



Final Draft

**IAI Code of Conduct for
Archaeological Monitoring**

1.0 OBJECTIVES

The objectives of archaeological monitoring are to;

- provide a watching brief during top soil stripping and other earthwork excavations,
- identify any finds, features or deposits of archaeological potential,
- establish the character, condition and extent of any finds, features or deposits of archaeological potential,
- isolate and protect any identified finds, features or deposits of archaeological potential, and
- report the discovery and extent of identified archaeological remains and outline the impact of the development on these remains.

2.0 SCOPE OF WORKS

The archaeological works to be carried-out in relation to monitoring topsoil stripping, and other earthwork excavations are as follows:

- Project planning,
- Archaeological Monitoring,
- Reporting,
- Treatment of Archaeological Objects, and
- Creation of archive.

3.0 PROJECT PLANNING

Archaeological Monitoring of large-scale earthwork operations 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) should 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 Impact 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, the Archaeological Impact Assessment, and any other existing assessments, all of which should be made available to the archaeological staff selected for monitoring. No commission or project should be undertaken until all such documentation has been made fully available.

3.3 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 shall 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

3.3.1 Objectives

The Project Design shall briefly describe the objectives of the archaeological monitoring.

3.3.2 History of the development

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

3.3.3 Area of Operation

The Project Design shall clearly define the areas of proposed topsoil stripping, and other earthwork excavations, which require archaeological monitoring. Supporting plans and maps must be included.

3.3.4 Archaeological and Cultural Environment

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

3.3.5 Methodology and resources

The Methodology shall outline the following:

- (a) Monitoring strategy. This should specify;
 - the proposed procedure for archaeological monitoring of topsoil removal,
 - the type and number of machines,
 - the depths of soil removal,
 - the location(s) of soil stockpiling,
 - the proposed procedure for dealing with any archaeological material uncovered.
- (b) Work schedule. This should specify;
 - the timing of the contractor's work program,
 - priority areas, listed in order of urgency,
 - the staging of works and dependent factors.

(c) 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 anticipated specialist services,
- finds storage and conservation strategies,
- office and other staffing facilities,
- storage facilities for equipment and artefacts.

3.3.6 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.

3.3.7 Liaison Framework

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

3.3.8 Treatment of finds

The Project Design shall describe provisions for the care, storage and conservation of finds that may be recovered during the 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 in stripping plant,
- an increase in area being stripped,
- 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 7c) and Progress Reports (see Section 7b) 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, it is essential that preparations have been made for all on-site requirements, including:

(a) Availability of Equipment;

- 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 MONITORING

The Archaeological Monitoring of earthwork operations 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 Should the monitoring archaeologist note features of archaeological potential, he/she may, as per the agreed monitoring methodology, request the driver to;
 - stop topsoil stripping and/or earthwork operations,
 - avoid topsoil stripping in the area of potential archaeology, or
 - alter the way in which the machine is operated.
- 4.2 Where a machine driver is requested to stop, the monitoring archaeologist should log the time and action taken. Such a log will minimize any confusion over the impact of monitoring procedures and practices on construction works.
- 4.3 Given the risk to buried archaeology during topsoil stripping, and by the subsequent movements of heavy site traffic, it is imperative that once an area of archaeology has been confirmed it should be;
 - appropriately fenced off and clearly marked with warning signs,
 - photographed as such, recording time and date,
 - logged, numbered sequentially (i.e. in order of their discovery) and their extent and location surveyed.
- 4.4 To minimize delays to the works program, it is important to determine (by way of small scale, exploratory hand-excavation) the nature and extent of any newly identified area of potential archaeology as soon as possible. Should an exploratory examination reveal the site to be non-archaeological this should be documented and the area returned for construction.
- 4.5 A Discovery Report should be prepared for each area of suspected archaeology identified, and should be submitted in accordance with the Liaison Framework. An appropriate mitigation strategy must be critically evaluated and recommended as part of the Discovery Report. The option of

‘preservation *in-situ*’ should be considered, but only where it can be demonstrated that real, secure and prolonged preservation *in-situ* is achievable.

- 4.6 During the course of monitoring, the monitoring archaeologist shall 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 monitoring works,
 - maintain Daily Logs,
 - submit Progress Reports,
 - participate fully in the agreed Liaison Framework.

4.8 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 monitoring 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 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) Monitoring Report.

(a) *Daily Log*

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

- work-in-progress (including earthworks methods, monitoring methodology and conditions), and
- any archaeological features or finds identified, where appropriate.

(b) *Progress Reports*

As part of large-scale projects Progress Reports should be formally submitted as part of the Liaison Framework. 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 monitoring is progressing. They should be accompanied by a list showing the relative status (awaiting stripping/monitoring on-going/monitoring complete) of the Area of Operation. Areas designated as either high or low priority should be highlighted, as appropriate. The reports should also be accompanied by an updated list of

discoveries. This list should contain the site number, site type and status. 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 are 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 discovery date, the location, a brief description of the site (including nature and extent), a critical evaluation of the mitigation options, an evaluation of the required time and resources for resolution (where relevant), a location plan and photograph(s).

(d) *Monitoring Report*

The aim of the monitoring report is to collate all the results of the commission or project into a single report. The report must contain the following information;

- an overview of the landscape (physical and archaeological) in which the project took place,
- a description of the development scheme,
- a description of the areas of topsoil removal,
- the dates and duration of earthworks\monitoring,
- details of the earthworks, methods and machinery used, including any variations,
- the methodology, including the project team and the hours worked,
- an overview of the ground, weather and overall monitoring conditions, particularly with respect to any problems encountered,
- a gazetteer of all archaeological sites uncovered, including National Grid Co-ordinates and OD heights,
- The subsequent decisions taken with regard to any archaeological sites or features discovered during the commission or project, including the cross-

referencing (where available) with any official number designation to a site subsequently excavated,

- an overview (including tables) of all registered finds/archaeological objects,
- a general statistical analysis of the archaeology identified on the scheme,
- a discussion on the overall archaeological findings and their significance,
- a critical evaluation of the earthworks/construction methods and the monitoring methodology,
- conclusion,
- bibliography and references,
- supporting maps, plans, photographs and illustrations,
- details on the location and content of the Monitoring Archive.

The final report must 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 ARCHIVE

The Monitoring 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 Daily Logs,
- all the Progress Reports,
- all the Discovery Reports,
- all relevant mapping and photography,
- all correspondence relating to the archaeological monitoring,
- any other site notebooks or diaries,
- a catalogue of all artifacts and ecofacts,
- Final Monitoring Report,
- all other registers, catalogues or listings, pertaining to the monitoring work,