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**VOLUME 10 ENVIRONMENTAL  
DESIGN AND  
MANAGEMENT  
SECTION 6 ARCHAEOLOGY**

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**PART 1**

**HA 75/01**

**TRUNK ROADS AND  
ARCHAEOLOGICAL MITIGATION**

**SUMMARY**

This Advice Note provides guidance in Design Organisations on mitigation of the effects of new roads, motorway widening projects and trunk road improvements on archaeological remains.

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# **Trunk Roads and Archaeological Mitigation**

\* A Government Department in Northern Ireland

**Summary:** This Advice Note provides guidance in Design Organisations on mitigation of the effects of new roads, motorway widening projects and trunk road improvements on archaeological remains.

**REGISTRATION OF AMENDMENTS**

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# 1. THE APPLICATION OF THE ADVICE NOTE

## Introduction

1.1 Archaeology is the study of human societies through their physical evidence - both above and below ground. It encompasses materials as diverse as the bones and tools of prehistoric peoples and the buildings of the 20th century. It may include extensive landscape elements such as field systems and routeways, as well as buried deposits containing preserved pollen and waterlogged wood. The historic environment is, however, more than the sum of its constituent parts, and understanding the importance of archaeological material is related to the context in which it survives.

1.2 This Advice Note should be read in conjunction with HAXX (DMRB 10.2.6). Guidance on how to evaluate the archaeological and heritage impacts of road schemes is contained in DMRB 11.3.2.

1.3 Chapter 2 of this Advice Note sets out the general principles relating to archaeological mitigation work in England, Scotland, Wales and Northern Ireland and describes the potential impacts of road schemes on archaeological remains. It provides guidance on preserving important archaeological sites in situ, minimising a scheme's impact on archaeological remains and the scope and development of archaeological recording projects. Chapters 3 and 4 relate to England and Northern Ireland respectively. Chapters 5 and 6 set out the general principles for work in Scotland and Wales.

## In England

1.4 The Strategic Aim of the Highways Agency and their equivalent bodies in Scotland, Wales and Northern Ireland is to contribute to sustainable development by maintaining, operating and improving the trunk road network in support of the Government's integrated transport and land use planning policies. One of the key objectives in achieving this aim is to minimise the impact of the trunk road network on both the natural and built environment. As part of its Environmental Strategy the Highways Agency is committed to minimising the adverse effects on archaeology of road improvement schemes. This Advice Note provides guidance to Design Organisations on mitigating the effects on archaeological remains of new roads, motorway widening projects and trunk road improvements.

1.5 The Design Organisation is responsible for providing appropriate archaeological expertise, advice and design and contract documentation for all archaeological work as approved by the Overseeing Organisation's Project Manager. The Design Organisation is also responsible for supervising, monitoring and reporting progress on all stages of the work. English Heritage (EH) may be approached to provide advice to the Overseeing Organisation and Design Organisation on the archaeological impacts of trunk road schemes and their mitigation.

## In Wales

1.6 In Wales, Cadw will provide advice to the Transport Directorate and Design Organisation on the archaeological impact of trunk road schemes and, where appropriate, will assist the Design Organisation in supervising and monitoring all stages of the archaeological work.

## In Scotland

1.7 In Scotland, Historic Scotland, an Agency within the Scottish Executive Education Department, will provide advice to the Scottish Executive Trunk Roads Divisions on the archaeological impact of trunk road schemes and will advise on mitigation strategies. Historic Scotland also manages all archaeological recording contracts associated with trunk road schemes on behalf of the SETRD.

## In Northern Ireland

1.8 In Northern Ireland the Environment and Heritage Service, an Agency of the Department of the Environment, will provide advice to the Roads Agency on the archaeological impact of trunk road schemes.

## Implementation

1.9 This Advice Note applies to all schemes in the Trunk Road Programme and all regional improvement schemes in England, Wales, Scotland and Northern Ireland. The general principles also apply to Design and Build (DB) and Design, Build, Finance and Operate (DBFO) schemes.

## Glossary of Terms

1.10 The following terms have been used in this Advice Note:

**ACADEMIC REPORT** – the publication of a report containing all the evidence, analysis and synthesis necessary to fulfil the Updated Project Design. See also the Popular Report.

**ARCHAEOLOGICAL CONTRACTOR** – the archaeological organisation employed by the Design Organisation (in England), or Historic Scotland on behalf of the Scottish Executive Development Department (in Scotland) or the DB/DBFO contractor or consortium to carry out an archaeological recording project. Different archaeological contractors may undertake the evaluation and mitigation stages of the work.

**ARCHAEOLOGICAL RECORDING** – work commissioned by the Design Organisation (in England) or Historic Scotland (in Scotland) for the purpose of preserving by record any important archaeological remains which may be damaged or destroyed by a trunk road scheme.

**ARCHAEOLOGICAL RECORDING PROGRAMME** – the full sequence of mitigation of an impact on archaeological sites or remains through archaeological excavation and recording. A recording programme is not complete until assessment, analysis, dissemination and archiving is finished.

**ASSESSMENT** – the process of reviewing the material which results from an Archaeological Recording Programme before decisions regarding the appropriate level of post excavation analysis and publication are taken. The result is an Assessment Report leading to an Updated Project Design.

**CADW** – Cadw: Welsh Historic Monuments is an agency within the National Assembly for Wales, its role and responsibilities are set out in Chapter 6.

**COI** – Central Office of Information.

**CPO** – Compulsory Purchase Order.

**CURATOR** – the archaeologists charged with protecting and monitoring the archaeological resource, such as the County Archaeologist or English Heritage, as distinct from Archaeological Contractors and Consultants. In Scotland Historic Scotland is always the curator on trunk road schemes. Curators would

normally advise on the significance of the archaeological resource, may prepare or advise on the contents of Project Briefs and Project Designs and may monitor the performance of Archaeological Contractors.

**DB/DBFO** – Design and Build/Design, Build, Finance and Operate; schemes where a contractor or consortium undertakes to provide a scheme as commissioned by the Overseeing Organisation.

**DESIGN ORGANISATION** – the organisation commissioned to undertake the various stages of scheme preparation and supervision of construction. This includes expert sub-consultants brought in to advise on specific areas of assessment and mitigation.

**DESIGN ORGANISATION'S CONSULTANT** – except in Scotland, the expert archaeological sub-consultant employed by the Design Organisation to provide advice on archaeological evaluation and the need for mitigation; produce a Project Brief for archaeological recording projects where necessary; and monitor and report progress on all phases of such projects including post-excavation analysis and the production of a report. In Scotland this role is undertaken by Historic Scotland.

**DMRB** – Design Manual for Roads and Bridges.

**ENGLISH HERITAGE** – The working name for the Historic Buildings and Monuments Commission, which includes the Royal Commission on Historic Monuments. The role and responsibilities of English Heritage are set out in CHAPTER 3.

**EVALUATION** – the initial studies and fieldwork carried out to assess the archaeological potential and the impact of the scheme. This corresponds to assessment Stages 1-3 as set out in DMRB 11.3.2.

**FORESEEABLE FINDS** – discoveries of significant archaeological material that occur in the mitigation and/or construction phases which reasonably could have been predicted using professional judgement from the information provided by the Design Organisation with the Project Brief as part of the tender documents. The costs of these are likely to be borne by the contractor (see UNFORESEEABLE FINDS definition for the alternative situation).

**HISTORIC SCOTLAND** – the agency of the Scottish Executive responsible for the archaeological and historical monuments of Scotland. Its role is set out in Chapter 5.

**MITIGATION** – archaeological work intended to reduce the effect of a scheme on the archaeological resource, agreed with the Overseeing Organisation following the Evaluation phase (DMRB 11.3.2). Mitigation may involve avoiding important archaeology, burying it or excavating and recording it (see Archaeological Recording Programme).

**OVERSEEING ORGANISATION** – the Organisation responsible for a scheme i.e. the Highways Agency (an Executive Agency of the Department of the Environment, Transport and the Regions); the Highways Directorate of the National Assembly for Wales; the Trunk Roads Divisions of the Scottish Executive; or in Northern Ireland, the Roads Agency of the Department for Regional Development.

**OVERSEEING ORGANISATION'S PROJECT MANAGER (PROJECT DIRECTOR in Wales)** – the person within the Overseeing Organisation responsible for ensuring the progress of a project in accordance with the Overseeing Organisation's policies and procedures.

**POPULAR REPORT** – a publication designed to present the results of an archaeological investigation simply for a lay audience in an attractive format.

**PROJECT BRIEF** – this defines the objectives of the whole Archaeological Recording Programme and is the basis for the Project Design produced by the Archaeological Contractor.

**PROJECT DESIGN** – this is the equivalent of a specification, and is produced by an Archaeological Contractor to show how it proposes to achieve the objectives of the Project Brief. It will include methodologies, staffing, costs and timetable and forms the basis of the tender bid. It may be up-dated over the course of the project to reflect any change to the overall objectives (see Updated Project Design).

**RECORDING ACTION** – also known as WATCHING BRIEF, or in Scotland TOPSOIL STRIP MONITORING (see separate definition), the monitoring of elements of the construction by an archaeologist to identify and record unforeseeable finds. It should be specified in the Project Design and included in the contract documents together with a contingency sum to deal with any finds which may be discovered (see Annex III for a model clause).

**SCHEME** – an improvement to or extension of the existing trunk road network.

**SCHEDULED MONUMENT** – the designation by the respective Secretaries of State and Ministers advised by the Department of Culture, Media and Sport in England, Cadw in Wales, Historic Scotland in Scotland and the Environment and Heritage Service in Northern Ireland, of a site or area as worthy of protection under the terms of the Ancient Monuments and Archaeological Areas Act 1979. Scheduled Monuments are of national importance, but not all nationally important sites are as yet scheduled.

**SCHEDULED MONUMENT CONSENT (SMC)** – as a government agency the Highways Agency in England and the other roads agencies in Wales, Scotland and Northern Ireland, would apply for Scheduled Monument Clearance for work affecting a Scheduled Monument, but the more familiar term Consent has been used throughout this document to avoid confusion. Scheduled Monument Consent must be obtained from the respective Secretaries of State or Ministers, advised in England by the Department of Culture, Media and Sport, in Wales from Cadw, in Northern Ireland from the Environment and Heritage Service and in Scotland from Historic Scotland, before any works can be carried out which may:

- result in the destruction or demolition of, or cause damage to any scheduled monument;
- involve removing or repairing a scheduled monument or any part of it or making alterations and additions thereto;
- any flooding or tipping operations on land in, on or under which there is a scheduled monument
- entail any geophysical survey (including metal detecting) in, on, or over the scheduled area

Further information is available in Section 2 of the Ancient Monuments and Archaeological Areas Act 1979.

**TOPSOIL STRIP MONITORING** – in Scotland this is defined as the archaeological supervision of the contractor's removal of topsoil, with agreed provision for means of removal and the time to be allowed for archaeological investigation of any features found during this process.

**UNEXPECTED FINDS** – discoveries of significant sites, monuments or archaeological material which were not identified in the Project Design. They may be either unforeseeable or foreseeable (see below). A Recording Action (Watching Brief) contingency may be provided



for areas of the scheme where there is an identified risk of unforeseeable finds.

**UNFORESEEABLE FINDS** – discoveries of significant archaeological material that occur in the mitigation or construction phases of a Scheme despite the reasonable and professionally competent interpretation of all the documents and materials, including the Project Brief, made available by the Design Organisation to the Archaeological Contractor as part of the tender documents on which it based its Project Design and bid. The costs of dealing with these are likely to be borne by the Overseeing Organisation, and would normally be covered by a Recording Action (Watching Brief) contingency (see FORESEEABLE FINDS definition for the alternative situation).

**UPDATED PROJECT DESIGN** – the revised Project Design that results from the Assessment phase of an Archaeological Recording Programme.

**WATCHING BRIEF** – see RECORDING ACTION

## 2. GENERAL PRINCIPLES OF ARCHAEOLOGICAL MITIGATION

### Summary

**The aims of archaeological mitigation.** The fundamental aim of archaeological mitigation is to avoid impacts on nationally important or highly significant remains. If this is not possible then such remains should be archaeologically recorded in order to “preserve by record” the significant aspects of the site. An evaluation of the importance and significance of any archaeology will have already been undertaken in the Stage 1 to Stage 3 surveys as set out in DMRB 11. The response will depend upon a judgement as to the importance and significance of the archaeology weighed against the other factors involved in the decisions regarding route alignments and costs.

**Potential impacts of schemes on archaeological remains and their mitigation.** Impacts can be caused by the road construction itself and by off site activities such as planting, haul roads, borrow pits and compounds. The setting of visible remains may be affected despite being some distance from the works themselves. The impact on buried remains can come from changes in the hydrology as well as the more obvious effects of cuttings and topsoil removal operations. Compaction of remains sealed under embankments may also be an issue.

**Preserving archaeological remains in situ.** Avoidance is the best way of preserving remains, but sometimes burying can effectively protect archaeological material, if carried out under archaeological supervision and guidance.

**Archaeological recording.** Archaeological recording, usually involving fieldwork, may be required where preservation in situ is not possible. A Recording Programme should produce publication(s) setting out the results of the work and an archive of the evidence collected. If the results merit it a Popular Report or explanation of the results in layman’s terms should be produced. In England the steps of a Recording Programme are set out in the Management of Archaeological Projects (MAP2) published by English Heritage. Such programmes should at the outset clearly state their aims and the methodologies intended to achieve them. Formal review stages should be included, and the analysis and publication of the results be

considered an integral part of the work, fully costed, from the beginning.

**The scope and timetable for recording programmes.** Archaeological recording work must reflect the importance of the archaeological remains and the effects of road schemes upon them. Nationally important remains, if an impact is unavoidable, should normally be recorded, other sites will be treated on a case by case basis. The timetable for fieldwork may be critical in relation to CPOs and access. Any scheduled monument consents should be obtained in good time, and note should be taken of seasonal constraints on fieldwork. The ownership of finds should also be established at the earliest opportunity.

**The treatment of unexpected finds.** Unexpected finds may be discovered either in the course of the mitigation or in the construction itself. They may be foreseeable or unforeseeable. Foreseeable finds are those which could have been predicted on the basis of the information made available to the contractor. Unforeseeable finds are ones which could not have been predicted from the information provided. The costs of dealing with the former are likely to be borne by the contractor, the costs of the latter by the Overseeing Organisation.

### The Aims of Archaeological Mitigation Work.

[References below to the “Design Organisation’s Consultant” relate to the English situation, other contractual arrangements pertain in other parts of the UK, where the responsibility for advising the Overseeing Organisation rests with the respective government departments responsible for heritage matters.]

2.1 In England the Department of Environment’s Planning Policy Guidance Note 16, Archaeology and Planning (PPG16), and the equivalent advice notes in Scotland (NPPG5 relating to policy and PAN42 relating to good practice), Northern Ireland (PPS6) and Wales (PG (Wales) and Circular 60/96) provide guidance for planning authorities in considering the archaeological effects of developments covered by the planning regulations. Although these do not apply directly to trunk road schemes, which are promoted under separate legislation, the principle is accepted that the effects of

road schemes on archaeological sites and remains should be evaluated and that there is a presumption in favour of their physical preservation.

2.2 The basis for any archaeological mitigation will be described in the Environmental Statement where an Environmental Impact Assessment has been required. The Design Organisation's Consultant will prepare the project brief based on the information within the Environmental Statement. It is not always feasible to save all archaeological remains and a balance must be struck between the preservation of the heritage and development needs. This balance is dependent on the relative significance of a site, the severity of the impact on it and factors related to other environmental and economic matters. These will indicate what action should be taken. The importance of each site should already have been established through the assessment work carried out in the earlier stages of scheme development as set out in DMRB 11.3.2, Chapter 3, which defines 4 levels of importance: national; regional or county; local and other sites so damaged that they do not justify inclusion in a higher grade.

2.3 These labels of importance are adopted in this document. Nationally important sites may be scheduled but other features, for instance those which may not fit the categories currently considered schedulable, can be of national importance but remain unscheduled. In addition the importance of any individual element of the historic environment is to some extent dependent upon the context in which it survives. Moated sites in parts of the north west of England, for instance, are rare, whereas some midland counties have many similar surviving examples. The significance of a moated site in each of these areas may differ. No simple formula can be set down to determine levels of importance among archaeological features. The criteria for establishing the different levels, adopted from the scheduling criteria, are given in ANNEX II of DMRB 11, and in ANNEX II of this document, and should be used in the evaluation stages 1-3 to establish the importance of sites.

2.4 There can be a distinction between the importance of a site and its significance. Importance, as used here, relates to a wide spectrum of criteria, including public perception, location, literary references, association with personalities and so on. A site's significance is defined here more narrowly and relates to the potential of the site or feature to contribute to our archaeological understanding. Some national or regionally important sites may already be well understood and further detailed work may contribute little or nothing to our understanding of the

monument or its class. On the other hand, a less important site may be a useful example of a poorly understood type, or be able to contribute to the understanding of other important issues. Significant sites are those where valuable new information is likely to be obtained.

2.5 The Design Organisation's Consultant, in preparing a Project Brief, should give consideration to the potential information obtainable from archaeological sites. It is not expected that any site, however important, should be investigated merely to produce redundant or repetitive data; it may be sufficient to confirm the identification of the site and its potential. A less important site may merit a more detailed or directed investigation, despite its lower status.

2.6 When considering mitigation measures, however, it will still be appropriate to acknowledge the importance of sites which may not be of prime archaeological significance, even if their value may derive from factors other than their potential to contribute to archaeological knowledge. The visual experience of a site, for instance, may make it an important monument despite having lost all its buried context. In such a case setting may be the appropriate issue.

2.7 In another case extensive prehistoric field systems may be of great importance, but previous work may have adequately elucidated their origins, environment, layout etc. and little would be gained by further exploratory work, particularly as the extensive nature of such sites ensures that the majority of the site would remain intact. The Design Organisation should ensure that Project Briefs for Archaeological Recording Programmes are directed toward significant sites and are justified in terms of the potential of such sites to contribute fresh and valuable information.

2.8 The fundamental aim of archaeological mitigation is to avoid impacts on nationally important or highly significant remains, wherever possible, by aligning routes away from such sites. However, Design Organisations may have to balance a wide range of conflicting factors and land use constraints in developing the scheme design and finalising route alignment, and avoidance may not be possible in all cases. If nationally important or highly significant archaeological remains are likely to be affected by a trunk road scheme there should be a presumption in favour of their physical preservation unless there are exceptional circumstances. A balance must be struck between the national interest in the preservation of the monument and other national interests, taking account

of broad policy considerations and other viable alternatives.

2.9 If physical preservation in situ of nationally important or highly significant sites is not feasible, an archaeological excavation for the purposes of preservation by record should be undertaken (a Recording Programme, controlled under the terms of a Project Brief). Advice on how such archaeological recording projects should be handled in England is given in Chapter 3. It should be remembered however that, from the archaeological point of view, excavation is a second best option. The science of archaeology is developing rapidly. Excavation means the total destruction of evidence (apart from removable artefacts) from which future techniques would almost certainly be able to extract more information than is currently possible. Excavation is also expensive and time consuming. The advances in understanding that may be gained from an excavation should not be seen as a positive aspect to offset any adverse impacts. Preservation in situ is therefore preferable, and preservation by record should only be considered after other design solutions have been fully considered.

2.10 The Design Organisation and the Overseeing Organisation's Project Manager will therefore need to consider whether the remains are sufficiently important, and the impact sufficiently severe, to justify preservation in situ. The need for mitigation should already have been commented on by EH, Cadw, Historic Scotland or the Northern Ireland Environment and Heritage Service, and the planning authorities' archaeological advisors should also have been consulted, prior to the publication of the Environmental Statement.

2.11 It is important in the process of assessment and decision making regarding mitigation that information is available to the relevant parties in a timely manner. The Archaeological Contractor will normally report the results of any evaluation (Stages 1 - 3) to the Design Organisation's Consultant and the relevant curator(s), and this should include the results of the desktop review of previous work. This information, together with the recommendations of the Design Organisation's Consultant, should be available to the Design Organisation and passed to the Overseeing Organisation's Project Manager to inform any decisions, and form the basis of any consultations which may need to be carried out with curators.

2.12 The Design Organisation and the Overseeing Organisation's Project Manager should balance the cost and need for mitigation against the importance of other design considerations to ensure value for money. The

final decision on the mitigation proposals in the Environmental Statement rests with the Overseeing Organisation's Project Manager.

### Potential Impacts of Schemes on Archaeological Remains and their Mitigation

2.13 A scheme's construction can have a variety of effects on archaeological sites and their settings. A summary of the most prevalent impacts is set out below together with suggestions for their mitigation. This summary is not comprehensive and does not cover all possible impacts of road schemes on archaeological remains. It may be possible to achieve design solutions other than modified alignments which preserve sites undisturbed or minimise damage.

2.14 It should be noted that the appropriateness of mitigation measures for an individual scheme may depend on other environmental factors such as the landscape character of the area and presence of other designated sites such as SSSIs. It may not be appropriate, for example, to raise the vertical profile of a road to preserve an archaeological site in situations where this may intrude upon a landscape of great value. Guidance on design aspects of mitigation and the treatment of archaeological sites and their settings is given in DMRB 10.2.5.

2.15 The issues which may need to be considered are:

- a **Visible remains:** impacts on upstanding monuments such as burial mounds will be akin to those on residential properties and may include effects on the setting as well as direct land-take. Visual impacts may be important as an effect on the remains and their environs, as may the severance of visible remains from their setting or context. In aligning routes away from important upstanding remains, sufficient space should be allowed, wherever possible, for their settings to remain undisturbed so that they survive as features to be seen clearly as part of the landscape. The issue of severance should be addressed early in the development of the scheme as part of the environmental assessment. The results should inform the final route alignment. The impact of side road realignment should also be considered. There is no formal definition of the term 'setting', but ancient monuments guidance recognises that it relates to visible remains (PPG16 para. 16). This may be interpreted as concerning the principal views out of and towards the monument itself. The Design Organisation should take a balanced approach to

avoiding impacts on the settings of remains, taking account of the importance of the remains themselves, the costs involved in avoidance or mitigation and the existence of other constraints. Where the setting is extensive it may not be possible to avoid impinging on it. Noise increases may impair the amenity of the site, especially where it is open to the public. Screening the road using false or true cuttings and/or planting may help to reduce both visual impacts and noise. Installing environmental barriers may also reduce noise effects, but it should be remembered that these measures could themselves cause additional visual impacts. On the other hand there is the potential in some cases to enhance the visual amenity of upstanding remains if schemes reroute traffic away from their vicinity (see DMRB 10.2.6).

- b **Buried remains:** these may only be visible from the air as crop marks, show on the ground as surface scatters of material or they may display no surface features. The main risk is lack of detection and subsequent damage during earthmoving activities. The construction of embankments and cuttings can cause direct physical damage as can drainage provisions and alterations to the hydrological regime. Organic remains, which may have been preserved in waterlogged conditions, can be lost due to hydrological drawdown and desiccation resulting from changes to the water table. The value of a site as an historical record can also be reduced by the severance of linked features. Where feasible, earthworks should be designed so that significant archaeological remains are not disturbed. For example, it may be possible to use retaining walls or other engineering measures to minimise the land-take on a widening scheme, rather than using conventional slopes on embankments and cuttings, so that the impact on buried archaeological features is reduced. Consideration should also be given to the design of drainage systems sympathetic to the local hydrology where desiccation could damage remains (see DMRB 10.2.6).
- c **Compaction caused by construction:** Design Organisations should be aware of the possible impact of construction on buried remains where construction is at grade or on embankments. Inevitably “at grade” construction involves topsoil stripping at least, and often deeper soil disturbance too, so buried archaeology would be at risk, but even if the formation level is at or above the level of the archaeological material

there can be damage caused by rutting or compaction from heavy plant. Construction on embankments may involve damage from topsoil stripping and compaction caused by the weight of the embankment itself, changes in the hydrology, or the effects of heavy plant used to construct it. Different soils and geologies will respond differently to embankment loadings, and advice from geotechnical specialists should be sought, together with information from boreholes and test pits carried out for geotechnical reasons. In general clayey soils will deform more than granular ones, wet soils more than dry ones, and unconsolidated fills more than consolidated ones. The character of the buried archaeology is also an issue. Sites with voids, such as Roman hypocaust floors, kilns or cemeteries, are more likely to suffer collapses of the voids they contain under extra loading. If compression changes the level of the water table there can also be changes in the compressibility of the affected deposits. Previously robust, dry, archaeological deposits can collapse if they become waterlogged, and waterlogged deposits, which dry out, can shrink as well as lose much of their environmental potential. Piles can also change the hydrology, either by piercing impermeable layers under waterlogged deposits allowing them to drain, or by penetrating to aquifers and allowing the water table to rise. Evaluation of these potential effects can be difficult, as relevant deposits may be deeply buried, and inaccessible to extensive examination. However, assessment of the archaeology likely to be affected by embankments and piling should be coupled with a geotechnical assessment of the character of the soils and underlying deposits. DMRB 10.2 sets out the principles for avoiding damage where possible.

- d **Temporary works:** potential impacts on archaeological remains caused by temporary construction works should not be overlooked. For example, damage may be caused by the construction of a temporary access road, or storage facility over the top of buried remains. Borrow pits may be even more damaging. Design Organisations should ensure that the main works contract specifies the location of any sensitive archaeological sites that should be avoided or treated with care when planning temporary works. Where it is not possible to avoid siting temporary works over archaeological remains, protective measures such as the use of a geotextile mat covered in a thick layer of granular material should be considered.

e **Mitigation planting:** planting may damage archaeological remains and where monuments are scheduled such proposals will require Scheduled Monument Consent. Tree roots can disrupt and damage features that have been retained in situ, and care therefore needs to be taken when deciding where to place planting in respect of these features. It may be necessary to balance the desirability of preserving the integrity of a buried site against the need to screen a road to reduce its visual impact. Where on-site planting could result in damage to significant remains archaeological recording should be undertaken.

2.16 In areas, which have been densely settled since prehistoric times, the wealth of archaeological remains may mean that mitigation is reliant mainly on good alignment. In such areas, good alignment may be a matter of avoiding the most important sites rather than avoiding all sites.

### Preserving Archaeological Remains In Situ

2.17 The best way to preserve archaeological remains in situ is to avoid them. Where this is not possible, there are limited situations where preservation in situ will involve burying archaeological remains under earthworks or the foundations of structures in such a way that the remains are preserved undamaged for our posterity. Before this option can be considered it is essential that the character and extent of archaeological deposits be fully understood, although balance is needed to avoid excessive evaluation. Care is also needed to ensure that earthworks and foundations designed to protect archaeological remains do not cause them damage, either during their construction or through excessive weight once in place. This is equally true of temporary works during construction (see above para. 2.15c and d).

2.18 Where an archaeological site is to be preserved in situ, the Design Organisation should give curators the opportunity to comment on the technique to be used. Burying sites and rendering them inaccessible may not always be the preferred option and in certain circumstances, archaeological recording may be more appropriate. If the remains are scheduled then Scheduled Monument Consent will be needed for the works.

2.19 The costs and benefits of preservation in situ must, however, be weighed against all other material considerations including the relative importance and significance of the remains themselves.

2.20 Where construction buries remains under an embankment, consideration should be given to leaving the topsoil in place so that buried remains immediately below the topsoil are not damaged or destroyed. The appropriateness of this solution will depend on safety and engineering considerations (see DMRB 10.2.5).

### Archaeological Recording

#### Introduction

2.21 Archaeological Recording Programmes are set up to collect specified data within time and cost constraints. They normally involve fieldwork, which may be the excavation of all or part of the area of the remains affected by a trunk road scheme, or the sampling of deposits through bore holes and/or test pits, and the analysis, processing, publication and archiving of finds and records resulting from the fieldwork. Where an archaeological Recording Action (watching brief) is used instead of, or to supplement, excavation during the course of construction the Design Organisation should arrange for appropriately qualified staff to carry out this work. This will include the analysis and reporting of any finds.

2.22 The justification for Archaeological Recording Programmes must be clearly formulated and expressed at the outset. The end result should be publications that reflect the significance of the data collected, and the creation of an archive deposited in an appropriate place to allow continuing curation and legitimate access.

2.23 To be managed effectively an Archaeological Recording Programme of any size should be organised in phases. The phases set out below are similar to those suggested in EH's publication *Management of Archaeological Projects* (also known as MAP2) and broadly reflect the terminology commonly used by archaeologists throughout the UK. In Scotland the framework for the corresponding procedures are set out in *Historic Scotland Archaeological Procedure Paper 2: Project Design, Implementation and Archiving* (1996 edition). For schemes in Scotland, references in this section to the "Design Organisation's (archaeological) Consultant" should be read as "Historic Scotland", which undertakes this role in Scotland. In contractual terms the first of these phases is the production of the Project Brief (Project Outline in Scotland) for a Recording Programme which will be prepared by the Design Organisation's Consultant, as part of the Stage 3 Commission. The Project Brief forms the basis of a competitive tender for the appointment of the Design Organisation's Archaeological Contractor, who will produce a Project Design specifying the methods,

procedures and resources to be used to fulfil the brief. The Design Organisation's Consultant will monitor the fieldwork. The remaining phases cover the post-excavation analysis and reporting work which will also normally be carried out by the Archaeological Contractor in accordance with the contract and monitored by the Design Organisation's Consultant. There is some variation over the responsibilities for the production of Project Briefs, Project Designs and monitoring in Scotland, Wales and Northern Ireland (see chapters 4, 5, and 6).

2.24 A review of the results, at the end of each phase, is important to ensure that objectives are consistently pursued and appropriately resourced in line with the Project Design. The purpose of such a review is to establish the significance of the results at each phase and to define in more detail the work needed in the subsequent phase. The review should initially be undertaken by the Design Organisation's Consultant reporting to the Overseeing Organisation's Project Manager, who will be responsible for decisions regarding the progress of the project.

### Aims of a Recording Programme

2.25 The overall aim of an archaeological recording programme is to produce reports that accurately reflect the significance of the results of the fieldwork and analysis, supported by a properly curated and accessible project archive. Two final reports should be produced—an Academic Report and a Popular Report or other accessible form of disseminating the results. In Scotland advice on the dissemination of the results to the wider public is given in Historic Scotland's Archaeological Procedure Paper 2. The Academic Report should be sufficiently detailed to provide a basic interpretation of the site and to allow those wishing to conduct research in the future to understand what has been found. The Popular Report should inform the non-expert audience about the discoveries and their significance in an accessible and attractive manner. The project archive should be structured and should include all material from both the site and post-excavation archives.

2.26 The aim for each component phase of a project should be for the contractor to take a methodical approach to the various different activities involved. These include proper planning of data collection and a review at the end of each phase.

2.27 An outline plan of the whole project (ie the Project Design) should exist at the outset. The needs of the next phase in the programme should always be kept

in view and all parties involved in the project should be kept aware of the overall timetable. Figure 1 below illustrates the suggested project phases and their relationship with the Overseeing Organisation's contractual arrangements.

### Scope

2.28 The scale of the archaeological recording work undertaken must reflect the significance of the remains and the severity of the impact on them. It is essential that all Recording Programmes achieve the right balance between both fieldwork and the subsequent analysis and reporting and between the extent of the work and its cost. While legitimate fieldwork and analysis must be carried out it is not always necessary to excavate a whole site, or to excavate all elements of a site to an equal level of completeness. In some circumstances, however, it may be necessary to extend the excavation wider or deeper than the construction disturbance in order to understand the site properly. If this is proposed it must be carefully considered in conjunction with any land ownership and engineering implications that such an extension might raise. The Overseeing Organisation's Project Manager should ensure that the scope of the archaeological recording project does not go beyond the Overseeing Organisation's responsibilities.

2.29 The Overseeing Organisation has no powers to undertake archaeological recording outside the proposed highway boundaries (ie in areas not covered by the CPO). This includes areas of land not owned by the Overseeing Organisation where accommodation works and off-site planting by agreement are to be undertaken. Here the archaeological constraints will normally be considered as part of the planning process where appropriate. Any information related to the wider area gathered as part of the Stage 1-3 evaluation that might have a bearing on off-site works should be made available to the relevant curators and to the construction contractors, to indicate areas of constraint or potential.

2.30 As a general guideline, the following principles should be observed when considering the scope of an Archaeological Recording Programme:

**Nationally Important Sites and Remains.** If it has proved impossible to avoid nationally important archaeological remains and a scheme is likely to damage them, an Archaeological Recording Programme is to be undertaken for the purpose of preserving those sites and remains by record.

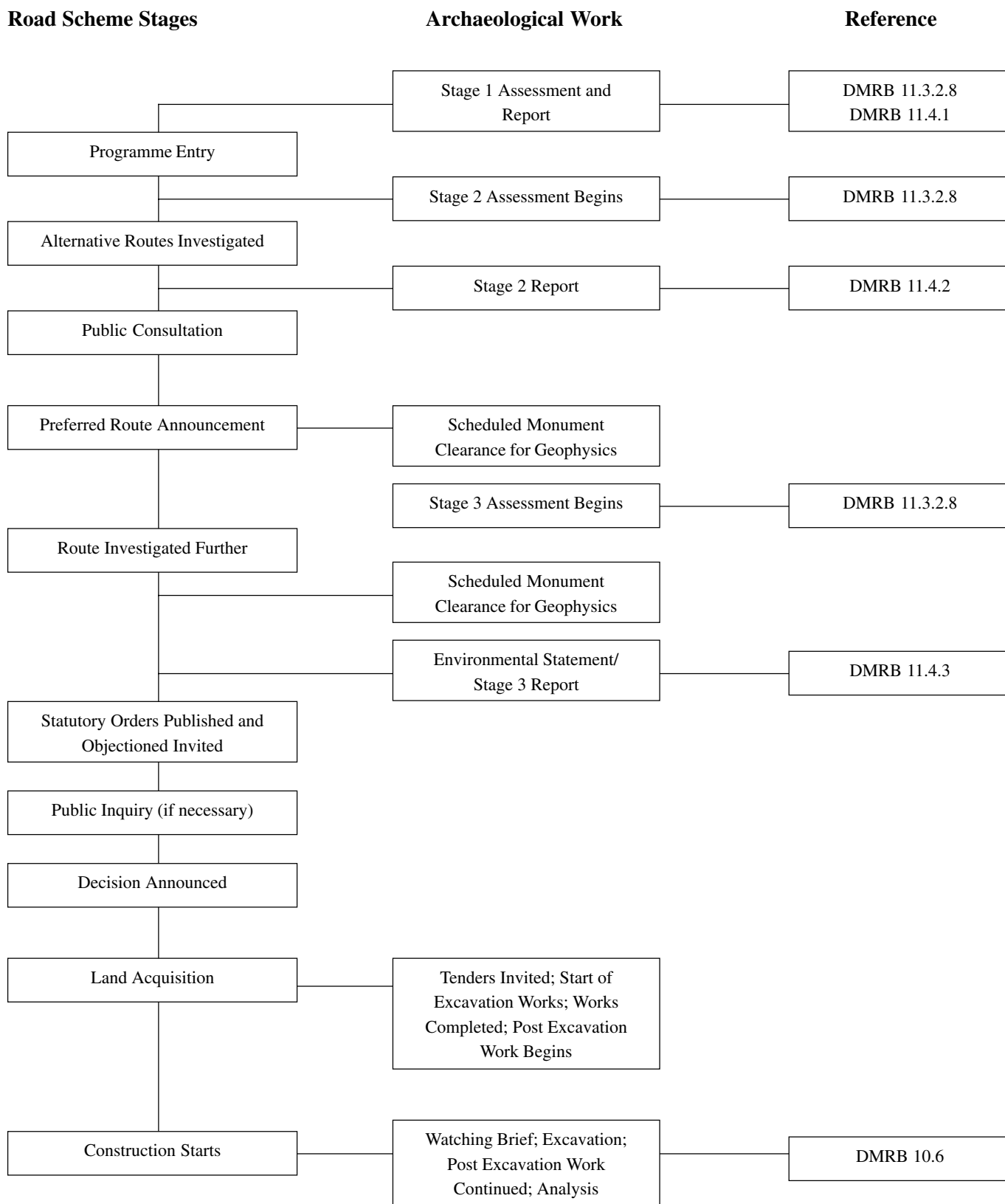


Figure 1: Relationship Between Scheme Stages and Archaeological Works



### **Regionally Important Sites and Remains.**

Preservation in situ is still the preferred archaeological option. Sites of regional importance should be considered on a case by case basis. If archaeological evaluation work shows firm evidence that a significant site will be damaged or destroyed by a scheme's construction, the Design Organisation's Consultant (having consulted the relevant curators), should advise the Overseeing Organisation's Project Manager whether the remains are sufficiently important and/or significant, and the potential impact sufficiently severe, to justify preservation in situ or a Recording Programme. The final decision on any proposed mitigation rests with the Overseeing Organisation's Project Manager.

2.3.1 It is important for the Design Organisation to plan Archaeological Recording Programmes so that all necessary consents are obtained in good time and a sufficient period is allowed for fieldwork to be completed without causing delays to the main construction works. Some archaeological procedures are more efficiently undertaken at particular times of the year, for instance, excavation of waterlogged sites may be virtually impossible in winter, while clay sites can become unworkable in dry summers. It should be noted that Scheduled Monument Consent is required for geophysical surveys on Scheduled Monuments in England. This section identifies key events in an Archaeological Recording Programme, the timing of which will need to be planned carefully in relation to such archaeological considerations as well as statutory procedures and the construction timetable.

2.32 The need for any archaeological recording work will have been established as a result of the earlier stages of archaeological evaluation. If Scheduled Monument Consent (SMC) is needed for mitigation works this must be applied for before the publication of the Environmental Statement; the Design Organisation should consult the Overseeing Organisation's Project Manager on the SMC application. In England EH should be consulted before the application is sent to the Department of Culture Media and Sport. A detailed methodology for any works affecting a Scheduled Monument is required to obtain SMC.

2.33 For non-DB and non-DBFO schemes in England where Archaeological Recording is necessary and has been agreed as a mitigation measure by the Overseeing Organisation's Project Manager, a detailed Project Brief should be drawn up by the Design Organisation. In Wales, Scotland and Northern Ireland this is carried out by Cadw, Historic Scotland and the Environment and Heritage Service respectively. The Project Brief forms

the basis of the competitive tender for the archaeological recording contract. The Overseeing Organisation's Project Manager should advise the Design Organisation on the timing of the production of the Project Brief and the consequent tendering process. For DB and DBFO schemes the Project Brief should form part of the requirements included in the tender, except in Scotland, where most archaeological issues are cleared before the tender process, with only the Topsoil Strip Monitoring forming part of the contract.

2.34 The Project Brief should specify the requirements for reports and archive material. The archive format will need to be compatible with that of the museum in which it is to be deposited. The Design Organisation will therefore need to identify the recipient museum and discuss these issues before the Project Brief is finalised. In Scotland all archaeological archives from trunk road schemes are deposited in the National Monuments Record for Scotland.

2.35 The fieldwork phase of an Archaeological Recording Programme is usually carried out before scheme construction begins although there may be a Recording Action (Watching Brief/Topsoil Strip Monitoring) during the construction. Archaeological Contractors can normally only gain access to the site after the Overseeing Organisation has issued the Notice to Enter. Occasionally, site access can be arranged before this time providing agreement has been reached with the landowner. In either case conveyancing may not be complete and, prior to letting the contract, the agreement in writing should be sought from the landowner to donate all finds to an appropriate local museum. The Overseeing Organisation's Project Manager should ensure that adequate time is allowed for all the necessary fieldwork to be carried out at the appropriate seasons before construction commences.

2.36 The analysis and reporting phases of an Archaeological Recording Programme are less critical in terms of their timing since statutory procedures will have been completed by then and construction begun. However, it is still important that the Archaeological Contractor should work to the timetable set out in the contract and the Updated Project Design which follows the completion of the fieldwork. Post excavation analysis and report preparation can take many months to complete, depending on the complexity of the project.

2.37 Figure 2 below illustrates the relationship between the different stages of archaeological evaluation; the phases in an Archaeological Recording Project and the main stages of a Scheme.

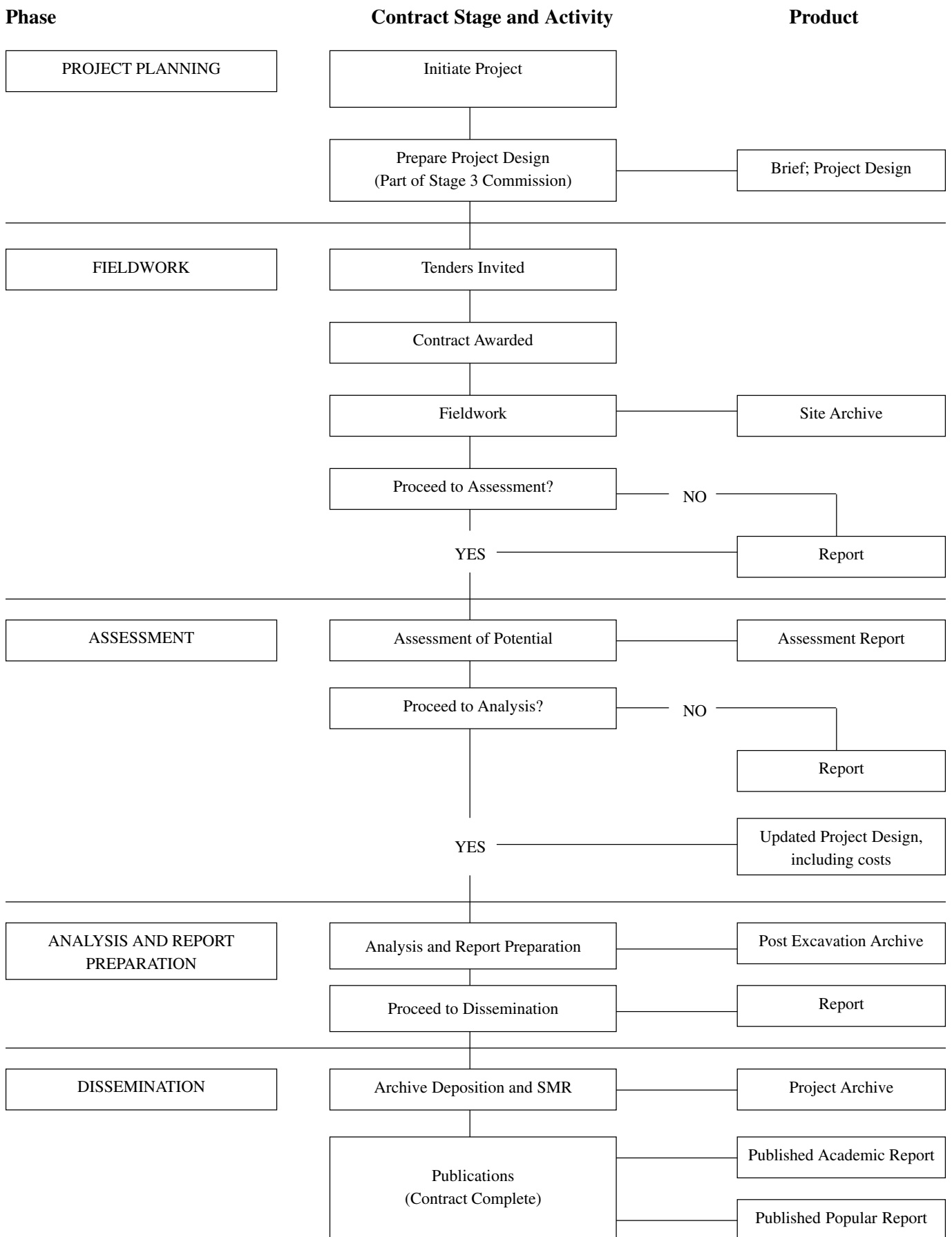


Figure 2: Suggested Project Phases and Their Relationship to Contractual Arrangements

### **Treatment of Unexpected Finds**

2.38 Despite best practice, there is always a risk that unexpected finds (sites, artefacts, monuments, features) will be discovered during the Archaeological Recording Programme or construction. The procedures outlined in DMRB 11.3.2 should reduce this risk to a minimum. If an unexpected find is discovered during the Archaeological Recording Programme or during construction, the Design Organisation should notify the Overseeing Organisation's Project Manager. The Regional Environmental Advisor may need to be approached for advice on any action that needs to be taken. Paragraph 2.41 below does not apply in Scotland where Historic Scotland guarantees the information in assessments and the judgement of contractors working under their management.

2.39 An unexpected find is defined as unforeseeable when it could not have been predicted following a reasonable professional interpretation of the Project Brief and other supporting information provided to the Archaeological Contractor by the Design Organisation with the tender documents. These should include the results of any appropriate surveys and evaluation programmes.

2.40 An unexpected find is defined as foreseeable when it should have been identified, using reasonable professional judgement, from the information provided with the tender by the Design Organisation.

2.41 The costs of dealing with foreseeable finds would normally be borne by the Archaeological Contractor. The costs arising from unforeseeable finds would normally be borne by the Overseeing Organisation. If there is any dispute between the parties as to whether a find is foreseeable or unforeseeable the matter may be referred to arbitration by a panel convened by the IFA. Such a course of action would need to be established in the contract documents.

## 3. ARCHAEOLOGICAL MITIGATION IN ENGLAND

### Summary

The management of archaeological excavations related to road schemes in England should follow the procedures set out in English Heritage's *The Management of Archaeological Projects* (2<sup>nd</sup> Edition 1991). This emphasises the need to consider the whole process of an archaeological project from Project Planning through Fieldwork, Assessment, Analysis and Reporting to Dissemination. At each stage the purpose and validity of the work proposed for the next stage should be reconsidered and amended if necessary. The stages of the archaeological work should be integrated into the phases of the road scheme, so that the Overseeing Organisation's Project Manager has control of the timetable and costs. This requires the Project Manager to liaise with the Regional Environmental Advisor. The milestones are:

- the production of the Project Brief by the Design Organisation's Archaeological Consultant;
- the appointment of an Archaeological Contractor following a tender competition whose quote will be based on their Project Design;
- the completion of the fieldwork;
- the assessment of the results of the fieldwork leading to the production of an Updated Project Design;
- the analysis and reporting, including a Popular Report when the Updated Project Design and its costs have been approved by the Overseeing Organisation's Project Manager;
- dissemination, including not only the production of reports but also the deposition of the properly organised archive in an appropriate museum.

With the consideration of the whole project at the outset should also go the requirement for Archaeological Contractors to quote for the full costs of completing it, including the costs of analysis, reporting, publication and the deposition of the archive, within an identified timescale.

### Introduction

3.1 The principles set out below are broadly based on the EH publication 'Management of Archaeological Projects' (known as MAP2). They have been tailored to provide a framework for the management of Archaeological Recording Programmes developed in association with trunk road schemes. The phases of an archaeological project are broadly as follows:

Phase 1	Project Planning
Phase 2	Fieldwork
Phase 3	Assessment of Potential for Analysis
Phase 4	Analysis and Report Preparation
Phase 5	Dissemination

#### Phase 1: Project Planning

3.2 Archaeological Recording Programmes associated with trunk road developments will normally have been preceded by a number of stages of archaeological evaluation prior to the production of an Environmental Statement or Stage 3 Assessment Report (see DMRB 11.3.2). The results of these stages of evaluation will have determined the need for an Archaeological Recording Programme and will therefore be essential to the development of the subsequent programme. The evaluation results should be made available to the Design Organisation's Consultant and the relevant curators to assist in defining the objectives of the Project Brief.

#### The Project Brief

3.3 The Project Brief defines the objectives of the whole project and outlines the scope of the activities likely to be needed to achieve them. For trunk road schemes, a Project Brief should be produced by the Design Organisation's Consultant and approved by the Overseeing Organisation's Project Manager.

3.4 The Overseeing Organisation's Project Manager should ensure that the scope of the Project Brief does not go beyond the Overseeing Organisation's responsibilities. The aim should be to carry out sufficient work to record adequately that which is being destroyed. Full excavation of a site is not always necessary to preserve archaeological remains by record. On the other hand there may be a requirement to excavate more extensively or more deeply than the

disturbance caused by the road scheme in order to ensure that the site is adequately understood.

3.5 The Project Brief will form the basis for the competitive tendering exercise. Before the initial Project Brief is finalised, EH and the relevant County Archaeologist(s) should be given the opportunity to comment on the scope of the fieldwork proposed and the strategies to be employed.

3.6 MAP2 suggests that the compilation of the Project Brief should be a four stage process carried out in the following sequence:

- i) **Background:** sufficient relevant background information should be studied to allow a reasoned estimate to be made of the nature of the data which will be gathered, for example, their type, quantity, condition and significance. The Stage 3 archaeological assessment (evaluation) should provide this information (see DMRB 11.3.2).
- ii) **Aims and Objectives:** consideration of the potential character of the data, as identified above, will assist in formulating specific project objectives.
- iii) **Methodology:** the proposed data collection methods should be described, making clear why those advocated are the most appropriate and will best ensure that the data collected can fulfil the project's aims as identified above. No archaeological report is better than the data upon which it is based; establishing appropriate recording and recovery strategies is crucial to a project's success.
- iv) **Resources:** the recording and recovery strategies defined above will affect the character and quantity of the data collected and form the basis for estimating the cost of the project.

3.7 The Design Organisation should ensure that the archaeological consultant employed to produce the Project Brief has sufficient knowledge of the relevant period(s) and type of archaeology, including any appropriate specialisms. The Design Organisation's Consultant should check that, wherever possible, the format specified in the Project Brief for reports and archive data is compatible with those of the museum in which the finds will eventually be deposited.

3.8 Particular care should be taken where archaeological material may be retrieved prior to a CPO, in which case the landowner should be

encouraged to agree in writing to donate all finds to the appropriate museum. It will also be necessary to negotiate with the relevant Sites and Monuments Records Officer(s) a suitable means of transferring data to the local SMR(s).

### **Competitive Tendering**

3.9 Once the Project Brief has been finalised, the Overseeing Organisation should go out to tender. All archaeological recording contracts should be let through the competitive tendering process. An appropriate form of model contract (or agreement for local authority archaeological units) will be available in the Manual of Contract Documents for Highway Works or through the Overseeing Organisation's contracts section. The archaeological contractor will prepare a Project Design to meet the requirements of the Project Brief. This will include a quotation and specification or method statement to cover the fieldwork, assessment, analysis, publication and archiving, including a timetable and a list of rates for staff who will be involved. The Design Organisation should advise the Overseeing Organisation on the tender list and assist with the evaluation of tenders received. The Overseeing Organisation's Project Manager should be aware of EC requirements for including European companies in the tendering process.

3.10 The Overseeing Organisation should consider with the Design Organisation the relevant parts of the Environmental Statement or Stage 3 Assessment Report that should be made available to tenderers. Full disclosure of the procedures and results of all evaluation work is required. EH should be given the opportunity to comment on the list of Archaeological Contractors invited to tender and may wish to advise on the evaluation of the tenders received.

3.11 The Design Organisation should ensure that the person or body responsible for producing the Project Brief is not included on the tender list for the archaeological recording project. This is necessary to avoid any conflicts of interest or unfair competition. In cases where a County Archaeologist has provided advice on or drawn up the Project Brief, the local authority archaeological unit may be allowed to tender for the recording work provided that the Design Organisation is satisfied that there is a proper separation of curatorial and contracting functions within the county council. Archaeological Contractors employed to carry out field work as part of the Stage 3 archaeological evaluation may also be included in any tender list, but will have to compete on the same basis as any other contractor.

3.12 It is for individual Archaeological Contractors to propose a timetable, resource profile and cost breakdown in their Project Design. Once the tendering exercise has been completed and a contract let, the Project Design should form part of the contract.

### Planning for Fieldwork

3.13 The aim in undertaking an Archaeological Recording Programme is to produce a comprehensive site archive and appropriate publications. This can only be achieved if the resources needed for fieldwork are correctly estimated and deployed by the Archaeological Contractor. Where this is done, time will not be wasted at a later stage attempting to solve problems which were not properly addressed during the excavation. An appropriate level of resources will ensure maximum efficiency and allow the subsequent post-excavation stage to go ahead with a minimum of delay. Particular care should be made to ensure that the following issues are addressed in the Project Design:

- a recording system which is compatible with ones in use in the region of the investigation, and is approved by the curators
- a checking system for on-site records, preferably computer based
- on-site first aid for finds
- facilities for spot dating
- systems for cataloguing and recording finds
- a sampling strategy for environmental materials, including named specialists
- adequate provision for the on-site processing of bulk environmental or other specialist materials
- provision for scientific dating
- timetable for the fieldwork
- contingencies
- personnel

These, and any other relevant aspects of the fieldwork, should be addressed in the Design Organisation's Project Brief and the methods to achieve them set out in the Archaeological Contractor's Project Design.

3.14 The site archive is a primary resource and must

be properly curated and stored so that it can be consulted in the future. The site archive should be security copied during the fieldwork phase to guard against the loss of unique information. This is the responsibility of the Archaeological Contractor. Long term storage is a museum responsibility and it is therefore essential that contact with a museum professional is made at a sufficiently early stage.

3.15 Identification of an appropriate museum for the final deposition and long term storage of the overall project archive is the Design Organisation's responsibility. The advice of EH and the Museums Libraries and Archives Commission should be sought on this issue and the recipient museum should also be approved for this purpose. Where a museum indicates that financial resources would be required for storage and maintenance of the deposit a sum for this purpose should be included in the tender bid.

### Phase 2: Fieldwork

3.16 Approval should be obtained from the Overseeing Organisation's Project Manager for fieldwork to commence. It is important that all those involved:

- have a common understanding of the objectives of the fieldwork and each individual's role in achieving those objectives;
- are clear about their own role and relationship to other team members;
- understand the recording and recovery strategies to be used and on-site procedures.

3.17 The aim of the fieldwork phase is to produce an ordered site archive comprising the excavation records and any materials recovered. The site archive should be quantified, ordered, indexed and internally consistent. The site archive should also contain a site matrix, a site summary (a short report giving a preliminary account of the discoveries) and brief written observations on the artefactual and environmental data.

3.18 The archaeological contractor should pay particular attention to ensuring that the various aspects of fieldwork are carried out according to the Project Design. If any area of a project is not conforming to the Project Design, the Design Organisation's Consultant should advise the contractor on the steps to be taken to bring the project back on course. No changes should be made to the project design without the approval of the Overseeing Organisation's Project Manager.

3.19 Where a CPO has been made and the Overseeing Organisation is the landowner of a site, it will own any finds uncovered during an archaeological recording project unless they are declared to be “treasure” under the terms of the Treasure Act (1996). As part of the archaeological recording contract the Overseeing Organisation will, where it has ownership, donate any finds to the appropriate approved museum. Where finds are made on land not in the ownership of the Overseeing Organisation they would normally belong to the landowner. Landowners should be encouraged to donate finds to the appropriate museum through a written agreement signed prior to the fieldwork being carried out. Exhibitions of finds will not normally be funded by the Overseeing Organisation.

#### Post excavation

3.20 When the fieldwork is finished post excavation commences, although some initial processing will have been carried out concurrently with the excavation. Sometimes, in the case of Recording Actions (Watching Briefs), fieldwork will continue after the completion of the pre-construction excavations. In these cases it may be a matter of judgement, regarding either the timetable or the type of archaeology involved, whether the results of the Recording Actions should be considered as integral to the main programme or can be treated as a separate issue.

3.21 The post excavation phases of an Archaeological Recording Programme are:

- review
- assessment
- analysis
- report
- dissemination

3.22 The post excavation phases of an Archaeological Recording Programme should be included from the inception of the project in the Project Brief and the Project Design. The anticipated levels of post excavation work should have been explicitly considered for each of the elements of the Programme, derived from the information available from the evaluation Stages 1-3. The information on the type of site, context, survival, date, and condition for each element should have enabled estimates of the anticipated amount of material, and the costs of processing it, to be stated in the Project Design. The roles of the various bodies are set out below.

3.23 The Design Organisation’s Archaeological Consultant will:

- Define methods of quality management to be used in the project
- Ensure that satisfactory archaeological standards are achieved in the reports
- Ensure that appropriate consultations take place
- Ensure that guidelines in DMRB and MAP2 are followed
- Devise opportunities for public outreach, to achieve wider circulation of results and analysis
- Monitor progress throughout and ensure that timetables and budgets are adhered to
- Not authorise any work outside the scope of the Project Design, or above the agreed the budget, without written approval of the Project Manager
- Report regularly to the Project Manager, at agreed intervals

3.24 The Archaeological Contractor will:

- undertake the post excavation work, as directed by the Design Organisation’s Consultant and in conformity with the Project Design
- provide details of internal quality management and monitoring procedures
- liaise with specialists and contributors to ensure that they achieve requested deadlines
- not undertake or commission from specialists any work outside the scope of the Updated Project design or beyond the agreed budget without written approval from the Consult/Project Manager
- submit other documents at the agreed time and meet regularly with the Consultant to monitor progress.

#### Review

3.25 Once the fieldwork has been completed and a site archive has been produced it is essential to review whether the original project objectives have been achieved. The review, carried out by the Design Organisation’s Consultant, should indicate whether it is

necessary to proceed to a formal assessment of the potential for analysis as the next phase of the project.

3.26 The objectives of the review are to ensure that:

- correct procedures are being followed
- appropriate consultations are undertaken
- good quality product is obtained
- good value for money is obtained
- reports are produced within an acceptable timescale and within budget
- the general potential for an Assessment is present

3.27 In some cases, review of the quality, character and significance of the data may indicate that a formal Assessment phase is unnecessary. In such cases, the Archaeological Contractor should produce a brief report summarising the results of the project. Publication of the report must be approved by the Overseeing Organisation's Project Manager who should give due consideration to the costs involved and the importance of the remains. The Design Organisation should ensure that the summary report is submitted to the SMR and arrange for the site archive to be deposited.

3.28 Where the review indicates that a formal Assessment phase will be necessary, steps should be taken to plan the Assessment work programme and an initial entry should be made in the SMR.

### **Planning for the Assessment**

3.29 The Archaeological Contractor is responsible for formulating a programme for the Assessment phase which will result in the production of the Updated Project Design. Different types of material will require different assessment methods and it is therefore important that the views of all team members and any specialist contributors should be sought when planning the assessment exercise.

3.30 The various parties involved in promoting these objectives are the Overseeing Organisation's Project Manager, the Design Organisation's Consultant and Archaeological Contractor, and possibly EH or the CA in an advisory role. The Overseeing Organisation's Project Manager will decide on the scope of the post excavation work.



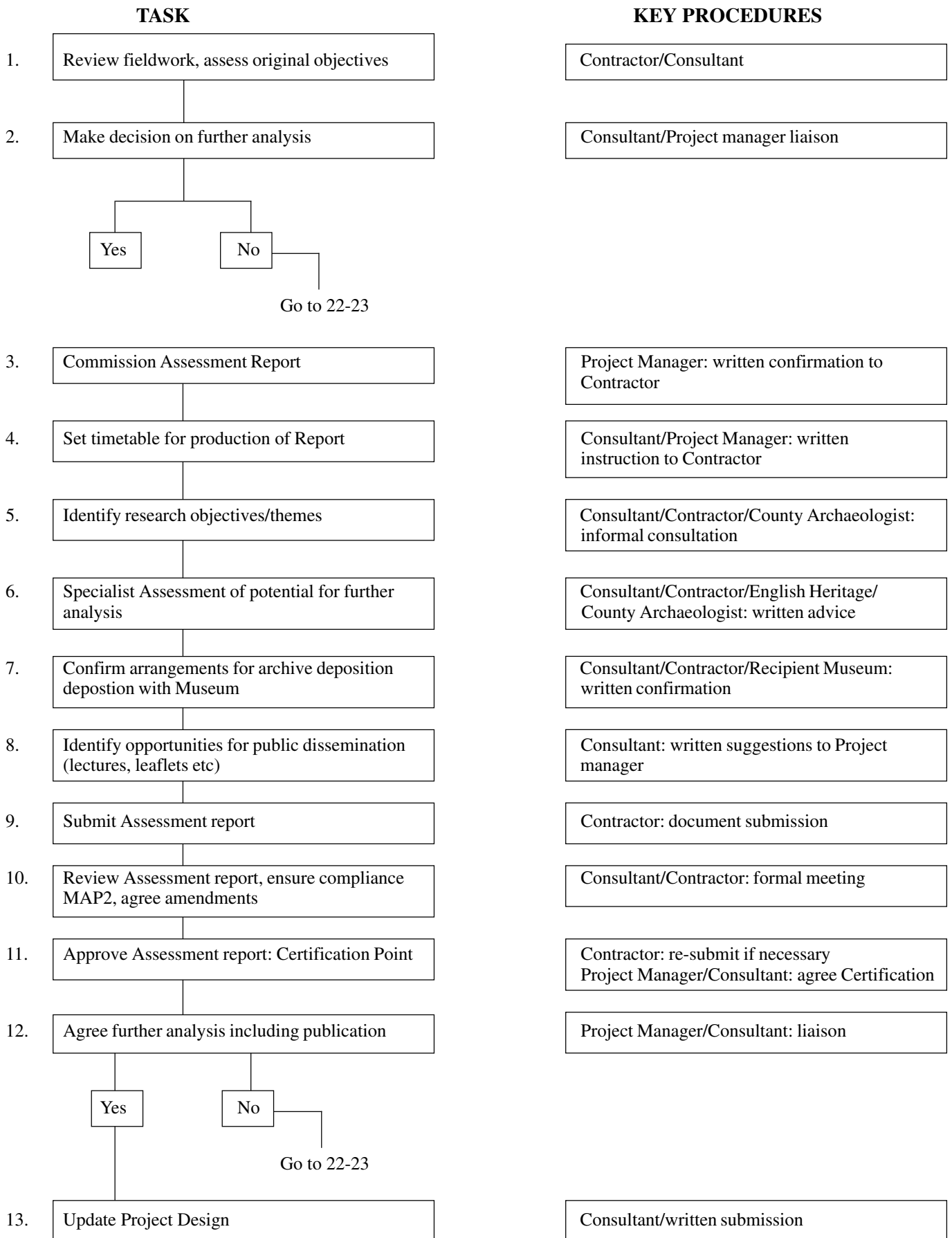


Figure 3: Post Excavation Flowchart

	TASK	KEY PROCEDURES
14.	Agree budget/timetable/monitoring points/ performance indicators linked to payments	Project Manager/Consultant: written instruction to Contractor
15.	Submit regular progress reports to Project Manager	Contractor: document submission
16.	Monitor at least quarterly, audit documentation, ensure compliance with Updated Project Design	Consultant: formal meetings with Contractor
17.	Identify deviations from Updated Project Design and timetables: ensure compliance	Consultant/Project Manager: liaison, written notification to Contractor if needed
18.	Agree payments in line with tasks completed at monitoring points	Consultant/Project Manager: written confirmation
19.	Submit Draft Academic Report	Contract: document submission
20.	Review Draft report against Updated Project Design, general Standards and requirements of publishing body	Consultant/Contractor: formal meeting followed by written comments, including from English Heritage
21.	Agree and incorporate amendments from review	Contractor: written submission
22.	Obtain comments from editor/academic referee	Consultant: obtain comments in writing
23.	Approve publication costs: Certification Point	Project Manager: written instruction, agree certification
24.	Deposit Archive in Museum	Contractor: deliver finds and paper archive
25.	Amend SMR entry	Consultant: written submission
26.	Final Publication and distribution of Reports	Project Manager/Consultant

Figure 3: Post Excavation Flowchart (cont)

### Phase 3: Assessment of Potential for Analysis

3.31 Some of the most challenging problems facing those managing archaeological recording projects centre on post-excavation work. It is widely acknowledged that a selective approach should be taken when planning this work. It is therefore crucial that objectives are clearly defined before any work takes place. This is essential to ensure that the appropriate selection is made and publications produced which accurately reflect the value of the data-collection.

3.32 The Assessment may be pivotal to the execution of an archaeological recording project. Its purpose is to evaluate the potential of the data collected and determine what analysis work is necessary. The complexity of the Assessment will depend on the nature of the site excavated and the finds recovered. For example, deeply stratified urban sites will probably require more detailed work and the analysis may cost more than the on site work whereas plough-damaged rural sites with a little environmental potential and a limited occupation span may require minimal further work. No detailed analytical study should be undertaken until the Assessment has been completed and a value for money judgement made by the Overseeing Organisation's Project Manager.

3.33 A co-ordinated approach is necessary during the Assessment to ensure that the artefact and environmental evidence is integrated with the stratigraphic record. This allows the importance of the site to be properly understood so that resources allocated to analysis and reporting are not misdirected. Liaison between the Archaeological Contractor, the Design Organisation's Consultant and the recipient museum's conservator may also be necessary to consider the immediate and long-term storage requirements.

3.34 The end product of the assessment phase is an assessment report, produced by the archaeological contractor. The report should include the information necessary to make decisions about the future direction of the project and should consist of three principal parts:

- (i) a factual summary characterising the quantity and perceived quality of the data contained in the site archive;
- (ii) a statement of the archaeological potential of the data contained in the site archive; the significance of the information recovered and the contribution its analysis will make to archaeological studies;

- (iii) recommendations on both the long-term and temporary storage and curation of the site archive and the timescale for this to be achieved.

Once the assessment report has been completed the contractor and the Design Organisation's Consultant should consider the need for a formal analysis phase and make recommendations to the Overseeing Organisation's Project Manager. The approval of the Overseeing Organisation's Project Manager should be obtained before the recommendations are taken forward.

3.35 Where formal analysis is not required a final project report should still be produced by the contractor and the Design Organisation's Consultant should arrange for the archive to be deposited and the SMR entry to be completed.

3.36 Where the assessment report shows that a formal analysis phase is necessary, a programme of work will need to be proposed and agreed with the Overseeing Organisation's Project Manager. The Archaeological Contractor should up-date the analysis section of the project design accordingly to produce an Updated Project Design. This should be reviewed by the Design Organisation's Archaeological Consultant and the Overseeing Organisation's Project Manager. A figure for the analysis and publication based on the original Project Design will have been included in the original contract. Any changes to the scope of the analysis and publication work because of unforeseeable factors encountered in the course of the scheme may need to be accommodated through a variation in the contract, and any changed costs agreed with the Overseeing Organisation's Project Manager, based on the list of staff rates provided in the contract.

### Planning for Analysis

3.37 The Updated Project Design should define the objectives of the analysis phase and the strategies and resources necessary to achieve them. It should contain a section setting out those aspects of the collected data selected for analysis during the Assessment. Planning for the analysis phase should bear in mind the two main objectives to be met, namely the production of the post-excavation archive and reports for publication. Analysis should be planned with the publication in view and post-assessment analysis should only be carried out on material intended for publication. The urge to accumulate data not specified in the Updated Project Design merely to contribute to the post-excavation archive must be resisted.

3.38 The planning of resources required for the analysis phase should include the preparation of the post-excavation archive and the production of reports for publication. It may also be appropriate for the Design Organisation's Consultant to contact the recipient museum at this stage to discuss a date for the transfer of the overall project archive.

#### Phase 4: Analysis and Report Preparation

3.39 The analysis should be approached in two stages:

- a) compilation of the research archive, involving detailed work on the stratigraphy, artefacts and environmental data and the production of catalogues, illustrative material and draft report texts;
- b) selection of data from the post-excavation archive to produce integrated report texts for submission to editors.

The Assessment will have removed many of the uncertainties about the results of the analysis but the exact content of the reports cannot be finalised until after the analytical work has been completed.

3.40 The Design Organisation's Consultant and the Archaeological Contractor should ensure that the resources for analysis are properly directed in accordance with the Up-dated Project Design and are not used to investigate issues outside the scope of the planned report. No alterations should be made to the Up-dated Project Design or to the proposed report contents without the approval of the Overseeing Organisation's Project Manager.

3.41 The end result of the analysis phase should be a completed academic report containing all the evidence, analysis and synthesis necessary to fulfil the project design. All aspects of text, tables, artwork and other illustrative material, figure and contents lists, lists of contributors, camera ready copy, bibliography, appendices and any other items for inclusion should be fully integrated and cross-referenced. In addition a report suitable for a lay audience should be published, setting out the main conclusions and the significance of the project in an attractive non technical format.

3.42 The completed texts should be given in draft to the Design Organisation's Consultant for consideration. He/she should ensure that the publications reflect the stated aims of the project design; meets general archaeological standards; and meets the requirements of

the publishing bodies. The draft reports and production costs (which will already have been estimated in the updated project design) must be agreed with and approved by the Overseeing Organisation's Project Manager before the report is sent for publication.

#### Phase 5: Dissemination

3.43 Once the final draft academic report has entered the editorial phase the project archive can be transferred to the recipient museum. The project archive will contain at least:

- the project design
- the site archive
- the final project report

If the recording project has included an analysis phase, the project archive may also contain:

- the assessment report
- the up-dated project design
- the post-excavation archive
- a copy of the draft academic report submitted for publication
- a copy of the published report
- original artwork, camera ready copy, and any other items used by the printer in producing the printed academic report.

The previous entry made in the SMR should then be updated by the Design Organisation's Archaeological Consultant.

3.44 Opportunities for disseminating information about the archaeological work associated with schemes should be taken throughout the life of the project. The possible lengthy gestation of the academic report may mean that its publication may not coincide with the public's interest in the works. The Design Organisation's Consultant should liaise with the Overseeing Organisation and the Central Office of Information in the event of any significant discoveries with potential for public interest. The security of the site and the integrity of the archaeology will be factors in the decisions on what to release publicly.

**Design and Build (DB), and Design, Build, Finance and Operate (DBFO) Schemes**

3.45 In the case of DB and DBFO schemes the DB/DBFO Company will generally employ archaeological contractors. The Design Organisation's Consultant will be responsible for monitoring and auditing the DB/DBFO Co's performance.

3.46 The Regional Environmental Advisor should be consulted by the Overseeing Organisation on the text to be incorporated into the Invitation To Tender (ITT) documents. This should include liaison arrangements and procedures to be followed in the case of evaluations incomplete at the time of the Tender competition, unexpected discoveries and Scheduled Monument issues.

3.47 If there were elements of the Stage 3 evaluations which were incomplete at the time of letting the DB/DBFO contract then the ITT should identify them and the tender should include a bid to complete them. Any new information arising from the completion of these elements would be discussed between the DB/DBFO Co and EH, but the final decisions regarding the need for and scope of any new mitigation proposals arising from them would be taken by the Overseeing Organisation's Project Manager.

3.48 Any new agreed mitigation arising out of the completion of these elements would not be part of the DB/DBFO Co bid, and may form the basis of negotiations between the Overseeing Organisation's Project Manager and the DBFO Co. through a variation of contractual terms.

3.49 Liaison procedures will be agreed by the DB/DBFO Co and EH to provide for periodic meetings between them to discuss issues relating to the potential impact of the proposed works on archaeological remains, the evaluation to be carried out to assess the impact prior to and during construction and the mitigation strategy.

3.50 The liaison meetings will also set out procedures for evaluation and recording archaeological finds, including providing for the issuance of consents related to Scheduled Monuments and the procedures to be followed in the case of finds of national value, "treasure" (under the terms of the Treasure Act) and human remains.

## 4. ARCHAEOLOGICAL MITIGATION IN NORTHERN IRELAND

4.1 The Roads Agency of the Department for Regional Development is responsible for all road schemes in Northern Ireland. The Department of Environment's Planning Service and Environment and Heritage Service are responsible respectively for planning and archaeological work.

4.2 The Department has issued archaeology and planning advice in local plans and most recently in the 1999 Planning Policy Statement 6: Planning Archaeology and the Built Heritage (PPS 6) wherein archaeological remains are recognised as a finite and diminishing resource which, once destroyed, cannot be replaced. The fact that an archaeological site or monument has not received specific statutory protection does not diminish its individual archaeological importance or its significance as an element in the historic landscape.

4.3 The Environment and Heritage Service (EHS) works in co-operation with the Roads and the Planning Service to meet Departmental objectives for conservation and the provision of necessary infrastructure. Routine consultation with the EHS Monuments and Buildings Record, Built Heritage at the earliest stage of planning new roads, road widening or other road improvements allows archaeological implications to be assessed and suitable strategies to be determined.

4.4 There is a presumption in favour of the physical preservation of archaeological sites, monuments and their remains and settings. Where a decision is taken to permit road development that will result in archaeological destruction, this development will normally be conditional on the completion of archaeological investigation, licensed under historic monuments legislation, before development begins. Where archaeological considerations are identified at a late stage (eg when works are under way) it is accepted that scope for archaeological mitigation may be limited.

4.5 Archaeological strategies, timings and costs arising from development will be identified by the Environment and Heritage Service in consultation with the Roads Service.

4.6 The main source of information on archaeological sites is:

The Monuments and Buildings Record, Built Heritage  
Environment and Heritage Service  
5-33 Hill Street  
Belfast BT1 2LA

Tel: 028 9054 3004 or 028 9054 3006  
Fax: 028 9054 3111

For general advice on archaeology the contact is:

The Environment and Heritage Service  
5-33 Hill Street  
Belfast  
BT1 2LA

Tel: (02890) 254754

Fax: (02890) 254700

## 5. ARCHAEOLOGICAL MITIGATION IN SCOTLAND

5.1 Historic Scotland has statutory responsibilities relevant to Scotland's built heritage (defined as including ancient monuments and archaeological sites and landscapes as well as historic buildings, parks and gardens and designed landscapes). Historic Scotland is the Agency of the Scottish Executive Education Department with responsibility for policy advice and administration for such built heritage issues. The duties include liaison with other Scottish Executive Departments to ensure the protection of this heritage. Through this function Historic Scotland has responsibility for providing detailed information, advice and guidance to the Scottish Executive Trunk Roads Divisions on the appropriate treatment of the archaeological heritage within all government sponsored road schemes in Scotland.

5.2 The Scottish Office has published two National Planning Policy Guidelines: Archaeology and Planning (NPPG 5), and Planning and the Historic Environment (NPPG18) as well as a related Planning Advice Note (PAN 42), Archaeology - the Planning Process and Scheduled Monument Procedures. A Historic Scotland Memorandum of Guidance on Listed Buildings and Conservation Areas (1998) is also relevant to Trunk road schemes. These documents contain policy guidance and advice on appropriate procedures for the treatment of archaeological remains within developments, including road schemes. They stress the principle of preservation in situ of significant archaeological features within an appropriate setting. In cases where development is permitted which will result in archaeological damage, procedures must be implemented to ensure the proper recording of all threatened features and the analysis and publication of the findings. These principles apply to the planning and construction of all road schemes.

5.3 Historic Scotland is consulted directly by the Trunk Roads Divisions on all government sponsored road schemes in Scotland. HS provides detailed information and advice on the archaeological implications of schemes under consideration and on appropriate mitigation strategies. It also normally manages all resulting archaeological contracts on behalf of Trunk Roads Divisions. Further information of this role is given in DMRB 11. The Trunk Roads Divisions in conjunction with Historic Scotland has produced a Draft Consultation Protocol (1998) which includes detailed descriptions of procedures normally followed

to determine the full archaeological impact of road schemes and appropriate levels of mitigation.

### Sources of Information on Archaeology in Scotland

5.4 The initial point of contact for information relating to government sponsored road schemes is:

Historic Scotland  
Longmore House  
Salisbury Place  
Edinburgh EH9 1SH

Tel: 0131 668 8660  
Fax: 0131 668 8765

5.5 Historic Scotland may suggest consulting the following archaeological archives:

The National Monuments Record of Scotland  
John Sinclair House  
16 Bernard Terrace  
Edinburgh

Tel: 0131 662 1456  
Fax: 0131 662 1477/1499

5.6 The appropriate Council Sites and Monuments Record should also be consulted.

Details of contact points are given in Sources of Archaeological Information in Scotland (forthcoming 2000).

## 6. ARCHAEOLOGICAL MITIGATION IN WALES

6.1 Cadw is the Executive Agency of the National Assembly for Wales responsible for advising on matters relating to the statutory protection of archaeology and the built heritage. Cadw advises the Highways Directorate of the National Assembly for Wales. Guidance on cultural heritage matters is given in PG(Wales) and Welsh Office Circular 60/96.

as that described for English Heritage, and will act as the Highways Directorate's advisors on the appropriateness of the Project Briefs and project Designs prepared for these schemes.

6.2 Cadw will have been consulted on and may have assisted in commissioning the different stages of work making up the archaeological evaluation (see DMRB 11.3.2.8), and will have approved the Cultural Heritage chapter of the Environmental Statement. For conventional contracts, Cadw will offer a full archaeological service to the Highways Directorate. Where a Design Organisation has been commissioned to prepare and supervise the construction of a scheme, Cadw's role will be limited to advising the Highways Directorate on the Project Brief and Project Design prepared for that scheme.

6.3 The final decision and approval on all matters detailed in paragraph 6.2 rests with the Highways Directorate's Project Director.

6.4 The contact address for Cadw is:

Cadw: Welsh Historic Monuments  
Crown Building  
Cathay's Park  
Cardiff CF10 3NQ

Tel: 029 2050 0200  
Fax: 029 2082 6375

### **The Procurement of Archaeological Recording Projects in Wales**

6.5 For schemes procured by conventional contract, the programme of archaeological recording will be specified by Cadw and be approved by the Highways Directorate's Project Director. Cadw will advise on the selection of archaeological contractors and assist in monitoring excavation and post excavation work.

6.6 For schemes procured by other forms of contract, particularly Design and Build (DB) and Design Build Finance and Operate (DBFO) Schemes, then the procedures described in sections 2 and 3 of this manual will be followed. Cadw will fulfil the same role



## 7. REFERENCES AND BIBLIOGRAPHY

### General

- Principles of Publication in Rescue Archaeology*, Ancient Monuments Board for England, Committee for Rescue Archaeology (1975)
- The Publication of Archaeological Excavations*, Council for British Archaeology and Department of the Environment (1982)
- Model Briefs and Specifications for Archaeological Assessments and Field Evaluations*, Association of County Archaeological Officers, (1993)
- Code of Practice for the Regulation of Contractual Arrangements in Field Archaeology*, Institute of Field Archaeologists (1994)
- Standard and Guidance for Archaeological Field Evaluations*, Institute of Field Archaeologists (1994)
- Standard and Guidance for Archaeological Watching Briefs*, Institute of Field Archaeologists (1994)
- Standard and Guidance for Archaeological Desk Top Studies*, Institute of Field Archaeologists (1994)
- Preserving Archaeological Remains in situ* Museum of London and University of Bradford 1996
- A Guide to Sampling Archaeological Deposits for Environmental Analysis* Murphy P and Wiltshire P (1994)
- Guidelines for the Preparation of Excavation Archives for Long Term Storage* United Kingdom Institute for Conservation (UKIC) (1990)
- Eligibility Criteria for the Grant Aided Storage of Rescue Excavations Archive* UKIC (1986)
- First Aid for Finds* (3rd ed.) Watkinson D and Neal V, Rescue/UKIC (1998)
- By-laws of the Institute of Field Archaeologists: Code of Approved Practice for the Regulation of Contractual Arrangements in Field Archaeology* IFA (1990)
- Seeing Beneath the Soil* Clarke A J (1990)
- Alluvial Archaeology in Britain* Needham S and Macklin M G (1992)
- The Treasure Act* (1996)
- Regulating Archaeological Work by Contract* Darvill T and Atkins M IFA Technical Paper (1991)
- Archaeological Resource Management in the UK: An Introduction* Hunter J and Ralston I eds, 1993
- Standard in the Museum Care of Archaeological Archives* Museums and Galleries Commission (1992)
- York Development and Archaeological Study* York City Council, English Heritage, Ove Arup & Partners (1991)
- Microfilming Archaeological Archives* IFA Paper no. 2 (1999)
- Towards an Accessible Archaeological Archive* Society of Museum Archaeologists (1995)
- Archaeological Documentary Archives* Ferguson L and Murray D, IFA Paper no. 1 (1997)
- Design Manual for Roads and Bridges: Environmental Design and Management* (DMRB 10)
- Design Manual for Roads and Bridges: Environmental Assessment* (DMRB 11)

### England and Wales

- Exploring our Past - Strategies for the Archaeology of England*, English Heritage (1990)
- Management of Archaeological Projects* (MAP2) English Heritage (1991)
- Frameworks for our Past* Adrian Olivier English Heritage (1996)
- Planning Policy Guidance Note Number 15: Planning and the Historic Environment* [PPG15] Department of the Environment 1994
- Planning Policy Guidance Note Number 16: Archaeology and Planning* [PPG 16] - Department of Environment, November 1990 (NB these PPGs are now the responsibility of the Department of Environment, Transport and the Regions)

*Planning Guidance (Wales): Planning Policy [PG(Wales)]* Welsh Office 1<sup>ST</sup> Revision 1999

*Circular 60/96: Planning and the Historic Environment: Archaeology* Welsh Office 1996

*Management of Archaeological Projects (MAP2)* - English Heritage, 1991

*Ancient Monuments and Archaeological Areas Act* 1979

*A New Deal for Trunk Roads in England: Guidance on the New Approach to Appraisal (NATA)* - DETR 1998

*A Survey of Archaeological Archives in England Museums and Galleries Commission* (1997)

*Monuments at Risk Survey of England* Bournemouth University and RCHME (1995)

### **Northern Ireland**

*The Historic Monuments Act (Northern Ireland)* 1971

*Historic Monuments and Archaeological Objects (NI) Order* 1995

*The Planning (Northern Ireland) Order* 1991

*The Planning (General Development) Order (Northern Ireland)* 1993

*A Planning Strategy for Rural Northern Ireland* (HMSO, 1993)

*Planning Policy Statement Number 6: Planning Archaeology and the Built Heritage [PPS6]* Department of the Environment for Northern Ireland 1999

### **Scotland**

*National Planning Policy Guideline Archaeology and Planning (NPPG 5)* Scottish Office Environment Department 1994

*National Planning Policy Guideline Planning and the Historic Environment (NPPG 18)* Scottish Office Development Department 1999

*Planning Advice Note Archaeology - the Planning Process and Scheduled Monument Procedures. (PAN 42)* Scottish Office Environment Department 1994

*Historic Scotland Archaeology procedure Paper 2: Project Design, Implementation and Archiving* Historic Scotland 1996

*Historic Scotland Operational Policy Paper 1: Contractual and Grant Arrangements in Historic Scotland's Archaeology Programme* Historic Scotland 1996

*Historic Scotland Operational Policy Paper 2: Publication and Archiving of Archaeological Projects* Historic Scotland 1996

*Historic Scotland Operational Paper 5: The Treatment of Human Remains in Archaeology.* Historic Scotland 1997

*Memorandum and Guidance on Listed Buildings and Conservation Areas* Historic Scotland 2000

*The Stirling Charter: Conserving Scotland's Built Heritage* Historic Scotland 2000

*Archaeological Policies and Associated Papers.* Historic Scotland 1993 (copies available from Historic Scotland)

## 8. ADDRESSES FOR ENQUIRIES

All technical enquiries or comments on this Advice Note should be sent in writing as appropriate to:

Head of Division  
Road Engineering and Environmental Division  
St Christopher House  
Southwark Street  
London SE1 0TE

The Environmental Advisor  
Trunk Roads Design and Construction Division  
Scottish Executive Development Department  
Victoria Quay  
Edinburgh EH6 6QQ

Head of Road Construction Division  
Transport Directorate  
National Assembly for Wales  
Cathays Park  
Cardiff CF10 3NQ

Assistant Director of Engineering  
Department for Regional Development  
Roads Service Headquarters  
Clarence Court  
10-18 Adelaide Street  
Belfast BT2 8GB

## ANNEX I CONTACT POINTS

### ENGLISH HERITAGE: Regional Contact Addresses and Telephone Numbers

South East  
4th Floor, Berkley House  
London Square  
Cross Lanes  
Guildford GU1 1YA

Tel: 01483 304 869  
Fax: 01483 306 433

Stonehenge Region (Stonehenge Enquiries Only)  
Historic Properties Stonehenge  
First Floor Abbey Buildings  
Abbey Square  
Amesbury  
Wiltshire SP4 7ES

Tel: 01980 625 368  
Fax: 01980 623 465

South West  
29/30 Queen Square  
Bristol BS1 4ND

Tel: 0117 975 0700  
Fax: 01732 778 001

West Midlands  
112 Colmore Road  
Birmingham B3 3AG

Tel: 0121 625 6820  
Fax: 0121 625 6821

East Midlands  
Hazelrigg House  
33 Marefair  
Northamptonshire NN1 1SR

Tel: 01604 730 320  
Fax: 01604 730 321

East of England  
62-74 Burleigh Street  
Cambridge  
Cambridgeshire CB1 1DJ

Tel: 01223 582700  
Fax: 01223 582701

North East  
Bessie Surtees House  
41 Sandhill  
Newcastle upon Tyne NE1 3JF

Tel: 0191 261 1585  
Fax: 0191 261 1130

Yorkshire and Humber  
37 Tanner Row  
York YO1 6WP

Tel: 01904 601 901  
Fax: 01904 601 999

North West  
Suites 3.3 and 3.4 Canada House  
3 Chepstow Street  
Manchester M1 5FW

Tel: 0161 242 1400  
Fax: 0161 242 1401

London (HQ Archaeology and Survey Department)  
23 Savile Row  
London W1X 1AB

Tel: 020 7973 3000  
Fax: 020 7973 3001

## ANNEX II CLASSIFYING THE IMPORTANCE OF ARCHAEOLOGICAL REMAINS

AII.1 The following definitions provide a starting point for the classification of the importance of archaeological remains:

**NATIONAL IMPORTANCE:** Ancient monuments scheduled under the Ancient Monuments and Archaeological Areas Act 1979, or archaeological sites and remains of comparable quality, assessed with reference to the Secretary of State's non-statutory criteria (these are set out in PPG16, Annex 4, and in DMRB 11.3 Annex II).

**REGIONAL IMPORTANCE:** Archaeological sites and remains which, while not of national importance, fulfil several of the Secretary of State's criteria and are significant remains in the regional context.

**LOCAL IMPORTANCE:** Archaeological sites and remains listed in the SMR or other sources which are either of very low potential or of minor importance.

**NEGLIGIBLE IMPORTANCE:** Areas in which investigative techniques have produced negative or minimal evidence of antiquity, or where large scale destruction of deposits has taken place (eg by mineral extraction).

AII.2 It must be remembered that the Schedule of Ancient Monuments and the SMRs do not provide a comprehensive record of sites and remains. Both are up-dated regularly as new finds come to light. The importance of archaeological sites and remains should be identified as part of the archaeological evaluation on the basis of advice from EH, County Archaeologists and the Design Organisation.

## ANNEX III STANDARD CONDITION FOR WATCHING BRIEFS

### A.III 1. Standard Condition for an Archaeological Recording Action (Watching Brief):

The contractor will give access to representatives of ..... archaeological Contractor ..... to undertake a watching brief during the clearance of topsoil (specify areas where appropriate) and the excavation of drainage ditches (specify areas where appropriate). The contractor will be required to give seven days notice of these operations to the Engineer's representative, who will inform the archaeological contractor. If an archaeological site is found then the archaeological contractor will be given up to ..... working days to make a record, at the discretion of the Engineer's Representative. During the recording period, the archaeologists will demarcate the area by bunting or lightweight fencing, erected so as not to block the Contractor's haul road through the site. The works themselves may necessarily interfere with this access as otherwise indicated in the Contract.

The conduct of Recording Actions should be governed by the principles set out in the Institute of Field Archaeologists Standard and Guidance for Archaeological Watching Briefs (1994).

## 9. ENQUIRIES

All technical enquiries or comments on this Advice Note should be sent in writing as appropriate to:

Divisional Director  
The Highways Agency  
St Christopher House  
Southwark Street  
London SE1 0TE

M A GARNHAM  
Divisional Director

Chief Road Engineer  
The Scottish Executive Development Department  
National Roads Directorate  
Victoria Quay  
Edinburgh EH6 6QQ

J HOWISON  
Chief Road Engineer

Chief Highway Engineer  
The National Assembly for Wales  
Cynulliad Cenedlaethol Cymru  
Crown Buildings  
Cathays Park  
Cardiff CF10 3NQ

J R REES  
Chief Highway Engineer

Assistant Director of Engineering  
Department for Regional Development  
Roads Service  
Clarence Court  
10-18 Adelaide Street  
Belfast BT2 8GB

D O'HAGAN  
Assistant Director of Engineering