



*Final Draft*

**IAI Code of Conduct for  
Archaeological Assessment  
Excavation**

## **1.0 OBJECTIVES**

The objectives of an Archaeological Excavation Assessment are likely to involve some or all of the following:

- To ascertain and examine the character, condition and extent of any archaeological areas, sites, deposits, features or objects.
- To ascertain and critically evaluate the likely impact of a proposed development on these remains.
- To recommend appropriate measures for the avoidance and protection of these remains or, where this cannot be achieved, to recommend appropriate measures to mitigate the impact of the development.
- To evaluate the resources and timeframe that would be required for the full-scale excavation of the archaeological areas identified.
- To report and seek to publish the results.

## **2.0 SCOPE OF WORKS**

The archaeological works to be carried out in relation to an Archaeological Excavation Assessment are as follows:

- Project planning
- Archaeological Excavation Assessment
- Reporting
- Treatment of Archaeological Objects
- Creation of Archive

## **3.0 PROJECT PLANNING**

Archaeological Excavation Assessment requires careful and considered project planning. This planning shall involve the following;

- Project Familiarisation
- Project Design
- Liaison Framework
- Project Preparations

### **3.1 Project familiarisation**

In preparation for the project the Archaeological Director(S) shall familiarize him/herself/themselves with the project and its archaeological environment by undertaking to;

- consult any existing archaeological reports relating to the scheme,
- compile a desk-top study in the absence of any existing archaeological assessment,
- inspect the Area of Operation and assess its archaeological potential,
- familiarise themselves with all aspects of the development scheme, in particular any phasing of works.

The proposed Archaeological Director(s) shall ensure that he/she/they have to hand on-site copies of the relevant statutory archaeological mapping, the various development drawings and any existing assessment reports, all of which should be made available to the archaeological staff selected for the Archaeological Assessment Excavation. No commission or project should be undertaken until all such documentation has been made fully available.

### **3.2 The Project Design**

All elements of the assessment shall be conducted in accordance with a written Project Design. The purpose of the Project Design is to identify within a single document the entire archaeological scope and requirements of the commission or project. The Project Design shall be submitted to the client, the client's representative (where relevant) and the prescribed State authorities. The Project Design should detail the following:

- Objectives
- History of the development
- Area of operation
- Archaeological and cultural environment
- Methodology and resources
- Health & safety
- Liaison Framework
- Treatment of finds

### **3.2.1 Objectives**

The Project Design shall briefly describe the objectives of the Archaeological Excavation Assessment.

### **3.2.2 History of the development**

The Project Design shall provide a brief account of the planning history of the development.

### **3.2.3 Area of Operation**

The Project Design should clearly and unambiguously define the overall Area of Operation, the areas of the proposed assessment, and the reason for their selection. Supporting plans and maps must be included.

### **3.2.4 Archaeological and cultural environment**

The Project Design should provide a brief account of the archaeological and cultural environment of the development, and any previous archaeological and associated reports relevant to the development.

### **3.2.5 Methodology and resources**

The Methodology should outline the following:

(a) Assessment strategy. This should specify;

- the archaeological strategy of the excavation assessment to be employed,
- the proposed procedure for the archaeological excavation of assessment trenches or cuttings.

(b) Programme of Works. This should specify;

- the staging of works and dependent factors.

(b) Resources. This should specify;

- the Project Team designated to carry out the work,
- the resources required, in terms of conservation, recording, surveying and any other identified specialist tasks,
- office and other staffing facilities,

- storage facilities for equipment and artefacts.

### **3.2.6 Health & safety**

A Safety Statement must be prepared as part of any project in the RoI, pursuant to Section 12 of the *Safety, Health and Welfare at Work Act 1989*. In Northern Ireland a Risk Assessment of the working environment shall be prepared, pursuant to Section 3 of the *Management of Health and Safety at Work Regulations (Northern Ireland) 2000*. This Safety Statement/Risk Assessment should be specific to the requirements of the particular project. The Safety Statement/Risk Assessment shall be included in the Project Design.

### **3.2.7 Liaison Framework**

The Project Design shall describe the agreed Liaison Framework (see Section 3.4).

### **3.2.8 Treatment of finds**

The Project Design shall describe provisions for the care, storage and conservation of finds that may be recovered during the Archaeological Excavation Assessment (see Section 5.0). Particular attention shall be given to any specific provisions anticipated.

## **3.4 Liaison Framework**

As part of the Project Design, it is essential to establish a Liaison Framework with the client and their nominated representatives and relevant state authorities. No commission or project should be undertaken until such has been agreed. The Liaison Framework shall define the reporting and consultation procedures for a given commission or project. Carefully planned reporting and communication procedures are required in order to ensure the safety of the field archaeologists, the protection of the archaeology and a professional service to the client. The reporting procedures should identify the key representatives from each relevant organization (architectural, engineering, local authority, governmental and emergency services). It should also identify the key members of the Archaeological Project Team and define their roles. It should outline the reporting structures and procedures between each party, in the event of;

- archaeological material being identified,
- archaeological material being put at risk,
- an increase or reduction in the area being assessed,
- a change in the works schedule,
- a Health & Safety issue,
- a change in the Project Design or methodology,
- any other.

For larger schemes, regular meetings should form part of the Liaison Framework. Similarly, Discovery Reports (see Section 6c) and Progress Reports (see Section 6b) should be submitted as part of this Framework.

### **3.5 Project Preparations**

In order to ensure the efficient and safe conduct of the Archaeological Excavation Assessment, it is essential that preparations have been made for all on-site requirements, including;

(a) Resources;

- recording and surveying equipment,
- tools and their storage facilities,
- office and other staffing facilities,
- temporary storage facilities for the archive and artefacts,
- identified specialist advice is available and, if necessary, on-call.

(b) Safety Procedures;

- all staff are inducted in the Safety Statement/Risk Assessment,
- sufficient protective clothing is available for the staff,
- First Aid treatment will be available on-site,
- it may be necessary to arrange for appropriate security fencing and hazard signs in advance of the on-site phase of the project.

## **4.0 ARCHAEOLOGICAL ASSESSMENT EXCAVATION**

The Archaeological Excavation Assessment shall be carried-out in accordance with the Project Design, and in particular the Methodology described therein. Any changes to the Methodology shall be reported under the agreed Liaison Framework.

- 4.1 Given the risk to exposed archaeology during the assessment, it is imperative that once an area of archaeology has been confirmed it should be;
- appropriately fenced off and clearly marked with warning signs, where the archaeological remains will be exposed for any length of time,
  - photographed as such, recording time and date, and
  - establish the location and extent of the identified archaeology.
- 4.2 During the course of the assessment, the Archaeological Director(s) should also;
- oversee the conduct of the monitoring and ensure a professional standard of recording,
  - pay due regard to stray finds in the topsoil,
  - recover any notable archaeological objects and record their location,
  - recover all finds associated with archaeological deposits which have been disturbed during the assessment,
  - maintain Daily Logs,
  - submit Weekly Reports,
  - submit Discovery Reports for features or artefacts of special interest,
  - participate fully in the agreed Liaison Framework.
- 4.3 All archaeological works shall be carried out in strict accordance with the Health & Safety regulations and the Safety Statement/Risk Assessment. In particular;
- Access to the Area of Operation is strictly monitored. A register of all site visitors should be maintained.
  - Any breach of either Health & Safety regulations or the Safety Statement/Risk Assessment shall be urgently reported as part of the Liaison Framework.
  - A register of any injuries or other such incidents should be maintained.
  - The Area of Operation should be securely fenced off and clearly marked with warning signs, if it becomes necessary during the course of the on-site works.

During the course of the assessment no works shall be conducted that are clearly in breach of either Health & Safety regulations or the Safety Statement/Risk Assessment.

## **5.0 TREATMENT OF ARCHAEOLOGICAL OBJECTS**

Archaeological Objects shall be recovered, cared for and curated in accordance with the IAI Code of Conduct for the Treatment of Archaeological Objects.

## **6.0 ARCHAEOLOGICAL TREATMENT OF HUMAN REMAINS**

Human Remains shall be recovered, cared for and curated in accordance with the IAI Code of Conduct for the Archaeological Treatment of Human Remains.

## **7.0 REPORTING**

The commission or project may involve some or all of the following types of reporting;

- (a) Daily Logs,
- (b) Progress Reports,
- (c) Discovery Reports and
- (d) Assessment Report.

### **(a) *Daily Log***

As part of large-scale projects, Daily Logs should be kept by the Archaeological Director(s). The aim of the Daily Log is to record the daily progress of the archaeological excavation assessment. The Daily Log should be accompanied by a full photographic record, which shows:

- work-in-progress (including assessment methodology and conditions) and
- any archaeological features or finds identified.

### **(b) *Progress Reports***

As part of large-scale projects Progress Reports should be formally submitted as part of the Liaison Framework. The aim of the Progress Report is to present a brief progress account of the Archaeological Excavation Assessment. The reports shall be submitted at agreed intervals. The reports should contain the



project details and date. The reports should contain a short overview of how the assessment is progressing. They should be accompanied by a list showing the relative status (assessment on-going/assessment complete) of the area of operation. The reports should also be accompanied by an updated list of discoveries. This list should indicate the site number, and site type. Finally, the Progress Reports must highlight any problems or outstanding issues that need to be addressed.

**(c) *Discovery Reports***

As part of large-scale projects, Discovery Reports may be appropriate. In such instances, on the confirmed discovery of a site or area of archaeological potential, a Discovery Report should be formally submitted as part of the Liaison Framework. The aim is to report the discovery to the relevant parties, in a clear and concise manner. The report must contain the project details, the licence number, the discovery date, the location, a brief description of the site (including nature and extent), a location plan and photograph(s).

**(d) *Archaeological Assessment Excavation Report***

The aim of the Archaeological Assessment Excavation Report is to collate all the results into a single report. The report must contain the following information:

- an overview of the landscape or streetscape (physical and archaeological) in which the assessment took place,
- a description of the project or development scheme,
- a description of the areas assessed,
- the dates and duration of the assessment,
- details of the methodology and machinery used, including any variations from the initial Project Design,
- the methodology, including the project team and the hours worked,
- an overview of the ground, weather and overall conditions, particularly with respect to any problems encountered,
- a gazetteer of all archaeological sites uncovered, including National Grid Co-ordinates and OD heights,

- a Stratigraphic Record (where appropriate) of the features uncovered,
- a detailed catalogue of the archaeological objects, by way of an appendix or Supplementary Finds Report,
- a discussion on the overall archaeological findings and their significance,
- an evaluation of the soil conditions and preservation qualities in terms of Archaeological Objects,
- a critical evaluation of the potential impact of the development on any archaeological remains identified,
- a critical evaluation of the mitigation options,
- conclusion,
- bibliography and references,
- supporting maps, photographs, plans, sections and illustrations,
- details on the content of the Assessment Archive.

The final report shall be submitted within four months of the completion of site works. Copies of the final report must be sent to the client and all the relevant State and local authorities.

## **8.0 CREATION OF THE ARCHIVE**

The Assessment Archive should contain all the data gathered during the course of the fieldwork and must be ordered, indexed and internally consistent. The archive should contain, where relevant, the following;

- a copy of the Project Design,
- all the Feature sheets,
- all the Daily Logs,
- all the Progress Reports,
- all Discovery Reports,
- all relevant mapping, plans, sections, illustrations and photography,
- all correspondence relating to the archaeological assessment,
- any other site notebooks or diaries,
- a catalogue of all artefacts and ecofacts,
- Archaeological Object Conservation Report,
- Archaeological Excavation Assessment Report,

- all other registers, catalogues or listings, pertaining to the assessment.