Standards and Guidelines for Archaeological Projects in Worcestershire

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Malvern Hills District Council

worcestershire county council

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Introduction

This technical guidance document is primarily for professional archaeological contractors undertaking projects as part of the development management process or as a condition of Faculty (Church of England), but it is also relevant as guidance to good practice for anyone undertaking archaeological projects within the county, including community-led projects. It specifies the standards required for archaeological projects undertaken in any of the County's districts (different requirements apply to projects within the City of Worcester). It is closely based on guidelines developed by Worcester City Council, which in turn are based on the model created by GLAAS for archaeological projects in London. This document should be read in conjunction with any brief that is prepared for the project.

Archaeological contractors should be aware of the consent regime in place for their project. Where the work is completed as a condition of planning or Listed Building consent, the responsible body is the Local Planning Authority and their advisor, with whom the contractor should liaise. Where the work is completed under Faculty, the responsible body is the Consistory Court of the relevant diocese, with casework managed through the Diocesan Advisory Committee. The contractor should communicate with the Diocesan Archaeological Advisor, rather than the Local Authority and its employees. Where a development is subject to both planning consent and Faculty, the Diocesan Archaeological Advisor will normally act as lead advisor and principal contact.

The guidelines provide a framework for archaeological projects which is consistent with:

- the European Convention on the Protection of the Archaeological Heritage (Valletta 1992);
- the National Planning Policy Framework (MHCLG 2026);
- Planning Practice Guidance;
- sectoral guidance (Historic Environment Good Practice Advice and Historic Environment Advice Notes published by Historic England);
- the Local Development Frameworks of each of the LPAs in Worcestershire;
- and professional best practice as articulated by the Chartered Institute for Archaeologists (CIfA) and Historic England.

It is expected that all archaeological projects will be conducted in a scientific manner by properly qualified, experienced and competent archaeologists operating with sufficient resources and time to provide positive outcomes relevant to the specific purpose of the project and proportionate to the significance of the archaeological interest. There are several ways in which an archaeological project can deliver positive outcomes:

- Informing decision-making by identifying the heritage assets present on a site, their significance and the impact of development upon them;
- Informing development design by identifying how harm to heritage assets can be minimised, and opportunities taken to enhance sense of place and local distinctiveness;
- Investigating and recording threatened heritage assets, and publishing the results to advance understanding;
- Enhancing public enjoyment and understanding of local heritage.

Further information on professional accreditation, the Code of Conduct and professional standards of the Chartered Institute for Archaeologists can be found on their website.

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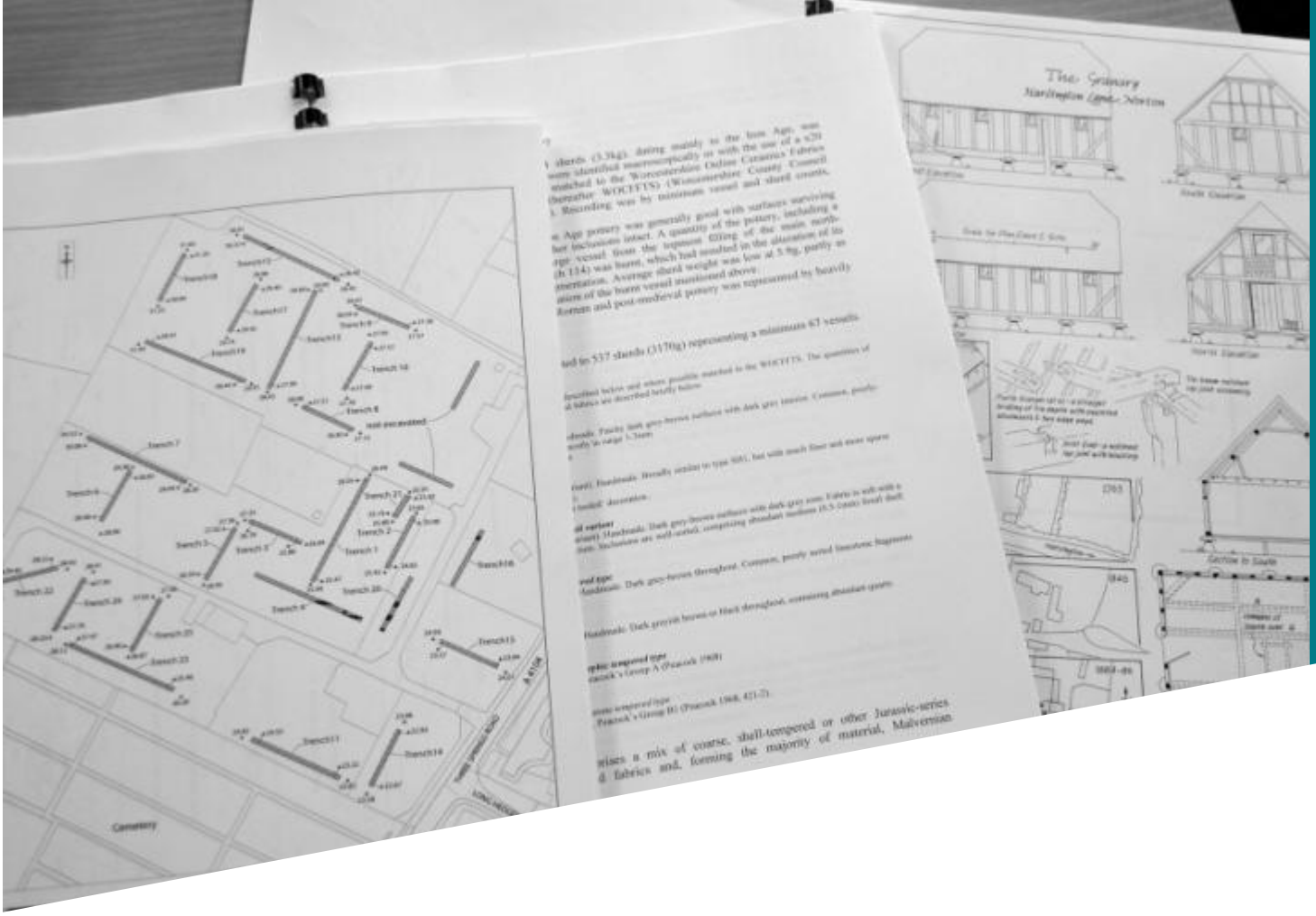
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Part 1: Desk-based assessments

1.1 Introduction

1.1.1 Archaeological desk-based assessments are prepared by studying documentary, cartographic, photographic and archival material, using the Historic Environment Record and other resources. They aim to assess the significance of known heritage assets, and the potential for new discoveries. They are an important resource for archaeological curators when determining the impact of development proposals and how to manage change to the historic environment. When prepared early in the development process, desk-based assessments can provide useful information to potential developers by raising awareness of heritage issues.

1.1.2 Desk-based assessments are expected to conform to the Chartered Institute for Archaeologists' *Standard and guidance for desk-based assessment*. We strongly encourage early consultation with the LPA Historic Environment Advisor, to discuss their site-specific scope and focus.

1.2 Contents

1.2.1 Desk-based assessments will contain, as a minimum, the following elements:

- cover and title page summary
- site location information planning framework
- geological and topographical information archaeological and historical background site visit and appraisal
- assessment of archaeological potential impact assessment
- conclusions and recommendations bibliography and list of sources consulted

Any omissions to the above should be accounted for within the text.

Cover and title page

1.2.2 The cover and title pages provide the unique identifiers for the site and project. Include a detailed site address, report type, organisation, author, date and any relevant planning references or site codes. The Worcestershire HER unique search number should also be included.

Summary

1.2.3 Using plain, non-technical language, summarise the significance and potential of the heritage assets, an overview of development impacts and any recommendations.

Site location information

1.2.4 Include a site location plan, indicating site north and based on the current Ordnance Survey 1:1250 map. Clearly delineate the site boundary. National Grid References should be included on detailed location maps.

Planning framework

1.2.5 Make reference to appropriate current national and local planning policy documents and cite relevant extracts in full.

1.2.6 State all statutory and non-statutory constraints upon the site that relate to the historic environment. Include if the site is within or adjacent to a Scheduled Monument or statutorily or locally Listed Building, a Conservation Area, Registered Historic Park and Garden, a Registered Historic Battlefield or a locally designated area. Known natural environment constraints, such as Sites of Special Scientific Interest or Tree Protection Orders should also be included.

1.2.7 Planning Permission, Listed Building Consent and/or faculty permission references must be provided if applicable.

Geological and topographical information

1.2.8 Geological conditions and topographic features have had a great influence on where people have chosen to settle and how they have used places. Understanding the nature of a site's soil formation and location will aid in predicting what archaeological and environmental remains may be present, and how these are best investigated. Maps provided by the British Geological Survey, including online mapping, give an indication of solid and drift geology. Soil Survey of Great Britain information should be used where available. Contour maps are useful in understanding the topographic situation of the site. Site reports from nearby investigations will also have information on the depths of soil horizons.

1.2.9 Monitor site investigations or use geotechnical logs to assist with predictive modelling and to identify constraints such as areas of truncation or contamination. A deposit model or transect is an appropriate way of demonstrating the buried site sequences and is useful in projecting the depth of the archaeological horizon. BGS now provide online searchable borehole data which may provide more detail on depth and types of deposits more locally.

1.2.10 Make note of any potential preservation conditions, such as anoxic deposits.

Archaeological and historical background

Archaeological information

1.2.11 The Worcestershire Historic Environment Record (HER) holds up-to-date information on archaeological sites, artefacts, listed buildings and other heritage assets and heritage information for Worcestershire and is the primary resource for any archaeological assessment in the county. For sites close to the Worcester City boundary, some data may derive from the Worcester City HER.

1.2.12 It is essential to obtain an up-to-date search on archaeological discoveries and activity for the site and its surroundings from the Worcestershire HER, and a licence for data use. It is the responsibility of the organisation undertaking a desk-based assessment to ensure that the search area is appropriate to the location and nature of the development. Discussion with the Worcestershire HER can help ensure an appropriate search is run, usually 250-500m in urban contexts and 500-1000m in rural. Overly narrow search areas or arbitrary limits on the number of records returned should be avoided. **A search based solely on other data resources, such as the Heritage Gateway, is not an acceptable substitute for a Worcestershire HER search. This may also constitute breach of copyright where data has not been licenced for commercial reuse.**

Present HER data on a map, at an appropriate scale, showing the results of the search (events and monuments shown as polygons where possible) accompanied by a gazetteer using the Worcestershire HER number (prefixed WSM).

The Worcestershire HER can be contacted at HErecord@Worcestershire.gov.uk or 01905 845618. Online enquiries for HER searches can be submitted to our enquiry system

1.2.13 If the project lies within one of the towns identified by the Central Marches Historic Towns Survey, then the reports for that town should be consulted.

Historical documents

1.2.14 It is important to identify any historical sources that pertain to the site. The local studies and archaeology section at The Hive and/or resources at the local lending libraries should be consulted for secondary source material.

1.2.15 Much primary source material is available in the Worcestershire Archives (partially indexed online), which includes the Diocesan archives. Further resources are available at the British Library and the National Archive (Kew).

Cartographic and pictorial sources

1.2.16 There are many historic maps of Worcestershire, from the early 17th century onwards. Include a map regression and consider the extent that previous buildings or other impacts to the site may have affected the potential for archaeological survival. Reproduce relevant maps at an appropriate size using a consistent scale and orientation. Use the largest scale of a map edition where possible. Always show the boundary of the study site.

1.2.17 Early prints, paintings and photographs provide valuable views of historic buildings and streetscapes that may complement cartographic evidence. These make an important contribution to the understanding of a site and are particularly useful when designing display panels or interpretation schemes.

Aerial photographs

1.2.18 Aerial photographs should be consulted. Worcestershire HER holds a collection of over 5000 vertical and oblique aerial images and the NMR at Swindon may hold others.

1.2.19 Cropmarks are occasionally seen on aerial surveys available on various internet sites (e.g. Google Earth Historic Maps).

Site visit and appraisal

1.2.20 It is essential to visit the site being assessed. Describe and illustrate the current state of the site, its topography, usage and condition. Any potential non-archaeological constraints to field investigation should be identified and mapped.

1.2.21 Where appropriate, describe standing buildings, structures and landscape features and assess their potential significance and contribution to the historic environment. Heritage values, as described in *Conservation Principles: policies and guidance for the sustainable management of the historic environment* (2008) can be Evidential, Historic, Communal or Aesthetic. For example, social housing, hospitals, and other public buildings may have played a significant role in local social history as well as making their own contribution to the streetscape, without necessarily being of great architectural merit. Particular building types may be subject to regional or national research programmes. Industrial buildings and their surroundings could have housed important industrial processes, and be significant to local employment history. Older surfaces, outbuildings, boundary walls, gates and other site fittings may have local significance and merit recording and/or preservation within a site.

1.2.22 Visible or remnant garden and landscaping features, significant planting, planting beds, paths and avenues, greenhouses and garden fixtures may also be worthy of identification and assessment of their significance.

Impact assessment

Past impacts

1.2.23 Assess the degree of any previous or existing impacts that could potentially affect the survival of heritage assets. This may include previous buildings on the site, basements, landscaping, agriculture, forestry or areas of quarrying or ground remediation. In churches and churchyards, the impact of previous development/alteration to the church buildings, particularly in the later 19th and early 20th century, on below ground deposits should be addressed. On previously developed sites it may be possible to estimate the likely level of historic ground surfaces, the depths of modern made ground and the degree of truncation or burial of those surfaces. Where appropriate, provide a figure showing Ordnance Survey levels, anticipated areas of survival and potential.

Proposed or anticipated impacts

1.2.24 The impact of any development proposals, including preliminary and enabling works should be assessed with reference to engineers' and planning application drawings. Clearly indicate areas of proposed or anticipated ground disturbance, including topsoil stripping, the removal of existing buildings and foundations and remediation of contaminated areas.

1.2.25 Consider if the proposed development could harm the setting of nearby heritage assets by changing their surroundings and, if so, assess the impacts using Historic England's guidelines on *The Setting of Heritage Assets*.

Assessing potential and significance, and making recommendations

1.2.26 Use the above information to assess the archaeological and historical interest of the site. Such interest will encompass the significance of known heritage assets at local, regional and national levels and the potential for new discoveries. The potential for new discoveries will be a product of the archaeological, historical and topographical context of the site and the extent and nature of any modern disturbance.

1.2.27 Assessment of significance should have regard to Historic England's Conservation Principles. National designation criteria should be used to consider whether an undesignated heritage asset is or could be of demonstrably equivalent significance to a scheduled monument. For judging regional and local significance, use appropriate research frameworks, including the West Midlands Regional Research Framework and the relevant local research frameworks, for example the Worcestershire Farmsteads Guidance or the Worcestershire Palaeolithic Research Framework.

1.2.28 Assess the nature and scale of the proposed development's likely impact on the archaeological and historical interest. The likelihood that significant harm will result from development will be a product of the site's known and potential archaeological interest and the impact of development upon that interest.

1.2.29 If the development could cause significant harm and there is not already sufficient information to establish the presence, significance, condition and nature of any heritage asset which could be significantly harmed then further information will probably be needed to reach an informed planning decision, the assessment will be expected to outline proposals for field evaluation which should be appropriate and proportionate to the significance of the archaeological interest, the proposed development and have regard to site conditions. Fieldwork should be undertaken to a Written Scheme of Investigation that has been agreed with the LPA Historic Environment Advisor. **Planning consent can be refused on the grounds of insufficient archaeological information**. If an applicant believes there are overriding reasons which make it impractical for them to supply sufficient information in support of an application, the circumstances should be discussed with the LPA Historic Environment Advisor and the planning case officer.

1.2.30 Preservation *in situ* is normally preferred for heritage assets of archaeological interest. It is expected that the results of assessment and evaluation will be used to inform design to minimise harm. Areas where preservation *in situ* is proposed should be clearly marked, for example where foundations can be sympathetically designed to cause minimal damage to the heritage asset and not damage its integrity.

1.2.31 If some archaeological interest has been identified but the development would not cause significant harm or where significant harm has been identified but preservation *in situ* is not proposed then a strategy for investigation should be outlined. This should be appropriate and proportionate to the significance of the archaeological interest and the impact of development upon that interest. **The ability to record a heritage asset is not a factor in deciding if its loss should be permitted. A planning authority may refuse permission for development which would cause unacceptable harm even if provision is made for recording.**

1.2.32 Opportunities for heritage assets to contribute to local place-shaping, distinctiveness and public enjoyment by informing design or other measures should be identified with reference to relevant planning policies.

1.2.33 The scope for design changes to mitigate harm to the setting of heritage assets should be assessed and, where relevant, suggested changes should be outlined.



Part 2: Written Schemes of Investigation

2.1 Introduction

2.1.1 All archaeological investigations, building recording projects or other works concerning the historic environment should have a project design, known as a Written Scheme of Investigation (WSI). Clearly stated aims, objectives, risks, products and tasks are essential. When incorporated into a defined methodology, this allows for programming and planning decisions to be made, responsibilities to be made clear, and a successful project to be run.

2.1.2 For projects initiated through the planning or diocesan system, such as through a condition attached to planning permission, Faculty, Listed Building or Scheduled Monument Consent, a WSI is a requirement. All WSIs are expected to conform to the relevant Chartered Institute for Archaeologists' standard and guidance for the proposed work. It is best practice for those involved in pre-determination fieldwork to liaise with the LPA Historic Environment Advisor regarding requirements prior to the implementation of any work. Please note that any contractors who do not have a continued proven record of archive deposition may not have their specification approved.

2.1.3 A formal WSI is not usually required for projects consisting only of Level 1 (as defined by Historic England) photographic recording of buildings. These should conform to Worcestershire's standard requirements for photographic recording (see Appendix 1).

2.1.4 Worcestershire county and local authority Historic Environment Advisors also encourage those proposing any historic environment project within the county to prepare project designs, including local societies, student research projects and community outreach programmes.

2.2 Procedures

2.2.1 The Historic Environment Advisor or Diocesan Archaeologist will provide a formal project brief on request. Briefs or agreed WSIs will only be considered valid for six months, at which point they will need to be reviewed and potentially revised to take account of new discoveries, changes in policy or the introduction of new working practices or techniques. **Note that a charge may be made for monitoring projects undertaken to fulfil the requirements of planning conditions, including the provision of briefs.** A charge is not applicable where the works are commissioned outside the development management process.

2.2.2 A WSI is prepared by the archaeological practitioner and sets out in detail how the requirements of the brief will be achieved. The WSI should include all aspects of the investigation, from on-site arrangements and methodological approaches through to archiving and dissemination. This must be sufficiently clear about objectives, methods, standards, resources and timetable to form a standard against which delivery of the project will be monitored.

2.2.3 WSIs should be agreed by the LPA Historic Environment Advisor and/or Diocesan Archaeologist prior to the commencement of works. Where works are to be undertaken in compliance with a planning condition the WSI must then be submitted to the local planning authority for their formal approval. Consultants should take care that they submit the agreed version of the WSI and not an earlier draft.

2.2.4 WSIs should be sufficiently flexible to allow for contingencies and re-assessment of priorities in the field. Investigations should be subject to a process of continuous review, which in some circumstances may be substantial enough to warrant revisiting the agreed WSI. Any substantial deviation to the original document or methodology should be agreed in writing with the LPA Historic Environment Advisor.

2.2.5 The LPA Historic Environment Advisors and DAC consider that any given project will not have been fully implemented until all fieldwork and post-excavation work leading to publication and archiving has been completed.

2.3 Contents

2.3.1 It is expected that those preparing WSIs will be familiar with the archaeology and history of the site and its environs. If no desk-based assessment has been prepared for the site, the Worcestershire HER should be consulted prior to the writing of a specification. A Worcestershire HER unique search number should be included in all WSIs. A search on the Heritage Gateway or any similar data sharing website is not considered an adequate substitution for a Worcestershire HER search and will not be accepted.

2.3.2 WSIs for all archaeological work should refer to research frameworks. All relevant frameworks should be referenced, in particular the Worcestershire Research Framework and The West Midlands Regional Research Framework (which is published in period volumes, and period seminar papers available online). Other local, regional and national frameworks should be referenced as relevant, including period-based and material-based frameworks.

2.3.3 Where appropriate, the site should be inspected prior to the production of the WSI so that all practical issues surrounding the work can be addressed.

2.3.4 Those preparing WSIs should have sufficient experience to understand the appropriate means of investigating the asset, including the selection of appropriate techniques and sampling strategies such as trial trench densities and layouts. If required specialist advice should be sought. Historic England and the Chartered Institute for Archaeologists have

produced a number of technical guidance notes and papers on a wide variety of topics. These can be accessed through the Historic England website and the CIfA website.

The WSI will contain, at a minimum, the following elements:

- organisation, author and date
- Worcestershire HER unique search reference number
- the planning authority for which the work is being undertaken (where relevant)
- where appropriate non-technical summary
- site location information (including map) and descriptions survey, evaluation trench or excavation location plans context of the project
- details of planning or other consents (i.e. Faculty or SMC) under which the work is being carried out, or if the works are prior to the determination of a planning consent
- geological and topographical background archaeological and/or historical background
- general and site specific research aims and objectives
- reference to relevant legislation, including a statement of adherence to CIfA, Worcestershire and Historic England guidance and standards documents
- field and recording methodologies
- collection and discard policies for artefacts
- a site specific sampling strategy for environmental deposits and ecofacts, including provision for obtaining absolute dates, as appropriate, prepared in consultation with Historic England's Science Advisor
- arrangements for immediate conservation of artefacts
- arrangements for handling human remains, including a statement of legal compliance
- policy statement for treasure, including a statement of legal compliance post-fieldwork methodology
- report preparation methodology
- publication and dissemination proposals, including Worcestershire HER and OASIS deposition
- public outreach proposals proportionate to the project and significance of archaeological remains - where public outreach is considered inappropriate (e.g. due to confidentiality issues or negative results), an explanation should be given for the lack of outreach provision
- copyright information
- archive deposition details including timescale for deposition, and if available Transfer of Title documentation
- timetable -including for post-excavation assessment and reporting, which should be normally be completed within 12 months of the completion of fieldwork. For major projects the timescales may be longer and where post-excavation assessment recommends further work it should be stated that the timetable will be updated by that document
- details of site personnel, support staff and named specialists, including CVs where appropriate.
- health and safety considerations and monitoring procedures
- contingency arrangements, if appropriate

2.3.5 Archaeological evaluation is often only the first stage of a programme of work and all parties should be aware of the possibility of a requirement for further archaeological investigation or preservation *in situ*. WSIs will include a statement to the effect that if significant archaeological remains are identified in the initial phase of works, a programme of mitigation, which may include elements of preservation *in situ*, excavation or conservation, will be required in accordance with an agreed revised WSI.

2.3.6 If the project includes wider applications, such as GIS components or other means of capturing and recording spatial data, specify the methods to be used. Ensure compatibility with the recipient archive, if appropriate.

2.3.7 Worcestershire Historic Environment Advisors expect the use of overarching written schemes for larger projects that will have several phases, or that will take place over an extended period of time (for example quarries, major development projects, infrastructure projects). Phase or area specific methodologies may be needed to supplement the wider document.

2.3.8 There is an expectation that all projects will be conducted by properly qualified, experienced and competent archaeologists. Where a contractor has not worked in the county before, they will be expected to demonstrate previous qualifications and experience. Appropriate general accreditation would normally be a Chartered Institute for Archaeologists (CIfA) Registered Organisation and/or a project manager being a full member of CIfA (MCIfA). Specialist roles and projects will require specific demonstrated expertise in a particular topic (e.g. buildings archaeology, environmental archaeology, medieval pottery etc) to a level broadly equivalent to a MCIfA, or for less experienced staff their work should be supervised by someone of that level.

2.4 Submission and approval where related to fulfilment of planning conditions

2.4.1 A draft WSI should be sent to the LPA Historic Environment Advisor for comment before formal submission to the local planning authority (where necessary to comply with a condition). This will allow for the Historic Environment Advisor to consider the WSI, consult if necessary, and respond with any suggested amendments.

2.4.2 The client and/or funding body should fully understand the contents of the WSI prior to submission to the Local Planning Authority. This will allow responsibilities to be transparent and any practical issues to be addressed before formal approval of the document (by the local planning authority in the case of work to be done in compliance with a condition).

2.4.3 A WSI will be returned without agreement if:

- there is insufficient documentation or detail, as given in Section 2.3.4 (above)
- the requirements of the brief (if one has been supplied) are not met
- appropriate consideration is not given to how the impacts upon the historic resource will be managed
- it has not been demonstrated that the consultants and/or contractors have the appropriate levels of competence, experience and ability to undertake the project.

2.4.4 If a WSI is returned without agreement the author will be informed of the reasons in writing and be given the opportunity to make appropriate amendments.

2.4.5 Fieldwork should not commence until the WSI has been approved in writing by the appropriate Historic Environment Advisor.



Part 3: Fieldwork

3.1 Introduction

3.1.1 Field investigation is wide ranging, including intrusive and non-intrusive archaeological investigation, the recording and understanding of historic buildings and surveying landscapes. In the planning process, investigation is undertaken either to inform a planning decision or in response to a decision to permit development which is expected to harm a heritage asset of archaeological interest.

3.1.2 A WSI must be approved prior to any fieldwork commencing (see Part 2).

3.1.3 The LPA Historic Environment Advisor/ DAC Advisor where relevant should be informed at least one week in advance of the commencement of fieldwork.

3.1.4 All members of the project team, including external specialists, must have read and understood the WSI and any other relevant documentation before work starts on site.

3.2 Fieldwork – general

Site preparation

3.2.1 Restrict unsupervised demolition to slab level only; the removal of building slabs, makeup levels and similar should be done under archaeological supervision unless otherwise agreed. Monitor pile probing and other enabling work that can also cause damage to archaeological deposits.

3.2.2 Developers, working with their archaeological contractors should identify what space, services and accommodation will be needed during fieldwork to ensure an efficient, safe and healthy working environment.

3.2.3 At an early stage in site preparation consider on-site viewing for the public, for instance by platforms or holes in site hoardings.

Trench preparation

3.2.4 Unless you are collecting soil-samples from sub-soils or reworked deposits, remove all undifferentiated topsoil or overburden of recent origin to the first significant archaeological horizon.

3.2.5 If using a mechanical excavator use a wide blade, toothless ditching bucket capable of producing a clean and level surface. The machine will remove spits of no more than 0.20m depth, moving along the length of the trench or excavation area until the archaeological horizon is reached. If the machine has to re-enter the trench take care to ensure that it does not damage exposed or underlying remains.

3.2.6 Following machining, clean the sides and base of the excavation area with hand tools.

3.2.7 If appropriate, and as soon as possible, scan any readily apparent features and surfaces with a metal detector and take measures to secure metal artefacts.

Investigation techniques

3.2.8 All investigations will be by hand unless agreed with the LPA Historic Environment Advisor. There may be some provision for bulk deposits of little archaeological or environmental potential to be removed mechanically.

3.2.9 It is expected that some naturally occurring layers and features, such as peat, alluvium, geo-archaeological deposits and palaeochannels, will be investigated. This is particularly likely when the deposits contain well preserved biological remains and/or were laid down during periods of archaeological interest. Sampling strategies will be agreed with the LPA Historic Environment Advisor and the Regional Science Advisor.

Human Remains

3.2.10 Any human remains encountered during evaluations will be left *in situ*, covered and protected. If removal is essential follow the guidelines for excavation below.

3.2.11 Excavation of human remains can only take place under relevant Faculty jurisdiction, Ministry of Justice licence, environmental health regulations and, depending on the site circumstances, in compliance with the Burial Act (1857), Disused Burial Grounds (Amendment) Act 1981 or other legislation. Published best practice documents should be followed. Adequate screening and security must be provided. A strategy for the removal, assessment, analysis and reburial/retention for human remains must be agreed with the LPA Historic Environment Advisor and the Regional Science Advisor, and included in the WSI. All relevant permissions must be obtained before works commence.

3.2.12 Unexpected human remains encountered during excavations can be removed only once the relevant permissions have been received and the LPA Historic Environment Advisor notified.

3.2.13 Consideration as to whether deposition is more appropriate than reburial should be undertaken by Museums Worcestershire's Human Remains Management Panel. There must be an opportunity to consider the balance of burial over retention and therefore the museum must be kept informed throughout from the initial discovery onwards.

Treasure

3.2.14 All finds specified in the Treasure Act (1996), the Treasure (Designation) Order (2002) and the Treasure (Designation) (Amendment) Order 2023 as being treasure will be recorded, removed to a safe place and reported to the local Finds Liaison Officer and/or Coroner. If the finds cannot be removed from site the same day as discovery, adequate precautions against theft must be taken.

Survey techniques

3.2.15 Geophysical surveys should be in accordance with the guidance document *EAC Guidelines for the Use of Geophysics in Archaeology* (European Archaeological Council 2016). The Regional Science Advisor can advise on appropriate techniques and strategies for various geologies and other constraints. In interpreting the results of geophysical survey, any reference to 'negative evidence' must be fully qualified and explained. This is especially necessary on 'difficult' soils or geologies. Where geo-physical surveys are produced as supporting evidence for a planning application, they should be submitted to the HER and uploaded to Oasis.

3.2.16 Topographic, fieldwalking and metal detecting surveys should be undertaken where appropriate, in accordance with guidance issued by Historic England.

Geotechnical investigations

3.2.17 In sensitive areas geotechnical investigation should be undertaken by borehole or window sampling rather than test pits.

3.2.18 Archaeological monitoring of geotechnical test pits and boreholes should be undertaken as a method of rapidly assessing the potential of archaeological deposits.

3.2.19 Due to health and safety or access constraints it may not be possible to clean and record the archaeological profile of geotechnical test pits. Every effort, however, should be made to establish the presence/absence of archaeological deposits, including the depth of modern intrusions, key stratigraphic components and natural deposits.

3.2.20 Where appropriate, borehole data should be examined by a geoarchaeologist.

3.2.21 Maximise the collection of material suitable for scientific dating, in order to assist in the design of an appropriate mitigation strategy, if required.

3.3 Fieldwork – evaluation by archaeological trial trenching

3.3.1 An archaeological field evaluation is undertaken to assess: the presence or absence of archaeological remains; their extent; nature; quality; date, and; character. An evaluation should enable the significance of the site's archaeological potential to be understood. This understanding, in turn, will allow for appropriate decisions to be made regarding change to the archaeological assets.

3.3.2 Archaeological evaluations are often undertaken in the context of development management, generally in relation to applications for planning permission, listed building or scheduled monument consent. Evaluation is normally required before an application is determined, to allow an informed decision to be made (see Part 1).

3.3.3 An evaluation should be of a scale to enable a sufficient sample of the site to be investigated. The sample must be large enough to confidently assess the principal aims and objectives of the fieldwork, as articulated in the WSI (see Part 2).

3.3.4 The investigation will not be at the expense of any structures, features or finds which might reasonably be considered to merit preservation *in situ* (or be in any way prejudicial to the

protection of such remains), and where potential mitigation, including preservation, is still being considered. The guidance on evaluation given in *Preserving archaeological remains: decision-taking for sites under development* (Historic England 2016: section 1.1) should be followed. This should include formal preservation assessment and deposit characterisation where appropriate.

3.3.5 Within significant archaeological levels the partial excavation or half- sectioning of features and deposits, sampling, the recovery of dating evidence and the cleaning and recording of structures is preferable to full excavation. The full excavation and/or removal of deposits will be agreed with the LPA Historic Environment Advisor in the WSI or during a site monitoring meeting. Sieving of feature fills, deposits or topsoil should be undertaken where appropriate.

3.3.6 Appropriate provision should be made for safe excavation of trenches to the necessary level by stepping or shoring the sides.

3.3.7 It is expected that trenches will be left open for a minimum of 72 hours to allow weathering of features. Where the contractor feels this isn't necessary (for example in an urban context), a case should be made to the LPA Historic Environment Advisor.

3.3.8 Where there is uncertainty about the identification of 'natural' deposits this should be tested by the excavation of a sondage. In areas defined as being of Palaeolithic potential sondages may also be required at the end of one or more trenches to further our understanding of that potential.

3.4 Mitigation

Preservation in-situ

3.4.1 Preference will be given to preservation *in situ* for archaeological remains, particularly when of national or international significance.

3.4.2 Where archaeological remains are to be preserved *in situ* a specification will be drawn up to adequately protect the remains from deterioration, for example from changes to groundwater levels or load impacts. Consideration will also be given to the provision of monitoring for conservation purposes and for necessary contingencies, should monitoring show that preservation is not being achieved.

3.4.3 In the case of exceptional remains, provision for public viewing or access should be part of the development proposals.

Excavation

3.4.4 Where archaeological excavation is required, provision should be made for the spot-dating of finds and the processing and assessment of samples whilst on site. Results can then be fed back into the ongoing fieldwork, so that an iterative approach is generated.

3.4.5 Excavations are of great interest to the public. Provision, proportionate to the project's scale and significance of archaeological remains, should be made, in so far as is possible, for public viewing during fieldwork, either through site tours and open days, viewing platforms, windows in site hoarding, digital media outputs or similar (see Section 5, Public Archaeology).

3.5 Fieldwork – standing structures and historic buildings

3.5.1 A historic building assessment should provide a description of the building or structure and assess its significance and value by understanding its character, history, dating, use, form and development. An assessment should also consider context and setting along with any ancillary buildings, external spaces and buried components relating to the building. Fixtures and fittings, such as machinery on industrial sites, may also be significant and should be noted

where relevant.

3.5.2 Building recording work is undertaken to mitigate the loss of historic fabric or character resulting from approved demolition or alterations. The scope of recording work should be based on the assessment of the building. Recording should follow the same processes and produce the same outputs as other forms of archaeological fieldwork, for example, an ordered archive and a report, leading to publication if appropriate.

3.5.3 Recording methodology should be derived from *Understanding Historic Buildings: a guide to good recording practice* (Historic England 2016) and agreed with the LPA Historic Environment Advisor/ Diocesan Archaeological Advisor in a WSI. Photographic and drawing registers should be included in all reports.

3.5.4 As noted above (2.1.3), a formal WSI is not required for photographic recording. The method set out in *Appendix 1* should be followed.

3.6 Monitoring

3.6.1 Representatives, as appropriate, from Worcestershire County Council, Malvern Hills District Council, Wychavon District Council, Bromsgrove District Council, Wyre Forest District Council, Redditch Borough Council, the Historic England Inspector of Ancient Monuments, the Regional Science Advisor and any other nominated individual may monitor works at any stage. Consideration should be given to regular review points and project updates at agreed intervals, which should be included in the overall timetable for on-site and off-site work as agreed in the WSI.

3.6.2 The purpose of monitoring is to ensure compliance with the written scheme of investigation and to enable appropriate interpretation or variation, for example in response to new discoveries or operational issues. The LPA Historic Environment Advisor will seek mutually agreeable solutions, referring significant proposed variations to the local planning authority. The monitoring could raise any concerns with site staff and the project manager and it is expected that the majority of concerns will be resolved by negotiation at this way. Exceptionally, if a satisfactory resolution is not possible then further action may be taken including contact with the archaeological organisation's chief officer, reference to the local planning authority for possible enforcement action and/or reference to the Chartered Institute for Archaeologists for possible disciplinary action under their Code of Conduct.

3.7 Unexpected discoveries

3.7.1 If the discovery of unforeseen significant archaeological remains present difficulties in fulfilling the agreed WSI a site meeting will be called immediately with the client, the planning case officer, the LPA Historic Environment Advisor and the Inspector of Ancient Monuments (for discoveries of possible national importance) where a forward strategy for preservation *in situ* or excavation will be discussed.

3.8 Recording systems

Written records

3.8.1 Obtain a unique site code (WSM number) from the Worcestershire HER before fieldwork commences. This site code will be used in all project reporting, recording, finds marking and archiving, and should be included in the WSI at the start of the project. The WSM number should appear on the front of the final report, and should be entered in the "Any associated project reference codes" on the Oasis form. The WSM number will continue to be used as the unique identifier for the archive once deposited with Museums Worcestershire. A museum accession number will only be allocated after deposition.

3.8.2 Use an industry-standard site recording system compatible with other single-context recording systems which are currently used in Worcestershire. This should be fully documented in a manual. No alternative recording system may be adopted without the prior agreement of the LPA Historic Environment Advisor/Diocesan Archaeological Advisor.

3.8.3 The site archive will normally be deposited with Museums Worcestershire, within the timescales specified in the WSI. Only in exceptional circumstances will another museum be considered acceptable as an alternative depository. This will require written confirmation from the museum curator that they are willing to act as the recipient body and Museums Worcestershire should be consulted at the earliest opportunity in the process.

3.8.4 Review current Museums Worcestershire deposition guidelines prior to the commencement of works, to ensure that the archive is acceptable and compatible with others produced in Worcestershire. Make provision for archiving costs. It is at this stage that a selection and retention strategy should be created for the project. This must be agreed with Museums Worcestershire and incorporated into the WSI.

Drawn and graphic records

3.8.5 Prepare a site location plan, indicating site north and based on the current Ordnance Survey 1:1250 map. A trench plan should show the location of trenches or interventions in relation to the site location plan. This should be at a scale of 1:200 or 1:100, and should include a National Grid Reference. All sections should be located on plan with OS coordinates. The site should be identified using best current practice, including digital recording.

3.8.6 Ensure that plans are made of all archaeological deposits and features, showing their full extent. Plans should be at a scale of 1:10 or 1:20 and should be located using a National Grid Reference. Single context planning should be used on deeply stratified sites. It is expected that the plan information that is not born-digital will be digitised.

3.8.7 Draw at least one long section, or a representative sample section, of each trench or open area of excavation. This should include a profile of the top of natural deposits. Other sections, such as the half-sections of individual features, should be drawn at 1:10 or 1:20 as appropriate.

3.8.8 Calculate the Ordnance Datum height of all principal deposits and features and indicate the OD height on all appropriate plans and sections.

3.8.9 Use a site matrix to record stratigraphic relationships. The matrix should be compiled and fully checked during the excavations. Land- use and other diagrams may also be helpful in determining relationships and phases of activity.

Photographic records of archaeological investigations

3.8.10 Prepare a full photographic record of the investigations in accordance with the specified policy agreed in the WSI. The primary photographic record will be captured on high-quality digital equipment that at least matches the quality of a 35mm SLR film camera.

3.8.11 The photographic record should illustrate both the detail and the general context of the principle features and finds discovered. Working shots to illustrate more generally the progress of the archaeological investigation should also be included, as should photographs of artefacts or other events not easily captured in the drawn record.

3.8.12 Where appropriate, make a photogrammetric record of complex structures, such as buildings or parts of buildings. Agree scales and formats in the WSI.

3.8.13 On occasion the LPA Historic Environment Advisor or other interested parties may request selected copies of photographs to raise awareness of archaeology and the historic

environment, and cooperation is appreciated. Full credit will be assigned to all images used.

3.9 Treatment of finds and samples

Environmental sampling

3.9.1 Site specific sampling strategies will be required for all investigations and will be included in the WSI.

3.9.2 Strategies should consider the site-wide research questions, the potential significance of the deposits under investigation, and sampling targets, although in some instances the environmental investigation of a site will be the principal aim of a project.

3.9.3 Refer to the publication *Historic England (2025) Environmental Archaeology. A Guide to the Theory and Practice of Methods, from Sampling and Recovery to Post-excavation (third edition) Swindon* for general guidance and consult the Regional Science Advisor for site-specific queries.

3.9.4 The sampling strategy should state the type of features to be targeted, along with the material to be recovered and the recovery technique to be employed. Targets for sampling can include a wide range of archaeological and environmental deposits and remains, including soils and sediments, timber structures, pollen, charred plant remains, insects, diatoms, animal bone, and human bone. A high priority will be given to sampling anoxic deposits where organic materials may be well preserved.

3.9.5 As far as possible, the assessment of sampled deposits should form part of an iterative process, providing feedback to excavators during the progress of the fieldwork (eg spot-dating of select deposits or the results obtained from flots).

Scientific dating

3.9.6 Consider suitable deposits and structures for scientific dating, for instance using dendrochronology, radiocarbon, archaeomagnetic or luminescence dating techniques; in some instances this will be a requirement. Investigators should be aware that some dating techniques require specific work whilst in the field that cannot be conducted once the site has been completed.

3.9.7 The Regional Science Advisor can advise on the suitability of sampling techniques, how to retrieve and store samples, sample selection and mathematical modelling of results.

Finds treatment

3.9.8 The finds retrieval policies of Museums Worcestershire will be adopted. All identified finds and artefacts will be retained according to the stated selection, retention and disposal/discard policies appropriate to the material type and date. Discard policies will be agreed in advance with the LPA Historic Environment Advisor and Museums Worcestershire. Artefacts from churches and churchyards should be reburied after analysis has been completed.

3.9.9 All finds and samples will be treated in a proper manner and to standards agreed in advance with Museums Worcestershire. They will be exposed, lifted, and processed, cleaned, conserved, marked, bagged and boxed in accordance with the guidelines set out by Museums Worcestershire.

3.9.10 On-site conservation, where required, will be the responsibility of the archaeological contractor. Conservation advice can be obtained through the Science Advisor, if necessary.

3.9.11 The Worcestershire County Fabric Series is the key reference resource for ceramics and is curated by the Worcestershire Archive and Archaeology Service. This must be referred to for

descriptive and analytical purposes. All specialist ceramics reports must either use the Worcestershire County Fabric Series, or be fully cross-referenced to it, in order to ensure that terminology is consistent. The fabric series is available online, and specialists are welcome to visit to use the physical collection free of charge.

3.9.12 Museums Worcestershire also holds important comparative collections of material and should be consulted as appropriate.

3.9.13 The archaeological organisation responsible for the works will ensure that contracts are in place, and that availability is confirmed, with internal and external specialists to cover all necessary processing, conservation and specialist analysis through assessment and analysis stages of the project.

3.10 Access and safety

3.10.1 All relevant current health and safety legislation and codes of practice will be adhered to. It is the responsibility of the organisation undertaking the work to ensure that their health and safety policies are up-to-date and in line with current legislation.

3.10.2 Risk Assessments should be drawn up for all activities. No fieldwork should be undertaken without a current risk assessment having been prepared, read and understood by all relevant members of staff and sub-contractors. This constitutes a non-archaeological constraint on project designs.

3.10.3 There is a duty of care for the client to provide all information reasonably obtainable on contamination and the location of live services before site works commence.

3.10.4 Areas of known or suspected contamination or other health and safety risks must be identified so that strategies for the sampling and recording of archaeological deposits and structures can be designed accordingly.

3.10.5 If, for any reason, it is proposed to discontinue work during the progress of archaeological works, suitable arrangements must be made to temporarily protect and support exposed faces of archaeology until such time that a long-term preservation strategy is implemented or full excavation resumed.



Part 4: Analysis, reporting, dissemination, publication and archiving

4.1 Introduction

4.1.1 Reporting follows on from an agreed investigation or study, where the results are interpreted and presented. This includes any assessment or analytical work undertaken, dissemination of the results, deposition of the archive into the recipient depository and providing information to the Worcestershire Historic Environment Record.

4.1.2 The reporting of the results of archaeological investigations is crucial in furthering understanding of the historic environment. In order to share knowledge and increase understanding with the widest possible audience, all reports will be lodged with the Worcestershire HER so that public access is assured. This will include post-excavation assessments and updated project designs where these contain information which is not included in the final report (eg on material not taken forward for full analysis).

4.1.3 Most reports are prepared and submitted in support of applications for planning consent, or as a requirement of a planning condition.

4.1.4 It is expected that the organisations that undertook the field investigation will continue to see projects through to the final stages of reporting, dissemination and publication so that continuity of a project and its archive is maintained.

4.2 Reports that inform decision making

4.2.1 Following the completion of an archaeological evaluation, historic building assessment or other survey, even if negative, a report will be produced that will allow for an informed decision to be made on the need for preservation of remains, and/or further investigation or study.

4.2.2 Reports should follow a recognised format unless otherwise agreed in the WSI. The report should include the following:

- cover page (which must include site name and address, grid reference, site code, type of work, author and project manager, date and revision number, and planning references)
- non-technical summary
- introduction
- planning background including relevant references Relevant historical and archaeological background geology and topography of the site
- research aims and objectives
- methodology of site-based and off-site work
- details of the stratigraphic sequence
- specialist reports in full, including any recommendations for further work
- plans, sections and photographs as appropriate Harris Matrix where appropriate
- assessment of the results against the original expectations
- statement of potential of the archaeology
- conclusions and recommendations for an appropriate mitigation strategy
- publication and dissemination proposals, if relevant at this stage
- archive details, including date of deposition and Transfer of Title details, if applicable
- a Finds Table (general grouping of finds by period and type but with important finds identified for correct indexing within the HER) See Appendix 3
- bibliography
- acknowledgements
- Worcestershire HER/OASIS form

4.2.3 Depositional and post-depositional processes must be discussed. If a project has negative results, then the reasons for this should be fully explored.

4.2.4 Each specialist finds report must include an assessment of significance and a recommendation for retention or disposal.

4.2.5 Submit one digital PDF/A file of the report to the LPA Historic Environment Advisor within the timeframe agreed in the WSI. The LPA Historic Environment Advisor will pass a copy of the report to the Worcestershire HER once it is approved.

4.2.6 If a report is required in response to a planning condition, the archaeological consultant, contractor or client is responsible for submitting copies to the Local Planning Authority for discharge of condition.

4.3 Post-excavation assessments, Updated Project Designs and Analysis

4.3.1 Certain types of projects, most commonly archaeological excavations but increasingly archaeological building recording work, require a formal review phase, where results are

assessed according to their significance and potential to further understanding of the historic environment. As part of this assessment phase the work needed to complete any further study or analysis is identified.

4.3.2 Refer to *The Management of Research Projects in the Historic Environment (MoRPHE) Project (Historic England 2015)*, for the principles and procedures used in undertaking a post-excavation assessment. Unless otherwise agreed, all post-excavation assessment work undertaken should follow these models.

4.3.3 The post-excavation assessment report contents should follow the same broad outline as given above in Section 2.2. The primary addition is the inclusion of an Updated Project Design, which puts forward proposals for analytical work necessary to bring the site to publication. This will include details of tasks, resources, personnel and programming. The Updated Project Design should also contain a synopsis of the publication proposals for the site.

4.3.4 The Updated Project Design should cover all components of a project, including any field evaluation. This is particularly important for large projects undertaken in several phases of work or those inherited from other organisations, so that all elements of the site are included when considering proposals for analysis and publication.

4.3.5 Update the OASIS form when the post-excavation assessment is complete.

4.3.6 Any archaeological conditions attached to a planning consent will not be recommended as satisfied until the details of the Updated Project Design have been agreed and a timetable produced which includes a date for archive deposition. Written assurances will also be sought that an appropriate level of resourcing is available to complete the tasks leading to publication.

4.3.7 The submission of the post-excavation assessment report will follow the procedures given in Sections 2.3 – 2.5 above. The report should be submitted within an agreed timeframe, usually twelve months following the completion of fieldwork.

4.4 Research and Analysis Programme Monitoring

4.4.1 As appropriate, the LPA Historic Environment Advisor, Diocesan Archaeological Advisor and/or the Regional Science Advisor may monitor analysis and research work at any point. It is recommended that monitoring points are tied into the work programme at appropriate stages within an agreed overall timetable.

4.5 The Historic Environment Record, Publication and Dissemination

4.5.1 The results of all archaeological work will be made available to historic environment colleagues and the public through inclusion in the Worcestershire Historic Environment Record.

4.5.2 Provide all digital copies of reports as PDF/A documents, which makes them suitable for long-term archiving. PDF/A comprises two levels: PDF/A- 1a (fully compliant with the ISO standard 19005-1) or PDF/A-1b (minimal compliance). Either level of PDF/A is acceptable for deposition with the Worcestershire HER. PDF/A files can be created by several commercially available software packages. Further information can be found on the website for the PDF/A Competence Centre.

4.5.3 The Worcestershire HER does not take the Geographic Information System (GIS) or Computer Added Design (CAD) files for the project, for example trench/test-pit locations. It is expected that these will be included in the digital archive uploaded to ADS. This is a different requirement to Worcester City HER, which does require the submission of GIS and/or CAD data.

4.5.4 Complete an OASIS form (Online Access to the Index of Archaeological Investigations) at the end of all relevant stages of reporting. A copy of completed OASIS forms should be appended to the back of each report submitted.

4.5.5 Update the online OASIS form with publication dates and details once these have been finalised and ensure that a full copy of the report is uploaded as a PDF once approved.

4.5.6 Ensure that site summaries are submitted to the appropriate period- based national journals.

4.5.7 Agree the level and outlet for publication and dissemination of significant results with the LPA Historic Environment Advisor/Diocesan Archaeological Advisor. The scale of publication will be based upon on the significance and interest of the findings.

4.5.8 Worcestershire Historic Environment Advisors welcome alternative ideas for the dissemination of archaeological investigation results, and would encourage practitioners and consultants to explore additional means of engagement, such as web- based publications, social media, displays and lectures.

4.6 Archiving

General

4.6.1 It is assumed that the finds and paper site archive will be deposited with Museums Worcestershire within the timescales specified in the WSI and in accordance with current deposition guidelines as advised by the Museum. Only in exceptional circumstances will another museum be considered acceptable as an alternative depository. This will in the first instance require that Museums Worcestershire is contacted to discuss the alternative arrangements. Written confirmation will be needed from the museum curator that they are willing to act as the recipient body.

4.6.2 It is assumed that the digital archive will be deposited with a Core Trust Seal data repository. Currently only the Archaeological Data Service meets the requirements. The digital archive should be deposited within the timescales specified within the WSI.

4.6.3 Arrangements for the curation of the archive, including a transfer of title or deposit agreement, should be agreed with the appropriate recipient museum prior to starting fieldwork.

4.6.4 If the archive is not to be deposited with an appropriate museum, arrangements must be made for a comprehensive record of all materials (including detailed drawings, photographs and descriptions of individual finds, and in some instances samples, thin sections, etc) which can be deposited in lieu of the actual archive. The only instance where this would be an acceptable alternative is where the landowner retains the archive.

4.6.5 Archives will be deposited in accordance with an agreed timeframe, usually twelve months following the completion of works.

4.6.6 Reasonable access to finds and records from archaeological investigations will be given, at the request of the LPA Historic Environment Advisor or Regional Science Advisor, to nominated individuals or archaeological organisations before they have been formally deposited, if it is considered that the information therein is imperative to other current research.

Integrity of archaeological archives

4.6.7 The integrity of the site archive should be maintained. All finds and records should be curated by a single organisation, and all elements of a site (for example different evaluation

and mitigation stages) should be fully integrated, even when the works have been carried out by different archaeological organisations.

Temporary storage

4.6.8 The archaeological organisation will be expected to have the resources required for temporary storage of collections prior to their transfer to the recipient museum. This storage must be secure and appropriate to the material contained within the site's archive.

Contents of the archive

4.6.9 The minimum acceptable standard for the site archive is defined in *MoRPHE Project Planning Note 3* and *Archaeological archives: a guide to best practice in creation, compilation, deposition and curation.*

4.6.10 Archives typically include all materials recovered and all written, drawn and photographic records, including a copy of all reports relating directly to the investigations undertaken. The archive should be quantified, ordered, indexed and internally consistent before transfer to the recipient Museum. It will contain a site matrix, a site summary and artefactual and environmental assessment and analysis reports. Copyright will be clearly identified at the time of transfer. Appropriate guidance set out by the Museums and Galleries Commission, the Society of Museum Archaeologists, and appropriate recipient museums will be followed in all circumstances.

4.6.11 Museums Worcestershire does not curate digital archives, and arrangements for deposition of the digital archive must be made with a digitally accredited data repository (CoreTrust Seal), whose guidance on the needs of digital storage and archival compatibility will be followed. Currently the only archaeological digital repository to be accredited is ADS, therefore until such time as there is an alternative, all digital archives must be submitted to ADS. All projects must have a digital archive. Appendix 2 details the expected minimum content of a digital archive.

4.6.12 Security copying will be in line with the recommendations of the Historic England Archive.



Part 5: Public archaeology

"Commercial investigation and explanation of the historic environment should be commissioned and conducted in a way that makes opportunities for an appropriate scale and form of public participation in professionally led projects" (*Realising the benefits of planning-led investigation in the historic environment: a framework for delivery,* A report by the Southport Group, July 2011)

Learning is central to sustaining the historic environment. It raises people's awareness and understanding of their heritage, including the varied ways in which its values are perceived by different generations and communities. It encourages informed and active participation in caring for the historic environment. (English Heritage, *Conservation Principles*, 2008)

5.1 Introduction

5.1.1 The past belongs to all and forms a significant part of identities and our sense of place. As such, the value of archaeology to individuals and communities is irrefutable.

5.1.2 Planning policy (NPPF, SWDPR 33, BDC 20.18, RBC 36.3, WFDC DM.23) encourages the popular dissemination of the results of archaeological work and the Chartered Institute for Archaeologists expects members to include an appropriate level of public involvement in archaeological projects as part of their adherence to the professional Code of Conduct:

> In all archaeological projects, greater public benefits may be achieved by means of community engagement and participation both during and after the project. Health and safety, public liability or commercial confidentiality considerations may dictate the form of engagement that is possible, but in all cases, it should be demonstrated that the potential engagement of the community has been fully considered. (Chartered Institute for Archaeologists, *Policy Statements – section 3.4*, 2018)

5.2 Project preparation

5.2.1 In light of relevant planning policies and professional practice, provision for public involvement or engagement should form part of all project WSIs as there is clear public benefit from ensuring local engagement with archaeological work. Where this is not appropriate, WSIs should demonstrate that public engagement has been considered and outline why it is deemed inappropriate in that case. It is important to remember that the public dissemination of results does not have to take place whilst archaeological fieldwork is undertaken if confidentiality prevents concurrent outreach/engagement.

Resourcing

5.2.2 Whatever form of public dissemination or engagement is envisaged, it is crucial to secure resourcing and programming prior to the commencement of site works. Plans for public engagement should be proportionate to the scale of the project and significance of the heritage i.e. heritage assets and investigations of greater importance warrant a more comprehensive programme of public outreach and involvement.

Planning

5.2.3 A mixture of methods is often appropriate to engage with a range of audiences, such as the local community, schools, wider public and community heritage groups. Public engagement does not need to be expensive and adequate provision on publicly accessible sites is often more cost effective than site staff being repeatedly distracted by passers-by.

5.2.4 It is recognised that every project is different, and as such imaginative proposals from both the developer and archaeological professionals that involve local communities and innovative, creative means of disseminating results are welcomed. Engaging the public should not be seen as an onerous obligation, but as a means of education, promotion and publicity that is beneficial to the developer, archaeological profession and public.

5.2.5 If engagement projects are proposed, it is suggested that end users and stakeholders are consulted early in the development process. Working with the identified target groups in the planning stages will result in a more successful project, and will help ensure that whatever is being developed has a real and lasting relevance to the local people and their experiences. Developers and site contractors will also need to be engaged in this process, so that site needs and constraints can be accommodated. It is strongly encouraged that communicating to new and diverse groups be made a priority, so that new audiences can be reached and developed.

5.2.6 Whilst a plan for public engagement should be outlined prior to the project's commencement, the inherent uncertainty involved in archaeological investigations means that a flexible approach is required where heritage of greater significance than expected is discovered.

Publicity and media coverage

5.2.7 Projects that involve heritage assets of national, regional and significant local interest should anticipate that the media are highly likely to be interested in the results of investigations and plan accordingly, including the appropriate allocation of resources. Projects that approach the media rather than vice versa will generally have more control over the story told and how news of the project is presented. Media coverage has the potential to reach a large audience and provide significant positive publicity for the developer, contractors and project.

5.3 Delivery

5.3.1 Community engagement should be undertaken by those with suitable skills and experience. Accessibility of events, displays and information should be considered prior to their delivery and integrated into designs and plans.

During site work

5.3.2 For most non-confidential projects, public engagement can take place whilst investigations are under way. Where possible, a mixture of on-site and digital engagement is recommended to increase accessibility and audience size. In the case of publicly accessible sites, such as those in urban areas or along popular public rights of way, it is recommended that explanatory information and updates be provided – this will also reduce the time site staff spend answering queries from passers-by. Links to project websites or blogs and the use of social media is strongly encouraged. It would not be appropriate to have public visits during most site work in churches due to the sensitivities associated with human remains.

5.3.3 Means of public engagement or involvement during site work could include::

- blogs and social media updates
- noticeboard or small whiteboard on fencing that can be easily updated by site staff
- explanatory panels
- viewing windows in hoardings
- viewing platforms
- open days and/ or site tours
- interpretation cabins
- artefactual and environmental displays
- explanatory leaflets
- volunteer opportunities

Volunteers

5.3.4 Providing people with the opportunity to actively engage with archaeological work and discovery is to give them a unique and valued experience. Involvement in the archaeological process can have a significant effect in people developing a sense of ownership with an area, and as a result feeding back into themes of identity. It is also an opportunity for people to develop new skills and abilities.

5.3.5 Some sites may have the potential to involve volunteers during the fieldwork process. This need not be restricted to work once excavation is underway, which is often subject to pressures of time and resource, but could involve the digging of test pits, survey, or building recording in advance of large-scale site works. Care must be taken to ensure that volunteers are given sufficient training, support and management, and that the involvement of volunteers on a site is not used as a replacement for professional archaeologists. The Chartered Institute for Archaeologists has prepared a policy statement on employing volunteers and students on archaeological sites, which should be followed (*Policy Statements* 2018).

5.3.6 Hands on activity does not need to be confined to work on site; for example artefact handling, pot-washing, environmental sorting and archive preparation can all be adapted so that volunteers can participate.

Schools and education

5.3.7 Working with schools and school groups can be a very rewarding experience, and is

strongly encouraged, particularly when there is a nearby school or the archaeological works is taking place on school grounds.

5.3.8 Site visits, handling sessions, workshops and teaching resource packs are just some of the ways that projects may engage with schools. It is crucial to establish working relationships with teachers prior to the development of educational packages, so that they can be engaged in that process. Key to this is identifying areas within the national curriculum that can be linked to the archaeological work – not just history, but maths, science, art, citizenship and many other subjects can be relevant. Local museums may already have links with school groups or have education officers that can be utilised.

Post-site work

5.3.9 Public engagement should continue after site work has finished – this stage is crucial for informing the public about the less visible analysis and report writing work that takes place, helping to avoid misunderstandings and concerns over why artefacts and results cannot be immediately displayed. Digital communications, via websites, blogs and social media, are often the easiest to provide updates, but noticeboards and interim talks may also be appropriate. There may be opportunities for volunteers to take part in post-site work, particularly finds processing and archiving, in which case the Chartered Institute for Archaeologists' *Policy Statements* (2018) on working with volunteers should be followed.

Talks and lectures

5.3.10 Worcestershire local planning authorities strongly encourage those undertaking archaeological work to share their discoveries with the community through talks and lectures.

5.3.11 Local archaeological societies, including the Worcestershire Archaeological Society, have lecture series which can accommodate lectures on current or recent excavations and other archaeological work. It may also be possible to arrange for a lecture at the annual Worcestershire Archaeology Day, organised by the Worcestershire Archive and Archaeology Service.

Temporary displays

5.3.12 There are many potential opportunities for creating temporary displays in local communities. Libraries, museums, community centres and civic offices are only a few of the places where small-scale displays, exhibiting work in progress or current finds, could be placed. It is often possible to arrange for displays to be created within public space in the completed development.

5.3.13 Temporary displays need not be restricted to artefact display cases but can also consist of or include photographic exhibitions; interactive computer displays, or leaflets, for example.

Permanent displays and interpretation panels

5.3.14 On sites where preservation *in situ* has been achieved and remains are on display, interpretive planning, site interpretation and exhibition design will need to be considered. Similarly, where sites have been removed, or remains reburied, we would encourage the use of graphic panels, mobile downloads or other forms of display to communicate what was once present. Archaeological contractors or consultants are urged to seek advice from specialist heritage interpretation groups if such facilities are not available in-house.

Urban design

5.3.15 With certain projects, particularly those in which there is a close working relationship between historic environment professionals and designers and architects, there is a greater

potential for incorporating elements of the site's history into the concept of the development. Creating open space or utilising landscape design, for example, may mark where archaeological remains lay and public art or motifs may be inspired by archaeological finds. In certain instances, it may be possible to incorporate substantial remains or finds into a development.

5.3 Evaluation

5.3.16 Programmes of public engagement and involvement should include an evaluation, so that the success of the project's outreach activities can be measured, evidence gathered and lessons learned for future work. Through evaluation, community engagement can be improved and successful ideas and techniques shared. Effective evaluation requires a plan to be created at the start of the project and data to be gathered throughout. Guidance in how to conduct evaluations is available from various sources, including the National Lottery Heritage Fund website.

5.4 Community-led Projects

5.3.17 Inform the city or county Historic Environment Record (HER), whichever is appropriate, about your project prior to starting fieldwork so that they can issue a unique event number. Various guides and resources covering a wide range of topics and techniques are available online. When planning a project that involves more complex archaeology or techniques that are new to the group, it is strongly recommended that you contact Worcestershire Archive & Archaeology Service for advice and guidance during the planning stages.

5.3.18 Before undertaking any investigations, make sure that you discuss with the landowner what will happen to any finds, have a plan for post-fieldwork analysis and reporting, know what funding will be required and where the project will be archived. Artefacts belong to the landowner, unless declared as treasure under the 1996 Treasure Act. However, it is considered best archaeological practice for artefacts, with the landowner's permission, and the paper archive of original site records and project report to be deposited with the area's collecting museum – Museums Worcestershire.

5.3.19 Funding may be required to purchase equipment and pay for specialist services, such as finds analysis. Worcestershire Archive & Archaeology Service have some excavation equipment that can be loaned to community projects and other community heritage groups may also be able to lend equipment. The National Lottery Heritage Fund is the main source of grant funding available, although it is also worth exploring whether there are any local sources of funding available. Programmes of public engagement and involvement should include an evaluation, so that the success of the project's outreach activities can be measured, evidence gathered and lessons learned for future work. Through evaluation, community engagement can be improved and successful ideas and techniques shared. Effective evaluation requires a plan to be created at the start of the project and data to be gathered throughout. Guidance in how to conduct evaluations is available from various sources, including the National Lottery Heritage Fund website.

Appendix 1: Enhanced Level 1 record for historic buildings and structures

1 Why does my building need a photographic record?

Worcestershire contains around 45,000 buildings that pre-date 1900 and are deemed historic, plus a number of more recent structures, that are also of historic, architectural or archaeological significance. These buildings define the character of the county and create locally distinctive character areas. Only around 6,500 of these buildings are Listed as nationally significant, but that doesn't mean that the unlisted buildings are unimportant. Their significance is local or regional, not national, but they can be equally important to local communities as they have an impact on the character of their village or area. These buildings, while not subject to statutory designation, are a material consideration within the National Planning Policy Framework.

Your planning application has been submitted to and approved by one Worcestershire's Local Planning Authorities. In this instance your development has been deemed to affect a building(s)/structure(s) of historic significance. The significance has been assessed at a level where the value of the development outweighs the preservation of the building(s) either in part or entirely, and where a full programme of archaeological recording by a qualified archaeologist/architect is not thought necessary. It is, however, considered of value to compile a basic record of the building prior to its demolition/conversion. In line with National Planning Policy Framework **Section 20, Policy HE10**, any permitted development affecting a heritage asset should include the provision to record that asset.

"... The applicant should record and advance understanding of the significance of the asset to be lost in a manner proportionate to its importance and the potential impact upon it; and should make this evidence (and any archive generated) publicly accessible by depositing it in the relevant Historic Environment Record, and any archives with a local museum or other public depository."

It is considered proportionate, given the nature of the building(s) and/or the development, to require you to submit an enhanced '*Level 1 photographic record*' (as defined by Historic England) of the building(s)/structure(s). The following pages detail what this entails for buildings in Worcestershire. The requirement follows the recommendations within Understanding Historic Buildings for the written and drawn elements but, unless otherwise stated, the photographic record will also include internal photographs of the areas to be affected by the development (numbers 1-8 as appropriate of section 4.4.8).

2 What do I have to submit to fulfil this condition?

You need to supply a short report containing the information listed below. This work can be carried out by you, as the applicant or agent, and requires no specialist skills.

The aim of this survey is to:-

- Provide a descriptive and illustrative account of the building / structure, including, where relevant, brief discussion of its local, regional and national significance.

Historic England (formerly English Heritage) has produced guidance on the recording of historic buildings and defines four main levels of record, described more fully in ***'Understanding Historic Buildings – A guide to good recording practice'. Historic England 2016***. They range from Level 1, the simplest, consisting of photographs and brief notes, to Level 4, containing a full historical and architectural analysis, supported by a comprehensive drawn and photographic record.

The requirements of this survey are based on a Level 1 record, defined by Historic England as follows:-

"Level 1 is essentially a **basic visual record**, supplemented by the minimum of information needed to identify the building's location, age and type. This is the simplest record..." (***ibid, 5.1 page 14***).

All photographs should be taken prior to any alteration of the building(s), but after the removal of any obscuring vegetation, modern structures (where possible) and all stored material/rubbish from the interior and exterior of the building.

The survey report will consist of:-

Written Record

- The planning application reference number on which the condition has been applied (e.g. W/15/00001);
- The building reference number in the county Historic Environment Record (e.g. WSM00001 – contact the HER for this number if not already supplied);
- The full postal address, or other locational information, that will allow the site to be readily identified, for example a grid reference (e.g. SO 9544 7643) if there is not an easily identifiable address;
- The name/copyright of the author and the date the work was carried out;
- A summary statement describing the building's type or purpose, historically and at present, its materials and possible date(s) so far as these are apparent from a superficial inspection. If you are unsure about the building's previous functions, phasing or dates, there is no requirement for you to attempt to establish them. Please include the information that is available to you.

Photographic Record

- Black & white and/or colour print, high-resolution, digital photography, all with suitable scales, of the following:
    - All accessible external elevations (photographs to include ones perpendicular to the elevation)
    - All internal room spaces and roof structures (where accessible)
    - Details of any architectural or functional fixtures, fittings and features relating to either the function or development of the building(s)/structure
    - A general ¾ view of the building(s)/structure
    - Photographs illustrating the building's relationship to surrounding buildings and setting
    - A record of historic carpenters' marks, apotropaic marks and graffiti, if any;

Drawn Record

- Sketched plan, section, elevation or detail drawings must be used to illustrate where each photograph was taken (see Figure 1). Sketches may be roughly dimensioned. If measured drawings are available from the application, please use these. If not, there is no requirement to produce new measured drawings.

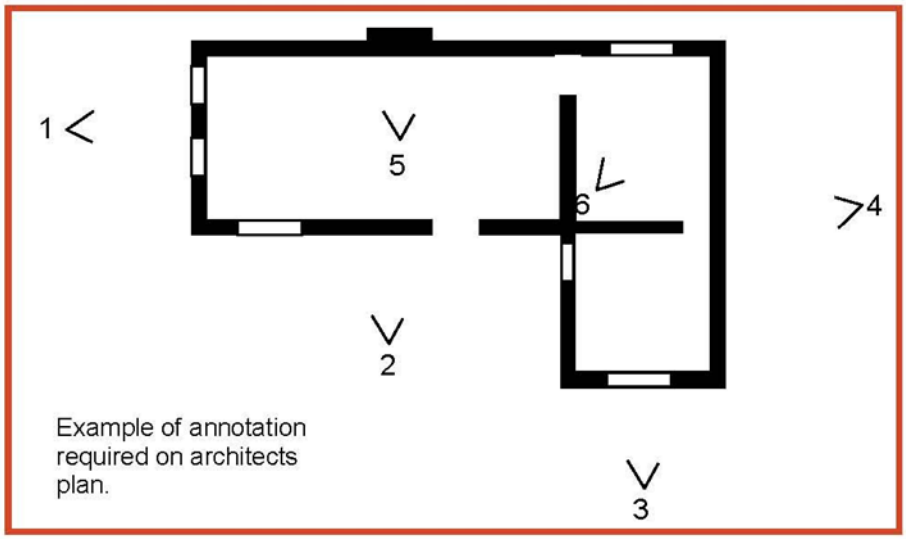


Figure 1. Example of annotation requirements

3 Minimum Requirements

1. A digital copy, preferably in .pdf format, must be sent to the Historic Environment Planning Advisor for approval **before** formal submission into the county Historic Environment Record.

2. Upon approval, one digital copy of the report must be lodged with the county Historic Environment Record.

3. Proof of deposition with the HER will be required in order to fully discharge the planning condition.

4 Research Questions

Listed below are research questions to guide those researching the development of traditional farmsteads, landscapes and settlements in Worcestershire. These are likely to be relevant to those carrying out Level 3 and 4 recording and may be of interest to those carrying out Level 1 or 2. The research questions may help you understand the context in which this condition has been imposed if your application relates to an agricultural building(s). You are not expected to contribute to this research or answer these questions. This is merely for information.

Dating farmsteads and enclosure

The recorded date of farmstead buildings can supplement the information provided by place names and documents. In the case of fieldscapes created through a gradual or piecemeal process of enclosure, particularly where they are poorly documented and where the chronologies are difficult to establish, the recorded date of buildings can inform an understanding of their development.

- Worcestershire has a high proportion of farmsteads with 17th century and earlier recorded buildings, the vast majority being farmhouses and in some cases barns, which in many instances are the principal surviving buildings on farmsteads (there being a correspondingly high rate of change). These are found across the county and reflect the capacity of earlier buildings to be adapted for later uses.
- In areas of planned or regular enclosure, early recorded buildings may relate to earlier phases of development of the landscape that have been over-written through survey-planned enclosure.
- The scale of farmsteads and the recorded date of buildings may also complement other sources that relate to the development of farms over time – amalgamation and the growth of farm size at the expense of small farms in some areas and the persistence of small farms in others. These sources include historic estate maps, Tithe and Ordnance Survey maps, the 1910 Land Tax and the 1940 National Farm Survey. Buildings complement the documentary record in evidencing the development and restructuring of farms in the 15th-17th centuries.
- The location and orientation of the farmhouse may reflect the status of the owner or tenant of the farm, if for example it faces away from the working buildings into its own driveway or garden, with a prospect over a landscape in their ownership or tenancy. Some houses were remodelled and re-orientated in order to face away from working buildings. To what extent are houses earlier than, contemporary with or later than their associated farm buildings? How is this reflected in their siting – as detached houses that face away from the working farm, as houses that are attached to their working buildings or those sited gable-end or side-on to the yard?

Farmsteads and common-edge settlement

Worcestershire's Historic Landscape Characterisation (HLC) has revealed the extent of common land that covered the county.

- Farmsteads and vernacular houses relate to successive waves of enclosure that have encroached onto common land, leaving some farmstead types associated with common-edge settlement (in particular the smallest courtyard farmsteads, dispersed plans and linear farmsteads including L-plans with integral houses) sitting on the boundary of late 18th and 19th century regular enclosure and earlier more irregular common-edge enclosure. Whereas farmsteads within the former are most likely to be of 19th century date, those revealed to be on the boundaries of these zones have a

greater potential for earlier fabric.
- Smallholdings developed from the medieval period around the Wyre Forest, including as clusters around woodland (e.g. Offmoor Woods), within mosaics of small fields (e.g. Huntsfield). Others may relate to the 19th century boom in orchard production (e.g. at Buckridge).

Farmsteads and Villages
- Early buildings are generally much sparser in distribution in those areas of England where settlement in the medieval period was dominated by nucleated villages and extensive communally-farmed fields, and where patterns of wealth were less evenly spread and more hierarchical in structure.
- What do the date, scale and alignment of buildings (including houses not associated with mapped farmsteads) reveal about the development of villages before the late 19th century?Many farmhouses, for example, were aligned to face main routeways, as was the case in high-status town houses, and occupied several amalgamated plots.
- The growth and development of larger village-based farmsteads had an impact on the form of these settlements. Older village-based buildings and farmstead layouts were generally less capable of adaptation to the demands of large-scale and capital intensive agriculture in the later 18th and 19th centuries.

Farmsteads and moated sites/ shrunken settlements
- Moated sites and shrunken settlements have high potential to reveal important material that will have been lost elsewhere through intensive cultivation and settlement, and that can be interpreted in relationship to standing fabric and farmstead form/type. Do the moats of medieval farm complexes serve a farming function, or simple drainage function, or are they very much defensive/status symbols reflecting farmsteads that were freeholds and higher status? Are there distinctive concentrations of moated farmsteads reflecting high water table and topography/geology or is there a broad chronological grouping?

Manorial and estate farms
- There are many high-status manorial groups close to the church, which usually developed into large-scale courtyard-plan or dispersed multi-yard plan farmsteads with large early houses and barns. How did they develop as estate centres, and have they always been high-status sites?

Farmstead form and date
The dating of buildings and the plan form of farmsteads provides an indication of:
- Conformity to national models (particularly in the case of regular plan farmsteads) as well as the persistence of local trends and adaptation to local circumstances.
- How continuity or revolutions in farming practice either swept away or made use of the existing building stock is important, and the emergence of market-based and specialised regional economies. Across most of the county farmsteads did not begin to develop into their present-day forms until after the 1790s, and especially in the High Farming years of the 1840s to 1870s, when agricultural productivity was boosted by good manure from livestock increasingly wintered in yards or buildings. This is reflected in the low numbers of recorded working buildings other than barns. Tithe Maps, compiled in the later 1830s and 1840s, are particularly important at a basic level in showing the plan form of farmsteads before the 'High Farming' period.
- How earlier farmstead plans were absorbed within or transformed by traditional farmsteads as they developed up to the 20th century. Is there a relationship between the size of farmstead/plan layout and the status of occupants recorded from maps and documents such as the tithe maps? To what extent do these relate to transport networks, especially canals and railways?
- The development of farmsteads after the last major phase of traditional farm building construction, from the 1890s and including the development of county council smallholdings as well as the impact of restructuring, redundancy and conversion.

Farmstead Types
- Courtyard plan farmsteads display a wide social range that testify to both the survival of small-scale farms in early enclosure landscapes and the development of large and high-status farmsteads from

the medieval period.

- Dispersed plan types are rooted in the county's medieval past. The comparison of tithe maps of the 1840s and 2nd edition Ordnance Survey maps of c.1905 show that many were replaced or reorganised into courtyard-plan farmsteads over the 19th century. To what extent do dispersed farmstead types relate to the development from farmsteads for the seasonal movement and/or holding of stock as noted elsewhere in the country?
- How did linear farmsteads, especially those with 17th century and earlier fabric, develop around areas of historic common land and also in relationship to deserted or shrunken medieval settlements?

Building Types

- What is the dating evidence for the development of barns, and what functions do multi-functional barns include?
- What dating evidence is there for the development of cattle housing and stables including ox houses? How much pre-dates the late 18th century?
- How did hop kilns develop? Hop kilns in Herefordshire and Worcestershire often developed from timber-framed structures at the core of farmsteads, and often attached to farmhouses, in striking contrast to their frequent detachment from farmstead groups in the south east of England. Many also developed in close association with cider houses.
- What evidence is there for the early (18th century and earlier) development of farmstead buildings on larger holdings, and did these in any way provide a model for others to follow?
- How many recorded field barns relate to dispersed holdings managed from houses in large settlements rather than mapped farmsteads? It is clear that there are some early examples of field barns. Do these predate mapped patterns of enclosure and relate to the continuation of open-field farming? Or do they relate to the working of dispersed holdings in newly-enclosed fields managed from villages? What is the evidence for these being threshing barns, sheep shelters, orchard buildings, cattle shelters or a combination of these functions? What is the chronology for the establishment of outfarms?

Appendix 2. Guidelines for the creation and deposition of digital archaeological archives in Worcestershire

The HER only takes a digital copy of the report. The physical documentary archive should be deposited (with the finds archive if there is one) at Museums Worcestershire. A digital archive should also be created (this could consist of either borne-digital material and/or scanned documents/images).

The intention of a digital archive is to preserve the important elements of the documentary site archive so that they can be accessed easily, and to provide a security copy of physical material in case the original is damaged or destroyed. With this in mind, it is not sufficient to submit a digital archive that consists of a final report and a representative sample of photographs.

The digital archive must be submitted to a CoreTrustSeal certified data repository. Currently the only UK repository to meet these requirements for archaeological archives is the Archaeology Data Service (ADS) in York, therefore archives must be submitted to ADS unless/until an alternative repository is available.

All archives should contain data items in a format acceptable to ADS, which has a series of Guides to Good Practice online.

What Information is Required?

Content will vary depending on the nature of the project, but as a guide:

- all texts and supporting images that comprise a final report or publication;
- any graphics that are embedded into a final report but which are also available in higher resolution;
- context/photographic/finds etc indices;
- scanned/digital context sheets and/or database of contexts;
- the photographic archive;
- section drawings and plans;
- all raw (unprocessed) data relating to various specialist activities;
- any other material that clearly adds value to the project.

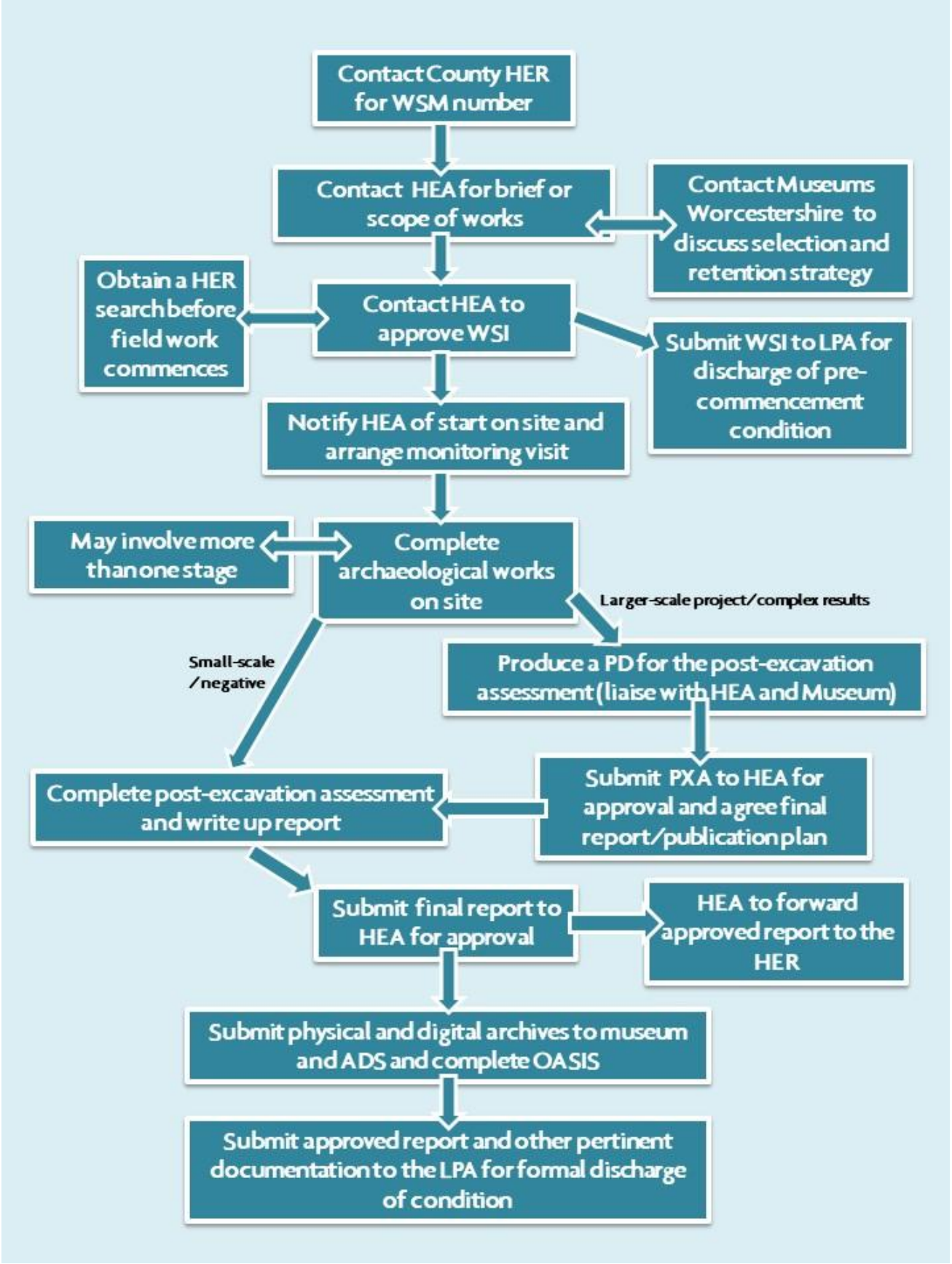
Some items should not be included:

- it is not essential to provide every photograph taken on-site. Duplicate images, those out of focus or those that clearly add no value can be omitted;
- do not submit draft versions of documents. Only the final version should be included;
- written correspondence (electronic or scanned hardcopy) relating to the project should not be included unless it adds value. The General Data Protection Regulations should be adhered to when considering whether it is appropriate to include correspondence.

Appendix 3. Finds table to minimise HER data entry time

Period	Find Type	Material class	Start date	End date	Count	Weight (g)	Specialist report?	Key assemblage?
Roman	Pottery	Ceramic	1C	4C	3	6	Y	N
Roman	Pottery	Ceramic	M1C	M2C	1	2	Y	N
Roman	Faunal Remains	Bone	1C	4C	1	9	Y	N
Medieval	Tile	Ceramic	13C	15C	1	45	Y	Y
Medieval	Pottery	Ceramic	13C	M14C	32	131	Y	Y
Medieval	Pottery	Ceramic	E13C	E14C	31	239	Y	Y
Medieval	Faunal Remains	Bone	L11C	M14C	7	112	Y	Y
Post-medieval	Pipe	Ceramic	16C	19C	1	3	N	N
Post-medieval	Pottery	Ceramic	17C	18C	1	1	Y	N

Appendix 4. Flow chart of the archaeological process from inception until archive deposition, for projects where archaeology is dealt with as a condition(s) on the grant of consent. Where archaeological works are pre-determination, a similar process will occur.



With acknowledgements to the Greater London Archaeological Advisory Service (GLAAS) and Worcester City Council.

Versions

1.0	Draft completed October 2019 Applicable to WSIs approved after 1st December 2019
2.0	Update January 2024. Updated references to revised national guidance, checked and updated weblinks, updated in line with NPPF (2023), added reference to The Treasure (Designation) (Amendment) Order 2023
3.0	Update March 2024 Clarification added over the different consent regimes to the introductory section.
4.0	Update August 2025. Checked for compliance with the UK's Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018, which mandate meeting Web Content Accessibility Guidelines (WCAG) 2.1 AA standard
5.0	Update September 2026. Updated to comply with National Planning Policy Framework published in August 2026. Also removed option to submit print/negative copies of photographs.