of enabling the public to engage with the process of investigation while it is taking place (in addition to being able to enjoy the results after they have been published).
- 2.1.7 PPS5, and the Government vision statement published at the same time (Department for Culture, Media and Sport 2010), recognised the value of the historic environment for understanding identity and place, for contributing to quality of life and the social, economic and cultural life of the nation (see 2.3.4).
- 2.1.8 However, as discussion has unfolded within the historic environment sector of how PPS5's requirements
- should best be implemented across England, it has become clear that there remains a need for a reliable means of ensuring good practice and consistency: a 'tool kit' is needed which does not yet exist. The Practice Guide will not survive the transition to the National Planning Policy Framework, and practitioner guidance will be needed to replace it.
- 2.1.9 Thus a fundamentally important opportunity was recognised wherein historic environment professionals now have the chance to put the exploration and understanding of the past, in all its variety and complexity and for the benefit of society as a whole, securely at the heart of practice for planning-led investigation. This will deliver stronger benefits more consistently to society as a whole, and will ultimately be more rewarding too for historic environment professionals and for the property and development sector which funds their work.
- 2.1.10 To seize the opportunity, delegates at the Institute for Archaeologists (IfA) conference held in Southport in April 2010 commissioned a working party of individual

Placing the exploration and understanding of the past – in all its variety and complexity – securely at the heart of planning-led investigation practice will delivery stronger benefits more consistently to society as a whole, and will ultimately be more rewarding too for historic environment professionals and for the property and development sector which funds their work.



Structures forming part of the historic docks in Liverpool were investigated and recorded for a new Liner Terminal, an integral part of the overall programme of urban regeneration at the heart of Liverpool's historic waterfront within the World Heritage Site (Photo: Aerial-Cam 2007)

to think creatively and radically about how the study of the historic environment is practised and how the PPS might best be implemented. While most had strong associations with the organisations identified below they participated as individuals. The 'Southport Group' members comprised: Dave Barrett (Association of Local Government Archaeological Officers [ALGAO] England), Karen Bewick (Heritage Alliance / IfA), Duncan Brown (Archaeological Archives Forum [AAF]), Stewart Bryant (ALGAO UK), Chris Gosden (Oxford University), Mike Heyworth (Council for British Archaeology [CBA]), Peter Hinton (IfA, and Southport Group Secretariat), Frank Kelsall (Architectural History Practice [AHP]), Taryn Nixon (Museum of London Archaeology [MOLA], and Southport Group Chair), Adrian Olivier (English Heritage), Liz Peace (British Property Federation [BPF]), Matthew Slocombe (Society for the Protection of Ancient Buildings [SPAB]), Adrian Tindall (Federation of Archaeological Managers and Employers [FAME]), Roger M Thomas (English Heritage).

- 2.1.11 This report is a product of the discussions of the Southport Group with approximately 150 historic environment practitioners from across the sector, but largely from within the archaeological profession, concerned with the investigation of the historic environment. Key to its development were five workshops: four with historic environment professionals and one hosted by the British Property Federation aimed at colleagues in the property sector. A draft report collating the results of the workshops (see appendix 6.3) with those of Group discussions was issued for consultation in April 2011, and was the subject of a consultation workshop at the IfA conference later that month, attended by around 100 delegates. Their views, and those of the thirty individuals and organisations who sent in written comments, have directly shaped this final report.
- 2.1.12 The project was managed by the Institute for Archaeologists under the executive direction of Taryn Nixon of Museum of London Archaeology and a Project Board (Adrian Olivier – English Heritage, Frank Kelsall – AHP, Peter Hinton – IfA). The project was undertaken with funding provided by English Heritage and individual Southport Group members. Peter Hinton of IfA was responsible for structuring the report and its contents, as well as for Project Assurance; Andrea Bradley and Kate Geary managed the project. The project team comprised IfA staff and Southport Group

members. The project methodology centred on five workshops and online sector-wide consultation which, together with a specially commissioned economic analysis of the historic environment services market by the London School of Economics, informed the findings given below. The workshops and consultation focused on different aspects of delivery. Methodology is described in more detail in Appendix 6.2 to this report.

- 2.1.13 This project and report has also taken account of the observations of the All Party Parliamentary Archaeology Group (APPAG) report (APPAG 2003). Although, unlike the APPAG report, this project is not a review of the state of British archaeology, it does see in the implementation of PPS5 principles in England the opportunity to act on many of the recommendations of the APPAG report. It also identifies a desire for cultural change that could stimulate reforms elsewhere in the UK, and beyond.
- 2.1.14 This report considers key areas of planning-led investigation of the historic environment, identifies obstacles to optimum delivery in the past; presents a vision for new ways of working under PPS5 principles, and makes detailed practical recommendations to reach that vision.

## 2.2 Advances since the introduction of PPGs 15 and 16

- 2.2.1 A more holistic approach to the historic environment has emerged (or, to take a longer historical view, re-emerged) since the PPGs were published. Most in the sector are comfortable with this, but some can find it disconcerting – and while philosophically most agree with a congruent approach across the range of heritage assets, culture, training and language remain significantly separate.
- 2.2.2 Just as the above-ground and below-ground elements of the historic environment are seen as part of the same whole, so are the treatments of them: investigation (or archaeology) and conservation are recognised as mutually dependent disciplines.
- 2.2.3 And there are parallels in the evolution of those disciplines. During the PPG 15 era conservation philosophy moved from a place-centred to a people-centred approach, and from minimum intervention to finding compatible new uses for heritage assets.

2.2.4 Both PPG 15 and 16 placed the emphasis on recording remains and fabric which were to be lost. This emphasis was epitomised by the much-used archaeological phrase ‘preservation by record’. Initially the creation of a record, and a published interpretation of it, was seen as being more or less an end in itself. This policy orientation had a profound effect on professional approaches and on the kinds of products which have resulted from the activity. For many, the concept of recording carried connotations of a mechanical activity, which can be precisely specified and carried out by rote.

2.2.5 Archaeological approaches have evolved from the focus on creating an archive record that replaces the in situ resource (as advised in the Ancient Monuments Board for England committee, chaired by Frere, 1975) to targeting effort to realise the greatest research potential of remains being investigated. Archaeologists moved away from the belief that recording could be truly objective, in the 1980s (see eg Cunliffe 1983). A



Tottenham Court Road/Dean Street excavations by Oxford Archaeology/Gifford for Crossrail (Photo: Crossrail)

management approach led by English Heritage – MAP2 (*Managing archaeological projects 2nd edition*, English Heritage 1991) brought the obligation to tailor both publication and archive processes to the research potential of the remains in question. This evolution marks the transition of commercial practice in archaeology from a field science to a creative science.

2.2.6 With this understanding, post-determination investigation is no longer genuinely conceived of as mitigation of adverse impact on the physical fabric of remains, since where they are to be destroyed the loss is total, so cannot be ‘mitigated’.

2.2.7 As confidence in ‘preservation by record’ as a concept waned, the certainty of preservation in situ was challenged by the realisation that archaeological sites cannot be preserved – decay processes cannot be stopped but they can be slowed (Nixon et al 2004).

2.2.8 The case for moving from ‘mitigation’ to ‘offsetting’ was emerging, with a strong feeling that research should be overtly promoted as the purpose of planning-led investigation – something which has always been a desirable outcome (Thomas 2009).

The benefits that have flowed from the PPGs in the last two decades have been considerable: improved protection for the historic environment, the development of a highly-skilled professional sector and a commercial services market that has integrated historic environment practice better within planning and development, some profound new understandings of our past and innovative new products, a massive increase in knowledge and understanding of the past, a suite of published professional standards and a framework for self-regulation.

2.2.9 In parallel, professionalisation has grown. Since PPG 16 was introduced IfA has grown (Hinton 2011); IHBC has been formed and continues to grow at a similar rate ([www.ihbc.org.uk](http://www.ihbc.org.uk)); a credible process has emerged for accrediting organisations ([www.archaeologists.net/join/organisation](http://www.archaeologists.net/join/organisation)); IfA adopted its first *Standards and guidance* for process and product in 1994, since when the suite has steadily been augmented ([www.archaeologists.net/codes/ifa](http://www.archaeologists.net/codes/ifa)): they have been widely specified by local authorities, reinforced by ALGAO, and in effect compliance with them forms part of most archaeological planning conditions. Now, and with emphasis on the ‘expert’ as a key principle of PPS5, it is time for professional standards and accreditation to be taken

more seriously as the principal means for ensuring good practice.

2.2.10 There have, however, also been concerns: about the quality of some of the work done; about the effects of competition, including a tendency towards fragmentation of effort and structures; about the limitations of self-regulation and the uneven adherence to published quality standards in an otherwise unregulated market; about a lack or paucity of publication and about limited access to results; and, perhaps most crucially, about whether the public benefit produced by all this activity has been commensurate with the enormous resources being devoted to it.

2.2.11 For practitioners themselves the issues of poor pay, conditions, job security and career prospects that predated the PPGs have proved intractable. While there have been several initiatives to improve the remuneration and career development for archaeologists and some other historic environment professionals (Geary and Price 2008, updated 2010; Geary 2011), it appears to be an inability to restructure the market for commercial heritage investigation services that has prevented them taking hold as intended. The APPAG inquiry on pay and conditions in 2008 concluded that progress has been made in establishing a structure for training and qualifications. It accepted the findings of the IfA benchmarking report and noted that there is no system in place to ensure that only those archaeological contractors which meet the standards for training pay and conditions are eligible to bid for developer funded work, (APPAG 2008). The implications for the remuneration of archaeologists are explored in Annex 1 4.3.

2.2.12 As for public benefit, many significant and ground-breaking ways for public understanding of and engagement with the past and its discovery were delivered under and because of the PPGs. But though there are many examples of good practice, commercial historic environment contracts have not produced the maximum public benefit anything like every time. Nor have they consistently produced optimal results for clients in terms of social responsibility or corporate targets. These missed opportunities do not provide the value for money that the client sector should expect or the intellectual reward that heritage professionals would like.

2.2.13 Further important public policy advances were achieved through the preparation of *Power of place* (English

Heritage 2000) and *A force for our future* (Department of Culture, Media and Sport 2001).

2.2.14 So by the end of two decades and major improvement in historic environment practice, the historic environment sector had identified some specific areas for improvement to PPGs 15 and 16. These included the need to clarify that artefact scatters and palaeoenvironmental deposits were within scope; the need for a greater emphasis on quality with reference to accepted standards for person, process and product; the need for greater consistency of approach nationally; the need for clearer statements about the need to publish results and deposit archives; and encouragement of planning authorities to ensure opportunities for public engagement with or participation in the process of discovery.

2.2.15 Extensive advocacy work took place across the sector on these issues notably by The Archaeology Forum (TAF, which includes the Association of Local Government Archaeological Officers UK, the Council for British Archaeology, the Institute of Conservation, the Institute for Archaeologists, the National Trust, the National Trust for Scotland, Rescue: the British Archaeological Trust, the Society of Antiquaries of London, the Society of Antiquaries of Scotland, the Federation of Archaeological Managers and Employers and the Society of Museum Archaeologists). In the final stages of drafting the changes were accommodated by government and its advisors.

## 2.3 Values, interest and significance – the principles of the new policy approach

2.3.1 While PPS5 is not a perfect document, its fundamental principles and the Government Statement on the Historic Environment (2010), which form the basis for this project, are summarised below in the terms in which they have been used to structure the project itself. These principles are expected to persist as fundamental principles of the future National Planning Policy Framework.

2.3.2 In addition to these principles the authors of this report have taken account, in particular, of the Valletta and Faro conventions (Council of Europe 1992 and 2005 respectively), the Burra Charter, (Australia ICOMOS 2000), *Conservation Principles*, (English Heritage 2008), PPS5 Planning for the Historic Environment: Historic Environment Planning Practice Guide (English Heritage 2010), IfA Standards and guidance, ([www.archaeologists.net/codes/ifa](http://www.archaeologists.net/codes/ifa)), the



	British Property Federation and Standing Conference of Archaeological Unit Managers <i>Code of practice</i> (1986) and <i>Mineral extraction and archaeology: a practice guide</i> (Waddington 2009).						shorter document that will be even more tightly drafted to deal exclusively with policy and to exclude guidance, which is seen as the responsibility of professional bodies. Government has issued assurances, however, that the principles of PPS5 will be carried forward in the NPPF.	
2.3.3	Given the PPS5 requirements for greater public participation and increased public benefit, it is inevitable that historic environment practice will support the localism agenda. The Localism Bill and proposed National Planning Policy Framework embody the devolution of power to communities, transforming the way in which developers approach consultation and engagement, and allowing the devolution of planning decisions to neighbourhoods. In the future, a collaborative approach to planning will necessitate establishing a dialogue with communities at the earliest opportunity and helping to shape emerging neighbourhood plans.	<p><i>expert investigation at some point in the future into the evidence a heritage asset may hold of past human activity. Heritage assets with archaeological interest are the primary source of evidence about the substance and evolution of places, and of the people and cultures that made them. These heritage assets are part of a record of the past that begins with traces of early humans and continues to be created and destroyed</i>’. In summary, archaeological interest is about the potential of a heritage asset to enhance understanding of the past. As such, it can include assets with relatively little known evidence but which are thought to have high potential</p> <ul style="list-style-type: none"><li>• <b>historic</b> interest is ‘<i>an interest in past lives and events (including pre-historic)</i>. <i>Heritage assets can illustrate or be associated with them. Heritage assets with historic interest not only provide a material record of our nation’s history, but can also provide an emotional meaning for communities derived from their collective experience of a place and can symbolise wider values such as faith and cultural identity</i>’. Almost all archaeological sites and historic buildings are therefore heritage assets that possess both historic and archaeological interest to varying degrees (and also architectural interest in the case of most historic buildings). At the extremes of these concepts a bare field can have almost 100% archaeological interest, and a 20th-century building almost 100% historic interest</li><li>• <b>architectural</b> and <b>artistic</b> interest are interests ‘<i>in the design and general aesthetics of a place. They can arise from conscious design or fortuitously from the way the heritage asset has evolved. More specifically, architectural interest is an interest in the art or science of the design, construction, craftsmanship and decoration of buildings and structures of all types. Artistic interest is an interest in other human creative skill, like sculpture</i>’</li></ul>	by the principle of ‘offsetting’: the loss of significance of some or all interests with other public benefits, taking into account the concepts of proportionality and selectivity. The loss of archaeological interest, for example, may be offset by a gain in historic interest: the latent information is converted into understanding. PPS5 also introduces the concept of <i>enhancing</i> significance. This is not to say that the record is not fundamental to understanding.		2.3.10	And rather than creating a record that has the <b>potential</b> to increase understanding, understanding must be produced right now. This is the justification for the reforming statements in PPS5 on expertise, publication, archives and public participation.	2.4.2	So with ways of working born out of PPG 15 and 16 which did not deliver <b>consistently</b> on public benefit over the last 20 years, and as yet insufficient familiarity with new products such as statements of significance or of integrated assessments for heritage assets that formerly have been dealt with very separately, the sector needs to change to avoid failing to meet the vision and requirements of the principles of the PPS.
2.3.4	The Government’s vision on the potential of the historic environment, published alongside the PPS, envisions that ‘the value of the historic environment is recognised by all who have the power to shape it; that Government gives it proper recognition and that it is managed intelligently and in a way that realises its contribution to the economic, social and cultural life of the nation.’ Government and the historic environment sector now agree that the historic environment is a resource with huge potential for understanding identity and place, for contributing to the quality of life, for sustainable growth and for delivering a wide range of economic, social, cultural and environmental agenda.			2.3.11	PPS5 also calls for the management of the significance of ‘heritage assets’ as an integrated resource, replacing the previous, more fragmented approach to the historic environment of its predecessor policy guidance documents.		2.4.3	Paradoxically – or possibly just unfortunately – we also now have huge pressure on resources. Particularly hard hit are local planning authorities seeking to maintain and interpret Historic Environment Records (HERS), to advise on development management and to secure appropriate outcomes. For developers: pre-planning costs and viability tests, including market testing, could increase significantly at a time when the business environment is massively unsympathetic.
2.3.5	PPS5 sets out as the basis for creating sustainable places, as well as for investigation, recording and dissemination, a new – at least to planning policy – set of principles. It recognises the values set out in English Heritage’s <i>Conservation principles</i> (2008)	2.3.7	It is by considering these interests and their related values that a heritage asset’s significance can be assessed.	2.3.12	It places more emphasis on public participation and other benefits, including access to published results and archives.		2.4.4	But in spite of all our current challenges, this is the best opportunity since 1990 to introduce arrangements that ensure the consistent delivery of public benefits from planning-led investigation, and it could well be another 20 years before another chance like this comes along.
	<ul style="list-style-type: none"><li>• <b>evidential</b> value: ‘<i>the potential of a place to yield evidence about past human activity</i>’</li><li>• <b>historical</b> value: ‘<i>the ways in which past people, events and aspects of life can be connected through a place to the present. – it tends to be illustrative or associative</i>’</li><li>• <b>aesthetic</b> value: ‘<i>the ways in which people draw sensory and intellectual stimulation from a place</i>’</li><li>• <b>communal</b> value: ‘<i>the meanings of a place for the people who relate to it, or for whom it figures in their collective experience or memory</i>’</li></ul>	2.3.8	When considering whether or not to permit a development, the potential effect of the development on the <b>significance</b> of the asset must be assessed, and weighed against the benefits of development. The changes may be positive or negative, and sometimes both – one interest may be degraded but the significance of another may be enhanced. Now we must ensure that it is the interests of what has been discovered or lost that drives all our work, and the realisation of public benefit that is the purpose of it all.	2.3.13	It explains that developers must employ ‘experts’ to deliver historic environment services.			
2.3.6	PPS5 establishes the four interests which give rise to significance	2.3.9	So the principle of preservation by record is superseded			2.4	<b>Demands on the sector</b>	
	<ul style="list-style-type: none"><li>• <b>archaeological</b> interest is ‘<i>an interest in carrying out an</i></li></ul>			2.4.1	PPS5 is due to be succeeded later in 2011 by the National Planning Policy Framework (NPPF), a			



### 3 FINDINGS

#### 3.1 Public involvement and participation

3.1.1 First we should look at the scale of achievements. Heritage Lottery Fund (HLF) and Architectural Heritage Fund (AHF) grants have enabled local groups to save numerous historic buildings. Community archaeology is a growth area and many local groups are actively involved in researching and developing understanding of their local heritage. Communities participate in strategic and local planning, wider stewardship of their local area and the management of sites, monuments and ensembles. The Portable Antiquities Scheme (PAS) has recognised the contribution of responsible metal detectorists as researchers. The British Marine Aggregate Producers Association (BMAPA) protocol, (BMAPA and English Heritage 2003) has encouraged those in the off-shore industries to report archaeological finds from the sea-bed. And the sector wants to do more. Part of that hunger

results from many excellent, innovative examples of involving the public in decision-making, investigation, analysis, reporting and caring for sites, monuments and

*Future pupils of the All Saints Academy in Cheltenham (part of the Building Schools for the Future programme) were able to visit excavations in progress before their new school was built on the site (Photo: Cotswold Archaeology)*



Many local groups are actively involved in researching and developing understanding of their local heritage. There are excellent examples of public participation, alongside commercial organisations, during and after development that demonstrate it can be one of the most treasured opportunities to take part at the cutting edge of discovery.



*Excavation of cellar dwellings in Angel Meadow, a notorious 19th-century slum in the heart of Manchester, now redeveloped for the Co-operative Group, were part of a guided tour during a public open day (Photo: Oxford Archaeology)*

ensembles, and a desire to repeat or beat those exercises. As with other issues, the sector shows great enthusiasm for making today's exceptions the norm for tomorrow, and for experimenting with what might become standard fare for the day after. Some of the most striking – and popular – cases are where the commercial sector has not led communities, offering them opportunities to join in the process, but has supported communities in projects they have designed and driven. The growth of community archaeologists and the investment in developing new soft skills in seasoned researchers and technical practitioners through HLF's *Skills for the future programme* ([www.hlf.org.uk/HowToApply/programmes/Pages/skillsforthefuture.aspx](http://www.hlf.org.uk/HowToApply/programmes/Pages/skillsforthefuture.aspx)) is immensely encouraging. It fits with a national trend, and with government ideologies. A successor to this programme will need to be found.

3.1.2 Conversations within and beyond the Southport Group and during the workshops constantly emphasised the sector's commitment to providing public benefit. It is the *raison d'être* of PPS5, its predecessors and contemporaries elsewhere in the UK; it is one of the key objects of many of the charitable providers of commercial services; it is recognised as the core purpose of archaeology by IfA in its strategic plan and mission statement; it motivates practitioners across the sector. It is based on the recognition that heritage professionals do not conserve or investigate the historic environment for their own edification, or for the entertainment of a small elite. The views of the expert are rightly influential within the planning system, but there are opportunities for public involvement through the democratic process and through any opportunities which follow - although on occasion local communities and individuals lack opportunities or know-how to have their views understood and respected, participate in the thrill of discovery or appreciate the results of new investigations.

3.1.3 It is also recognised by most if not all that we could do much better. This is not a new insight (Farley 2003), and various bodies have at various times set out aspirations and even mechanisms for improvement. Some have gone as far as saying that the shortcomings are evidence of market failure in commercial investigation and interpretation of the historic environment, and only radical restructuring of the market will provide solutions. This point is explored more in section 3.7. Others consider that the necessary improvements will be made if more mature reflection on the role of the historic environment professional in society leads to a change in culture and behaviour.

3.1.4 Archaeology in particular has experienced a swing of the pendulum. From scant provision beyond the herculean efforts of a small band of societies and individuals, the Rescue revolution of the 1970s brought forth funding, jobs, structures (like no other) and, to order the enthusiasm, a much-needed move to professionalism. This led to the formation of a professional institute, the growth of an industry, trade union activity and some regularisation of terms and conditions of employment. The focus of endeavour moved from the weekend to the working week. An unintended consequence was that opportunities for public involvement with threat-led archaeological work reduced. The needs of health and safety and insurance policies are often cited as obstacles to public participation but they can be overcome. But the pendulum is swinging back now, so here too proposals to do more for the public are working with the grain of the sector and of policy.

3.1.5 Any changes to our practice need to recognise that the public is made up of a very diverse set of individuals, including us, with a range of expectations and needs. We know, for example, of groups

- making their views known through the planning process (either at a strategic planning stage or in response to development proposals)
- assisting with the enhancement of Historic Environment Records
- participating in Conservation Area Assessments with expert mediation
- looking after heritage assets (Friends of, or via Adopt-a-Monument or Wreck schemes)
- monitoring change impacting on the historic environment (local stewardship, parish monitor schemes)
- undertaking research and recording (eg Church Recorders, Defence of Britain project, Portable Antiquities Scheme, vernacular building recording or community archaeology projects)

3.1.6 Attitudes to development vary between communities (and frequently tend to the negative). Local voices are frequently raised against individual development proposals that comply with a local plan that was adopted without community comment – the timing is wrong and the opportunity to influence has been lost. The significance attached to local assets by local people can be at stark variance with those used by experts to make national designations recommendations (sometimes wondering why a treasured local landmark is considered pretty ordinary, and on other occasions bewildered by the architectural significance attached to a loathed local monstrosity). Just as local people have often been poorly

	<p>served in the planning process in the past because they do not have the confident grasp of technical language and process, so the new complexities of interests and significance may act as a barrier to participation unless expert translators are on hand or training and guidance is made available.</p>	<p>consulting with underwriters who can be flexible if given notice and explanation</p> <ul style="list-style-type: none"> <li>a greater focus on the public benefit outcomes of projects</li> </ul>
3.1.7	Those facilitating and responding to community wishes need, in their stewardship role, to balance community aspirations and the national interest. That which is unloved locally may be an important and cherished national resource.	
3.1.8	<p>There are excellent examples of public participation alongside commercial organisations during and after development that demonstrate it can be one of the most treasured opportunities to take part at the cutting edge of discovery. But potentially there are obstacles, such as</p> <ul style="list-style-type: none"> <li>any additional project cost can have a significant impact on the chances of successful tendering, if public participation opportunities are not stipulated in briefs</li> <li>concern that ‘amateurs’ may not meet professional standards</li> <li>concerns that the use of volunteers may be seen as undercutting paid competitors</li> <li>restrictions (real or imagined) relating to Health and Safety and insurance</li> <li>short-notice and short-duration projects</li> <li>commercial confidentiality issues</li> </ul>	<p>Greater opportunities for public participation do not mean that professional standards should be compromised. Paid and unpaid practitioners should be professional. Nor should they mean that there is a reduced need for properly resourced, paid input. The terms of the IfA <i>Policy statement</i> on the use of volunteers and students on archaeological projects (IfA 2008) should apply: they state that it is inappropriate for organisations to bid for commercial work if there is the expectation that they will use staff who will not be paid a proper wage, that employers should not use volunteers and students in place of employed staff when funding is agreed for the latter, and that the full extent of volunteer activities in respect of the services offered must be declared and included in submitted written project proposals.</p>
		<p><b>3.1.11 The vision is that management of the historic environment should be a partnership between communities and their local authorities</b></p> <ul style="list-style-type: none"> <li>where the processes of and criteria for decision-making about local heritage assets are understood by all</li> <li>where decisions proactively, confidently and genuinely take account of public values and concerns</li> <li>where decisions are founded on sound knowledge derived from HERs mediated by expert professionals, and from proportionate and appropriate professional research, commissioned by the applicant, into the interests of a place and their significance</li> </ul>
3.1.9	<p>While there will always be projects, or specialist areas of research within them, where public participation is not appropriate, many obstacles can be, and have been, overcome by</p> <ul style="list-style-type: none"> <li>historic environment advisors including a requirement for public participation in the brief, where appropriate</li> <li>recognising that ‘professionals’ are those that subscribe to a set of ethical standards without regard to self-interest, have demonstrated technical competence necessary for their tasks and responsibilities, are committed to developing their skills, and are prepared to be accountable to their peers – the term does not apply exclusively or indeed universally to those that are paid and all engaged in understanding the past can attain professional standards</li> <li>ensuring that potential commercial conflicts of interest are managed</li> <li>undertaking suitable risk assessments and inductions that manage most Health and Safety issues, and</li> </ul>	<p><b>3.1.12 The vision is that commercial investigation and explanation of the historic environment should be commissioned and conducted in a way that</b></p> <ul style="list-style-type: none"> <li>makes opportunities for an appropriate scale and form of public participation in professionally led projects the norm not the exception</li> <li>enables community projects to undertake research that might not otherwise occur</li> <li>complies with professional standards that are recognised by commercial practitioners and the voluntary sector alike, and encourages all involved to acquire new skills and have them recognised</li> <li>recognises the skills required by employed professionals who engage with the public</li> <li>encourages community research to draw from and contribute to the HER</li> </ul>

3.1.13	To address some of the obstacles to fuller participation and to realise opportunities the Southport Group makes the following recommendations	
1	Publicise best practice and opportunity in community participation	<p>One or more of the National Amenity Societies conducts a survey of the present range of opportunities for and examples of community participation in all areas of historic environment practice, expanding the scope of the CBA report (Farley 2003). It should assess where public values reside and what works well and what doesn’t, publish a suite of good practice examples, and identify gaps in skills and resources</p> <p>IHBC and IfA promote to their members good practice examples of community involvement in historic environment projects arising through the planning process, including adherence to the IfA policy statement on the use of volunteers (IfA 2008)</p>
2	Guidance on local designation	English Heritage in partnership with the sector produces case studies and detailed practical guidance on local designation and characterisation, including use of the HER (NHPP Activity 5A4)
3	Community training in principles	<p>One or more of the National Amenity Societies works with English Heritage to provide training for communities in PPS5 principles and their application through the planning process, building on the successful model of the CBA/Association of Industrial Archaeology training events in recent years (funded by EH)</p>
4	Standards and guidance on public participation	<p>IfA and ALGAO produce, in their Standard and guidance for archaeological advice by historic environment services, guidance on the steps planning authorities may take to encourage or require planning applicants and their agents to make provision for public participation during and after development. It should recognise that innovative forms of engagement may produce more public benefit than conventional publication. It should promote the mechanisms used by local authorities already regularly requiring public participation</p> <p>IfA revises its Standards and guidance to advise that Written Schemes of Investigation should include statements on public benefit, and more detailed proposals on dissemination and community participation</p> <p>IfA reminds members of the provisions of the policy statement on the use of volunteers and students</p>
5	Training and new protocols to overcome obstacles to public participation in commercialprojects	<p>Archaeology Training Forum (ATF) members work with community groups, their representatives, the Nautical Archaeology Society (NAS) and PAS to promote the National Vocational Qualification (NVQ) in Archaeological Practice as a means of demonstrating competence to professional standards</p> <p>EH, IHBC, in collaboration with expertise from across the sector (eg RICS, RIBA, the IfA Buildings Archaeology Group, the Conservation Course Directors Forum, Vernacular Architecture Group, ATF, Historic Environment Forum),work together to help the sector skills councils create an integrated set of historic environment National Occupational Standards (NOS) and NVQs (NHPP Activity 2E1)</p> <p>HLF and others should explore a successor programme to <i>Skills for the future</i></p> <p>FAME explores with its Health and Safety advisors the issues surrounding public participation in historic environment work on construction sites, and publishes recommendations to its members</p> <p>IfA explores with the insurance industry the issues surrounding public participation in historic environment work on construction sites, and publishes recommendations to its members</p>
6	Meaningful new initiatives for public participation	<p>The Subject Committee For Archaeology (SCFA) and ADS explore with CBA and EH the scope for mass participation data-gathering or data-crunching projects, as used in astronomy by Galaxy Zoo. RCAHMS’s <i>MyCanmore</i> and <i>Scotland’s Places</i> provide other models for engaging the public in the study of the historic environment</p> <p>ALGAO, IHBC and EH explore ways of making HERs more accessible and user friendly, to link to other environmental data sets, and publish literature promoting their value and potential, including through HELM</p> <p>ALGAO, IHBC and EH provide training for HER staff on public engagement and for the public on HER use and potential, including opportunities for volunteering and the contribution of new or digitised data sets</p>
7	Wider subscription to professional standards	IfA and IHBC promote the benefits of membership of their organisations to the voluntary sector



3.2 Research

- 3.2.1 The Southport Group has noted apparently universal recognition that work commissioned under PPG 16 and to a lesser extent PPG 15 has resulted in a massive increase in new data (Thomas 1991) with the potential to revolutionise understanding of the prehistory and history of England. As a result of parallel approaches to the management of development in accordance with the principles of the Valletta Convention, equally ground-breaking new interpretations can be made elsewhere in the UK and beyond.
- 3.2.2 Underpinning the accumulation of new information was the concept of preservation by record: where the heritage asset itself cannot be retained enough information can be gathered to allow its virtual reconstruction. Many archaeologists have been uncomfortable with a conceptual approach that appears to encourage proclivities towards treating recording as a separate and possibly purer exercise than interpretation – partly because it pulls against the direction of travel in archaeological theory over the past quarter century, and partly because the underpinning tenet that the archive from an investigation allows a faithful reconstruction has been tested rarely, and where it has been has proved less than reassuring.
- 3.2.3 PPS5 changes that basis. Echoing concerns about the validity of describing recording as mitigation (eg Thomas 2010) it takes an approach of offsetting: compensating for example lessening the significance of a site or structure’s archaeological interest (see section 2.3.9). Translated, this means that understanding has explicitly superseded recording as the prime objective of conditioned investigation. If there ever was a justification for considering (or selling) such work as anything other than research driven, it has now gone. Projects need to be explicit about their intended research outcomes, and be managed according to them.
- 3.2.4 One perceived implication of this is that it permits those specifying historic environment work to require more focus in research designs. We could, generally, ‘do less better’. A clumsy approach to this concept should be avoided: while at a national level there may be limited value in asking the same old questions of the same old site-type, a different set of questions answered by innovative methods may prove immensely rewarding; and at a local level passing up an opportunity to investigate part of the community’s heritage is likely neither to be understood nor forgiven. The trick is to design a project that demonstrably gives value to all.

- 3.2.5 In theory, projects assessing or enhancing the significance of sites and structures should be underpinned by and feed back into research frameworks. Often they are not, and the questions being asked are pitched at too high a level for the potential of single, relatively small-scale projects. This, and a view that many research frameworks are too large and insufficiently prioritise objectives, can lead to disappointment and disengagement from the focus on research: sometimes research questions are posed in the project design by obligation and cited in the report, but there is no comment on the success of the project in meeting them.
- 3.2.6 Research frameworks also tend to be stronger on archaeological and historical interest than on the architectural and artistic, and even so some tend to give less regard to the built environment.
- 3.2.7 Another issue, again relating to the technocratic ancestry of the PPG 16 ethos, relates either to the research competence or to the confidence of the historic environment practitioner leading the project. Research skills are inculcated into all graduates (making up over 99% of the recent intake into archaeological employment, Aitchison & Edwards 2008), and pertinent ones into archaeology graduates; but there is a clear need to encourage these abilities, the presence or absence of which is not determined by whether the researcher is based in academe or commerce.
- 3.2.8 There has been some concern about the role of consultants in ensuring good quality research, with a wide range of attitudes to commercially funded research.
- 3.2.9 While promoting the culture of research, researchers outside the planning context should recognise that many reports are designed to inform planning decisions and may not need to push forward the frontiers of knowledge. Not all grey literature is supposed to be a good read.
- 3.2.10 Of widespread concern is the apparent lack of awareness in higher education of the wealth of information generated by planning-led research and how to access it. Notable exceptions are period-based trawls through the published and grey literature, some with attendant drive-by synthesis, for example by Richard Bradley (Bradley 2006) and by Mike Fulford and Neil Holbrook (Fulford and Holbrook 2011). Researchers need to be aware that results are published in a variety of formats and media, not just books and journals: perhaps more advice is needed on where to look. Digital GIS-based HERs, ADS’

There are excellent examples of universities and commercial organisations collaborating on research; however, the structural separation of most university and commercially-funded research organisations remains worrying and mechanisms are needed to foster partnership and share results and new thinking.



Excavation of the Low Ground Barrow Cemetery at Needingworth Quarry, Cambridgeshire. Support by Hansen Aggregates has allowed an innovative programme of investigation and research by Cambridge Archaeological Unit resulting in exceptional opportunities for re-defining various aspects of prehistory (Photo: Dave Webb)

Grey Literature Library collection and English Heritage’s Heritage Gateway provide useful starting points.

- 3.2.11 There is a view that too many university archaeology departments have been forced substantially to disengage from British archaeology by the emphasis of the former Research Assessment Exercise on research of international quality, and by the funding that attached to it.
- 3.2.12 This lack of awareness is often seen as a gap of mutual understanding and engagement between universities and commercially-funded practice. The above examples indicate that it does not universally apply, as do the many instances where university staff have joined project teams as academic advisers and the even more frequent examples where university researchers have served as academic referees for peer-reviewed publications – at the end of the process.
- 3.2.13 There are excellent examples of universities and commercial organisations collaborating on research. The structural separation of university and commercially-funded research organisations nevertheless remains worrying, not least from the point of view of enhancing the career progression of the individuals and the perceived relevance of the institutions, a bigger concern is the failure

of endeavour in the two camps to inform the other. Conferences provide one opportunity for exchanges of understanding on current research, but the different communities still tend to favour different events.

- 3.2.14 Perhaps the solution is not to worry too much about ensuring a thin sprinkling of academic researchers across the field of commercial endeavour – tokenism can reinforce division – but in placing greater emphasis on making sure that all project teams have or have access to all the relevant skills sets, bringing in experts as needed from wherever they happen to be based.
- 3.2.15 **The vision is that planning-led research into the historic environment should**
- be a collaborative venture involving commercially-funded, local authority, higher education, special interest groups and voluntary sector – studying the built, buried and underwater historic environment
  - be focused on interpretation, understanding and significance, not record alone
  - be innovative, targeted and proportionate, meaningfully based on and contributing to research agenda and HERs
  - take account of the wealth of data from planning-led

	<p>projects and of current academic thought</p> <ul style="list-style-type: none"> <li>• <b>increase understanding of places on a project-by-project basis and of areas, periods and themes on a synthetic basis</b></li> <li>• <b>be led by people with competence and confidence in undertaking research, and should develop those skills in other members of the project</b></li> <li>• <b>include in the project team people with the skills,</b></li> </ul>	<p><b>knowledge and understanding appropriate to the research questions</b></p> <ul style="list-style-type: none"> <li>• <b>envisage from the outset methods of dissemination that reach and bring together different communities of thought and practice</b></li> <li>• <b>be confidently presented to funders as a key process for providing genuine public benefit from their investment</b></li> </ul>
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3.2.16 To foster greater focus on research and more collaborative effort, the Southport Group makes the following recommendations

8	Review and revision of Research Frameworks	<p>EH commissions a critical review of how and by whom research frameworks, where they exist, have been created and how they contribute to national heritage protection through informed decision-making, and of their strengths and weaknesses (including as forums for continuing debate). EH should consider facilitating a new generation of revised, pan-historic environment frameworks eg by developing a new model and methodology for updating existing frameworks, eg open source (contributing to NHPP)</p> <p>SCFA, IfA, IHBC, FAME and ALGAO to advise researchers, through developing relationships with commercial organisations, how to demonstrate impact within the Research Excellence Framework</p>
9	New research advisers and research panels	<p>EH considers assigning some of its staff and commissioning university and other experts to act as specialist and research advisers on the model of regional science advisers. Such advisers could help draw out the research value of projects and proposed projects – early engagement is important to maximise their potential to contribute to synthesis, and to ensure project findings feed back into research frameworks. They could also convene research panels, and advise on appropriate peer review and publication (contributing to NHPP)</p>
10	Funding to support commercial / academic collaborations	<p>EH working with SCFA encourages researchers to secure more funding from the Research Councils and elsewhere to permit collaborative (between universities and commercial enterprises) period-based or thematic syntheses of planning-led research findings. Approaches could include embedding research liaison officers in a variety of organisations with different roles, offering secondments between commercially-funded organisations, local government and universities (contributing to NHPP)</p>
11	Intra-sector communications initiatives	<p>SCFA, Conservation Course Directors Forum, Archaeological Investigations Project (AIP) and ATF encourage all universities to ensure that students (and teachers) of historic environment subjects are made aware of the wealth of information generated by planning-led research and how to access it through HERs, especially those available on line</p> <p>SCFA and FAME, working with EH, IHBC, CBA and ALGAO, lead on exploring mechanisms to share news of current research interests. Short courses will be particularly effective. Those mechanisms should promote more opportunities for collaborative working including better engagement with/contribution to Arts and Humanities Research Council (AHRC) projects, to the standing seminar on post-graduate research. They should explore ‘wiki-style’ open feedback research, where research aims are developed as a pilot project progresses, regional research panels and seminars and a greater role for local government</p> <p>IfA and IHBC use their conference, journal and magazine to promote innovative collaborations, and to forge links with specialist science and artefact groups</p> <p>IfA and IHBC work with SCFA to make their annual conference/school more appealing to university audiences, and SCFA plays an active role in promoting it</p>
12	Updated and new Standards and guidance	<p>IfA revises its standards and guidance to promote greater focus on creating project teams with the right areas of research expertise to identify the interest and significance of sites, monuments and ensembles. They should recommend the inclusion of a research value statement in published reports and grey literature, reflecting on the success of the project in addressing its initial or other research aims (with reference to the regional framework wherever possible), and the potential to contribute to synthetic studies beyond the compass of the project. The principles of MAP2, carried forward through MoRPHE, should be emphasised</p>

IfA and ALGAO include in the forthcoming Standard and guidance for archaeological advice by historic environment services guidance on ensuring that conditioned investigations have a sound research design and access to research advice. Such designs should address national objectives through iterative refinement of questions and methodologies, and local objectives through research-focused engagement and dissemination; and should recognise that different audiences seek different kinds of knowledge. The process of writing research designs takes account of historic landscape characterisation

IfA and FAME prepare and promote a Standard and guidance for consultants offering guidance on a range of issues including research quality

IfA in its promotion of historic environment practice promotes research as an essential public- and client-benefit of all projects, and discourages any residual apologist rhetoric on research

Special interest groups and period- or material-based research group should consider specialist guidance on the implementation of PPS5 principles in research

### 3.3 Accessible archives and dissemination

3.3.1 The consensus is that archives are often seen as an inconvenient by-product of a project and that once in store they are forgotten and unused. In reality they can be regularly accessed to inform other projects, whether planning-led or academic, and they also serve to inform a growing knowledge base in museums (as the typical archive repository) and the communities they serve. The

archive is a resource that facilitates the work of researchers, schools and other learning groups and individuals from a wide range of backgrounds. Archaeological archives are the principal source of information about the archaeology of a locale or a subject. They have the potential to inform and enhance many routes of enquiry into the past, including HERs, the ADS Grey Literature Library and County Record Offices.

Archives inform a growing knowledge base in museums and the communities they serve; they facilitate the work of individuals, researchers, schools and other learning groups, and both enhance existing routes of enquiry (including HERs and the ADS Grey Literature Library) and open up new curiosities.



Post-graduate researchers at work with an archaeological archive (Photo: Duncan Brown)

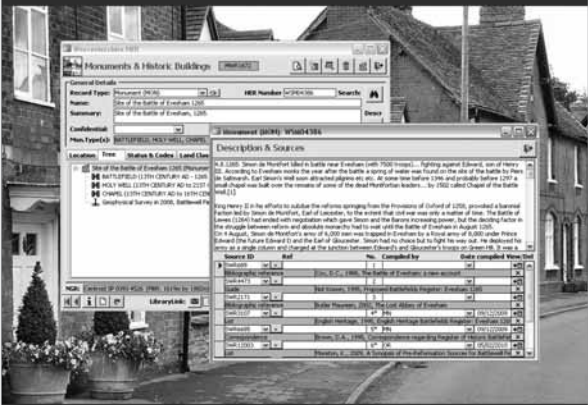


- 3.3.2 The view that archives have no life beyond that of the project that generated them has often meant that archive creation and compilation is compromised. This is because, as it is not regarded as a priority, it is usually carried out at the end of a project, when the budget is under pressure.
- 3.3.3 Although there are national standards for archiving archaeological material, those at individual repositories can vary. This can be a problem for commercial organisations.
- 3.3.4 Many repositories are unable to achieve acceptable standards of curation for digital material.
- 3.3.5 Archaeology stores are full to capacity, to the extent that more and more museums/repositories cannot control the rate of collection of archaeological material because they have no influence on the extent of archaeological work in their area
- 3.3.6 Archives resulting from archaeological projects are seen to be increasing in size as new techniques and research interests are developed. Selection of the material to be curated in perpetuity should be informed by the aims of the project, and the potential for that material to inform future research. This means considering the value of each aspect of the archive rather than classes of artefact or ecofact in general. Such project-specific and research-based criteria should inform the archive selection process and a framework for selection needs to be developed as part of project planning. Museums or repositories should be able to select additional recovered material for curation as part of their own collecting priorities.
- 3.3.7 Largely owing to the pressure on planning departments to discharge conditions at too early a stage, the planning process does not successfully monitor archive delivery. Archive transfer may be completed long after the planning process has any purchase.
- 3.3.8 There are problems with the transfer of title to physical archives, which is a cumbersome and time-consuming process which contractors and developers find difficult. The transfer of digital archives, and access to them, is more readily achieved.
- 3.3.9 For projects in many areas there is no repository for the archive generated, which causes serious problems to the organisations that have created them (<http://www.famearchaeology.co.uk/2010/11/fame-highlights-storage-crisis/>).

- 3.3.10 There may be little synchronisation between museums/ repositories and other research resources such as HERs, record offices and universities. Many museums/ repositories are also finding it difficult to provide the levels of expertise required properly to facilitate access to collections.
- 3.3.11 The results of investigation projects can be published in many different ways, and in the field of archaeology there have been notable innovations (see CBA 2001). Access to new knowledge is discussed in section 3.2 of this report: here we consider the vehicles and media for dissemination.
- 3.3.12 There are many options for the dissemination of information to different audiences, including oral presentation, exhibitions, displays, interaction, participation (see 3.1), digital media and a variety of print formats. The best choices are not always made for a wide range of potential audiences, which might include clients, planners, technical experts, the community, schools and researchers. Many feel that too much effort is spent on process and not enough on product. Identifying in project planning the interests and the net cultural significance of the site, structure or landscape should play a part in determining which medium is appropriate to which audience.
- 3.3.13 Individual projects often do not lend themselves to detailed publication: syntheses and themed delivery may be better.
- 3.3.14 It should be recognised that for many people, the process of discovery is more captivating than learning about the results. Archaeologists should be prepared to make confident decisions and on occasion to prioritise innovative and ephemeral dissemination over conventional publication. Communication plans for projects could engage people throughout the life of the project and stimulate the dissemination of results and interpretations in more innovative and far-reaching ways.
- 3.3.15 At the heart of the management of historic environment in the planning process lies the HER, itself a dissemination vehicle of huge but under-used potential that needs to be widely promoted, understood and used. There is a need to enhance HERs to ensure that they are comprehensive in their treatment of different areas of the historic environment, are accessible on line, have sufficient functionality, and are recognised as a core responsibility of local authorities.

At the heart of the management of historic environment in the planning process lies the HER, itself a dissemination vehicle of huge but under-used potential that needs to be widely promoted, understood and used.

Worcestershire Historic Environment & Archaeology Service  
Providing specialist information and advice to the public, local authorities and developers



**Historic Environment Record Search**  
**Battle Well Pond, Evesham**  
**HER Event Number: WSM45787**  
**22<sup>nd</sup> June 2011**

Find out more online at [www.worcestershire.gov.uk/archaeology](http://www.worcestershire.gov.uk/archaeology)

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- 3.3.16 The vision for accessible archives and dissemination is
- a network of resource centres, related to existing museum structures and supporting appropriate expertise, that curate archaeology collections (records and material) and provide access to all types of information on the historic environment for a wide variety of users
  - the establishment of those resource centres as hubs for research, linked to life-long learning, schools, research interest groups, museums, other archives, on-line resources such as the Archaeology Data Service (ADS), planning departments and HERs
  - the development of a service for the provision of advice on the creation and compilation of archaeological archives and the monitoring of archive work
  - historic environment resources prepared to common or compatible standards, using selection criteria that ensure they contain those data and materials that have the potential to inform future research
  - use of a variety of methods for dissemination that inform as wide an audience as possible and promote enjoyment of the study and understanding of the past

Image courtesy of Worcestershire County Council Historic Environment Record

The vision is for a network of resource centres related to existing museum structures and supporting appropriate expertise, that curate archaeology collections (records and material) and provide wide access, in many forms, to all types of information on the historic environment for a wide variety of users



A model in the management of archaeological archives: the London Archaeological Archive and Research Centre (LAARC) provides facilities for both storage and access to historic environment archives (Photo: Museum of London Archaeology)

3.3.17 To promote the creation and use of Resource Centres that will curate ordered, accessible, meaningful archaeological archives, and user-focused dissemination, the Southport Group recommends

13 Raising the profile of archaeological archives	The SMA undertake an evaluation of archive deposition and use and also update the existing map of repository collecting areas, assessing potential in particular areas for establishing resource centres (contributing to NHPP)
	The AAF work with other organisations such as the Arts Council and the Museums Association to identify and promote good practice case studies for the curation and use of archaeological archives, with the aim of raising the profile of archaeological collections as a resource for discovery, inspiration, learning and information
	AAF, IfA and IHBC provide CPD opportunities for local authority historic environment advisors on archive issues
	AAF, IfA and FAME provide CPD opportunities on archive issues for those investigating the historic environment – and encourage participants to become archive champions

14 Improved standards and better guidance for archive compilation and curation	The AAF archive guide is updated to include guidance on the selection and retention of finds (Brown 2007, 29)
	The AAF, SMA and ALGAO work with IHBC, IfA, FAME and others to develop new protocols for consistent preparation and deposition of archives generated through commercial building research, for example via OASIS 2 and HERS
	The AAF, SMA, ALGAO and IfA promotes an advisory network of archive specialists who will be able to help museums/repositories develop local standards for the creation, compilation and transfer of archaeological archives. They will also provide advice to those who monitor archaeological projects and those who undertake them
	IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on ensuring archive deposition. It should include advice on requirements to meet nationally accepted standards, staged discharge of conditions, Planning Intervention Points or performance bonds linked to deposition (and if lawful, transfer of title)
	IfA and ALGAO produce, in their Standard and guidance for archaeological advice by historic environment services, guidance on the steps planning authorities may take to encourage or require planning applicants and their agents to make provision for public dissemination during and after development. It should recognise that innovative forms of engagement may produce more public benefit than conventional publication
	IfA revises its Standards and guidance on excavation, field evaluation and archaeological building investigation and recording to include more advice on specifying and tracking archive creation, care and compilation during a project
	FAME and IfA provide information for clients on title to objects, and IfA seeks to persuade the Institution of Civil Engineers to include suitable clauses in revised conditions of contract and supporting guidance

15 Development of resource centres	English Heritage researches the case for considering resource centres or repositories as infrastructure eligible for grant-aiding under the Community Infrastructure Levy, and then makes representations to all relevant planning authorities
	The collection area mapping project should provide information on potential areas where resource centres could be created. In some areas ‘regional’ repositories or hubs – such as the London Archaeological Archives Resource Centre (LAARC) – with access digitally through gateways at HERs and local museums would provide more cost-effective and better service for researchers
	Consortia (including contractors holding archives for which there is presently no repository) use existing AAF guidance to develop applications to HLF and other bodies for capital grant funding for resource centres. Consideration should be given to appropriate accreditation
	EH and AAF discuss with HLF potential for revenue grant or endowment funding for resource centres

16 Enhancement of HERS	EH working with ALGAO and IHBC invests in HERs to broaden content, increase the number of HERs on Heritage Gateway, enhance and support auditing and help build new interoperability and functionality (contributing to NHPP)
	TAF and EH should advocate for a statutory duty for local authorities to support or have access to a HER service (in line with the provisions of the draft Heritage Protection Bill)

ALGAO should provide guidance on charging policies and copyright, recognising the need to remove all unnecessary obstacles to non-commercial research

17 Dissemination strategies	CBA reviews its Publication of Archaeological Projects: User Needs Survey (PUNS) report and publish revised recommendations on the range of dissemination strategies available (including HERs, displays and activities in museums, local facilities and the public realm), and on their application
	IfA revises its Standards and guidance on excavation, field evaluation and archaeological building investigation and recording to include stronger advice on specifying dissemination outputs in the Written Scheme of Information (WSI)

3.4 A divided sector?

3.4.1 The historic environment sector is diverse. It has many specialisms (many of which span the paid, unpaid, commercial and academic communities) and not surprisingly therefore it has many different specialist organisations. The management and study of the historic environment involves various roles, and there are organisations representing each and every one. It has a long history, with notable divergences and convergences in law, practice, philosophy, training, culture and voluntary involvement between architectural historians, archaeologists, landscape scientists, antiquarians, museologists, archivists and planners.

3.4.2 For the promotion of good practice in specialist disciplines, sectoral biodiversity is a strength. It allows for detailed scrutiny and innovation that are beyond the reach of the generalist. For making the sector’s voice heard, and for creating the kind of tectonic movement that the Southport Group proposes, the failure of specialist bodies to speak and act together is a weakness.

3.4.3 For advocacy there are umbrellas within umbrellas. Individual organisations lobby and respond to consultations, sometimes with messages that benefit the whole sector (or seek to help the whole sector benefit the public), and sometimes to pursue self-interest. Some groupings band together for the purposes of policy promotion, for example the ‘non-central-government’ archaeology bodies’ in The Archaeology Forum (TAF). In England, voluntary sector (an uncomfortable euphemism for non-central-government and non-local-government) organisations from across the sector advocate under the banner of The Heritage Alliance (THA). Some of these bodies, along with organisations with links to central or local government, are admitted to the table by the Historic Environment Forum (HEF), formerly HEREC, which now has a clear relationship with regional HEFs.

3.4.4 In terms of professional structures, there are overlapping and clearly separate organisations. While IfA and IHBC

overlap in areas they perform different roles: one tends to specialist members whose professional home of primary affiliation may be architecture, surveying and planning; the other is now a more generalist organisation with special interest groups. There are overlaps too between conservators in Institute for Conservation (ICON) and conservation professionals in IHBC, and between archaeological conservators in ICON, archaeologists in IfA and archaeologists in IHBC. Some archaeological illustrators and surveyors have a separate association, Association of Archaeological Illustrators and Surveyors (AAI&S), though that organisation and IfA are at an advanced stage of merger talks. The Museums Association (MA) overlaps with the separate specialist grouping, the Society of Museum Archaeologists (SMA). Other professional bodies have other missions, but have historic environment practitioners in their ranks: Royal Institution of Chartered Surveyors (RICS), Royal Institute of British Architects (RIBA), Royal Town Planning Institute (RTPI), Chartered Institute of Building (CIOB), the Landscape Institute (LI) and so forth.

3.4.5 There are specialist associations. ALGAO represents archaeologists in local government; the former Association of Conservation Officers is subsumed within IHBC. There is an Association of Environmental Archaeologists (AEA), and specialist groups for almost every period and type of archaeological artefact. Archaeological employers and manages are represented by FAME.

3.4.6 There are national amenity societies, learned societies, county and local archaeology societies, period societies, councils of societies.

3.4.7 Now is a good time to map the structures of the sector, to identify the overlaps and redundancies – gaps if there are any – and to suggest to some bodies that they review their remits in relation to each other.

3.4.8 In terms of function there are the recognisably different but mutually dependent roles of conservation and investigation. An inaccurate shorthand still refers to these



	roles as ‘buildings’ and ‘archaeology’, a confusion of different parts of the historic environment and different interactions with it that serves to prolong sectoral divisions and misunderstandings.	between them concerning potential unfair advantages in others’ arrangements for governance and finance. There is evidently an appetite for ‘breaking down the silos’, and for more collaborative working. There needs to be a move from an adversarial approach and for all historic environment professionals to recognise their stewardship responsibilities. Clearer guidance for consultants is being produced in parallel with that for curators.
3.4.9	That there are two cultures here is undeniable, for all that the edges blur. At the workshops in 2011 it was noted that one practices according to a legislative framework that dates to the 1940s, the other sees its legal ancestry as dating all the way back to MDCCCLXXXII. The differences of approach that this legislative separation caused have had a profound effect on product and the types of public benefit that ensues. Those with an archaeological focus have seen it as fundamental to ensure a long-lasting record in the HER and archive centre and through publication; those with a built environment/conservation focus have tended to view records as enabling informed decision-making rather than being an end in themselves. Protocols based on shared best practice have greater potential to benefit all.	3.4.12 The investment by local authority historic environment advisers will almost certainly be scaled back as a result of cuts to local authorities, and recommendations are made in section 3.7. Far greater understanding would be achieved with increased first-hand experience of working in other roles.
		3.4.13 Divisions between paid and unpaid work in the historic environment are also an issue here, but are discussed in section 3.1.10.
3.4.10	The best way to encourage convergence which still recognises the strengths of a diverse sector seems to be to concentrate on agreeing and then specifying what the outputs should be, and offering guidance on how they might be achieved. Recommendations relating to this appear in section 3.7.	<b>3.4.14 The vision for a collaborative sector is that it should</b> <ul style="list-style-type: none"> <li>• <b>draw strengths from its diverse range of specialisms accepting, in a climate of mutual respect, what each has to offer</b></li> <li>• <b>foster innovation and development in specialist groups</b></li> <li>• <b>act collectively to influence and implement historic environment policy</b></li> <li>• <b>collaborate wherever possible to maximise efficiency and effectiveness</b></li> <li>• <b>work with the recognition that the performance of different roles, particularly in the planning process, does not necessarily require an adversarial approach</b></li> <li>• <b>share approaches, cultures, working practices and standards that are applicable to the investigation and management of all types of heritage asset</b></li> <li>• <b>encourage and rely on confident professionalism</b></li> </ul>
3.4.11	Within the planning process there is a curatorial role which is separate from the less clearly defined functions of contractor and consultant. Cooperation within multi-disciplinary planning teams allows multi-disciplinary advisors to ensure that historic environment decisions are balanced, proportionate and fit for purpose. Contracting and consulting organisations may be independent or hosted in a variety of structures of private, public or hybrid sector origin – and there is a degree of mistrust	
3.4.15	To make the most of the many specialist skills in the sector, the Southport Group makes the following recommendations	
18	Investigation of the built historic environment	EH with Southport Group members, built environment professional bodies and other built environment research organisations convene a workshop on developing understanding of potential public value from investigation in the historic built environment, addressing issues specific to the built historic environment
19	Collaborative working	<p>CBA and The Heritage Alliance map sector bodies to explain to the sector and its partners the value of diversity. They should make recommendations on closer working or consideration of merger where duplication, redundancy or potential inefficiency is apparent</p> <p>Organisations with informal working relationships consider formalising them through memoranda of understanding committing themselves to increased – and obvious – joint working</p> <p>IfA and ALGAO promote their Standard and guidance for Stewardship of the Historic Environment to remind all parties of their stewardship responsibilities</p>

20	New and improved Standards and guidance	<p>IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on relying much more on professional self-regulation of the quality of historic environment work, and on ensuring genuinely multi-disciplinary project teams</p> <p>IfA prepares a Standard and guidance for consultancy</p> <p>IHBC reviews IfA Standards and guidance and considers adopting them as approved good practice for IHBC members, and/or makes recommendations to IfA on improvements</p> <p>IfA facilitates all practitioners in the sector in reviewing the IfA Standard and guidance for stewardship, and in reflecting on their shared responsibilities regardless of role</p>
21	Specialist and multi-disciplinary training and CPD	<p>FAME and IfA promote and identify learning tools for archaeological project managers, helping generalists hone the skills required for managing complex multidisciplinary teams</p> <p>IfA, IHBC and specialist groups and associations provide CPD training for sector practitioners on the contribution different specialisms can bring to a project</p> <p>IfA/ALGAO/FAME/EH/IHBC/HLF develop a programme of secondments to develop cross-sector skills and break down institutional barriers to cooperative working</p>

### 3.5 The developer’s perspective

3.5.1	It is paramount for the protection of the historic environment, and the relationship between the sectors, that the principles of PPS5 are applied consistently across the country, whatever the project. It also needs to be recognised that the historic environment is one factor of many in the complex process of procuring development. It is incumbent on the commercial historic environment sector to become more integrated into the industry they work with so closely.	
3.5.2	Historic environment professionals offer both risk management and opportunity management to developers, through an understanding of how heritage work can impact on the development process, both negatively and positively. Risk management identifies and minimises cost and disruption; opportunity management assists in place-shaping, marketing, meeting carbon reduction and other environmental responsibilities, and Corporate Social Responsibility.	
3.5.3	Some developments, particularly in the minerals industry, find the cost of pre-determination investment in research difficult, especially where there is the potential for the presence of heritage assets to prevent the scheme going ahead. Concerns have been expressed about making this stage of the work too public for fear of stimulating a nimby response from local communities.	
3.5.4	However, developers would benefit at pre-determination from making the case that the community would benefit from realising the potential	
		in the archaeological and historic interest of an asset by enhancing the historic significance of an area through imaginative dissemination and increased understanding. Such arguments would bring a strong research emphasis to bear at the development’s design stage, and could assist a planning application, though care would be needed to express them in terms of the balance of interests, mindful of policy HE12.1 ‘ <i>A documentary record of our past is not as valuable as retaining the heritage asset, and therefore the ability to record evidence of our past should not be a factor in deciding whether a proposal that would result in a heritage asset’s destruction should be given consent.</i> ’
3.5.5	At a post-determination stage there are many attractions in highlighting historic environment work as it can be used to create a sense of place and identity for a new development, grounding it in the locale and offering valuable marketing potential. This can include displaying or acknowledging the past history of a site in private areas and in the public realm.	
3.5.6	Developers recognise that the most publicly resonant stage of archaeological work is excavation, and that properly displayed (including opportunities for public participation) it can add value to a scheme. It is a more appealing product than a short-run academic report, and it is there at a much more useful stage in the development cycle – often between demolition and construction when lack of activity can create a negative impression of the development’s viability.	
3.5.7	Developers welcome the move from mitigation to	

	enhancing significance as it recognises the positive role the historic environment can play in place-shaping. It allows their investment to be used positively. In moving away from a ‘removing constraints’ model it has the potential to change archaeology, for example, from a distress purchase to be secured at minimum cost to a service that adds value to the development in proportion to the quality of the work.	
3.5.8	The heritage sector now needs to increase its understanding of the development sector. It should make its case better to planners. It should develop further the products it provides to the property sector, making the offers outlined above into more tangible propositions. While continuing to provide sound risk assessment and management services it should reposition itself as a value-creating contributor to design, public relations and marketing, capable of accelerating gain. In doing so it	<p>3.5.9 <b>The vision for a sector that consistently adds value to development includes</b></p> <ul style="list-style-type: none"> <li>• <b>no facility for the provision of low-quality historic environment services</b></li> <li>• <b>products that add value to sustainable development pre-determination, post-determination and post-construction</b></li> <li>• <b>services and products that reconnect communities with their history</b></li> <li>• <b>recognition of a higher-value archaeological service, contributing to design, brand, place-shaping, securing consents, risk management, PR, CSR, marketing and sales/rental values</b></li> </ul>
3.5.10	To deliver valued services to developers and to improve the offer to the public, the Southport Group makes the following recommendations	
22	Adding value to development	<p>BPF, FAME and IfA, with others, publish a new code or ‘concordat’ to update and replace the BPF-SCAUM <i>Code of Practice</i>, setting out obligations, understandings, contributions and opportunities, and promote it widely through the full range of relevant institutes</p> <p>FAME and IfA enhance their promotion of members’ services to cover the whole range of contributions they can make</p> <p>IfA provide CPD opportunities for developers on the contribution historic environment professionals can make in adding value at pre-planning stages as well as in maximising benefits and value from their work</p> <p>IfA and FAME offer CPD opportunities to their members on professional issues and practice in the construction sector (eg CIOB’s <i>An inclusive definition of construction management</i>)</p>

### 3.6 Characteristics of the market for historic environment services

3.6.1 The Southport Group commissioned a report from the London School of Economics, which was prepared by Kath Scanlon, Melissa Fernandez, Tony Travers and Christine Whitehead.

3.6.2 The report is reproduced at Annex 1. Its executive summary reads

3.6.2.1 Archaeologists became heavily involved in the planning process after 1990, when policy guidance was first published requiring the investigation of possible heritage sites as a precondition for planning permission. Developers pay for the archaeologists’ investigations and generally consider this to be a straightforward cost from which they receive little

should explore with its client sector a more suitable procurement models than the price-driven, lowest-price-to-secure-minimum-compliance approach that predominates at present.

direct benefit, apart from planning permission. Without the regulations developer demand for archaeologists’ services would be much lower – although some developers (those with a particular interest in the field, those who own sites of particular interest, or those who see it as a public relations tool) would still commission work.

3.6.2.2 Local authority archaeologists, also known as archaeological curators, set out the extent and type of investigations that developers must provide, and usually specify that the results of investigations must be published. Findings are usually published in academic journals or monographs. Developers are required to store the excavated artefacts in county museums or other suitable repositories for the benefit of future researchers. Museums are increasingly reluctant to accept these as they occupy a lot of space

and are rarely accessed.

3.6.2.3 The objective of the regulation is to preserve heritage value in the face of development and market pressures. Heritage assets are generally considered to be public goods, in that their enjoyment by one person does not limit others’ ability to enjoy them, and individuals cannot be prevented from enjoying them. The main public good element of archaeological assets is seen to be the *information* they embody, not the artefacts themselves.

3.6.2.4 Economists have developed techniques for estimating the total value to society of environmental assets, including heritage assets. The Total Economic Value of a heritage asset to an individual is the sum of *use value* (the value they place on using or observing the asset), *option value* (the value they place on preserving the asset for themselves/future generations to use later) and *existence value* (the value they place on the asset’s existence, even though they never expect to use or see it)<sup>1</sup>. As the asset is available to all, the value to society is the sum of all individual values.

3.6.2.5 The outcomes of the current system have high existence value, as assets are generally investigated and the information they contain extracted and analysed. However use value is relatively low, as the public is not normally involved in investigations, the results are published in specialist journals and the artefacts are stored in museum warehouses.

3.6.2.6 The goal should be to produce outcomes (records, publications or activities) that maximize the value to society, given the costs<sup>2</sup> involved. It may therefore be appropriate to encourage outcomes that produce use value as well as existence value – that is, that include public outreach, allow access to sites and artefacts, and inform a non specialist audience. Although there are some good examples of community outreach and public participation in archaeological excavations, which current government guidance supports, they are far from universal so Total Economic Value is almost certainly not maximised.

3.6.2.7 Because developers generally perceive little direct benefit from archaeological investigations, contracts are often won on price alone. This has given rise to concerns within the profession about quality control. The simplest way to enforce quality control is a licence

requirement, but this should be linked to an understanding of how to maximise value. If there are problems of assessing quality and reputation, bidders could be asked to identify what they did in earlier successful bids to maximise value as well as limit costs.

3.6.2.8 The market currently produces a least-cost means of meeting regulatory requirement. The objective should however be to maximize the net value to society, including use, existence and option values. This requires more understanding of both the values involved for individuals and society and the link between the quality of the activity and achieving these values.

The vision is for historic environment investigation services that deliver maximum net value to society, that weight procurement models toward quality over price, that demand adherence to standards for person, process and product and that sustain projects that produce ‘use value’ as well as ‘existence value’



A buried Victorian street under a thick layer of made ground, typical of most of the Olympic Park area (Photo: copyright Museum of London Archaeology)

<sup>1</sup> The report concludes that use value and option value are low but improving, with suggestions on how to make further improvements, and existence value is high.

<sup>2</sup> To meet the condition of economic efficiency, the marginal cost of the process should be the sum of individuals’ marginal utilities.



3.6.3	<p><b>The vision for the market for services that investigate the historic environment is one that</b></p> <ul style="list-style-type: none"> <li><b>delivers maximum net value to society rather than least-cost compliance with regulation</b></li> </ul>	<ul style="list-style-type: none"> <li><b>that weighs procurement models toward quality over price and demands adherence to standards for person, process and product</b></li> <li><b>sustains projects that produce use value as well as existence value</b></li> </ul>
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3.6.4	To deliver valued services to developers and to improve the offer to the public, the Southport Group makes the following recommendations	
23	Weighting quality in procurement	<p>IfA redrafts guidance on scope of WSI</p> <ul style="list-style-type: none"> <li>to create a more standardised bidding document</li> <li>to require bidders to identify what they did in earlier successful bids to maximise value as well as minimise costs</li> </ul> <p>See recommendation 4 on public participation</p>
24	Requiring work to be done by individuals and/or practices that demonstrate they meet explicit standards for person, process and product	IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on requiring work to be done by individuals and/or practices that demonstrate they meet explicit standards for person, process and product

### 3.7 Quality management

3.7.1	The greatest threats to successful implementation of the principles and practices in PPS5 lie in the potential loss of key messages in distilling PPS5 into the National Planning Policy Framework (NPPF), in increasing the range of permitted developments, and in a reduction of capacity within the sector (especially within local authorities) to require or ensure the quality of historic environment work of is sufficient standard.	3.7.4	While the identification of interests and their assessment to determine value and significance is long established practice, especially in conservation management plans, many archaeologists are more at home with assessments of importance, for example by using the Secretary of State’s non-statutory criteria for scheduling (previously published in PPG 16 and now published in the DCMS statement on Scheduled Monuments, <a href="http://www.culture.gov.uk/images/publications/ScheduledMonuments.pdf">http://www.culture.gov.uk/images/publications/ScheduledMonuments.pdf</a> )
3.7.2	The workshops identified that a substantial obstacle to the successful delivery of PPS5 principles is the lack of widespread confident grasp of the terminology and approach it sets out, and in particular of the four interests and how to manage changes to their relative importance during the development process.	3.7.5	Accommodating these different interpretations and understandings of the terminology will require a greater convergence of approaches across the sector. This will also need to include developers and planners. The meanings of ‘mitigation’ and ‘off-setting’ have caused particular confusion.
3.7.3	Setting aside any problems arising from unfamiliar methodology, many of the approaches required by the PPS, especially in terms of ensuring applicants provide sufficient information to enable sound decision-making, are more familiar to those used to working with PPG 16 than they are to those whose work has fallen under PPG 15 only. While this might appear to mean that the transition to new working practices will be easier for archaeologists, it seems that some archaeologists have assumed that <b>nothing</b> has changed and are	3.7.6	While it is likely that common toolkits for identifying values and significance, shared vocabularies, and understandings of ‘reasonable’ and ‘proportionate’ – would emerge from a review of planning appeal cases and ‘case law’, practitioners would benefit from PPS5-specific guidance, and from CPD and training opportunities. Such toolkits should make clear the difference between standards and guidance and the

inappropriately following practices more suited to PPG 16 than PPS5.

importance of professional expertise in choosing approaches that work in the circumstances rather than following processes by rote.

3.7.7 There is a wealth of guidance from English Heritage (including guidelines on understanding historic buildings and preparing historic area assessments (2006)), Historic Scotland and Cadw. IfA has Standards and guidance already in place for much of what the sector needs with regard to investigation of the historic environment. However, IfA standards are deficient in not being fully attuned to the requirements of PPS5 or the NPPF and, arguably more importantly, in not being seen as relevant to practice by many ‘non-archaeological’ built environment professionals. The IfA has been unsuccessful in fully tailoring its standards to the needs of non-members, and in raising awareness across the sector of the applicability or at least potential of its standards. The existence of these standards does not of course mean that they are universally applied, and there are doubts in the sector about IfA’s effectiveness and transparency in handling allegations of professional misconduct.

3.7.8 It follows from this, and from the reduction of planning authority expert advisers’ capacity to monitor or police historic environment work, that there needs to be shift from the current reliance by local authorities on monitoring compliance with WSIs and with IfA standards for processes and products, to a balanced use of standards for person, process and product. This could result in a requirement that suitably accredited professionals use sound professional judgement within a common framework that is understood by all in the sector, to deliver necessary outcomes. A definition of professionalism is given in 3.1.10. Professional standards exist to ensure that professionals know what they need to do to deliver public benefit.

3.7.9 To enable that to happen and to achieve the necessary accreditation, organisations and individuals will need to demonstrate increasingly robust systems for quality assurance and evidence for the appropriate competencies. And to back up the approach, professional bodies will need to deal with allegations of poor practice and planning authorities with enforcement of planning conditions.

3.7.10 Historic environment professionals may gain from better guidance on preparing WSIs, and on preparing cost estimates. A useful comparator is CIOB’s *Code of estimating practice*.

3.7.11 As well as enforcing standards, innovation and excellence can be rewarded by peer recognition, for example through the British Archaeological Awards.

**3.7.12 The vision for ensuring quality in the management and development led investigation of the historic environment is that**

- work should be led by accredited experts working to a full range of agreed professional standards for types of work and their products**
- professional standards and guidance supplement and replace as appropriate government guidance on the implementation of PPS5 and its successors**
- guidance defines and uses consistently the terminology of PPS5**
- guidance helps the exercise of professional judgement on what is proportionate and reasonable**
- there is a greater expectation of and dependence on professional accountability for complying with ethical and technical standards, and less reliance on local authority historic environment staff to monitor quality**
- expert archaeological practitioners should have the opportunity to apply for Chartered status**

3.7.13	To achieve better quality in the delivery of PPS5 principles, the Southport Group makes the following recommendations	
25	Advocacy and promotion of PPS	TAF, Heritage Alliance, the Historic Environment Forum and the bodies under those umbrellas should coordinate to take appropriate opportunities to advocate the retention and application of PPS5 principles
26	Developments of Standards, practice guidance and frameworks	<p>IfA, IHBC and ALGAO produce revised/replacement practice guidance that includes expanded definitions of all relevant terminology. They should include toolkits or frameworks of principles that guide different expert parts of the sector in consistent and transparent methods for evaluating significance based on ‘interests’, that can be used in a range of circumstances including Environmental Impact Assessment (EIA), and that can apply to designated and non-designated assets. They should produce advice on weighing significance against the need for change. Such guidance should be supported by training (contributes to NHPP especially Measure 4)</p> <p>ALGAO, IHBC, IfA and the amenity societies produce guidance on techniques for engaging communities in the process of understanding interests and significance</p> <p>IfA by sector consensus revises its Standard and guidance for desk-based assessment. It should cover the assessment</p>

	and understanding of interests and significance, the potential impact of development upon them, and the management of change that offsets degradation of one interest by enhancement of another
	IfA and ALGAO in collaboration with FAME include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on managing historic environment work by requiring compliance with person standards as well as those for process and product. It should advise on how local authority advisers can more effectively and more accountably manage quality by expecting professional associations to investigate and act on allegations of non-compliance – a dependence on self-regulation
	The guidance should be promoted through HELM
	IHBC considers adopting and promoting to its members, the IfA Standard and guidance for desk-based assessment and other standards
	ALGAO and the Planning Inspectorate collates good practice case studies, appeals decisions etc relating to the identification of interests and assessment of their significance, and hosts them on the HELM site
	IfA in collaboration with FAME provides improved guidance, and develops higher requirements for, effective quality management by Registered Organisations and practices led by IfA members
27 Recognition of accredited historic environment professionals	ALGAO in collaboration with IfA and IHBC identifies the accreditation standards that professionals should meet to be deemed suitably competent to lead historic environment investigation projects. Appropriate steps should be taken to counteract any market dynamics that commercially advantage organisations or individuals that do not meet or do not provide services meeting accepted quality standards, including the use of planning conditions and supporting documents and processes
28 Managing quality by person	IfA increases its encouragement for and celebration of innovation and leadership  IfA seeks a Royal Charter of Incorporation with a view to offering relevant chartered status to historic environment investigation practitioners  IfA and IHBC foster, and EH indicates approval for, a culture of confident professionalism by a variety of means, including a move away from excessive emphasis on process and product over skills and judgement
29 Skilling the sector	EH working with HELM, ATF and other sector training forums and consortia draws up and delivers a coordinated programme of training events on assessing and understanding interests and significance (NHPP Activity 2E1), including the development of existing good practice examples of internship between different parts of the sector  IHBC in collaboration with other institutes and relevant HEIs seeks to address perceived under-capacity in the buildings history sub-sector  IHBC, IfA and FAME seek to increase the level of, and offer support for, construction related project management skills in the sector  Sector bodies monitor skills losses, including those relating to specialist finds and environmental study, and prioritise skills retention and capacity building
30 Monitoring implementation	IfA, ALGAO, IHBC & EH agree the core/essential information requirements for monitoring the implementation of the PPS and put in place mechanisms for recording and sharing information on an annual basis
31 Recognising the contribution of heritage professionals	FAME, with ALGAO and IfA, encourage heritage professionals to enter for the British Archaeological Awards
32 Recognising the contribution of clients	IfA and IHBC, in collaboration with FAME, consider supporting and promoting schemes that recognise developers and applicants for their responsible treatment of this historic environment (in particular the Heritage Benchmark offered though the British Archaeological Awards). They should include demonstrated commitment to meeting and expecting agents to comply with good practice standards

## 4 SUMMARY OF VISION AND RECOMMENDATIONS

### 4.1 Vision

- 4.1.1

The vision is that management of the historic environment should be a partnership between communities and their local authorities

  - where the processes of and criteria for decision-making about local heritage assets are understood by all
  - where decisions proactively, confidently and genuinely take account of public values and concerns
  - where decisions are founded on sound knowledge derived from HERs mediated by expert professionals, and from proportionate and appropriate professional research, commissioned by the applicant, into the interests of a place and their significance

4.1.2

The vision is that commercial investigation and explanation of the historic environment should be commissioned and conducted in a way that

  - makes opportunities for an appropriate scale and form of public participation in professionally led projects the norm not the exception
  - enables community projects to undertake research that might not otherwise occur
  - complies with professional standards that are recognised by commercial practitioners and the voluntary sector alike, and encourages all involved to acquire new skills and have them recognised
  - recognises the skills required by employed professionals who engage with the public
  - encourages community research to draw from and contribute to the HER

4.1.3

The vision is that planning-led research into the historic environment should

  - be a collaborative venture involving commercially-funded, local authority, higher education, special interest groups and voluntary sector – studying the built, buried and underwater historic environment
  - be focused on interpretation, understanding and significance, not record alone
  - be innovative, targeted and proportionate, meaningfully based on and contributing to research agenda and HERs
  - take account of the wealth of data from planning-led projects and of current academic thought
  - increase understanding of places on a project-by-project basis and of areas, periods and themes on a synthetic basis
  - be led by people with competence and confidence in undertaking research, and should develop those skills in

- other members of the project

  - include in the project team people with the skills, knowledge and understanding appropriate to the research questions
  - envisage from the outset methods of dissemination that reach and bring together different communities of thought and practice
  - be confidently presented to funders as a key process for providing genuine public benefit from their investment

4.1.4

The vision for accessible archives and dissemination is

  - a network of resource centres, related to existing museum structures and supporting appropriate expertise, that curate archaeology collections (records and material) and provide access to all types of information on the historic environment for a wide variety of users
  - the establishment of those resource centres as hubs for research, linked to life-long learning, schools, research interest groups, museums, other archives, on-line resources such as the Archaeology Data Service (ADS), planning departments and HERs
  - the development of a service for the provision of advice on the creation and compilation of archaeological archives and the monitoring of archive work
  - historic environment resources prepared to common or compatible standards, using selection criteria that ensure they contain those data and materials that have the potential to inform future research
  - use of a variety of methods for dissemination that inform as wide an audience as possible and promote enjoyment of the study and understanding of the past

4.1.5

The vision for a collaborative sector is that it should

  - draw strengths from its diverse range of specialisms accepting, in a climate of mutual respect, what each has to offer
  - foster innovation and development in specialist groups
  - act collectively to influence and implement historic environment policy
  - collaborate wherever possible to maximise efficiency and effectiveness
  - work with the recognition that the performance of different roles, particularly in the planning process, does not necessarily require an adversarial approach
  - share approaches, cultures, working practices and standards that are applicable to the investigation and management of all types of heritage asset
  - encourage and rely on confident professionalism



4.1.6	<p><i>The vision for a sector that consistently adds value to development includes</i></p> <ul style="list-style-type: none"> <li><i>no facility for the provision of low-quality historic environment services</i></li> <li><i>products that add value to sustainable development pre-determination, post-determination and post-construction</i></li> <li><i>services and products that reconnect communities with their history</i></li> <li><i>recognition of a higher-value archaeological service, contributing to design, brand, place-shaping, securing consents, risk management, PR, CSR, marketing and sales/rental values</i></li> </ul>	4.1.8	<p><i>The vision for ensuring quality in the management and development led investigation of the historic environment is that</i></p> <ul style="list-style-type: none"> <li><i>work should be led by accredited experts working to a full range of agreed professional standards for types of work and their products</i></li> <li><i>professional standards and guidance supplement and replace as appropriate government guidance on the implementation of PPS5 and its successors</i></li> <li><i>guidance defines and uses consistently the terminology of PPS5</i></li> <li><i>guidance helps the exercise of professional judgement on what is proportionate and reasonable</i></li> <li><i>there is a greater expectation of and dependence on professional accountability for complying with ethical and technical standards, and less reliance on local authority historic environment staff to monitor quality</i></li> <li><i>expert archaeological practitioners should have the opportunity to apply for Chartered status</i></li> </ul>
4.1.7	<p><i>The vision for the market for services that investigate the historic environment is one that</i></p> <ul style="list-style-type: none"> <li><i>delivers maximum net value to society rather than least-cost compliance with regulation</i></li> <li><i>that weighs procurement models toward quality over price and demands adherence to standards for person, process and product</i></li> <li><i>sustains projects that produce use value as well as existence value</i></li> </ul>		

## 4.2 Recommendations

1	Publicise best practice and opportunity in community participation	<p>One or more of the National Amenity Societies conducts a survey of the present range of opportunities for and examples of community participation in all areas of historic environment practice, expanding the scope of the CBA report (Farley 2003). It should assess where public values reside and what works well and what doesn't, publish a suite of good practice examples, and identify gaps in skills and resources</p> <p>IHBC and IfA promote to their members good practice examples of community involvement in historic environment projects arising through the planning process, including adherence to the IfA policy statement on the use of volunteers (IfA 2008)</p>
2	Guidance on local designation	English Heritage in partnership with the sector produces case studies and detailed practical guidance on local designation and characterisation, including use of the HER (NHPP Activity 5A4)
3	Community training in PPS5 principles	One or more of the National Amenity Societies works with English Heritage to provide training for communities in PPS5 principles and their application through the planning process, building on the successful model of the CBA/Association of Industrial Archaeology training events in recent years (funded by EH)
4	Standards and guidance on public participation	<p>IfA and ALGAO produce, in their Standard and guidance for archaeological advice by historic environment services, guidance on the steps planning authorities may take to encourage or require planning applicants and their agents to make provision for public participation during and after development. It should recognise that innovative forms of engagement may produce more public benefit than conventional publication. It should promote the mechanisms used by local authorities already regularly requiring public participation</p> <p>IfA revises its Standards and guidance to advise that Written Schemes of Investigation should include statements on public benefit, and more detailed proposals on dissemination and community participation</p> <p>IfA reminds members of the provisions of the policy statement on the use of volunteers and students</p>
5	Training and new protocols to	Archaeology Training Forum (ATF) members work with community groups, their representatives, the Nautical Archaeology Society (NAS) and PAS to promote the National Vocational Qualification (NVQ) in Archaeological

overcome obstacles to public participation in commercial projects	<p>Practice as a means of demonstrating competence to professional standards</p> <p>EH, IHBC, in collaboration with expertise from across the sector (eg RICS, RIBA, the IfA Buildings Archaeology Group, the Conservation Course Directors Forum, Vernacular Architecture Group, ATF, Historic Environment Forum),work together to help the sector skills councils create an integrated set of historic environment National Occupational Standards (NOS) and NVQs (NHPP Activity 2E1)</p> <p>HLF and others should explore a successor programme to <i>Skills for the future</i></p> <p>FAME explores with its Health and Safety advisors the issues surrounding public participation in historic environment work on construction sites, and publishes recommendations to its members</p> <p>IfA explores with the insurance industry the issues surrounding public participation in historic environment work on construction sites, and publishes recommendations to its members</p>
6 Meaningful new initiatives for public participation	<p>The Subject Committee For Archaeology (SCFA) and ADS explore with CBA and EH the scope for mass participation data-gathering or data-crunching projects, as used in astronomy by Galaxy Zoo. RCAHMS's <i>MyCanmore</i> and <i>Scotland's Places</i> provide other models for engaging the public in the study of the historic environment</p> <p>ALGAO, IHBC and EH explore ways of making HERs more accessible and user friendly, to link to other environmental data sets, and publishes literature promoting their value and potential, including through HELM</p> <p>IALGAO, IHBC and EH provide training for HER staff on public engagement and for the public on HER use and potential, including opportunities for volunteering and the contribution of new or digitised data sets</p>
7 Wider subscription to professional standards	<p>IfA and IHBC promote the benefits of membership of their organisations to the voluntary sector</p>
8 Review and revision of Research Frameworks	<p>EH commissions a critical review of how and by whom research frameworks, where they exist, have been created and how they contribute to national heritage protection through informed decision-making, and of their strengths and weaknesses (including as forums for continuing debate). EH should consider facilitating a new generation of revised, pan-historic environment frameworks eg by developing a new model and methodology for updating existing frameworks, eg open source (contributing to NHPP)</p> <p>ISCFA, IfA, IHBC, FAME and ALGAO to advise researchers, through developing relationships with commercial organisations, how to demonstrate impact within the Research Excellence Framework</p>
9 New research advisers and research panels	<p>IEH considers assigning some of its staff and commissioning university and other experts to act as specialist and research advisers on the model of regional science advisers. Such advisers could help draw out the research value of projects and proposed projects – early engagement is important to maximise their potential to contribute to synthesis, and to ensure project findings feed back into research frameworks. They could also convene research panels, and advise on appropriate peer review and publication (contributing to NHPP)</p>
10 Funding to support commercial / academic collaborations	<p>EH working with SCFA encourages researchers to secure more funding from the Research Councils and elsewhere to permit collaborative (between universities and commercial enterprises) period-based or thematic syntheses of planning-led research findings. Approaches could include embedding research liaison officers in a variety of organisations with different roles, offering secondments between commercially-funded organisations, local government and universities (contributing to NHPP)</p>
11 Intra-sector communications initiatives	<p>SCFA, Conservation Course Directors Forum, Archaeological Investigations Project (AIP) and ATF encourage all universities to ensure that students (and teachers) of historic environment subjects are made aware of the wealth of information generated by planning-led research and how to access it through HERs, especially those available on line</p> <p>SSCFA and FAME, working with EH, IHBC, CBA and ALGAO, lead on exploring mechanisms to share news of current research interests. Short courses will be particularly effective. Those mechanisms should promote more opportunities for collaborative working including better engagement with/contribution to Arts and Humanities Research Council (AHRC) projects, to the standing seminar on post-graduate research. They should explore 'wiki-style' open feedback</p>

	<p>research, where research aims are developed as a pilot project progresses, regional research panels and seminars and a greater role for local government</p> <p>IfA and IHBC use their conference, journal and magazine to promote innovative collaborations, and to forge links with specialist science and artefact groups</p> <p>IfA and IHBC work with SCFA to make their annual conference/school more appealing to university audiences, and SCFA plays an active role in promoting it</p>
12 Updated and new Standards and guidance	<p>IfA revises its standards and guidance to promote greater focus on creating project teams with the right areas of research expertise to identify the interest and significance of sites, monuments and ensembles. They should recommend the inclusion of a research value statement in published reports and grey literature, reflecting on the success of the project in addressing its initial or other research aims (with reference to the regional framework wherever possible), and the potential to contribute to synthetic studies beyond the compass of the project. The principles of MAP2, carried forward through MoRPHE, should be emphasised</p> <p>IfA and ALGAO include in the forthcoming Standard and guidance for archaeological advice by historic environment services guidance on ensuring that conditioned investigations have a sound research design and access to research advice. Such designs should address national objectives through iterative refinement of questions and methodologies, and local objectives through research-focused engagement and dissemination; and should recognise that different audiences seek different kinds of knowledge. The process of writing research designs takes account of historic landscape characterisation</p> <p>IfA and FAME prepare and promote a Standard and guidance for consultants offering guidance on a range of issues including research quality</p> <p>IfA in its promotion of historic environment practice promotes research as an essential public- and client-benefit of all projects, and discourages any residual apologist rhetoric on research</p> <p>Special interest groups and period- or material-based research group should consider specialist guidance on the implementation of PPS5 principles in research</p>
13 Raising the profile of archaeological archives	<p>The SMA undertake an evaluation of archive deposition and use and also update the existing map of repository collecting areas, assessing potential in particular areas for establishing resource centres (contributing to NHPP)</p> <p>The AAF work with other organisations such as the Arts Council and the Museums Association to identify and promote good practice case studies for the curation and use of archaeological archives, with the aim of raising the profile of archaeological collections as a resource for discovery, inspiration, learning and information</p> <p>AAF, IfA and IHBC provide CPD opportunities for local authority historic environment advisors on archive issues</p> <p>SAAF, IfA and FAME provide CPD opportunities on archive issues for those investigating the historic environment – and encourage participants to become archive champions</p>
14 Improved standards and better guidance for archive compilation and curation	<p>The AAF archive guide is updated to include guidance on the selection and retention of finds (Brown 2007, 29)</p> <p>The AAF, SMA and ALGAO work with IHBC, IfA, FAME and others to develop new protocols for consistent preparation and deposition of archives generated through commercial building research, for example via OASIS 2 and HERS</p> <p>The AAF, SMA, ALGAO and IfA promotes an advisory network of archive specialists who will be able to help museums/repositories develop local standards for the creation, compilation and transfer of archaeological archives. They will also provide advice to those who monitor archaeological projects and those who undertake them</p> <p>IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on ensuring archive deposition. It should include advice on requirements to meet nationally accepted standards, staged discharge of conditions, Planning Intervention Points or performance bonds linked to deposition (and if lawful, transfer of title)</p> <p>IfA and ALGAO produce, in their Standard and guidance for archaeological advice by historic environment services, guidance on the steps planning authorities may take to encourage or require planning applicants and their agents to</p>

make provision for public dissemination during and after development. It should recognise that innovative forms of engagement may produce more public benefit than conventional publication

IfA revises its Standards and guidance on excavation, field evaluation and archaeological building investigation and recording to include more advice on specifying and tracking archive creation, care and compilation during a project

FAME and IfA provide information for clients on title to objects, and IfA seeks to persuade the Institution of Civil Engineers to include suitable clauses in revised conditions of contract and supporting guidance

15 Development of resource centres	<p>English Heritage researches the case for considering resource centres or repositories as infrastructure eligible for grant-aiding under the Community Infrastructure Levy, and then makes representations to all relevant planning authorities</p> <p>The collection area mapping project should provide information on potential areas where resource centres could be created. In some areas ‘regional’ repositories or hubs – such as the London Archaeological Archives Resource Centre (LAARC) – with access digitally through gateways at HERs and local museums would provide more cost-effective and better service for researchers</p> <p>Consortia (including contractors holding archives for which there is presently no repository) use existing AAF guidance to develop applications to HLF and other bodies for capital grant funding for resource centres. Consideration should be given to appropriate accreditation</p> <p>EH and AAF discuss with HLF potential for revenue grant or endowment funding for resource centres</p>
16 Enhancement of HERS	<p>EH working with ALGAO and IHBC invests in HERs to broaden content, increase the number of HERs on Heritage Gateway, enhance and support auditing and help build new interoperability and functionality (contributing to NHPP)</p> <p>TAF and EH should advocate for a statutory duty for local authorities to support or have access to a HER service (in line with the provisions of the draft Heritage Protection Bill)</p> <p>ALGAO should provide guidance on charging policies and copyright, recognising the need to remove all unnecessary obstacles to non-commercial research</p>
17 Dissemination strategies	<p>CBA reviews its Publication of Archaeological Projects: User Needs Survey (PUNS) report and publishes revised recommendations on the range of dissemination strategies available (including HERs, displays and activities in museums, local facilities and the public realm), and on their application</p> <p>IfA revises its Standards and guidance on excavation, field evaluation and archaeological building investigation and recording to include stronger advice on specifying dissemination outputs in the Written Scheme of Information(WSI)</p>
18 Investigation of the built historic environment	<p>EH with Southport Group members, built environment professional bodies and other built environment research organisations convene a workshop on developing understanding of potential public value from investigation in the historic built environment, addressing issues specific to the built historic environment</p>
19 Collaborative working	<p>CBA and The Heritage Alliance map sector bodies to explain to the sector and its partners the value of diversity. They should make recommendations on closer working or consideration of merger where duplication, redundancy or potential inefficiency is apparent</p> <p>Organisations with informal working relationships consider formalising them through memoranda of understanding committing themselves to increased – and obvious – joint working</p> <p>IfA and ALGAO promote their Standard and guidance for Stewardship of the Historic Environment to remind all parties of their stewardship responsibilities</p>
20 New and improved Standards and guidance	<p>IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on relying much more on professional self-regulation of the quality of historic environment work, and on ensuring genuinely multi-disciplinary project teams</p> <p>IfA prepares a Standard and guidance for consultancy</p> <p>IHBC reviews IfA Standards and guidance and considers adopting them as approved good practice for IHBC members, and/or makes recommendations to IfA on improvements</p>



	IfA facilitates all practitioners in the sector in reviewing the IfA Standard and guidance for stewardship, and in reflecting on their shared responsibilities regardless of role
21 Specialist and multi-disciplinary training and CPD	<p>FAME and IfA promote and identify learning tools for archaeological project managers, helping generalists hone the skills required for managing complex multidisciplinary teams</p> <p>IfA, IHBC and specialist groups and associations provide CPD training for sector practitioners on the contribution different specialisms can bring to a project</p> <p>IfA/ALGAO/FAME/EH/IHBC/HLF develop a programme of secondments to develop cross-sector skills and break down institutional barriers to cooperative working</p>
22 Adding value to development	<p>IBPF, FAME and IfA, with others, publish a new code or ‘concordat’ to update and replace the BPF-SCAUM Code of Practice, setting out obligations, understandings, contributions and opportunities, and promote it widely through the full range of relevant institutes</p> <p>FAME and IfA enhance their promotion of members’ services to cover the whole range of contributions they can make</p> <p>IfA provide CPD opportunities for developers on the contribution historic environment professionals can make in adding value at pre-planning stages as well as in maximising benefits and value from their work</p> <p>IfA and FAME offer CPD opportunities to their members on professional issues and practice in the construction sector (eg CIOB’s An inclusive definition of construction management)</p>
23 Weighting quality in procurement	<p>IfA redrafts guidance on scope of WSI</p> <ul style="list-style-type: none"> <li>to create a more standardised bidding document to require bidders</li> <li>to identify what they did in earlier successful bids to maximise value as well as minimise costs</li> </ul> <p>See recommendation 4 on public participation</p>
24 Requiring work to be done by individuals and/or practices that demonstrate they meet explicit standards for person, process and product	IfA and ALGAO include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on requiring work to be done by individuals and/or practices that demonstrate they meet explicit standards for person, process and product
25 Advocacy and promotion of PPS5 principles	TAF, Heritage Alliance, the Historic Environment Forum and the bodies under those umbrellas should coordinate to take appropriate opportunities to advocate the retention and application of PPS5 principles
26 Developments of Standards, practice guidance and frameworks	<p>IfA, IHBC and ALGAO produce revised/replacement practice guidance that includes expanded definitions of all relevant terminology. They should include toolkits or frameworks of principles that guide different expert parts of the sector in consistent and transparent methods for evaluating significance based on ‘interests’, that can be used in a range of circumstances including Environmental Impact Assessment (EIA), and that can apply to designated and non-designated assets. They should produce advice on weighing significance against the need for change. Such guidance should be supported by training (contributes to NHPP especially Measure 4)</p> <p>ALGAO, IHBC, IfA and the amenity societies produce guidance on techniques for engaging communities in the process of understanding interests and significance</p> <p>IfA by sector consensus revises its Standard and guidance for desk-based assessment. It should cover the assessment and understanding of interests and significance, the potential impact of development upon them, and the management of change that offsets degradation of one interest by enhancement of another</p>

IfA and ALGAO in collaboration with FAME include, in the forthcoming Standard and guidance for archaeological advice by historic environment services, guidance on managing historic environment work by requiring compliance with person standards as well as those for process and product. It should advise on how local authority advisers can more effectively and more accountably manage quality by expecting professional associations to investigate and act on allegations of non-compliance – a dependence on self-regulation. The guidance should be promoted through HELM

IHBC considers adopting and promoting to its members, the IfA Standard and guidance for desk-based assessment and other standards

ALGAO and the Planning Inspectorate collates good practice case studies, appeals decisions etc relating to the identification of interests and assessment of their significance, and hosts them on the HELM site

IfA in collaboration with FAME provides improved guidance, and develops higher requirements for, effective quality management by Registered Organisations and practices led by IfA members

27 Recognition of accredited historic environment professionals	ALGAO in collaboration with IfA and IHBC identifies the accreditation standards that professionals should meet to be deemed suitably competent to lead historic environment investigation projects. Appropriate steps should be taken to counteract any market dynamics that commercially advantage organisations or individuals that do not meet or do not provide services meeting accepted quality standards, including the use of planning conditions and supporting documents and processes
28 Managing quality by person	<p>IfA increases its encouragement for and celebration of innovation and leadership</p> <p>IfA seeks a Royal Charter of Incorporation with a view to offering relevant chartered status to historic environment investigation practitioners</p> <p>IfA and IHBC foster, and EH indicates approval for, a culture of confident professionalism by a variety of means, including a move away from excessive emphasis on process and product over skills and judgement</p>
29 Skilling the sector	<p>EH working with HELM, ATF and other sector training forums and consortia draws up and delivers a coordinated programme of training events on assessing and understanding interests and significance (NHPP Activity 2E1), including the development of existing good practice examples of internship between different parts of the sector</p> <p>IHBC in collaboration with other institutes and relevant HEIs seeks to address perceived under-capacity in the buildings history sub-sector</p> <p>IHBC, IfA and FAME seek to increase the level of, and offer support for, construction related project management skills in the sector</p> <p>Sector bodies monitor skills losses, including those relating to specialist finds and environmental study, and prioritise skills retention and capacity building</p>
30 Monitoring implementation	IfA, ALGAO, IHBC & EH agree the core/essential information requirements for monitoring the implementation of the PPS and put in place mechanisms for recording and sharing information on an annual basis
31 Recognising the contribution of heritage professionals	FAME, with ALGAO and IfA, encourage heritage professionals to enter for the British Archaeological Awards
32 Recognising the contribution of clients	IfA and IHBC, in collaboration with FAME, consider supporting and promoting schemes that recognise developers and applicants for their responsible treatment of this historic environment (in particular the Heritage Benchmark offered though the British Archaeological Awards). They should include demonstrated commitment to meeting and expecting agents to comply with good practice standards

# 5 PRODUCT DESCRIPTIONS FOR PROPOSED FUTURE OUTPUTS

Arising from the recommendations contained in the Southport report, a series of products are required in order that those involved in planning-led investigation and understanding of the historic environment have the necessary tools to make improvements in the defined areas of practice, and so to deliver consistent public benefit from that work.

**Product number:** P1  
**Product title:** Good practice advice on public participation  
**Purpose of the Product:** to promote opportunities for public participation  
**Composition:** Research into and good practice advice on the range of opportunities for community participation in all areas of historic environment practice including a survey of current practice, good practice examples, consideration of skills gaps, resource requirements and the practical barriers to participation eg H&S and insurance issues  
**Derived from:** Southport Report recommendation 1  
**Format and presentation:**  
**Potential partners:** National Amenity Societies, IfA, IHBC  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P2  
**Product title:** Programme of community training in PPS5 principles  
**Purpose of the Product:** to enable communities to engage with the planning process more fully  
**Composition:** A programme of community training on PPS5 principles supported by detailed practical guidance, covering their application through the planning process including local designation, characterisation and using HERs  
**Derived from:** Southport Report recommendation 3  
**Format and presentation:**  
**Potential partners:** National Amenity Societies, English Heritage  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P3  
**Product title:** Suite of CPD courses on PPS5 principles  
**Purpose of the Product:** to provide training for the sector in implementing PPS5 principles  
**Composition:** A suite of short CPD courses on PPS5 principles

for historic environment practitioners (local authority advisors and practitioners), covering assessing and understanding interests and significance, public engagement, planning appeal decisions, archive and title issues, role of specialisms, multi-disciplinary working, project management  
**Derived from:** Southport Report recommendations 21, 26 & 29  
**Format and presentation:**  
**Potential partners:** IfA, IHBC, English Heritage, ATF, FAME, ALGAO, HLF  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P4  
**Product title:** Workplace Learning Placements  
**Purpose of the Product:** to provide the sector with the skills it needs to implement PPS5 principles  
**Composition:** A programme of workplace learning opportunities to equip early career historic environment professionals with the skills they need to implement PPS5 principles within an integrated conservation management regime  
**Derived from:** Southport Report recommendation 21  
**Format and presentation:**  
**Potential partners:** IfA, ALGAO, FAME, EH, IHBC, HLF  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P5  
**Product title:** Review of Research Frameworks  
**Purpose of the Product:** to review the effectiveness of current Research Frameworks, leading to the development of research collaborations agreements  
**Composition:** A critical review of research frameworks’ contribution to heritage protection and research into scope for mass participation projects such as the Galaxy Zoo, leading to research collaboration agreements between commercial organisations, local authorities and universities  
**Derived from:** Southport Report recommendations 6, 8 & 10  
**Format and presentation:**  
**Potential partners:** SCFA, ADS, CBA, English Heritage  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P6  
**Product title:** Review of the Publication User Needs Survey (PUNS)  
**Purpose of the Product:** to inform revised recommendations on dissemination strategies  
**Composition:** A review of the PUNS report and revised recommendations on the range of dissemination strategies available and their application  
**Derived from:** Southport Report recommendation 17  
**Format and presentation:**  
**Potential partners:** CBA  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P7  
**Product title:** Guidance on the educational and research value of archaeological archives  
**Purpose of the Product:** to promote the use of archaeological archives as a research tool  
**Composition:** An updated AAF guide on the educational and research value and potential of archives

- covering all asset types
- considering detailed standards for digital media, records in other media and finds
- based on research into the feasibility of developing a network of resource centres and repositories linked to museums and supported by research communications networks informed by a review of their use including locations
- including possible funding sources – if applicable the potential of the Community Infrastructure Levy
- including advice on selection and retention criteria
- including advice on transfer of title
- including case studies

**Derived from:** Southport Report recommendations 13, 14 & 15  
**Format and presentation:**  
**Potential partners:** AAF  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P8  
**Product title:** Map of sector bodies  
**Purpose of the Product:** to explain the value of diversity and promote closer working  
**Composition:** A map of sector bodies to explain to the sector and its partners the value of diversity, with recommendations on closer working or consideration of merger where duplication, redundancy or potential inefficiency is apparent  
**Derived from:** Southport Report recommendation 19

**Format and presentation:**  
**Potential partners:** CBA, The Heritage Alliance  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P9  
**Product title:** BPF/IfA/FAME concordat  
**Purpose of the Product:** to replace the BPF/SCAUM code of practice  
**Composition:** A new concordat setting out obligations, understandings, contributions and opportunities  
**Derived from:** Southport Report recommendation 22  
**Format and presentation:**  
**Potential partners:** BPF, FAME & IfA  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P10  
**Product title:** Revision of IfA Standards and guidance  
**Purpose of the Product:** to ensure IfA S&gs support PPS5 principles effectively  
**Composition:** Review and revision of IfA Standards and guidance covering all types of heritage asset including expanded guidance on

- inclusion of statements on research value, public benefit, training plan and dissemination outputs within WSIs
- WSIs that can inform standardised bidding documents
- assessment of significance
- re-emphasis of MAP2 principles (in a MoRPHE era)
- advice on specifying and tracking archive curation throughout and beyond the project lifetime
- and to ensure greater focus on the need to ensure project teams have access to appropriate research expertise

**Derived from:** Southport Report recommendations 4, 12, 14, 20, 24, 26  
**Format and presentation:**  
**Potential partners:** IfA  
**Quality criteria and method:**  
**Person/group responsible for quality assurance:**  
**Person/group responsible for approval:**  
**Planned completion date:**

**Product number:** P11  
**Product title:** IfA Standard & guidance for archaeological advice by historic environment services  
**Purpose of the Product:** to ensure PPS5 principles are adopted effectively within archaeological advice delivered through the planning system



Composition: Good practice guidance and an IfA/ALGAO Standard and guidance for archaeological advice by historic environment services which includes guidance on

- local authorities encouraging/requiring applications to include public participation
- ensuring conditioned investigations have sound research design
- policies and principles for charging by local authorities
- use of planning intervention points, staged discharge of conditions and performance bonds
- ensuring archive deposition and advice on requirements to meet nationally accepted standards etc
- steps local authorities may take to require applicants to make provision for public dissemination during and after development
- skills requirements for the advice role
- relying much more on professional self regulation to manage quality and on ensuring genuinely multi disciplinary teams

**Derived from:** Southport Report recommendations 4, 12, 14, 20, 24, 26

**Format and presentation:**

**Potential partners:** IfA

**Quality criteria and method:**

**Person/group responsible for quality assurance:**

**Person/group responsible for approval:**

**Planned completion date:**

**Product number:** P12

**Product title:** IfA Standard & guidance for consultancy

**Purpose of the Product:** to provide a standard and offer guidance on a range of issues including public benefit and research value

**Composition:** An IfA Standard and guidance for consultancy to cover stewardship responsibilities, procurement and contract models, ensuring sound research and public benefit

**Derived from:** Southport Report recommendations 12

**Format and presentation:**

**Potential partners:** IfA

**Quality criteria and method:**

**Person/group responsible for quality assurance:**

**Person/group responsible for approval:**

**Planned completion date:**

**Product number:** P13

**Product title:** Accreditation standards

**Purpose of the Product:** to identify and publicise the standards that professionals should meet to be deemed to be suitably competence

**Composition:** Identification and publication of accreditation standards that professionals should meet to be deemed suitably competent, and produce improved practice guidance for effective quality management by IfA Registered Organisations, IfA members and other accredited professionals (including revised guidance on Registered Organisations)

**Derived from:** Southport Report recommendations 27

**Format and presentation:**

**Potential partners:** IfA, ALGAO

**Quality criteria and method:**

**Person/group responsible for quality assurance:**

**Person/group responsible for approval:**

**Planned completion date:**

**Product number:** P14

**Product title:** National Occupational Standards for Historic Environment Practice

**Purpose of the Product:** to provide statements of competence which cover all aspects of historic environment practice

**Composition:** Expanded suite of historic environment National Occupational Standards to cover the whole range of historic environment practice

**Derived from:** Southport Report recommendations 5

**Format and presentation:**

**Potential partners:** ATF, IfA, IHBC, HEF & English Heritage

**Quality criteria and method:**

**Person/group responsible for quality assurance:**

**Person/group responsible for approval:**

**Planned completion date:**

**Product number:** P15

**Product title:** Review of PPS5

**Purpose of the Product:** to review the effectiveness of PPS5 and its successor in meeting public benefit and research objectives

**Composition:** Review report

**Derived from:** Southport Report recommendations 30

**Format and presentation:**

**Potential partners:** IfA, IHBC, ALGAO & English Heritage

**Quality criteria and method:**

**Person/group responsible for quality assurance:**

**Person/group responsible for approval:**

**Planned completion date:**

**Product number:** P16

**Product title:** Historic built environment workshop

**Purpose of the Product:** to address issues specific to the historic built environment not covered in the Southport Report

**Composition:** a workshop on developing an understanding of potential public value from investigation in the historic built environment

**Derived from:** Southport Report recommendations 18

**Format and presentation:**

**Potential partners:** English Heritage, Southport Group, built environment professional bodies

**Quality criteria and method:**

**Person/group responsible for quality assurance:**

**Person/group responsible for approval:**

**Planned completion date:**

## 6 APPENDICES

### 6.1 The Southport Group

6.1.1 The Southport group was formed following discussion of the potential of PPS5 at the IfA conference at Southport in May 2010.

6.1.2 Its members – all acting as individuals but bringing with them connections to organisations in the sector – are

- Dave Barrett
- Karen Bewick
- Duncan Brown
- Stewart Bryant
- Chris Gosden
- Mike Heyworth
- Peter Hinton (Secretariat)
- Frank Kelsall
- Taryn Nixon (Chair)
- Adrian Olivier
- Liz Peace
- Matthew Slocombe
- Adrian Tindall
- Roger M Thomas

6.1.3 The Southport Group’s project has been lead by Taryn Nixon, and managed and facilitated by Andrea Bradley, Kate Geary and Peter Hinton.

6.1.4 The Group can be contacted at southport@archaeologists.net.

### 6.2 Methodology

6.2.1 The project was managed by the Institute for Archaeologists under the Executive direction of Taryn Nixon of Museum of London Archaeology and a bespoke Project Board. The project team comprised IfA staff and Southport Group Members. In addition, specialist support was sought for project communications, visual media presentation and for economic analysis.

6.2.2 The project was undertaken with funding provided by English Heritage, IfA and individual Southport Group members.

6.2.3 The Project Board comprised Taryn Nixon (MOLA), Adrian Olivier (EH), Frank Kelsall (AHP) and Peter Hinton. Peter Hinton of IfA was responsible for structuring the report and its contents, as well as for Project Assurance.

6.2.4 The Project Manager was Kate Geary (Andrea Bradley for the Initiation Stage). Southport Group members provided contributions in terms of the hosting of sector workshops, drafting and editing of the report. The Group is listed in Appendix 6.1.

6.2.5 Project consultants were used were for communications (Karen Bewick of IfA), for the economic analysis (Kathleen Scanlon of the LSE) and for visual media presentation (L-P Archaeology).

6.2.6 The project was divided into management stages, carried out between August 2010 and June 2011. Initial stages involved the development of a communications strategy for publicising the project throughout its life, and consultations with Group members to clarify the direction of the project.

6.2.7 The core of the project and main information gathering stage involved 4 sector based workshops, described in section 6.2.12 below, and production of a detailed report of the discussions held at the workshops (see Appendix 6.3). An online consultation followed the workshops, based on video footage of the workshops and the draft workshop report. Those consulted during this stage are listed in section 6.2.25 below. Their comments were taken into account in the drafting of the report.

6.2.8 Simultaneously with the consultation of the sector, an economic analysis was carried out, based on the methodology described in section 6.2.18 below.

6.2.9 A fifth workshop to validate the findings from the workshops and to test some proposals emerging from the economic analysis was held with representative members of the development sector.

6.2.10 The draft report draws together the results of the project under 5 sections, each representing a different aspect of PPS delivery, and each containing a description of key issues identified through the project, a vision for improvement in delivery of PPS 5 requirements and recommendations for products to deliver that improvement.

6.2.11 This draft was consulted on using the same channels of consultation as were consulted on the Workshop findings (see section 4.4.below). The draft report was presented at the IfA annual conference in April 2011, and comments taken into account in the final production of the report.

<p><b>Workshop methodology</b></p> <p>6.2.12 Historic environment practitioners took up an open invitation (issued through the consultation network described in section 4.4) to participate in the project workshops. Those attending the workshops, or who provided comment in subsequent consultations are listed in are listed in Appendix 6.2.25.</p> <p>6.2.13 Four half-day Workshops each focussed on a different aspect of delivering benefit in relation to significance. Broadly the Workshops focussed on 1) quality and standards, 2) publication and participation, 3) access to archives and information, and 4) research and collaborative working. Agenda for the conversation in each Workshop were set by the Southport Group, and are included in the Workshop Report Appendix 6.3.</p> <p>6.2.14 Over 40 people attended each Workshop. Participants were first invited to contribute to round table discussion in group of five or six people, directing their conversation towards a specific question or questions on the agenda. This discussion was an hour long. A rapporteur reported on each table’s discussion to the wider group, focusing on issues and barriers to delivery in the context of each question, and on possible solutions or products to enable improved delivery of PPS5 requirements.</p> <p>6.2.15 The Workshop hosts, in each case at least one member of the Southport Group, sometimes joined by professional colleagues, guided the conversation and ensured that the reporting and discussion of each Workshop was carried out. All the Workshops were video recorded.</p> <p>6.2.16 The workshop report (Appendix 6.3) transcribes the records taken on the day</p> <ul style="list-style-type: none"> <li>• by the workshop organiser Andrea Bradley</li> <li>• by participants in the workshop, who handed in their notes</li> <li>• by workshop hosts using a flip chart to record the results from discussion groups</li> </ul> <p>6.2.17 In the workshop report, the discussions are organised by workshop and by agenda item, grouped under the headings ‘Issues/barriers to delivery’ and ‘Solutions’. They are not attributed to individuals or groups. To avoid repetition, issues raised in relation to more than one agenda item within the same Workshop have not been reported twice. If the same issues were raised in more than one Workshop, these are repeated. NB Some agenda items lend themselves more to the identification of issues</p>	<p>only, with following items providing the solutions to those issues.</p> <p><b>Economic analysis methodology</b></p> <p>6.2.18 The economic analysis aims to describe the existing market for archaeological services in England, and in particular to address the following questions:</p> <ul style="list-style-type: none"> <li>• How do local authorities decide what specifically to require of developers in terms of heritage assessment?</li> <li>• How much variation is there in the interpretation of the regulations?</li> <li>• Who are the main suppliers of historic environment services, and what is the degree of market concentration? How has this evolved since 1990?</li> <li>• What range of services do they currently provide? Are there services they do not now provide that they would think worthwhile?</li> <li>• What do the regulations require of developers and local authorities in terms of the acquisition of expert archaeological services? What is the aim of such regulations in economic terms – ie what type of market failure is addressed? How successfully is that failure addressed?</li> <li>• On what basis do purchasers select service providers, and would other procurement models deliver better public benefit?</li> <li>• What is the typical process for tendering for these services?</li> <li>• How do archaeological/heritage assessments affect development outcomes?</li> <li>• Do developers consider that the costs incurred in pre-determination desk-based assessments and site evaluations represent good value for money?</li> <li>• Do developers consider that post-determination mitigation or offsetting costs represent good value for money?</li> <li>• Under what circumstances would developers be willing to pay for additional services, beyond those required by regulation?</li> <li>• Does the model provide good value for developers, for the public and for archaeologists (in terms of business profitability and remuneration for practitioners)?</li> <li>• Are there better models?</li> </ul> <p>6.2.19 The scope of this research did not require an in-depth literature review, but identified relevant sources and drew upon the great volume of material on the characteristics of markets created or heavily influenced by regulation and on the markets for public goods.</p>	<p>6.2.20 This element of the project consisted of collecting information about the precise nature of the regulatory environment, and conducting a series of interviews with market actors, including archaeology and buildings professionals, Government Archaeology Officers and local authority archaeology officers familiar with historic environment issues, archaeological and built heritage consultants and representatives of the property and development sector, including both large and small developers working on large and small sites.</p> <p>6.2.21 The interviews were carried out over the telephone or in person.</p> <p>6.2.22 The output of the interviews and desk research were analysed in order to describe the type of market failure addressed by the current regulations, and assess the extent to which the regulatory system can correct these market failures; and to identify other options that could deliver better public value.</p> <p><b>Consultation methodology</b></p> <p>6.2.23 Through Southport Group Members, consultation on key documents was carried out through sector networks – through newsletters, members’ lists and online.</p> <p>6.2.24 Sector wide consultation was held following the workshops (on the workshop findings) and on the draft report. Thirty written responses were received<sup>3</sup>, and extensive feedback was gained at IfA’s 2011 conference. Each written response resulted in at least one change to the text of this report and several led to significant updating, improvement and clarification. The Southport Group is very grateful to all those who have helped to shape its thinking and this report.</p> <p>6.2.25 In each case, documents and (in the case of the workshops video footage) were uploaded onto the Southport page of the IfA website, and a link issued with a request to comment through the following organisations and channels:</p> <ul style="list-style-type: none"> <li>• SCFA Subject Committee for Archaeology</li> <li>• SCACE Standing Committee for Archaeologists in Continuing Education</li> <li>• IfA members</li> <li>• FAME members</li> </ul>	<ul style="list-style-type: none"> <li>• ALGAO members</li> <li>• Heritage Alliance Update</li> <li>• IHBC members</li> <li>• Historic towns Forum</li> <li>• Britarch</li> <li>• POW</li> <li>• HELM</li> <li>• RTPI Heritage Network</li> <li>• BD Culture listings</li> <li>• London Architecture diary</li> <li>• Greenspace</li> <li>• Twitter</li> <li>• Salon</li> <li>• RICS</li> <li>• Civic Voice</li> <li>• HER Forum</li> <li>• NMR/Gateway</li> <li>• National Trust</li> <li>• AAF</li> <li>• SMA</li> <li>• Society of Archivists</li> <li>• HEG</li> <li>• BEFS</li> <li>• DCLG</li> </ul> <p><b>6.3 Summaries of workshop discussion</b></p> <p><b>6.3.1 Workshop 1: How to achieve better quality in delivery</b></p> <p>Hosts: Peter Hinton (Institute for Archaeologists), Stewart Bryant (Association of Local Government Archaeological Officers), Richard Morrice (Institute of Historic Building Conservation)</p> <p><b>i) Do practitioners fully understand the terminology of the PPS (including the 4 ‘interests’)? How might misunderstanding or misinterpretation be prevented?</b></p> <p><b>Issues/barriers to delivery</b></p> <ul style="list-style-type: none"> <li>• Ideas behind the terminology (‘assets’, ‘interests’) are new to many, abstract and untested</li> <li>• There are contested readings of the term ‘interests’ between different parts of the sector (particularly between non-archaeological buildings specialists and archaeologists) due to different cultures and practices</li> </ul>
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- and guidance – it is difficult to untangle these readings and follow through consistently in terms of assessment
- Built environment practitioners are having to engage with a new emphasis and context for assessing significance
- We need a shift in language to encompass parts of built historic environment practice into other aspects of historic environment practice
- There is no means of establishing ‘degrees’ of significance
- Who are ‘practitioners’ (including at local level)? What do planners and developers need to understand by the new terminology?
- There is no case law to help clarify divergent understandings
- There is a lack of integration of expertise and approach
- Contested readings are a barrier to proper dialogue between parts of the HE sector and beyond (with planners, the development sector and the public)

#### Solutions

- Wider stakeholders need to understand the language - we need a common vocabulary/definitions to be applied across the sector
- Toolkits or frameworks of principles relevant to different expert parts of the sector, to guide consistent and transparent process of the evaluation of significance based on ‘interests’ and enable weighing against need for change/public benefit
- Advocacy and communication - consistent promotion of the principles and understanding of PPS5 by local authorities and others to different audiences
- Case studies/case law/appeal decisions collected in central location for sector reference – perhaps HELM website could host a central database of case studies

#### Is there adequate guidance/training on identifying interest and measuring the loss or enhancement of significance?

#### Issues/barriers to delivery

- There is no PPS5-specific guidance on assessment of significance
- There is no guidance on the application of PPS principles in EIA
- There is no PPS5-specific guidance on how to include ‘local’ interest/’community value’ in any assessment of significance
- There is no detailed guidance on how to balance need for development/value of Historic Environment assets – no consistency of curatorial advice. What is

‘reasonable’ and ‘proportionate’?

- More guidance is needed on how non-designated assets should be assessed, including how the need for changes to them should be evaluated
- There is no guidance for engaging communities in the process/getting to grips with the localism agenda of participative knowledge creation and engagement with local planning and design
- HE practitioners’ remits are unclear. There is the danger of competition between the silos and a need for more collaborative working
- There is a range of training providers in the sector – but they are not linked up and do not take a sector-wide approach
- There need to be more secondments/cross-sectoral training initiatives
- It is unclear how far archaeologists are qualified to measure ‘artistic interest’? Should they be?
- It is unclear how far communities are qualified to judge the ‘interests’? Should they be?
- How do sites of ‘artistic interest’ get identified for a response? – they are not on the HER

#### Solutions

- More guidance for EIA
- More guidance for DBA
- Examples of good practice in historic environment decision making and management, including guidance for HERs
- Use of Standards and Guidance for training – standards as training target, not a control mechanism
- Use of the HET/HLF bursary scheme models to offer a range of cross-sectoral skills to individuals from within the sector
- Secondment and job shadowing across different areas of the sector
- Development of better ways for communities to access expert opinion
- Review skills needs of historic environment advisers

#### Are there sufficient quality standards (for products and practice) to implement PPS5 effectively and consistently? If not where are the gaps?

#### Issues/barriers to delivery

- The distinction is blurred between requirements of policy/legislation, standards of practice (activity based, broad, measurable), guidance (product-based good practice, specific to particular activities, specialisms, not prescriptive) and standards for

- practitioners (person-based, competency). Not all standards and guidance current in the sector are consistent with each other. Who should do what? How should they be tied together?
- There is a lack of internal (organisational) quality assurance in organisations and on historic environment projects
- There is no standard for assessing significance, and no standard for level of expertise required to identify and understand each ‘interest’
- Much current guidance is out of date or never existed under PPGs 15 and 16, particularly for local authorities
- Standards and guidance focus on data gathering, not judgements, and on outputs, not outcomes
- There is no consistency of standards enforcement in the planning process – there is no general access to examples of good practice
- What are our quality criteria? Should they include local community/other public feedback?
- The market normally drives quality – but not in the historic environment sector – there should be should be more demand for reliability (expertise), certainty of delivery (quality) and benefits to the wider public
- Other environmental sectors are stronger on quality – they focus on public/community benefit
- Good quality decision making comes from confidence, precision and clarity of vision – there is not enough of this in the sector
- Project aims are often unrealistic in terms of research outcomes
- There is not enough archaeological thinking in decision making – which is mechanistic and often disproportionate
- There isn’t the confidence to use the distilled wisdom of research frameworks properly/consistently in the planning process
- The benefit from buildings-related work is normally considered to lie in conservation – research not considered to be a primary outcome
- There is a need for greater focus on expertise and the use of experts to meet PPS requirements
- Links to the standards for museum collections/deposition standards from the planning process are not clear
- Statutory undertakers are not consistent in their application of standards – we need to encourage good practice

#### Solutions

- Refocus standard requirements on people (including ability to judge, write, research) and organisations, not product

- Test consensus on good practice, develop guidance, develop standards (in that order)
- A new generation of standards to reflect new approaches to integration, quality, significance and delivering benefits.
- Ensure clarity between standards and guidance produced by different parts of the sector.
- Better project management-setting of quality criteria (product and person) up front for each project/programme, and better internal quality control and quality of working practice
- Shift from standards for outputs to standards for outcomes/benefits (quality criteria).
- Ensure buy-in for standards from across the sector (including academics)
- Focus on outcomes – what is a high quality historic environment product? One which
  - Offers an original contribution to knowledge
  - Provides increased understanding of the past
  - Conserves/compiles the best resource for future study
  - Maximises best benefit for the public
  - Meets project objectives
- A cultural shift from standards as minimum requirement to standards as a guarantee of quality and efficiency
- Guidance on assessing significance, drawing together definitions and practice from Stewardship Standard and guidance, Conservation Principles, Burra etc.
- Guidance for local authorities on community involvement
- Guidance to local authorities and their advisors on means at their disposal to ensure quality outcomes
- Consider how to build professional confidence and leadership – to encourage bravery to state what matters and why (more able to require less and better)
- Consider role of research frameworks/research experts in establishing ‘interests’ across the sector. Put archaeological thinking into the process at the outset.
- Guidance or training on how to use research frameworks to set and develop research questions for projects

#### ii) What mechanisms would ensure these standards are applied?

#### Issues/barriers to delivery

- Standards are applied too late, and are not seen as part of the process of specification, choice of method or intrinsic to delivery

- The language of standards is inaccessible
- Standards are not considered appropriate across the sector, so often are not used
- The roles of IfA, EH, Historic Environment advisors in local government in standard promotion/protection not clear or fully understood by all
- There are often no consequences of not meeting standards
- The means of measuring against standards tends to be a tick-list for processes – measurement of outcomes is inconsistent

Solutions

- Strengthen weight/clout of accreditation – through chartership
- Manage by exception – if people are accredited by a third party, is an efficient and cost effective way of ensuring quality
- Build standards into planning – into conditions and into local frameworks
- Local/national award schemes for awarding best practice (eg CEEQUAL)
- Sanctions for poor quality

iii)Where and by whom within the planning process should these standards be monitored and enforced?

Issues/barriers to delivery

- There is a tick box attitude to monitoring and enforcement, not a focus on outcomes
- There is too much micro managing of experts by authorities and consultants
- Wasteful divisions in sector prevent us seeking expert advice and selecting the right people for the right roles within projects
- The concepts of ‘monitoring’ and ‘enforcement’ misplaced. Standards are the responsibility of individuals and profession as a whole.

Solutions

- More peer review, self regulation, development of trust within the profession
- Better information flows within projects and around them – management by experts, and by exception
- Better models for engagement with wider audiences/stakeholders to agree outcomes and benefits/quality criteria

- Mechanisms for ensuring historic environment input into early stages of the planning process

6.3.2 Workshop 2: How to achieve better opportunities for public participation and involvement in decision making, and how to achieve improved quality of publication and explanation

Hosts: Mike Heyworth (Council for British Archaeology) and Matthew Slocombe (The Society for the Protection of Ancient Buildings)

i) What role should the public have in decision making and in assessing and managing significance in the historic environment?

Issues/barriers to delivery

- There is a challenge in balancing the public’s involvement as non-experts and the profession’s work as experts – there is a degree of specialist knowledge required in managing the historic environment that most of the public do not have
- The public is a diverse audience, each element of which needs to be approached differently. The public is variously defined as democratically elected counsellors, developer clients, amenity societies, local and national bodies, ‘everybody’, ‘future generations’, and those who don’t normally engage or who are unable to engage. Furthermore, the concept of ‘public’ and ‘the community’ is constantly changing and developing
- There are four current main routes to engagement
  - 1 through strategic work/self recording projects like the Church Recorders or PAS scheme
  - 2 through structured consultation (eg for Conservation Area Assessments) with specialist guidance
  - 3 through the planning process (although means of engagement and proponents of change will alter as a result of the Localism Bill)
  - 4 in helping to manage significance – such as Heritage and Archaeology Wardens, the NAS Adopt a Wreck scheme
- Methods effective to explain buildings you can see and below-ground remains you can’t are very different, and the effort and expertise required to explain each is different
- National groups and local groups often conflict in their appreciation of the significance of assets – this needs mediation by specialists
- Non-specialists may not be able to engage so well with

- the national overview but have a closer grasp of local values
- There is bias in terms of who is able to engage and at what stage in the process
- It has not yet been agreed how the range of PPS5 interests should be explained to the public [and by whom]
- Threat-led involvement of the public is more common – communities often use heritage as a means of preventing change/threats/designations, but not for positive change/enhancement
- Ways of marshalling public opinion are currently limited in terms of range and effectiveness [slightly vague again]

Solutions

- Build on current routes to engagement to establish best practice examples and develop new schemes and methodologies
- Find new ways to marshal public opinion on the historic environment to help manage change positively
- Focus on public in terms of developer clients and planners to engage in concept of significance – focus on communities to engage on the ground
- Share skills that allow interpretation, but ensure decision making is guided by experts
- Invest more in local lists and Conservation Areas (with guidance on the application of the four ‘interests’)
- Involve the public more in pre-application work and strategic planning to prevent certain groups being locked out from the start
- Ensure public involvement in setting high-level policy, with methods/guidance for public on how to do this, with examples
- Use planning conditions to oblige practitioners to involve the public and provide opportunities for participation (‘legitimate interest’)

ii) What participative experiences do the public find most rewarding (beneficial)?

Issues/barriers to delivery

- It is not certain what the public appreciate most – ideas include
  - 1 contributing to decision-making (in planning or designation of assets)
  - 2 contributing to stories/knowledge creation – discovery
  - 3 learning something new (and surprising)

- 4 genealogy and family history or history of their local place
  - 5 treasure
- The public often don’t agree with the outcomes of the planning process in relation to the historic environment
  - Engagement fatigue - community consultation and involvement is growing, with the risk that focus is lost
  - PPS5 logic allows more flexibility for change to assets higher up the academic and popular agenda, because through the ‘offset’ rule, public benefit (directly relating to loss of significance) will be proportionately higher in those cases
  - H&S and insurance issues are often used as an excuse not to engage

iii)How might those experiences be offered through the planning process?

Solutions

- Carry out research into motivations and approaches to engagement – what is public value?
- Set conditions and create obligations that prioritise engagement over data-gathering, taking into account appropriateness and scale
- Offer more open and fearless consultation of the public through planning, and yet have the confidence not always to make the popular decision
- Draw on the links between public interest and academic interest – forge closer links with education, and more effective ways of converting latent archaeological interest into valuable historic interest and understanding for the public through the planning process
- Use PPS5 to shift priorities, favouring projects that prioritise engagement as a product (good examples needed)
- Develop guidance on how to offset loss of significance with public benefit – to ensure a proportionate response
- Take the lead from planning-based projects that engage, such as:
  - Bristol City’s digitisation project using volunteers
  - Defence of Britain Project
  - Portable Antiquities Scheme
  - ?English Heritage use of social media to enhance interpretation of aerial photos
- Look into the potential of methodologies from outside archaeology - such as the ‘Galaxy Zoo’ - that rely on mass participation for data-gathering



i) **What dissemination vehicles are available for different audiences and types of information?**

ii) **How does significance determine the appropriate vehicle for publication?**

iii) **How is significance explained to the public?**

**Issues/barriers to delivery**

- There is a range of dissemination vehicles for different audiences – these are not always applied appropriately to audience or material – oral presentation, exhibition/display/interaction, participation/digital media/print; audiences could be planners, technical experts, the community, schools, researchers. Significance must play a part in determining which medium is appropriate to which audience.
- For the public, engagement in the process of discovery is more exciting than in the process following discovery
- PPS5 has raised the bar in terms of what it is reasonable to seek in terms of dissemination
- Relationships between significance and value to public are not always made clear - why does it matter to them?
- Individual projects often don't lend themselves to detailed publication – syntheses and themed delivery is better
- Links are not always made between understanding of the historic environment and master-planning
- HERs are an underused resource by the public (general public and specialists) for participation, knowledge creation and understanding, predominantly due to lack of resources, and because data are sometimes not current
- There is a lack of understanding of the terminologies and technologies used by HERs – they are not consistent or of a national standard

iv) **How might the planning process ensure that good choices are made in terms of publication and explanation?**

**Solutions**

- Projects in the historic environment should have communications strategies, to be reviewed at the start and end of projects to identify stakeholders and to help define the scope and format of products
- Guidance should be developed on what dissemination methods are appropriate for different kinds of material and for which audiences, based on significance
- The planning process should encourage/require more

creativity and collaboration in designing methods of dissemination – popular booklets, websites, syntheses etc

- Professional judgement to be employed more robustly in the planning process to determine what is of strategic importance and what isn't, and the appropriate method of dissemination
- Museums should be more involved in channelling and displaying information – they are expert at the dissemination and education process
- Find a way to engage archaeologists more effectively in the design and master-planning process
- Use characterisation as a possible tool to help people articulate significance, and to define cultural landscapes and townscapes (nb. the Lincoln Townscape Heritage)
- Heritage benchmarking - to identify and highlight innovative ways of communicating/demonstrating significance

**Solutions**

v) **How can we make better use of Historic Environment Records to engage the public?**

- Provide data at multiple levels in HERs, using accessible language directed at a range of audiences
- Make data linkable to other data sets – scientific data, finds data, environmental data and other resources (natural/landscape/characterisation) and signpost across, to increase appeal and interest
- Ensure Heritage Statements for buildings feed through into HERs, as well as other buildings data – such as photographs for buildings on 1st edition OS.
- Use HERs to manage and create local lists
- Develop publicity for HERs using the four interests as a hook
- Improve accessibility to HERs – gateways
- HER forums to train staff in public management, and open-house sessions to train specialists and the public
- Publicise the benefits of HER volunteer programmes (more promotion to students)
- Provide guidance for public to submit their own data – a DIY HER input process, with a validation mechanism

6.3.3 **Workshop 3: How to achieve proper compilation and transfer of archive material and improved access to archives**

Hosts: Duncan Brown (English Heritage) and Dave Allen (Keeper of Archaeology at Hampshire County Museums and Chair of the Society of Museum Archaeologists)

i) **What is the requirement to ensure archive delivery to recognised standards?**

**Issues/barriers to delivery**

- Archiving is often an afterthought to project delivery – should be a key output and planned from the start
- There are standards for the structure of archives – national standards and museum based standards, but these are not consistently applied and sometimes conflict (eg in microfiche use)
- Museums, ARCs, Archives, HERS and ADS are not communicating or providing cross-linked resources
- Digital, digitised and primary (physical archives) require different management methods and standards – this shouldn't be a problem if they can be brought together intellectually
- Archives must reflect the 'interests' lost/enhanced through the planning process and future research potential – many are just the total resource collected, or a selection made against unknown criteria
- Is digital the future? Not for museums – digital records are not trusted, there is an up-front cost, and no universal standards
- What is the HER's relationship to the archiving process?
- It is a requirement of PPS5 that archives must be useful for research – 'significance' needs to be established as baseline and research potential/retention policy derived from that.
- PPS 5 requires all four interests to be treated equally – what is the requirement for archiving of work relating to 'artistic' interest – what form might this archive take?
- The planning archaeologist ensures the archive is deposited but not the quality of the archive
- Better guidance is required in the planning process for archive creation
- Archaeological archives are the one part of museums' intake that is not controlled by their collections policies

**Solutions**

- Better dialogue between holders and creators of archives – who should initiate this? AAF?
- Retention and selection/discard guidance - selection to be based on
  - 'interests' lost or enhanced
  - assemblages, not materials

- professional view of future research potential (including relevance to research frameworks where available)
- Collaboration between archaeologists and galleries to deal with the idea of 'artistic interest'
- Use of staged conditions, performance bonds, or linking of transfer of title to discharge of conditions – planning authorities must facilitate the process
- Training and guidance for Local Authorities to deal with archive issues
- Standardisation of deposition requirements at national or regional level, including allocation of accession numbers
- Project guidance on archive strategy – specification of archive to be produced at initiation and developed over project life – guidance on how to manage the evolving process of archive creation within historic environment projects
- An agreed policy on discard – using significance criteria to decide what should be kept
- Standards for digital archives and indexing

ii) **What structures might be required to manage better the archive compilation and transfer process, including transfer of archives currently held by practitioners?**

**Issues/barriers to delivery**

- There is a lack of clarity over what archives are and what they are used for/by whom. This needs to be defined in order to determine a new shape for delivery – archives might include material relating to any of the four PPS5 interests, and be housed in museums, galleries or other repositories
- Contractors are currently often temporary custodians of potential museum collections
- There is no communication between repositories or central signposting system
- There is a shortage of space/repositories are not accepting more archives
- Nobody follows up on archives – the information flow between planners and repositories is very poor
- The legal transfer process is poorly understood by landowners
- Archiving is not prioritised by organisations – there is a huge backlog of legacy archives

**Solutions**

- An evaluation of current archive use (planning archives, museums, art galleries) – feedback from

- users and providers. Who are the non-users?
- Instigation of Planning Intervention Points – constantly reviewing project plans and reconstructing archive model dependent on progress of project
  - Archive champions in organisations to understand and implement this process
  - Better briefing for landowners about the process of legal transfer
  - League tables for organisations as an incentive to archive
  - Repositories for archives no longer to be exclusively in museums – an alternative solution (groups of contractors to provide archive services? specialist repositories? centralisation? – see below)

**iii)How can provision of access to archives in the future be ensured?**

**Issues/barriers to delivery**

- PPS5 contains the requirement to store archives but no requirement for repositories themselves –the planning system provides revenue costs for maintaining archives but not capital for setting up archives
- The organisation and format of archives – they need to be accessible at all levels
- Poor PR for archives – potential not publicised to researchers or public
- Increasingly archives are produced in digital format or contain large quantities of digital data
- Museums are overwhelmed by archives that don't fit their collections policies
- There is poor signposting at present – researchers are not able to access different parts of the archive
- Expert curators are vital to assist with research – many archives do not have the staff or facilities
- Issues of confidentiality can put researchers off
- There is inconsistency as to what goes into archives and where to find different types of archived material

**Solutions**

- Map type and scope of archives – convergence or provision of central signposting
- Widen acceptability of types of repository once signposting system in place
- Bring backlogs in line with new standards (see above i)
- Regional repositories or hubs – such as the LAARC – with access digitally through gateways at local museums would provide a better service for researchers and if in only a few locations, would draw

- together resources to be spent on curators and accessibility. Benefits: easier to deposit, bigger profile, better access, saved resources, better for research, museums will carry on doing what they do best
- Develop a mechanism for costing archives as part of whole project costing and passing costs on to developer
  - Guidance for researchers
  - Promotion of the significance of archives to the public – may lead to funding streams not yet accessed
  - Investigation of potential funding through Community Infrastructure Levy, development tax or funding bodies such as the HLF

**iv)How can we encourage the public and academia to engage with archive materials?**

**Issues/barriers to delivery**

- How to attract researchers
- How to connect archives and research interest

**Solutions**

- Reinvent the archive as a place of discovery and inspiration
- Create or support research interest groups – link to life-long learning and schools
- More on-line
- Publicity and signposting as first step – represent better the value of archives (nb genealogy, History of the World in 100 Objects)
- Moving from discard policy to selection policy – involving academics in these decisions
- Think about how an archive can capture 'significance' – how does significance survive the archive process? How is it managed and negotiated?
- Need to integrate interpreters into the investigation stage – get museums involved in selecting, structuring and presenting the archive

**6.3.4 Workshop 4: How to achieve better research focus in delivery, and how to address fragmentation in the sector**

Chair: Adrian Tindall (Federation of Archaeological Managers and Employers), Roger Thomas (English Heritage) and John Barrett (University of Sheffield)

**i) How should assessment and management of significance take account of and inform regional and national research (and research frameworks)?**

**Issues/barriers to delivery**

- PPG 15/16 method focussed on collection of data. PPS5 requires a more sophisticated level of intellectual engagement
- PPS5 requires Historic Environment work to be a research-based process – based on an understanding of significance and on new knowledge creation – this focus on research outcomes should run all the way through all historic environment projects
- Regional research frameworks brought consensus to different areas of research, but there is no evidence/ means of assessing how effectively they are being used in planning-led research
- Feeling is that research frameworks are hardly ever adapted intelligently to projects – research questions are set at too high a level and are rarely tailored to the potential of the project, used as a decision-making tool or to target activities. Research questions rarely define the techniques applied
- All archaeologists carry out the process of critical questioning and testing – some better than others – the divide in quality is not commercial/academic, but between practitioners who are more or less skilled in the practice of research
- Academics are not awake to the potential of PPS5 to inform their research
- There are differences between academic research (original knowledge) and assessment of current knowledge to inform planning decisions (pre-application). But historic environment work very often produces original knowledge as well (through mitigation), although perhaps not to such a great depth of detail/contextualisation
- How do we develop questions for historical, artistic and architectural research?
- Results of PPS5 work must be fed back into research body of knowledge – there is no effective mechanism at present
- Academics are often brought in for brief analysis or to support findings – they are not involved in setting initial questions
- HERs are underused for research
- Practitioners are lacking the professional confidence to do *less better* – rather than information-gathering for its own sake – this would be cheaper and result in better products
- Research/understanding is reflected in characterisation, but this is rarely used for decision-making (except where it is included in the HER eg Berks)
- Research Councils already fund synthesis work (eg Richard Bradley's work)

- A communication channel/central point of contact between commercial and academic work is missing – beyond conferences

**ii) How might we better engage our universities (people, places and resources) in commercial activities?**

**iii)How should we make these connections an integral part of practice?**

**Solutions**

- Some are already engaging in a number of ways – to be developed and best practice shared
- Collaborative fieldwork
- Joint ventures and partnerships
- University-based commercial services
- Academic quality assurance
- University courses tailored to sector requirements
- Engage research councils to fund research liaison officers or embed them in professional organisations/consultancies
- Develop a network of working relationships between universities and others
- Encourage/fund synthesis and thematic publication of commercially funded work by relevant university departments and specialists
- Collate evidence on the application of research frameworks in decision-making, to inform a new generation of frameworks/more detailed questions and guidance on more effective use
- Consider how you arrive at the PPS 'interests' beyond research frameworks: PPS5 work should be based on access to a good evidence base of knowledge/gaps in knowledge, on which to base decisions and carry out new analysis – specialists are needed in each area of historical, architectural and artistic interest on a project to provide this base and question it
- Use research frameworks as a means of approaching interest and significance
- 'Sell' research as a 'benefit' of commercial work - alter client expectations and values to expect research quality
- Use the impetus of RCUK's 'Pathways to impact' to bring together the results of planning led investigation and new knowledge creation – a revised quality standard for planning-led projects
- Write into WSIs a tight focus and criteria in terms of research quality of product or identification of potential for synthesis
- Employ an iterative approach in projects to refining research questions, using research expertise (is the research case for the work still valid?)



**iv) What new methodologies would help draw the academic and voluntary parts of the sector into commercial activities?**

**Solutions**

- Academic skills must be valued more highly in planning work, and practitioners should look to the universities to provide this approach, encouraging intellectual engagement with the subject – learning how to understand and question is key to the quality of what we produce
- The commercial sector finds it difficult to keep up with current research interests – there should be better engagement with/contribution to AHRC projects and to the standing seminar on post-graduate research
- Research links are needed to be set up at the start of projects – this should be a requirement of the planning process
- Use the model of regional science advisors for ‘regional research advisors’ – to draw out research potential from specific projects and identify potential for synthesis by academics
- Employ a reflexive approach to research frameworks and investigative research projects
- Investigate how HLC can be linked to a more predictive, reflexive research approach
- Develop a methodology (through a pilot study?) for ‘wiki-style’ open feedback research, where research aims are developed as the project progresses

**v) How could Historic Environment Records be improved for research purposes?**

**Solutions**

- Develop research by Ben Robinson and David Yates on HERs for research
- Involve universities in the development of HERs

**vi) How can we improve the research quality of products produced through PPS5?**

**Solutions**

- Planning Authority specialists need to play a stronger role in specifying research quality criteria
- Engage experts early – specialists, academic stakeholders should be involved at the start of projects, and in strategic policy work eg LDFs, and as peer reviewers
- Develop greater consistency of terminology

- More frequent academic peer review
- Develop methods for feeding results of research back – better journals?
- Use PPS5 as a lever to target research effort to what matters most
- Drive up the desirability of quality over cost in terms of client expectations

**i) What is the evidence for fragmentation in the sector? What is the impact of fragmentation?**

**ii) What are the barriers to better integration?**

**Issues/barriers to delivery**

- There are many bodies in the sector delivering similar things – voluntary bodies, museums, commercial bodies, universities, institutes and associations, public bodies, specialists in different but overlapping areas of the historic environment
- All have a different cultures, based on background and training
- This diversity weakens our strength of voice to policy makers and government funding bodies (TAF helps, but not strong enough)
- There are even silos and wasteful overlaps within major organisations and public bodies
- There are no holistic standards or funding criteria
- Commercial competition encourages the ‘have a go’ approach where specialists are not involved where they should be

**iii) What would effective holistic working look like?**

**iv) How should we make holistic working a requirement of practice?**

**Solutions**

- Encourage competition for services based on quality – of specialists and product – not price
- Develop a stronger commitment to professional competence and expertise – having an appropriate skill base in every instance and a better understanding of roles
- Develop the capacity for multidisciplinary team working
- Develop robust project design including appointing appropriate teams of specialists throughout
- Engage with all relevant research questions throughout projects
- Works towards a situation where consultants and clients understand the nature of specialist services

- Joint presentation at conferences by project teams (with specialists and clients)
- More generalists with better project management skills to manage multi-faceted projects and manage overlaps between specialist areas
- HERs as the master index for PPS5 work – easily accessible by all parts of the sector, planners and for research
- Research advisors and regional research hubs
- Pan-sectoral training following the EH HET model
- Researchers to consider how to deliver within the Research Excellence Framework, in which the local impact of research scores highly, through developing relationships with local organisations

**6.3.5 Workshop 5 Making PPS5 work – delivering real value from developer-funded archaeology**

This report summarises the issues and ideas raised at a round table discussion held on 18 March 2011 at the British Property Federation with members of the development sector and Southport Group members. The discussion aimed to elicit a response to some of the issues and ideas raised at historic environment sector workshops in January 2011 in relation to the sector’s ability to deliver PPS5 principles, in particular those pertaining to public benefit.

The two-hour meeting took the form of a wide ranging discussion around the following issues and ideas

**iv) The annual investment by developers in archaeology has been estimated at between £120 and £170m per annum, on projects of all sizes. What did the property and development sector get for that investment? Did the property and development sector get what it expected (should it have expected more)?**

**v) Did this and other commissioned heritage work support developers’ own Corporate Social Responsibility agendas? Did the funders get the credit they deserve? To what extent did they have a sense of ownership of the heritage work and its products? Did local and stakeholder communities and the wider public get the benefits from the work that government planning policy intends?**

**vi) Do we have good examples of how the current practice for procuring, funding and regulating planning-led heritage work encourages and delivers appropriate public benefit? Are there any other**

**models or any practice improvements that would work better?**

Although the discussion was not structured, the ideas reported below are grouped under the headings ‘Issues’ and ‘Opportunities’. They are not attributed to individuals.

**Issues**

- The potential contribution of archaeology to the development industry is currently sold short
- There are different priorities between the two sectors: to transform places/deliver benefits to shareholders as opposed to generating new knowledge and public benefit
- There is a need for a consistent toolkit for delivery – a way for the historic environment sector to deliver public and client benefits in tandem, every time
- Archaeological work can be perceived as a necessary evil by developers – how different developers approach the issue currently affects what they get out of it
- Archaeology provides an opportunity to create a relationship between the development and the community and to deliver CSR targets
- Archaeology happens at a key interface/on the critical path – where risk is managed and attributed extremely closely, and any problems can generate significant consequences for different parties. This creates the impression of archaeology as a potentially negative force
- There needs to be greater confidence in the archaeological product – what is expected, what the process will be to deal with it – a clear understanding of archaeological objectives so the developer can help/participate, not just accommodate
- The localism agenda is changing the way that developers have to engage the community and their approach to consultation
- The localism agenda may also lead to a reduction in requirements for historic environment work, in order to get local communities working
- There was an undue emphasis on future generations in the PPGs – not on immediate benefits to communities or the public
- Archaeologists don’t see themselves as a business, providing a product to clients (developers and public) – rather they tend to emphasise risk management and discharge of obligations at the expense of creating value . This needs to change
- The benefits of archaeological products need to be people focused
- Some developers are nervous of using archaeology as

- a tool to draw in the local community pre-determination – it can be used to stop development They prefer the results of archaeological work to be publicised during or at the end of a project
- Traditional archaeological products (academic publications and museum collections) are not popularly accessible and delivered too late to be integral to a development project – a more useful product for PR, marketing and sales is something that is produced during the process itself
  - The cost of delivering public benefits through archaeological work is not prohibitive – for a small proportion of the cost, the quality of the product can be better focussed and enhanced – for example including controlled access for the public during excavation work
  - Archaeologists are too focused on process, not enough on product – they are too precious
  - The public don't recognise that they are a client for historic environment work – we need to manage/raise their expectations
  - Planners can be the stumbling block between archaeologists and development sector – many don't have the ability to identify the potential of the historic environment to contribute or to weigh up conflicting interests in an informed way – the heritage sector generally doesn't help. PPGs were clearer (eg re protection of remains of national importance) – PPS5 is less obvious in what it's asking
  - Archaeologists are unable to state clearly the potential benefits of their work and convince planners of opportunities – what do we want out of archaeological work?
  - The historic environment sector's response to PPS 5 is varied, with many reluctant to adopt the new focus on significance and enhancement/not preservation; the old perceptions are embedded within the sector and among developers
  - At the moment, many consultants are procuring archaeological services based on the quality of the risk management they offer, not on their ability to add value

#### Opportunities

- There needs to be stronger concordat between property sector and archaeological interests in relation to aspirations for archaeological outcomes. We need to agree on a different set of services and relationships (a new version of the Code of Practice?). One or more should apply to minerals, waste and property
- The historic environment can deliver benefits in terms

of access and education, as well as significant publicity for a development, focusing on sense of place and quality of environment

- The example of the Aldgate was cited as a possibility for using archaeological work to enhance the quality of development – in terms of identity, sense of uniqueness
- Archaeologists need to approach development work as a research opportunity – with benefits able to be appreciated during the process and to contribute to the design of the development itself, as well as being available for education and future generations
- The historic environment sector needs to be persuaded that enabling development is the key, not preventing it – to take a constructive view. It needs to be advised against pushing archaeological work on faster and at lesser quality
- Archaeologists must focus on future shaping not risk managing/preservation: PPS5 asks us to enhance significance, not just to preserve it
- Archaeologists need to develop early and clearly defined statements of outcome for developer clients.
- The historic environment sector needs to promote positioning of archaeological work in development programmes at their beginning and end – to input to design and marketing – not just to risk management/site clearance work
- It is the responsibility of consultants and planners to interpret the PPS principles in an enlightened way and promote the opportunities they offer
- Archaeologists need to define the value of what they do in terms of 1 ) the planning process, including design 2) risk management on the critical path 3) the marketing story 4) long-term benefit of education, knowledge for future generations
- Archaeologists need a toolkit for delivering value at these four levels
- Archaeologists need a PR exercise to promote the idea of these four levels.
- There needs to be better guidance for procurers of archaeological work to require suppliers to meet qualitative targets (delivery of benefit), not just cost targets
- Archaeologists need to raise the profile of good practice that already happens
- Archaeologists need to modernise their approach to development – to present their offer differently, in terms of what they can make happen
- Archaeologists and developers need to position themselves on these issues so that we can transfer a common understanding into the NPPF when the time comes

## 6.4 On-line resources

The following products of the Southport Project can be downloaded from the Project webpage

- **draft position paper**  
[http://www.archaeologists.net/sites/default/files/node-files/positionpaper\\_0.pdf](http://www.archaeologists.net/sites/default/files/node-files/positionpaper_0.pdf)
- **workshop agendas**  
<http://www.archaeologists.net/sites/default/files/node-files/Workshop%20agendas.pdf>
- **workshop summaries**  
<http://www.archaeologists.net/sites/default/files/node-files/WorkshopReport.pdf>
- **workshop 1 Quality and Standards video footage**  
<http://www.archaeologists.net/southport/workshopone>
- **workshop 2 Public and Participation video footage**  
<http://www.archaeologists.net/southport/workshoptwo>
- **workshop 3 Access to Archives and Information video footage**  
<http://www.archaeologists.net/southport/workshopthree>
- **workshop 4 Research and Collaborative Working**  
<http://www.archaeologists.net/southport/workshopfour>

## 6.5 Acronyms decoded

AAF Archaeological Archives Forum  
AAI&S Association of Archaeological Illustrators and Surveyors  
ADS Archaeology Data Service  
AEA Association of Environmental Archaeologists  
AHF Architectural Heritage Fund  
AHP Architectural History Practice  
AHRC Arts and Humanities Research Council  
AIP Archaeological Investigations Project  
ALGAO Association of Local Government Archaeological Offices  
APPAG All-Party Parliamentary Archaeology Group  
ATF Archaeology Training Forum  
BADLG British Archaeologists and Developers Liaison Group  
BEFS Built Environment Forum Scotland  
BMAPA British Marine Aggregate Producers Association  
BPF British Property Forum  
CBA Council for British Archaeology  
CEO Chief Executive Officer

CIOB Chartered Institute of Building  
CPD Continuing Professional Development  
CSR Corporate Social Responsibility  
DCLG Department of Communities and Local Government  
FAME Federation of Archaeological Managers and Employers  
EH English Heritage  
EIA Environmental Impact Assessment  
HE Historic Environment (policy number in PPS5)  
HEG Historic Environment Group (Wales)  
HEF Historic Environment Forum (England, formerly HEREC)  
HELM Historic Environment Local Management  
HER Historic Environment Record  
HER Historic Environment Review Executive Committee (England, now HEF)  
ICE Institution of Civil Engineers  
ICON Institute of Conservation  
IfA Institute for Archaeologists  
IHBC Institute of Historic Building Conservation  
LAARC London Archaeological Archive Resource Centre  
LI Landscape Institute  
LSE London School of Economics  
MA Museums Association  
MD Managing Director  
MOLA Museum of London Archaeology  
NAS Nautical Archaeology Society  
NPPF National Planning Policy Framework  
NMR National Monuments Record  
NOS National Occupational Standard  
NVQ National Vocational Qualification  
OASIS Online Access to the Index of Archaeological Investigations  
PPG Planning Policy Guidance  
PG Practice Guide (to PPS5)  
PAS Portable Antiquities Scheme  
PPS Planning Policy Statement  
PR Public Relations  
PUNS Publications User Needs Survey (CBA)  
RAE Research Assessment Exercise  
RCAHMS Royal Commission on the Ancient and Historical Monuments of Scotland  
RIBA Royal Institute of British Architects  
RICS Royal Institution of Civil Engineers  
RTPI Royal Town Planning Institute  
REF Research Excellence Framework  
SCAUM Standing Conference of Archaeological Unit Managers  
SCFA Subject Committee for Archaeology  
SMA Society of Museum Archaeologists  
SPAB Society for the Protection of Ancient Buildings  
TAF The Archaeology Forum  
THA The Heritage Alliance  
WSI Written Scheme of Investigation



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AN ECONOMIC ANALYSIS OF THE MARKET FOR  
ARCHAEOLOGICAL SERVICES IN THE PLANNING PROCESS

Annex 1

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2 June 2011



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EXECUTIVE SUMMARY

- 1 Archaeologists became heavily involved in the planning process after 1990, when policy guidance was first published requiring the investigation of possible heritage sites as a precondition for planning permission. Developers pay for the archaeologists’ investigations and generally consider this to be a straightforward cost from which they receive little direct benefit, apart from planning permission. Without the regulations developer demand for archaeologists’ services would be much lower – although some developers (those with a particular interest in the field, those who own sites of particular interest, or those who see it as a public relations tool) would still commission work.

2 Local authority archaeologists, also known as archaeological curators, set out the extent and type of investigations that developers must provide, and usually specify that the results of investigations must be published. Findings are usually published in academic journals or monographs. Developers are required to store the excavated artefacts in county museums or other suitable repositories for the benefit of future researchers. Museums are increasingly reluctant to accept these as they occupy a lot of space and are rarely accessed.

3 The objective of the regulation is to preserve heritage value in the face of development and market pressures. Heritage assets are generally considered to be public goods, in that their enjoyment by one person does not limit others’ ability to enjoy them, and individuals cannot be prevented from enjoying them. The main public good element of archaeological assets is seen to be the *information* they embody, not the artefacts themselves.

4 Economists have developed techniques for estimating the total value to society of environmental assets, including heritage assets. The Total Economic Value of a heritage asset to an individual is the sum of *use value* (the value they place on using or observing the asset), *option value* (the value they place on preserving the asset for themselves/future generations to use later) and *existence value* (the value they
- place on the asset’s existence, even though they never expect to use or see it). As the asset is available to all, the value to society is the sum of all individual values.

5 The outcomes of the current system have high existence value, as assets are generally investigated and the information they contain extracted and analysed. However use value is relatively low, as the public is not normally involved in investigations, the results are published in specialist journals and the artefacts are stored in museum warehouses.

6 The goal should be to produce outcomes (records, publications or activities) that maximize the value to society, given the costs<sup>4</sup> involved. It may therefore be appropriate to encourage outcomes that produce use value as well as existence value – that is, that include public outreach, allow access to sites and artefacts, and inform a nonspecialist audience. Although there are some good examples of community outreach and public participation in archaeological excavations, which current government guidance supports, they are far from universal so Total Economic Value is almost certainly not maximised.

7 Because developers generally perceive little direct benefit from archaeological investigations, contracts are often won on price alone. This has given rise to concerns within the profession about quality control. The simplest way to enforce quality control is a licence requirement, but this should be linked to an understanding of how to maximise value. If there are problems of assessing quality and reputation, bidders could be asked to identify what they did in earlier successful bids to maximise value as well as limit costs.

8 The market currently produces a least-cost means of meeting regulatory requirement. The objective should however be to maximize the net value to society, including use, existence and option values. This requires more understanding of both the values involved for individuals and society and the link between the quality of the activity and achieving these values.

<sup>4</sup> To meet the condition of economic efficiency, the marginal cost of the process should be the sum of individuals’ marginal utilities.



## 1 Introduction

This report presents the results of research carried out on behalf of the Southport Group of archaeologists into the market for commercial historic environment services in the context of the English planning system.

Since 1990, government regulations have required developers to commission input from archaeologists for planning applications that may affect archaeological assets. These regulations have created a market for professional archaeological services that would otherwise not exist. Demand is largely a function of regulatory requirements and is essentially determined outside the market. On the supply side there are many producers – some are private firms, some charities, and some public organisations. The costs of the archaeological assessment are borne by the developer, but the ‘product’ (in the form of knowledge and artefacts) is meant to benefit the public at large.

The aim of the project was to conduct an economic analysis of this market, to assess the degree to which it currently produces the sorts of public benefit that the regulations implicitly envision, and to make suggestions for improving its operation.

## 2 Current planning framework

Under English planning policy, heritage assets (which include archaeological remains as well as historic buildings and gardens, etc.) are a ‘material consideration’ in the planning process. Developers are therefore required to demonstrate that they have determined whether such heritage assets exist on the proposed development site. If the site does encompass heritage assets the developer must have them assessed by experts, whose findings are used by the planning authority in determining whether to grant planning permission and under what conditions. If significant assets are present planning conditions may be imposed requiring the developer to commission investigation, analysis and publication of the results, offsetting the destruction or removal of part of the historic environment by facilitating increased public understanding and enjoyment of their heritage.

The publication in 1990 of Planning Policy Guidance Note 16 (Archaeology and Planning), together with PPG15 (Planning

and the Historic Environment, 1994) created an artificial market for the services of archaeologists – artificial in the sense that the market would be very different (and very much more limited) were it not for regulation. Planning Policy Statement 5, in force since 2010, replaced and superseded these documents. The government is currently drafting new planning guidance that is expected to be more concise than existing guidance.

PPS5 sets out the requirement for expert assessment as follows:

‘Local planning authorities should require an applicant to provide a description of the significance of the heritage assets affected...(they) should have been assessed using appropriate expertise where necessary given the application’s impact. Where an application site includes, or is considered to have the potential to include, heritage assets with archaeological interest, local planning authorities should require developers to submit an appropriate desk-based assessment and, where desk-based research is insufficient to properly assess the interest, a field evaluation.’ (DCLG 2010, para HE6.1)

In terms of the recording of heritage assets, PPS5 states that

‘where the loss of the whole or a material part of a heritage asset’s significance is justified, local planning authorities should require the developer to record and advance understanding of the significance of the heritage asset before it is lost ... Developers should publish this evidence and deposit copies of the reports with the relevant historic environment record. Local planning authorities should require any archive generated to be deposited with a local museum or other public depository willing to receive it. Local planning authorities should impose planning conditions or obligations to ensure such work is carried out in a timely manner and that the completion of the exercise is properly secured.’ (DCLG 2010, para HE12.3)

These requirements are further elaborated in accompanying practice guidance.

Apart from PPS5, the Institute for Archaeologists has set ‘standards and guidance’ for the various activities carried out in archaeological practice<sup>5</sup>. Moreover, the European Commission guidance notes on the Environmental Impact Assessment process, which are reflected in UK legislation and guidance, set out criteria for judging the sensitivity of locations with archaeological assets (Planarch2 2005, 6).

## 3 Methodology

The research was carried out between March and May, 2011, through a combination of desk-based research and interviews with market actors and others with an interest (see Annex A for a list of interviewees). Initial findings were discussed at the Institute for Archaeologists conference in Reading in April 2011.

The desk research and interviews aimed to answer the following questions:

- What do the regulations require of developers and local authorities in terms of the acquisition of expert archaeological services? What is the aim of such regulations in economic terms – i.e. what type of market failure is addressed? How successfully is that failure addressed?
- How do local authorities decide what specifically to require of developers in terms of heritage assessment?
- How much variation is there in the interpretation of the regulations?
- Who are the main suppliers of historic environment services, and what is the degree of market concentration? How has this evolved since 1990?
- What range of services do archaeologists currently provide? Are there services they do not now provide that they would think worthwhile?
- On what basis do purchasers select service providers, and would other procurement models deliver better public benefit?
- What is the typical process for tendering for these services?
- How do archaeological/heritage assessments affect development outcomes?
- Do developers consider that the costs incurred in pre-determination desk-based assessments and site evaluations represent good value for money?
- Do developers consider that post-determination mitigation or offsetting costs represent good value for money?
- Under what circumstances would developers be willing to pay for additional services, beyond those required by regulation?
- Does the model provide good value for developers, for the public and for archaeologists (in terms of business profitability and remuneration for practitioners)?
- Are there better models?

## 4 The historic environment services industry

### 4.1 Overview

Archaeology was mainly carried out by volunteers until the 1970s. Then the realisation that archaeological remains were being destroyed led to the formation of various groups of professional archaeologists. They came together in trusts, geographically-based groups, universities, local government and architectural or engineering practices, with the goal of stopping the destruction of archaeological remains. This was the beginning of the rapid growth and professionalisation of the sector.

During the 1980s the role of local government was strengthened and that of central government reduced. Professional roles within the sector diversified to include curators and contractors, and it became more common for archaeological work to be paid for by developers, following the environmental policy principle of ‘polluter pays’. Most archaeology of that period was rescue or salvage archaeology, in which archaeological survey and except where development required Scheduled Monument Consent, investigation took place only at a very late stage of the projects, when it was clear that remains would be destroyed. Archaeologists had to rely on the goodwill of developers rather than on regulation to access and record remains. Developers generally viewed archaeology as a problem to be dealt with rather than an opportunity.

The British Archaeologists and Developers Liaison Group<sup>6</sup> published a guide to best practice for both archaeologists and their clients. The Institute for Archaeologists (IfA) adopted its professional Code of Conduct as a by-law in 1985 (IfA 1985<sup>7</sup>). With the growth in the sector during the 1990s (see below) and an increase in the number of projects won through competitive tendering the Code was followed by the adoption of Standards and guidance (as detailed earlier in the report) . These documents were advisory only, and adherence to them voluntary. The sector continues to be largely self-monitoring and self-regulating; there is no requirement for an individual to be registered or chartered to operate as an archaeologist.

In the 1990s, with the integration of archaeology into the planning and development system and the formalization of the ‘polluter pays’ principle through PPG 16, the archaeological

<sup>5</sup> These include: desk-based assessment; field evaluation; excavation; archaeological watching brief; investigation and recording of standing buildings or structures; collection, documentation, conservation and research of archaeological materials; stewardship of the historic environment; nautical archaeological recording and reconstruction; creation, compilation, transfer and deposition of archaeological archives; and geophysical survey.

<sup>6</sup> The group was initiated by the British Property Federation and the Standing Conference of Archaeological Unit Managers jointly, and endorsed by the English Heritage/Historic Buildings and Monuments Commission, Scottish Development Department, the Council for British Archaeology, and another six leading historic environment associations.

<sup>7</sup> [http://www.archaeologists.net/sites/default/files/node-files/code\\_conduct.pdf](http://www.archaeologists.net/sites/default/files/node-files/code_conduct.pdf)

services industry shifted more profoundly towards commercialization. Most significantly, PPG16 created a market for ‘contract’ or ‘planning-led’ archaeology that took place in advance of planned developments, was undertaken by commercial archaeological ‘units’, and was paid for by developers themselves in recognition of their impact on the historic environment. The profession became split in three major groups: contract archaeologists (who competed with each other and worked for money, and are now in the majority), archaeological curators (who advise local planning authorities and specify and monitor planning-led archaeological work) and research archaeologists whose work tends to be more academic and less competitive and who are concentrated in museums, university departments, and local societies. The division between the sectors is not absolute: university archaeologists do participate in competitive projects, as well as undertaking research that is funded by research trusts and endowments and has no ties to the development sector.

#### 4.2 From PPG 16 to PPS5

PPG16 is widely held to have consolidated the requirement to protect important archaeological remains by integrating archaeology into the planning process. It provided new opportunities for archaeologists, but also had some limitations. On the positive side, all of the individuals interviewed for this project agreed that PPG16 represented a huge advance for the profession. It allowed them to move beyond ‘rescue’ excavations, in which archaeology was employed as a kind of site-clearance and decontamination mechanism. Generally speaking, the competitive environment improved the quality of archaeological practice, management and desire for self-regulation (Hinton and Jennings: 112). It also expanded the responsibilities and quality of archaeological curators, who had previously only been responsible for maintaining what was found.

But the rapid commercial mushrooming of this largely unregulated industry also produced some less positive results. One criticism is that the marked decrease of public expenditure on archaeology weakened even the best-regarded local authority archaeology departments, forcing them to compete with commercially-funded contractors. In order to survive in the new job-by-job tendering regime, private archaeological contractors had to reduce costs as far as possible – which was felt to have a negative impact on the quality of the product. Some believe the emphasis on low costs put particular pressure on archaeological units within larger organisations such as universities. One commentator observed that the requirement for archaeological contractors to adhere to the growing number of professional guidelines and standards led to an increased proportion of managers, which did not

necessarily translate into improved performance (Walker 2001).

Professionals also had concerns about the content of developer-funded investigations. Once funding was secured, only about one third went into actual archaeological observation. Also, contract archaeologists were dependent upon development projects and thus could not choose where their efforts should go (Darvill and Russell 2002). The system was oriented towards the ‘objective’ collection of more and more data, leading to a rather mechanical process that rewarded those who could record data most cheaply. The products of this mechanistic recording were not very interesting to developers, and undercut the industry’s ability to sell itself. And, despite the vast amounts of knowledge PPG16 produced in the field, many professionals felt it excluded the public from archaeological processes and placed little emphasis on outcomes such as public participation, or on promoting archaeology as a beneficial opportunity for enhanced knowledge (Moore 2006).

PPS5 is felt to represent a great improvement. It emphasizes the importance of public participation and positions archaeology as an activity offering beneficial opportunities for enhanced knowledge. It notes, for example, that community engagement is an integral part of archaeology. This is particularly important for archaeological contractors that operate as educational charities, providing them a rationale for moving away from what had become a very technical and competitive role towards a greater emphasis on public outreach. PPS5 places more attention on the role of development in the historic environment than did PPG16, asking ‘to whom, how long, and in what way’ the impact will happen. It suggests that developers should investigate, produce demonstrable outcomes, and make them public at all stages of the planning and development process.

Interviewees approved of its emphasis on the creative, critical and reflexive levels of knowledge production in archaeological practice. In effect it allows archaeologists to ask ‘what do we want to know, and what kinds of evidence do we need to gather to know that?’ Its emphasis on ‘significance’ was felt to provide a more holistic approach to heritage assets than did PPG 16.

#### 4.3 Industry turnover, employment and main service providers

One of the most important consequences of PPG16 was a fundamental shift in the way archaeological services were provided. Previously geographically-based units had generally each taken care of their own patch, but after PPG16 developers hired contractors to meet the briefs set out by archaeological curators. The discipline fragmented, and consultants emerged. Their role is to ‘provide archaeological advice...act as agents or representatives for others, and work as intermediaries in

commissioning and monitoring archaeological work on behalf of clients’ (Darvill and Russell: 7). There was an additional growth in the number of managers collaborating in archaeological sites <sup>8</sup>.

The post-PPG16 boom in planning-led archaeology saw annual expenditure on archaeological services grow from an average of £8m in the late 1980s (all from the government) to up to £100m in the early 1990s (almost all from developers), according to Roger Thomas. By the late 1990s there was a three-fold increase in the number of contracted services such as desk-based assessments and field evaluations and some of the larger contractors were reporting £50m worth of annual business each (Darvill and Russell: 62). Today, developer spending is by far the largest source of funding for archaeological activity, having risen from £68 million in 2000 to £144 million in 2004, compared to the stable figure of £19 million that was spent over the same four-year period by central government and the EU together (Walker 2001). Its relevance is also evident when looking at the most recent labour-market figures for the archaeological profession. The private sector, or contractors that cater to developers as their clients, employs 51% of the total workforce (Aitchison and Edwards 2008). A survey of the archaeological market carried out in 2009 by the Federation of Archaeological Managers and Employers (FAME) found that more than 50% of all new business came from competitive tenders. One of the most recent studies of the professional sector estimated that 3189 out of a total of 5827 people employed in as archaeologists work in applied commercial archaeology (Aitchison and Edwards 2011: 5).

From the first time Labour Market Intelligence was gathered in 1996, the total numbers in the profession increased by 55% to 6865 in 2008 (Aitchinson 1999; Aitchison and Edwards 2008). Of those, 10% worked for national government agencies, 17% in local government, 15% for universities, 51% in the private sector and 8% for other types of organizations. The most recent figures show a decline since 2008 in the number of archaeologists to about 5827 (Aitchison 2011). Information reported and gathered for a proportion of that total<sup>9</sup> showed that there were 808 job roles and 519 working titles – the equivalent of 5.3 individuals per post title. While the total amount represented a dip from former surveys, the large number of internal specializations

supports the view that organizational instability and disarticulation of archaeological activity has taken place (Walker 2001). This is also associated with the lack of professional regulation or ‘entry barriers’ into the profession.

Much of the literature about the archaeological profession identifies salaries as an issue, particularly at junior levels as diggers. 73% of contracts in archaeology are temporary and short term. An average full-time archaeologist earns just £23,310 per annum, while the median archaeological salary is £20,792 (Aitchison and Edwards 2008). Often the labourers on a big building site earn more than the archaeologists. While most major players of commercial archaeology comply with IfA salary guidelines of pay minima<sup>10</sup>, these are guidelines rather than rules, and job insecurity remains high. This has resulted in an inevitable skills drain from the profession, as people leave for more lucrative work when they start to take on financial commitments. Interviewees mentioned recent cases of known redundancies in major organisations, while Rescue, the British Archaeological Trust has publicly expressed concern over growing losses of curatorial experts<sup>11</sup>.

There are several types of employers of archaeologists. Some concentrate exclusively on contract work, while others do so less frequently. The various employers include:

- Independent consultants & specialists (that is, self-employed)
- Archaeological contractors, which may include
  - Other local government organisations, primarily museums
  - University archaeology departments and research groups
  - Trusts
  - Private and public companies
  - NDPBs
- Local authorities
- National and local museums
- National heritage agencies and Royal Commissions
- Archaeological societies
- Other commercial and non-commercial organisations

For the purposes of this research the most important categories are the following:

*Independent consultants* operate as sole traders, advising developers on the conditions attached to planning approvals and

<sup>8</sup> John Walker cites one example to demonstrate the kind of total growth (both in numbers and cost) involved in archaeological management: from an original 3 persons to 10 (2001: 143).

<sup>9</sup> For 2733 individuals of the total workforce.

<sup>10</sup> While within the UK the archaeological profession is unregulated, the Institute for Archaeologists (IfA) sets and promotes professional standards and ethics for affiliates, students, practitioners, associates and members, including large Registered Archaeological Organisations (RAO’s) who must reapply every two years following a process of monitoring and inspecting. Scrutiny and control is therefore exercised more rigorously for RAO’s than for individuals.

<sup>11</sup> See <http://www.rescue-archaeology.org.uk/2011/04/19/rescue-responds-to-curatorial-cuts-at-museum-of-london/>



facilitating relationships between clients, contractors and curators. They are hired either by regular clients or on a project-by project basis to advise and design an archaeological approach to projects. Those working within large planning consultancy firms have a more explicit role of managing a balance between development and conservation in a way that will secure permission for their clients with a view towards balancing quality and cost. Clients can range from individuals and blue-chip commercial developers to government agencies.

*Archaeological contractors* are often based out of large organisations set up as educational charities (ex: Wessex Archaeology and Oxford Archaeology). They undertake desk-based and field research and investigation on a commercially-funded basis and are commissioned by developers. The largest organisations can employ up to 400 persons. Some contractors are local-government based (eg, Worcestershire or Herefordshire), some form part of larger surveying firms (eg., Atkins and Gifford) or planning and design firms (eg, Scott Wilson) and some are privately owned (eg, Headland Archaeology). Independent professional units can also be embedded within universities, where they are subject to the same commercial pressures as other contractors. Universities have the added responsibility of needing to secure funding to prepare students for careers in archaeology (Everill: 182).

*Local authorities* employ archaeological advisors, also known as curators. They are responsible for advising anyone wishing to develop, including local farmers and land-owners, and for setting out the conditions of archaeological investigation within planning permissions. They are expected to regularly update and make publicly accessible an index of where archaeological sites are and their significance Historic Environment Records. Occasionally they are also involved in educational outreach. Their ‘briefs’ contain specifications for investigation based on local knowledge and/or the results obtained from pre-planning desk-based assessments (conducted by archaeological contractors). Briefs also stipulate post-investigation assessment and publication requirements (ie, when and what should be published).

Curators have a crucial role solving complex problems that may arise in planning applications and negotiating solutions on a case-by-case basis with planning authorities and national bodies such as the Ministry of Defence, the Highways Agency, the Environmental Agency, and Natural England. Interviewees suggested that an average local authority gets about 15,000 planning applications per year. Archaeology officers will advise on about 500, and approximately 200 ultimately require excavation – or some other form of intervention. In theory curators should monitor archaeological

contractors against the brief and the standards of their local authority, but due to lack of resources they often cannot do so thoroughly.

#### 4.4 Procurement process for archaeological services

Archaeological contractors generally learn about new projects through personal contacts, direct approaches from clients, publicly available planning lists and databases, or by accessing procurement websites. Most typically, large development firms begin the procurement process for archaeological services by identifying and creating a list of contractors with whom they have previously worked, or those who attain a certain quality grade based on performance, financial circumstances, safety, and client references. If the project requires some form of specialist or local knowledge, a contractor from that list who holds it may be invited to perform the work outright.

If the project is large, it is common for only the largest reputable firms to be invited to tender due to their comparative advantage in terms of resources. More commonly, three to four archaeological units are invited to put in a price. A short-list will be produced based on the following criteria (in no particular order)

- ability to do the job
- size of the company
- resources at their disposal
- rate of mobilization of resources if the project is in a ‘congested’ area
- reputation or standing in the archaeological community
- quality
- individual service
- experience of contract type
- health and safety; and
- price.

The explicit or implicit weighting of these criteria varies by developer, but interviewees said that price tended to dominate in the final selection decision. Providers interviewed felt that it was important to strengthen the emphasis on quality over price in this process, and in particular that developers should recognise archaeology’s potential role in creating ‘a sense of place’. They felt that this awareness was not yet widespread.

## 5 Archaeologists’ role in the planning process

The services provided by archaeologists in connection with the planning process range from desk-based assessments, historic building surveys and archaeological watching briefs to evaluations, excavations, and post-excavation analysis. Below we describe the typical stages of archaeologists’ involvement in the planning process.

### 5.1 Before development:

For small projects where the developer already controls the land, archaeologists may carry out desk-based and historical area or Historic Buildings assessments that address all possible archaeological impacts of the development. Such assessments involve speaking to the local authority and sometimes English Heritage, and always entail making an inventory of all the heritage assets that are located on or bordering the site and assessing their significance, producing a report that includes information on the topography, geology, past and present land use and known archaeology of an area, and an assessment of how the remains found or to be potentially uncovered could be impacted by the scheme. The main resource used to carry out this study is the Historic Environment Record, a GIS-based map and data record of all archaeological sites and finds as well as other documentation such as historic maps and air photographs. A geophysical survey may also be conducted by a specialist contractor. This part of the investigation may suggest that field evaluations or trial-trenching are required before the application can be determined

### 5.2 Planning permission:

Given the information contained in the assessment, the local authority can take the following decisions in respect of a planning application:

- *Refusal*: the local authority may refuse the application outright. This is uncommon.
- *Deferral pending further information* including field evaluation
- *Approval subject to conditions*. The authority may require the developer to ‘offset’<sup>12</sup> the damage caused, or to leave the remains *in-situ* until provision has been made for the retention and/or recording of archaeology by further excavation. One common option is to modify the development. For example, roads can be re-routed, footpaths or drainage points moved. Another option is to require a programme of investigation that involves recording, analysis and dissemination of results, where permission is given for the archaeological asset to be destroyed after it has been thoroughly recorded and measured. For developers, the specific conditions are crucial: if a large-scale excavation is required then it may occasion significant time delays as well as outlay on archaeologists.

- *Approval without conditions*. The local authority may decide that there is nothing of sufficient significance to prevent the development from proceeding without conditions.

### 5.1 During development

The archaeologists conduct the investigations according to a project design or written scheme of investigation (WSI), which meets the archaeological brief forming part of the developer’s planning obligations. Unexpected finds during the course of the investigations could widen the scope of excavations. The developer may also have to change the scheme in order to accommodate or go around any remains found. However, the existing level of knowledge about what is below ground means that such changes are relatively uncommon.

The time required for archaeological excavations varies greatly. Interviewees quoted the following figures: Digging a few trenches may take 1–4 weeks; excavating more extensive remains such as building foundations could take 6–8 weeks, and investigations for the largest projects (such as airports) could last over a year.

### 5.4 Post-development

Post-development analysis and publication accounts for about 35–45% of the archaeological budget and takes three to five times as long as the rest of the work. It involves very little direct liaison with the client.

The scope and extent of analysis and publication depends upon a critical post-excavation assessment of the significance of what has been found. This will result in an updated project design, setting out the requirement for further analysis and publication. When publication is required there is often no explicit statement about where it should take place, although it is usually in articles in specialist, peer-refereed journals such as *Proceedings of the Prehistoric Society*, regional series such as *East Anglian Archaeology* or in the form of monographs. Because of their specialist nature these monographs have very limited print runs. For the most interesting or important excavations an edition of 250–500 might be printed. In general, developers are not particularly interested in the format of the publication.

Finally, developers are required by planning guidance to deposit the copious amounts of archaeological material that results from excavations (pots, soil samples, etc.) in museums or archives, so that it is available for future researchers. Legally the developers

<sup>12</sup> The language contained within PPS5 has moved from that of ‘mitigation’ to ‘offsetting’ of damage because the latter explicitly implies that ‘significance’ is enhanced by excavating (rather than simply cost incurred) due to the heritage gain in knowledge.

transfer the title of artefacts from the landowner to a receiving museum or repository. Storage in the receiving museum or elsewhere is paid for by the developer. If there is no space in local museums available, Contractors must store the remains themselves at an average cost of over £5000 per year – source (Adrian Tindall pers comm). The 2011 IfA/FAME survey found that the lack of available space has led to 41.7% of their organisational respondents reporting that they hold up to 100 projects worth of archive-ready material that cannot be accepted by recognised museums (Aitchison 2011).

Table 1 gives typical costs for required archaeological interventions at the different stages of various sizes of project, using information drawn from interviews.

5.5 Activities that are not required by the brief

Archaeologists perceive a broad hierarchy of publication and public-outreach activities from the required to ‘the nice-to-have’. Depending on the project design, this is roughly as follows:

- a Academic reports
- b Articles in non-academic publications
- c Posting information on websites
- d Press releases and exhibitions, either temporary while project is going on or permanent
- e Public art
- f Opportunities for the public to see/participate in the work while it’s going on. Big schemes increasingly incorporate a community dig element

Annex B gives examples of some projects that included important public outreach elements.

Developers do not tend to pay for more than is specified in the brief unless they perceive a finding to be of more importance than usual, either at the local or national scale, or if their proposed project is unpopular, as in either case archaeology may produce PR benefits. They may then arrange for wider and more varied publication than that originally required. This can include publicity material ranging from press releases, brochures, and other marketing schemes to a willingness to open up the project to the public through things like ‘open day’ site visits, which are not very costly. They also may produce more expensive publications in the form of popular books. Interviewees said that large developers are more attuned to the public-relations possibilities of archaeology than are smaller ones.

Sometimes developers work with local interest groups to open projects to the public, so local people can see the archaeological sites and artefacts. Larger developments with longer-running archaeological projects were felt to accommodate open days more easily than smaller developments

6 The economic case for regulation

Governments regulate markets or provide goods or services themselves in order to correct what economists call *market failures*. This is a technical economic term describing situations where the market prices of goods or services do not capture their full value to society. Under such conditions the operation of an unfettered free market might produce an optimal result for individual buyers and sellers, but a suboptimal result for society as a whole. At a societal level, the outcomes would be inefficient, inequitable, or both. Development planning regulations address market failure, as do the specific provisions relating to the protection of the historic environment.

6.1 Market failure

Economists identify various types of market failure. Cultural assets – including heritage assets – are generally considered to fall into the category known as *public goods*. Pure public goods are not tradeable in the market because of two conditions:

- They are *nonexcludable* – that is, it is not possible to prevent people from using them. For example, the facades of historic buildings in city centres are nonexcludable, as anyone walking by may enjoy them
- They are *nonrival* – that is, their use by one person does not prevent someone else from using them. Someone enjoying the view from Waterloo Bridge does not preclude others from enjoying it as well

In addition, archaeological assets have another quality that they share with other historic heritage assets and with many finite natural resources: they are non-replaceable.

In the context of this report, important public goods include information and heritage. Archaeological artefacts and sites are not in themselves public goods, as they can in theory be bought and sold in the market – and in practice sometimes are. The public good is rather the knowledge and understanding that only analysis of these the archaeological assets can provide. The current planning regime is designed to secure this knowledge – and the benefits that flow from it – for the broader public. These benefits include a sense of place and a contribution to cultural identity.

However important these benefits, they are not normally reflected in the market price of a site with archaeological assets. The market price reflects only the value to the individual purchaser, not the value to society as a whole. Indeed, properties that contain archaeological assets may have *lower* prices than sites without, because of the restrictions imposed by regulation on owners (see Scanlon et al 1994). And because a rational developer looks to maximise their own profits, in the absence of planning restrictions such a developer might well decide to destroy archaeological assets without a record rather than spend the money to excavate or record them – thus denying the wider public the benefits from them. Planning and heritage-conservation that require archaeological input are designed to protect these types of public good and ensure the public at large can benefit from heritage assets.

6.2 Environmental goods and their valuation

Some heritage assets, such as listed buildings, have market prices – but these prices can understate their total value to society as they do not reflect the benefits they provide to non-owners. Other heritage assets, such as protected views, have no market

price because their characteristics make them unsuitable for trading in a market; nevertheless they do have a value to society. Over the last 40 years, economists have developed techniques to estimate the value of environmental goods – both those with prices and those that are not traded.

The value to society of any good is known in the cost-benefit literature as Total Economic Value (TEV). It is made up of the following:

- *Use value*, which represents the amount individuals would be willing to pay to make direct or indirect use of a good or resource. Direct use value includes for example the value to residents of living in a historic building or the value to scholars of examining archaeological remains. Passive enjoyment of heritage assets generates indirect use value. In the context of much archaeology the use value lies not in the archaeological assets themselves (which are often destroyed in the course of investigations), but in the knowledge and understanding that they generate. The total use value of a site or good is the sum of all individual users’ willingness to pay.

Our research suggests that current use value of the outcomes of planning-led archaeology is **low but improving**. Traditionally investigations have produced information directed at a small audience of specialists rather than at the public at large. Members of the local communities have not been widely involved in excavations, informed about their progress, or educated about their significance. This is, however, changing in some places.

- *Option value*, which represents the value individuals place on the possibility of using or enjoying the asset in future. *Bequest value* is a kind of intergenerational option value, as people may wish to bequeath the asset to future generations. In the case of archaeology this is an important element, as the study of the past, of which archaeology is a part, represents an investment for the future benefit of society, providing a cultural context. The knowledge created will inform future interpretations that will in turn spread into educating future generations. The current system produces option value that is **low but improving**.

- *Non-use value (also known as existence value)*, which represents the amount individuals would be willing to pay to preserve an asset, even though they never expect to visit or enjoy it themselves. This applies to world landmarks such as the Grand Canyon or Tower of London, but could also be relevant to as-yet unexcavated archaeological assets. The current system produces **high** existence value, as it does secure the physical collection and retention of archaeological remains, or their recording, and the production of knowledge and analysis.

Table 1: Typical prices for archaeological services in connection with development

Service	Typical range of costs	Comments
Pre-purchase desk-based advice and pre-planning desk-based assessments ('Heritage Statement')	Up to £3500	In current economic conditions competition has become more severe, driving prices for these services down. Interviewees say quality has suffered.
On site pre and post-planning investigation and excavation	From £2000 up to £5m	A small project would be one costing £2000 to £5000; anything costing over £500,000 would be considered a large project.
Total price for projects requiring excavation	£30,000 min For infrastructure projects: up to, but not beyond 1% of total construction costs	A project costing £30,000 to £50,000 would be considered small; up to £200,000 medium; over £200,000 large. The biggest projects can cost many millions – excavations in connection with Heathrow Terminal 5 cost £8m – which was about 0.2% of total development costs.

Source: Interviews



So TEV = Use value + option value + non-use value. Various methods have been developed to estimate these values (there are useful reviews in University of Reading & DTZ Debenham Thorpe 1995 and Navrud & Ready 2002).

The method most suitable for valuing heritage assets such as archaeological knowledge and artefacts is the *contingent valuation method*. This involves surveying individuals to ask how much they would be willing to pay to use or preserve such goods, or conversely how much they would be willing to accept to compensate for their loss. Unlike other valuation methods (e.g. the hedonic pricing method or the travel cost method), contingent valuation can in theory capture non-use values (existence and option values) as well as direct and indirect use values.

There have been a number of studies that use the CVM methods to estimate total economic value for environmental goods, and rather fewer that apply it to heritage assets (see University of Reading & DTZ 1995, Navrud & Ready 2002 and Meer 2010). Subjects have included the overall value of Durham Cathedral, the restoration of historic buildings in Grainger Town, Newcastle and the value of the cleaning of Lincoln Cathedral. Using the last of these to illustrate the orders of magnitude of the values involved, the mean willingness to pay per household for a clean cathedral was £49.77 among residents of Lincoln and £26.77 for residents of Lincolnshire outside Lincoln; the total willingness to pay across Lincolnshire was £7.3mn. (Pollicino and Maddison 2002). Applications of the CVM to archaeological assets have mainly focused on estimating TEV for existing or potential major archaeological sites or museums open to the public (see Beltran & Rojas for archaeological zones in Mexico, Riganti and Willis for an archaeological park in Italy, and Whitehead & Finney for a hypothetical underwater shipwreck park in North Carolina - ditto). The studies generally estimate a positive and significant valuation of heritage assets, including archaeological assets, even among those people who do not use or observe them directly. The values adduced depend on the particular survey method chosen, whether survey respondents were from the local area or further afield, and the wording of the question.

It is not feasible to use valuations from these studies to estimate the value of archaeological investigations in England, either in total or individually. Existing studies have focused on large archaeological sites that are open to the public, but the current planning-related market for archaeological services rarely results in the creation of sites open to visitors. Usually the outcome is an intangible: increased knowledge in the form of publications, archives, and possibly stored artefacts. The valuation of buried archaeological assets presents something of a special case, as they are invisible and indeed, their very existence may be

unsuspected. In any case, experts agree that so-called benefit transfer is unreliable. ‘Environmental values and cultural heritage values are naturally highly site- and good-specific’ (Pearce et al p. 268).

Even when excavated, archaeological artefacts do not generally produce use value for landowners or other participants in the development market. In the current system they have use value for archaeologists and other scholars, and for the public at large if they are exhibited, but these are not market actors. Archaeological assets, however great their value to society as a whole, may not be perceived as having any value by the owner/potential developer of the land where they are situated.

## 7 Incentives created by the current system

Behavioural economists, whose work has gained increasing influence in both academic and policy circles, emphasise the key role of incentives (financial and other) in determining individual behaviour patterns. This section explores the incentive structures created by the system as it currently operates.

Planning regulations created the market for archaeological services. This market is conditioned by the specific requirements of the regulations and the way curators have interpreted them, and by the professional and industry practices of the various market actors. In this section we list the main categories of people with an interest in this market (whether or not they are formally part of it) and describe their roles. Markets created by regulation can exhibit very different incentive structures from other markets. We set out the incentives that the current system generates for each category.

### *Developers:*

The incentive for the developer is to fulfil the planning authority’s requirements for archaeological investigation with certainty and at the lowest cost in terms of time and money. This can be regarded as a cost of securing planning permission which the developer can be expected to want to minimise. Developers generally perceive little direct benefit from archaeological work while it is happening except to the extent that it enhances public relations and adds cachet to a development.

### *Archaeologists:*

They face two competing sets of incentives. As businesses the incentive is to maximise profits; as individuals archaeologists have a professional and personal interest in investigation and in the dissemination of results. Publication in peer-reviewed journals is important to many, who contribute to, use and peer-review such journals. They do not own or benefit directly from ‘finds’.

### *Local residents and the public at large:*

The current system offers few incentives of any kind to the community or the public at large. While local residents are often interested in following the progress of excavations and seeing artefacts uncovered, they have almost no involvement in the pre-planning process, occasionally can visit sites or participate in excavations, and rarely see any outcomes.

### *Curators (within local authorities):*

Their incentive is to maximise the amount of archaeological investigation required from developers, to the extent that it increases the knowledge base and is costless to the administrator. There may be tradeoffs because of other priorities and negotiation within the local authority.

### *Planners and local authorities generally:*

They face conflicting incentives: the planning regulations and archaeological curators favour more investigation and hassle free development, while developers would generally prefer less investigation. They must regulate the relationship between developers and archaeologists, as developers are paying for a service they may not want in order to provide a public benefit. Also, archaeology and the historic environment is only one of many competing planning requirements

### *Local museums:*

While PPS5 identifies local museums as the repositories of choice for artefacts, the volume produced means museums can be reluctant to accept them. Only a small minority are suitable for display, and the others are rarely accessed. The system provides no incentives or money specifically for the exploitation of development-based archaeological finds.

### *Scholars (current and future):*

They have an incentive to advocate the continued excavation, analysis and storage of archaeological material, as researchers need to be able to re-examine archaeological findings in the light of new scholarship. This may involve study of the stored collections of artefacts from development-based archaeology, but more typically centres on scrutiny of data or reports

## 8 Analysis of issues and conclusions

The rationale for the regulatory regime is to secure the benefits of heritage assets for current/future generations. These benefits can be valued using the environmental economics concept of TEV. Clearly, public policy should be designed so as to secure the highest public value for any given cost. Since the total public value is the sum of values of individual consumers, there are two ways to increase the total:

- First, increase public participation through the number of relevant consumers (in this case, those who benefit from archaeological knowledge or artefacts by visiting a site, handling an artefact, reading research).
- Second, increase the value that each individual receives. Research into the valuation of heritage assets shows that values for users are invariably higher than for non-users (Pearce et al 2002), but the current system produces a great deal of output that has existence value, and rather less that has use value. Scholars in the field emphasise the importance of use value in the context of archaeological assets: ‘Th(e) uncertainty about whether it is worth preserving parts of archaeological sites increases as we move further away from use value alone, i.e. as the preservation decision becomes increasingly dependent upon non-use (eg bequest) value elements’ (Riganti and Willis 2002, p. 156).

### 8.1 Publication vs other methods of dissemination

PPS5 permits and indeed encourages the kind of public engagement that enhances use value, and there are many excellent examples of good practice (see Annex B). It is clear, however, that developers will not necessarily adopt these approaches voluntarily: the curatorial brief should specifically state that these approaches are preferable alternatives (or additions to) the traditional form of output in academic publication. They might for example state that archaeologists should seek to maximise the number of visitors to the site, school visits, or articles in nonspecialist publications. To date the level of adoption among curators has been mixed.

Looked at through the lens of Total Economic Value, there appears to be an over-reliance on publication in what were described to us as ‘large dusty academic journals’, with a lot of technical detail but very limited public readership. These generate high use value for scholars but very little for the public at large. Moreover, for about 5% of archaeological digs there is also a monograph produced, usually by the organisation that did the excavation. These beautifully printed volumes have a very small audience – with somewhere between 250 and 500 copies printed depending on the size and amount of people involved with the project. Another issue around publication is the long delay between the initial investigations and the final output, be it publication or museum display. Not only does the analytic process from excavation to publication and/or deposition often take years, but the amount of emerging material is so large it is difficult for those even within the field to keep up with it.

Regulation could be shifted to emphasise the value of other methods of public engagement as an end in itself, as well as more traditional forms of print publication. Refocusing

outcomes towards the public would mean re-shifting the agenda away from academic publications and storage of things that may already be in excess. The more technical information could be transmitted through other means such as websites.

8.2 Archaeological archives and artefacts

The amount of material produced by development-related excavations is causing increasing problems for museums, which are running out of space to store it. Interviewees agreed that most of it was very rarely or never accessed. This raises questions about its actual value to researchers. There may be a case for being more selective about what is collected and/or stored, and for making what is already there more accessible. These archives represent an enormous potential community and educational resource that at the moment is generating only existence value. With imagination some of it could generate significant use value for local communities, schools, etc. Many archaeologists advocate the creation of ‘regional depositories to hold archives from developer-funded and amateur/voluntary excavations in perpetuity’<sup>13</sup>.

The current regime does not generally allow the sale of artefacts excavated in the course of planning-related investigations, and archaeologists view this as contrary to their professional ethics. But archaeological artefacts in and of themselves are not all public goods – in most cases the public good is the information we can learn from them. There is a market for the small minority of treasure and collectible archaeological artefacts, which are purchased by both museums and private collectors. The distribution of suitable artefacts to institutions such as libraries and schools permits a wider public to enjoy them (increasing use value) and would better serve society as a whole than their indefinite storage in museum warehouses. Archaeologists fear that the sale of such artefacts to private individuals could create a market in antiquities that would undermine the key messages about the value of archaeology to society. The sale of heritage assets is not unknown: listed buildings and paintings are sold, and admission fees to heritage sites are common. Experts suggest that ‘in some cases it may be possible to subsidize the public good attributes of a site through exploiting certain of its other more marketable aspects’ (Garrod and Willis 2002, p. 50).

8.3 Costs

Some of the changes of approach suggested here might result in additional costs to local authorities, developers or others,

although improvements could be achieved by allocating existing resource levels differently. Clearly any such additional costs would have to be weighed against the additional benefits secured – but this report does not address that question. Our interviews suggested, though, that the cost of archaeology is generally lower than the cost of other site-specific environmental requirements and sustainability conditions. In large infrastructure projects, ecological costs could be two to three times higher than costs for archaeology.

8.4 The profession

The majority of practising archaeologists are now employed in development-related work. This has the unfortunate consequence of tying the fortunes of the archaeological services industry to the development cycle<sup>14</sup>. It is difficult to see how this link can be broken – and commercial archaeologists seem to accept that their business is inevitably linked to market cycles. There is certainly no possibility in the current environment that government will re-assume responsibility for archaeological investigation of private development sites.

Pay is low because suppliers compete largely on price within the job-by-job tendering market. Pricing has been increasingly competitive since the recession began. Archaeological service providers said they would like to see a change from price-based to quality-based competition. While many developers do employ quality criteria (explicitly or implicitly) in their selection processes, there are no formal requirements for them to do so – apart from the need to satisfy the local authority curator that the archaeological work is up to the standard required. There are fears that budget cuts will lead to the elimination of some curator posts, which will further erode monitoring of quality.

When compulsory competitive tendering for public services was introduced in the early 1990s, there was much academic and policy discussion about how to incorporate quality indicators in tendering decisions. The normal approach was to specify a licence which required particular targets to be met, notably with respect to ensuring consumer rights and minimum standards. Such provisions would not translate directly to the archaeological context, but the principles might be adapted.

Voluntary approaches to rewarding quality can also bear fruit. Some developers point proudly to external awards for their achievements in sustainability and environmental enhancement.

Perhaps a similar credential of archaeological excellence in development could be awarded to particularly innovative developers, whose approach could serve as a benchmark for excellence.

8.5 Other procurement models

The current procurement model for archaeologists in connection with the planning process is strongly (though not exclusively) price-led. There are other models of procurement that are weighted more strongly towards quality: for example, architectural design competitions are often held to select designers of major buildings. However these models would be difficult to translate to the market for archaeological services for all but the most high-profile and expensive investigations, as they require a significant investment of time

and money from bidders.

It would be more practical to refine the current system. One way forward would be to agree a standard form for proposals, in which the archaeologist would make explicit exactly how they proposed to add value for the paying client. This information would enter into the developer’s value-for-money calculations and could lead to selection of higher-quality bids, even if they also entailed higher costs.

Second, the language of PPS5 suggests that it is permissible for archaeological curators to set explicit quality benchmarks in their briefs. They might for example require developers to engage only registered archaeologists. The inclusion of explicit quality standards could go some way to ensuring that the public value inherent in the archaeological assets is secured.

Annex A : List of interviewees

Gill Andrews

Independent archaeological consultant

Stewart Bryant

Chair

Association of Local Government Archaeological Officers

Head of Historic Environment, Hertfordshire County Council

Paul Chadwick

Archaeology Director

CgMs Consulting

John Dillon

Development Director

Wessex Archaeology

Alistair Frost

Project Manager, Office of Environment And Community

Services (Oecs),

Sustainable Infrastructure, Major Transport Infrastructure Delivery,

Cambridgeshire County Council

David Hancock

Project Manager

Taylor Wimpey Developments Ltd.

Mike Heyworth

Director

Council for British Archaeology

Peter Hinton

CEO

Institute for Archaeologists

Helen Jenkins

Environmental Manager

Skanska Civil Engineering

Taryn Nixon

Managing Director

Museum of London Archaeology

Adrian Tindall

CEO

Federation of Archaeological Managers and Employers (FAME)

Roger M. Thomas

Head of Urban Archaeology

English Heritage

Bob Williams

Chief Operations Officer

Oxford Archaeology

<sup>13</sup> Wording from ‘Rescue The British Archaeological Trust’ website

<sup>14</sup> One study looked at the total number of planning applications as indicators of activity in the archaeological sector. It found that the peak years of 1980 and 1990 saw 526,938 and 499,100 applications respectively, whereas lean years such as 1986 and 1992 saw a reduction of 26% of applications from 388,248 to 427,801 respectively (Darvill and Russell 2002: 53).



Annex B: Examples of good practice

The following examples were identified by interviewees as exemplary or innovative in how they approached the design of research or the generation of knowledge and public benefit during and/or after completion.

*DIG in York*  
DIG in York (formerly known as The Archaeological Resource Centre)<sup>15</sup> opened in 1990 and was run by the York Archaeological Trust. Apart from providing storage the facility had an interactive educational centre where visitors could learn more about archaeological techniques, and talk to specialists as they worked. DIG developed into a new facility and more sustainable project with a strong public engagement/educational angle aimed at a younger age group or families. The success of this interactive museum has been attributed to its links with the Jorvik Viking Centre (an important tourist attraction) and to the educational efforts of the Trust.  
<http://www.digyork.com/>

*Bournemouth Archaeological Investigation Project*  
The AIP was a first ever attempt, commissioned by English Heritage ‘to undertake a detailed study of the nature and extent of archaeological fieldwork carried out in England annually’ in the planning, development control sector, and research sectors. Results are published and disseminated online, through gazetteers and in an analytic report.  
<http://csweb.bournemouth.ac.uk/aip/aipintro.htm>

*DIG Hungate*  
DIG Hungate is a long-term archaeological project in York’s city centre. Due to its physical location and duration, it has been able to open up the site to the public in multiple ways, including visits, oral history projects and on- site excavation training courses.  
<http://www.dighungate.com/>

*East Kent access road*  
This joint Oxford Archaeology and Wessex Archaeology venture is the largest one of 2010-11. It has a strong online presence, with an interactive blog that includes videos and images. The project also includes stand alone exhibitions that travel around the community staying at a range of different libraries and museums, family- and career-oriented activities in particular locations, and offers school talks.  
<http://eastkent.owarch.co.uk/>

*Framework Archaeology: Heathrow Terminal 5*  
This was the first ever Framework project (joint venture between Oxford Archaeology and Wessex archaeology) and provides an example of a strong research-driven investigation with a solid design component that involved interpreting findings as these emerged and redesigning excavation plans according to those analyses. Investment in the project was front-loaded in order to develop an agreed research strategy which then reduced costs during actual project execution compared to the more standard curatorial briefs. The project featured predictive modelling in research design, innovative digital recording systems, robust participatory approaches and widespread publication and dissemination, including two popular books.  
<http://www.framearch.co.uk/>  
<http://www.framearch.co.uk/t5/>

*Heslington East*  
This project is part of University of York’s campus expansion and has the largest open area excavation outside of York. Having faced some original resistance, it now has a ‘community forum’ with representatives from the local residential and business, as well as those from local parish councils, schools, environmental and local faith groups contributing to the consultation process of planning applications.  
<http://www.york.ac.uk/campus-development/expansion/archaeology/>

*Poultry Dig*  
This project was cited as a prime example of what PPG16 allowed the archaeological community to do. In particular, developers were responsible for paying for an archaeological investigation of the remains which would be destroyed through this high-impact redevelopment project in the middle of ‘the city’ of London. Work took place underground as the building was constructed above.  
<http://www.museumoflondon.org.uk/archive/exhibits/hslondon/arch/poultry.htm>

*Spitalfields: Priory of St Mary Spital and its large cemetery*  
This project, carried out by the Museum of London Archaeology, had a strong community engagement element integrated into it which that engaged with interest groups. Even those initially against the site development changed their attitude following participation in unearthing of items, and other activities available such as school tours, multi-media displays about archaeology, and an on-site

visitor centre.  
<http://www.museumoflondonarchaeology.org.uk/News/spital-fieldscasestudy.htm>  
[http://www.spitalfields.co.uk/about\\_archeology.php](http://www.spitalfields.co.uk/about_archeology.php)

*Weymouth Relief Road*  
This project exemplifies good working practice between the

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archaeological contractors (Oxford Archaeology), the road contractors (Skanska), and the County Council (Dorset, as funders and monitors) during a major road-works development and expansion scheme. Finds will be stored by the Dorset County Museum.  
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<sup>15</sup> An ARC is defined by the Archaeological Archives Forum as ‘An accredited centre dedicated to the collection and curation of archaeological archive material from within a defined area, that is staffed and managed to provide the best possible access to the archaeological resource for the purposes of enquiry, exhibition, learning, research and general interest’ ([http://www.britarch.ac.uk/archives/aaf\\_arc\\_guidance\\_2010.pdf](http://www.britarch.ac.uk/archives/aaf_arc_guidance_2010.pdf) ).

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Cover image: 'Blue skies at Southport'. Photo: Peter Hinton

Inside front cover image: Recording on the roof of King's Cross station. Photo: Museum of London Archaeology