

**General Synod of the Church of England
Cathedrals Fabric Commission for England**

GUIDANCE NOTE 5

**CATHEDRALS AND ARCHAEOLOGY:
A GUIDE TO GOOD MANAGEMENT**

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FORWARD AND SUMMARY

This Guidance Note is aimed in the first place at Cathedral Archaeological Consultants. It is intended to assist them in structuring their archaeological advice to the administrative bodies of cathedrals, so that it will meet both the requirements of the *Care of Cathedrals Measure 1990* and also the expectations of other planning bodies.

It is further intended to clarify for local and national planning authorities how the archaeological requirements of the *Care of Cathedrals Measure* are being implemented, so that their interrelationship with secular planning requirements may be understood.

This guidance is also of primary importance to the administrative bodies of cathedrals and their other professional advisors. These should look to their Cathedral Archaeological Consultant for interpretation and explanation of the technical aspects of the contents. However, in summary, the following points are drawn to the attention of the administrative body:

- a) Archaeological considerations form a significant aspect of many projects relating to the cathedral and the precinct. It is important, therefore, that archaeology should be in integral part of the general process of managing the cathedral and of planning works.
- b) There are now nationally recognised standards for the management of the archaeological resource within the planning system, and these should be applied to cathedrals.
- c) The Cathedral Archaeological Consultant should be the key figure to advise the administrative body on archaeological procedures, and also to act as a point of contact with the local and national planning authorities who may have a standing in relation to archaeological matters.
- d) An archaeological response is likely to be required in the case of proposed works not only below ground but also above ground. The fabric of the cathedral is itself a major repository of archaeologically significant information within the precinct, and programmes of repair should normally be accompanied by appropriate archaeological recording.
- e) It is advised that there should be a strategic plan for the archaeology of the precinct, covering both assessment and management of the resource. This may be related to and developed from the quinquennial report required, under the Measure, to be prepared by the Cathedral Architect in consultation with the Cathedral Archaeological Consultant.
- f) Early consultation on the archaeological implications of a programme of works will save time, and therefore money, in the long run.
- g) Current national policy is to carry out archaeological excavation only when there is no viable alternative; there is a presumption in favour of preserving important archaeological deposits intact wherever possible.

- h) Equally, where archaeological deposits must be disturbed they should be properly investigated and recorded by archaeologists, and the results should be disseminated.
- i) Proposals for an archaeological project should always be based upon an adequate degree of assessment and evaluation, so that the likely extent and cost of such work is known in advance as fully as circumstances permit.
- j) Making provision for archaeological work is a proper part of the responsibilities of the custodians of a major historic building such as a cathedral.
- k) The inclusion, within a proposed programme of works, of an appropriate level of archaeological recording will be a material factor for deciding whether to approve or refuse an application when it comes before the CFCE or FAC.

CATHEDRALS AND ARCHAEOLOGY: A GUIDE TO GOOD MANAGEMENT

PART A: GENERAL GUIDANCE

1. INTRODUCTION

The purpose of this document is to provide a general guide to the management of archaeological projects that come within the framework of the *Care of Cathedrals Measure 1990*. In so doing, it draws upon and complements existing guidelines and frameworks produced by the Department of the Environment (DoE), English Heritage, the Institute of Field Archaeologists (IFA), and the association of County Archaeological Officers (CAAO). The document refers to, but does not discuss in detail, archaeological procedures under the Planning and Ancient Monuments legislation; these may be additional to the requirements of the 1990 *Measure*.

Archaeology has increasingly become a formal and recognised part of the planning process, and it is important that the principles developed in the secular planning environment should be applied equally in the ecclesiastical area, whilst having regard to the special character of the latter. Ecclesiastical buildings exist to serve the worship and mission of the Church, and this purpose must always be given due consideration in the management and planning processes.

The intention of this Guidance Note is to present a framework which causes minimum disruption to works by ensuring that archaeological factors are taken into consideration at an early stage and programmed into the timetable from the outset.

2. BACKGROUND

2.1 What is Cathedral Archaeology?

Cathedral archaeology is part of the wider field of Church Archaeology, which relates to **the complete historical study of the fabric and material remains of a church, above and below ground; as well as to its site, contents and historic setting, and to the community it has served** (and continues to serve in direct continuity with this historic past). There is of course, little practical difference, in terms of methodology, between the archaeological study of cathedrals and that of parish churches. However, what sets Cathedral Archaeology apart for the purpose of this document is the specific legal framework within which it operates.

Studying the fabric of the cathedral and its precinct is of importance in three respects. First, it contributes to an understanding of a group of buildings of pre-eminent importance in the history and culture of the Church and of the Nation. Secondly, it provides information of direct relevance to the process of repairing the cathedral at the present time. Thirdly, it creates a record that will assist our successors in maintaining their inheritance for the future.

All work that takes place in and around the cathedral has the potential to disturb archaeological remains. Interventions into the standing fabric (including floors,

walls, windows and roofs, as well as sculptures, paintings, monuments and fittings) can be as archaeologically sensitive as disturbances below ground level. The Cathedral archaeologist therefore has a professional concern as much with recording the fabric and buildings during a works programme (and advising the architect during the preparation of that programme), as with organising excavation and recording when ground or floor levels are to be disturbed.

Nor must it be forgotten that cathedrals have a broader archaeological interest within their urban and regional context. This includes the possibility of important archaeological remains underlying the precinct and dating from a period before the foundation of the cathedral.

2.2 Archaeological Responsibilities under the *Care of Cathedrals Measure 1990*

The *Care of Cathedrals Measure 1990* (with the associated *Care of cathedrals Rules 1990*, and *Care of Cathedrals (Supplementary Provisions) Measure 1994*) lays down a statutory framework for the care and conservation of Church of England cathedrals. The primary *Measure* includes provision relating to: the appointment of Cathedral Archaeological Consultants; the designation of cathedral precincts (embracing the archaeological context of the cathedral church); the preparation of quinquennial architect's reports with an archaeological component; the compilation of inventories including archaeological material; and, most fundamentally, the requirement that the administrative body of the cathedral must obtain approval (from the Cathedrals Fabric Commission for England or the local Fabric Advisory Committee) before implementing specific categories or work.

Insofar as specifically archaeological matters are concerned, approval is required under the *Measure*:

- a for carrying out of works which would materially affect:
 - i the (*inter alia*) archaeological* character of the cathedral church or any building within the precinct of the church which is for the time being used for ecclesiastical purposes;
 - ii any archaeological remains within the precinct of the cathedral church.
- b For the sale, loan or other disposal of any object, the property of which is vested in the chapter of the cathedral church, being an object of (*inter alia*) archaeological* interest.
- c For the permanent addition to the cathedral church of any object which would materially affect the (*inter alia*) archaeological* character of the cathedral church.

Determination of any proposal which would involve the disturbance or destruction of archaeological remains within the precinct of the cathedral church is specifically reserved to the Commission (Section 6 [1] [a] [iii]).

* The Measure concerns itself with matters of 'architectural, archaeological, artistic or historic' character and interest.

This Guidance Note sets out the procedures that should be followed for obtaining approval under the above provisions.

2.3 The Wider Legal Framework

In addition to the requirements of the *Care of Cathedrals Measure 1990*, archaeological projects within cathedral precincts may also require approval under the *Ancient Monuments and Archaeological Areas Act 1979* (in the case of Scheduled Ancient Monuments) and/or as part of the planning process. Archaeological recording may also be required as a condition of listed building consent. Furthermore, notification of proposed works is required to be given to the local planning authority in the case of Areas of Archaeological Importance designated under the 1979 Act.

Ecclesiastical buildings for the time being in use for ecclesiastical purposes are excluded from the possibility of scheduling under the 1979 Act. However, other buildings, structures or works within the cathedral precinct may be scheduled if they meet the criteria set by the Secretary of State. The precise extent of scheduling in any individual case is indicated by a map accompanying the relevant statutory notification of scheduling from the Department of National Heritage. Applications for Scheduled Monument Consent should be made in accordance with the advice of English Heritage, and all such applications must be notified to the Cathedral Fabric Commission under Section 15 (b) of the *Measure*.

The handling of archaeological matters within the wider statutory planning process is guided by the DoE's *Planning Policy Guidance Note 16, Archaeology and Planning* (hereinafter referred to as *PPG16*). Under this guidance both developers and local authorities are required to ensure that full account has been taken of all archaeological considerations before planning decisions are reached.

English Heritage, in conjunction with ACAO, offers guidance to planning authorities on the practical implementation of PPG16 and on the inclusion of archaeological policies in development plans.

Guidelines on the detailed management of projects are provided in an English Heritage document *The Management of Archaeological Projects (MAP2)*, which lays down a standard for the planning and execution of archaeological investigation and provides a framework for many of the practical requirements of PPG16.

The IFA is in the process of producing *Standards and Guidance for Archaeological Desk-Based Assessments, Field Evaluations, Watching Briefs, Excavations, and Recording of Buildings*. It also produces a *Code of approved Practice for the Regulation of Contractual Arrangements in Field Archaeology*.

Detailed guidance on the planning and implementation of archaeological work is therefore readily available, and should already be familiar to all Cathedral Archaeological Consultations. This document does not intend to duplicate this information; rather it aims to complement existing guidelines and to address specifically the question of how projects are handled within the unique legal and organisational structure of cathedrals.

Where more than one statutory consent is required, the archaeological procedures set out in this document will not generally lay any significant additional burden upon the administrative body of a cathedral. The work and documentation required by the Commission is likely to be similar to that required by the relevant body dealing with the application under the secular system. The Commission offers specific advice on managing proposals requiring approval under both secular and ecclesiastical law (see *Guidance Note 2: proposals Requiring Approval under the Care of Cathedrals Measure and under Planning Legislation*; and *Guidance Note 4: Procedures for Major New Developments Within Cathedral Precincts*).

3 PRINCIPLES

3.1 General Policy

Current national policy (as embodied in PPG16) is founded on a presumption in favour of the preservation without disturbance of important archaeological remains. The Commission fully supports this principle, since archaeological remains constitute a finite and non-renewable resource. At the same time the Commission recognises the need to relate principles to practical circumstances.

The Commission, as with all other responsible parties under the 1990 *Measure*, has a statutory duty to pay due regard to the fact that a cathedral church is the seat of the bishop and a centre of worship and mission. In considering an application for approval under the *Measure*, therefore, the Commission must take into account not only the desirability of preserving important archaeological remains undisturbed (and generally of caring for and conserving the cathedral church), but also the desirability of supporting projects designed to further the worship and mission of the cathedral. The Commission must reach a balanced view on how these factors interrelate in the particular circumstances of a case.

The Commission will expect applicants to bring forward a strategy for mitigating the archaeological impact of proposed works: this strategy should normally aim to preserve important archaeological remains undisturbed, to the greatest extent possible in the circumstances. Such a policy, in addition to preserving archaeological remains, will generally be to the financial benefit of administrative bodies, insofar as it obviates expensive archaeological excavation where this is unnecessary. However, the Commission will require provision to be made for excavations where, in its view, this is truly necessary.

What is said here on the general principle of preservation without disturbance should not be taken as discounting the possibility of research excavations directed towards clearly formulated academic aims, and backed by resources (of finance, personnel, technology and time) that are fully adequate to see the project through from inception to appropriate completion. The Commission will consider such cases on their merits.

3.2 Archaeological Importance

Fundamental to any decision-making is an assessment of the nature and degree of archaeological ‘importance’, for this will help to determine the appropriate response to any proposed works. It will be the responsibility of the Archaeological Consultant in the first instance to advise on what may be of archaeological importance in a particular case: but the Commission and the Fabric Advisory Committee also have duties in this respect.

There is, of course, no standard definition of what constitutes an ‘important’ archaeological feature. Importance depends upon a combination of factors. In the first place it involves an assessment of the condition and degree of survival of deposits; the comparative rarity of a feature; the existence of related historical documentation; and the relationship of the feature to others within the cathedral complex. But at a further level importance depends upon whether the archaeological deposits or features have a potential to provide answers to specific research questions, or to contribute to the cumulative understanding of the cathedral complex as a whole.

Nor must it be forgotten that archaeological features may have an intrinsic educational, aesthetic or amenity value, factors which may in themselves justify the preservation of a feature in perpetuity. This will apply most commonly to structural remains (such as buildings and earthworks) which are capable of being conserved and displayed. However, non-structural features may also have such value in some instances.

It is therefore necessary to develop a broad archaeological framework of assessment within which a threatened feature can be viewed not simply in isolation, but as an integral part of the cathedral complex as a whole, which is in itself part of a regional and national picture (and see below on strategic planning).

3.3 Archaeological Responses

The archaeological response to any given proposal (often referred to as mitigation) may involve a strategy to limit the degree of archaeological disturbance, or a programme of archaeological investigation and recording designed to recover information from a site in advance of its destruction (or a combination of the two). The nature of the mitigation strategy will be determined by the importance of the feature and the type of work to be undertaken.

Where disturbance of archaeological fabric or deposits is to take place the Cathedral Archaeological Consultant should provide an initial Appraisal. This will generally be followed by a more detailed Assessment and/or Field Evaluation, which may be carried out either by the Consultant or by an archaeological unit acting to a brief by the Consultant (see Part 2 below for details of this procedure). Both Assessment and Evaluation should be aimed at devising the most appropriate strategy for mitigating the archaeological impact of the proposed works.

In the case of any application made to the Commission to approve a proposal, the Commission will not determine the application until an Assessment or Evaluation has been made, such that it will enable the Commission to judge both the

archaeological consequences of the proposals, and also the adequacy of the mitigation strategy put forward. This approach is also to the advantage of the administrative body, in that will help to protect it against embarking upon schemes without a full knowledge of the scope of necessary archaeological work, and hence a full knowledge of the costs entailed.

3.4 Levels of Recording

It is the responsibility of the Archaeological Consultant, in consultation with the Cathedral Architect and others, to formulate recommendations on the level of archaeological recording appropriate to the works in question. This will again be influenced by the nature and importance of the threatened archaeological feature.

In the case of the ongoing repair and conservation of the standing fabric of a building, an ongoing programme of archaeological recording will be necessary (see the joint report by the Commission and English Heritage on *Records and Recording of Cathedral Fabric*). The Cathedral Archaeological Consultant should assess all prospective programmes of work to the fabric and bring forward proposals for such archaeological recording as in his or her view is necessary. This should be done in general as part of the quinquennial report, and in detail in relation to any specification of schedule of works.

It is important to stress that no programme of archaeological investigation and recording can ever achieve a totally objective record of the disturbed archaeological deposits. Nor does 'more recording' necessarily equate with 'better recording'. At all times the level of archaeological recording should be carefully tailored to the particular circumstances and be designed to answer specific questions and further specific goals. The intention and purpose of each recording project should be established in a written brief before being put in hand.

3.5 Who should determine the Application?

Under the *Measure* approval for works that would materially affect the archaeological character of the cathedral church or other ecclesiastical building, or that would materially affect any other archaeological remains within the Precinct, has to be obtained from either the Fabric Advisory Committee or the Commission. An application for any proposal involving specifically the '**disturbance or destruction of archaeological remains**' is required to be made to the Commission (Section 6 [1] [a] [iii]). Whilst this requirement is easily interpreted in some instances (for example, a major excavation in advance of a new building, the provision of underfloor heating, the laying of electricity or other service trenches, etc.) the situation will not always be so clear cut.

A programme of masonry repairs, perhaps involving selective stone replacement and repointing, may cause a certain degree of disturbance or destruction of archaeological remains. The same may apply to the consolidation and replastering of a vaulted ceiling, the structural repair to a medieval roof structure, or the treatment of damp in the walls of a 19th century church. However, the Commission recognises that such work is a routine part of the rolling programme of maintenance of any large historic building and its environment and that a certain degree of

flexibility must be allowed.

As a general guide, proposals involving archaeological recording in conjunction with the routine repair and conservation of the standing fabric may be submitted to the Fabric Advisory Committee for determination, whilst significant sub-surface works and major intrusions into the standing fabric (such as piercing a wall to provide a new entrance) must be referred to the Commission. Inevitably, there will be cases where the dividing line is unclear, and in such instances the Commission invites early consultation over the most appropriate means of handling any given proposal.

In addition to an application under the *Measure*, there may be a statutory requirement to apply also for listed building consent or scheduled monument consent. The local planning authority will be able to advise upon the former, and English Heritage upon the latter.

3.6 Strategic Planning

The basis for a strategic approach to archaeological work already exists in the requirement of the *Measure* that the Cathedral Architect should prepare, in consultation with the Archaeological Consultant, a quinquennial report on the cathedral church, prioritising work which will need to be carried out. The Commission sees this as highly important, and urges the fullest possible collaboration between architect and archaeologist at all times.

It is recommended that each cathedral would further benefit from having an overall assessment of the archaeological resource within the precinct, together with an appropriate archaeological management policy and a strategy for its implementation. The administrative body is invited to consider commissioning its Archaeological Consultant to prepare a report embodying these elements, in consultation with the Fabric Advisory Committee and Cathedral Architect. This will provide a framework for all relevant aspects of archaeological management within the precinct, and should relate to the administrative body's overall management plan for the precinct as a whole.

By creating a unified and developing record of all archaeological work undertaken within the precinct it should be possible to pinpoint areas of particular archaeological significance and to identify areas where further work could help to answer particular questions. This strategy must be dynamic and should be reviewed periodically to ensure that previously defined aims and objectives are still in line with current priorities.

It is also important to place this strategy within the wider urban context of the cathedral. As has already been noted, work within cathedral precincts will often be subject to the jurisdiction not only of the Commission and Fabric Advisory Committee but also of other statutory agencies such as English Heritage and the local planning authority in relation to procedures for listed buildings, scheduled ancient monuments and development and planning. Consequently, it is strongly advised that the archaeological assessment of the precinct be integrated with that for the city as a whole, and that the assessment be available to all those involved in

managing the resource. It is recommended that a copy of the archaeological assessment be lodged with the relevant Sites and Monuments Record. Where an Urban Archaeological Database is being prepared for a city, the Cathedral Archaeological Consultant should liaise closely with the responsible agencies, including English Heritage, the local planning authority and the County Archaeological Officer.

3.7 FUNDING

The general policy of central government towards the funding of archaeological projects occasioned by development proposals is that these should be met by the developer within the overall costs of the development. Where planning permission is required for a development within a cathedral precinct, the local planning authority may, before granting permission, require the administrative body to make appropriate and satisfactory provision for the excavation and recording of archaeological remains in advance of the development. The design for such excavation and recording should be the same as that submitted to the Commission for approval under the Measure.

English Heritage has at its disposal certain funds for recording these archaeological sites which cannot be preserved, and whose destruction is taking place beyond the control of agencies with the powers and resources to deal with the problem. In a few cases applications from an administrative body to English Heritage for assistance from such funds may be successful: this, however, should not be regarded as a normal source of funding. Where grant aid is offered it will generally be in cases where: either, a developer is demonstrably unable to make full provision in its budget for the level of recording demanded by the quality of a threatened site; or, despite properly designed and conducted evaluation, unpredicted and important evidence has emerged subsequent to the granting of planning permission and beyond the resources already put aside for archaeological work. Furthermore, grants will only be allocated for projects that can be justified within a framework of academic priorities (established by English Heritage) and that related to sites of national importance.

To be distinguished from archaeological projects occasioned by development proposals is the archaeological recording that may be required in connection with programmes of repair to the fabric. Where such programmes of repair are being grant-aided by English Heritage, agreed archaeological costs may be grant eligible.

In all cases where the administrative body are proposing works which comprise an archaeological component, they should ensure from the outset that they have a proper estimation of the likely costs (based on an appropriate level of evaluation) for carrying through the agreed archaeological project to completion. This must include the preparation and dissemination of the final report on the project, and the conservation of any finds. If the administrative body cannot meet these costs, and if no external grant aid is available, then the administrative body should reconsider the proposed works, seeking – if possible – to reduce or eliminate the likely impact on archaeological remains.

PART B: PROCEDURES

Having discussed general principles in Part A, Part B considers specifically the phases through which a project should pass, identifying at each stage the individuals to be involved and legal consents to be obtained. The general terminology follows that currently employed by English Heritage, ACAO and IFA.

The sequence set out here is broadly applicable to **all** works involving an archaeological element, and relates as much to ongoing programmes of repair and maintenance to the fabric as to major developments requiring excavation below ground. However, the level of detail required in individual cases will obviously be proportionate to the scale and circumstances of the project. Here, as before, the Commission recognises the need for flexibility, and there is clearly room for discretion when programming work and preparing documentation for submission in support of an application. The intention here is not to generate an additional administrative burden by requesting unnecessary documentation, but rather to rationalise and standardise the preparation and execution of work and to ensure appropriate communication between interested parties at each stage.

PHASE 1: ARCHAEOLOGICAL PROJECT PLANNING

1.1 Consultation

When an administrative body is considering works which might have archaeological implications, the first step should be to consult the Cathedral Archaeological Consultant as to whether there are indeed such implications. If so, the Archaeological Consultant should be fully involved alongside the administrative body's other professional advisors in carrying forward the discussion and development of the scheme. This will enable the early identification of any archaeological constraints, and the archaeological consequences of adopting variant schemes. This is of critical importance from both a management and financial perspective. In general, the aim of the Archaeological Consultant will be to ensure the least possible disturbance of archaeological remains.

In archaeological terms, the earliest stage of the project will be the **Appraisal**. This may be defined as the most basic level of investigation, being merely a rapid overview of the proposal to determine whether or not there is likely to be an archaeological element. If there is, it will then be necessary to advance through further stages in order to determine the archaeological importance of the areas to be affected. An appraisal should normally be carried out by the Cathedral Archaeological Consultant.

Within the Appraisal stage the Archaeological Consultant should identify whether the site in question is within the Precinct designated under the Measure, and whether the proposal is likely to impinge on any Scheduled Ancient Monuments or listed buildings. The Consultant should also refer to any archaeological strategies identified within the Local Plan, to any urban archaeological strategies being developed, and to the Sites and Monuments Record.

1.2 Evaluation

Having ascertained that the project will involve an archaeological component it is necessary to build upon the basic information obtained through the Appraisal and to supplement it with other material. This may be achieved through a two-stage process of Assessment and Field Evaluation.

- i) **Assessment:** this is an essentially desk-based review of all existing archaeological information relating to the area under consideration. There may in addition, however, be a limited non-intrusive fieldwork component. The information gained at this stage may be adequate to enable recommendations to be made. If not, it will be necessary to proceed to the next stage.
- ii) **Field Evaluation:** this is designed to improve existing information to a level of confidence at which recommendations can be made. It may be either intrusive (such as trial trenching, opening up a small section of wall, or removing plasterwork) or non-intrusive (involving techniques such as geophysical and radar survey). If intrusive work involves the 'disturbance or destruction of archaeological remains' it will require approval from the Commission. Non-intrusive evaluation obviously requires no such approval.

The scope of any Assessment/Field Evaluation should be agreed in advance with the Dean and Chapter, and with any parties who are likely to be involved in giving a final approval (the Commission, English Heritage or the local planning authority).

An Assessment should normally be carried out by the Cathedral Archaeological Consultant, but if it is to be conducted by an outside body the Cathedral Archaeological Consultant should provide a written Brief for the work. The Assessment must result in a written report.

In the case of a Field Evaluation the work should always be carried out in accordance with an appropriate Project Design. If the Consultant is to conduct the work, he/she may proceed directly from the Assessment to the formulation of the Project Design. However, if the Field Evaluation is to be conducted by an outside body the Cathedral Archaeological Consultant should provide a written Brief for the work. This should be in such detail as is appropriate to the case, and should be agreed between the administrative body, the Cathedral Archaeological Consultant, and the archaeological contractor (and, in relevant cases, approved by the Commission). The Field Evaluation must result in a written report. For more detailed information on Briefs and Project Designs see section 1.5 below.

The information gained from the Evaluation stage will enable the Archaeological Consultant to make an informed comment to the administrative body upon the practical implications of any proposal, to discuss the alternative courses of action available, and to formulate a strategy for mitigating the archaeological impact of the proposals.

1.3 Strategy Formulation

Having ascertained the archaeological impact of the scheme, the definitive proposal by the administrative body will need to contain a detailed statement setting out how they intend to ensure the mitigation of that impact.

It is the responsibility of the Archaeological Consultant to advise the administrative body upon the appropriate level of mitigation, but it is recommended that the informal advice of any interested bodies also be sought at this stage, prior to a formal application for approval being lodged. This will usually mean submitting a copy of the Assessment/Field Evaluation report to the Fabric Advisory Committee and the Commission and, where they have an interest, to English Heritage, the local planning authority and the County Archaeological Officer. This will give such bodies the opportunity to advise upon appropriate levels of mitigation, and to indicate at the outset their likely response to any final proposal.

This approach can be extremely valuable, since it may save the administrative body from expending considerable time and money on drawing up detailed proposals which may have no chance of being accepted. Once the proposal has been finalised a formal application will need to be made to the appropriate statutory bodies: either the Commission or the Fabric Advisory Committee.

The application should be supported by a report on the results of the Assessment/Field Evaluation and should include a clear proposal containing an outline description of what measures will be taken to mitigate the archaeological impact of the works. The Commission will not determine an application until, in its view, a fully adequate Assessment/Field Evaluation has been completed.

1.4 Approval by the Commission or FAC

Before determining an application the Commission will give full consideration to any written comments received (within the required 28 day period) from English Heritage, the local planning authority, the national amenity societies or other parties. The FAC, when determining an application, will likewise need to consider any written comments received from the Commission, the local planning authority or other parties.

Any approval given by the 'Commission for a project with a significant archaeological component is likely to be subject to one or more conditions. Details will obviously vary from case to case, but they may for example include some of the following general conditions:

- a) that the detailed archaeological Brief or Project Design (see below) should be referred back to the Commission for comment and approval before work is put in hand.
- b) that provision be made for the preservation in situ of any archaeological remains that in the opinion of the Commission are worthy of preservation.

- c) that any significant deviation from the scope of the original Project Design be referred back to the Commission for approval.
- d) that following the archaeological investigation itself, the revised Project Design for the post-excavation work be submitted to the Commission for approval, and the approved work carried out.

Detailed conditions specific to the particular circumstances of the case may also be made. The FAC likewise may impose appropriate conditions.

Where a scheme requires planning consent or scheduled monument consent (in addition to consent under the Measure) then the relevant applications should be made. The Commission recommends that normally the submission for approval under the Measure should be made first, and that the scheme approved by the Commission (or FAC) should then go forward to the local planning authority or the Secretary of State. However, timetabling requirements may lead to a modification of this procedure in particular cases.

1.5 Detailed Project Design and Tendering

Having received approval for a project, it will be necessary next for the administrative body to obtain a detailed Project Design for the work to be undertaken. The Project Design is a practical, quantifiable schedule of works, with a detailed definition of objectives, method statement, costing and timetabling. It should be sufficiently detailed to allow the archaeological work to be monitored against it, and should include procedures for handling minor variations to the design. Attention is drawn to the suggested Project Design specification set out in Appendix 2 of MAP2, and it is recommended that in general a similar format should be followed. At the same time, the Project Design should always be commensurate in scale and detail with the archaeological work actually proposed.

Depending upon the circumstances and the scale of the project, the administrative body may choose either to allow the Archaeological Consultant to prepare and implement the Project Design, or to invite tenders from one or more archaeological contractors.

If the project is to go out to tender to an outside archaeological Organisation the Cathedral Archaeological Consultant should first prepare an archaeological Brief. The **Brief** should describe the overall framework of the project (including its research aims and objectives) and indicate the nature of the archaeological work that will be required. This will serve as the basis on which the tendering Organisation can draw up a detailed Project Design.

The administrative body may wish to go out to competitive tender in order to ensure that it gets the best value for money. However, it will also need to ensure, helped by the advice of the Cathedral Archaeological Consultant, that any tendering organisation will meet the highest professional and academic standards if awarded the contract.

Any Project Design will need to be agreed with the Cathedral Archaeological Consultant (if not prepared by him/her), with the administrative body and with the authorising agencies (the Commission, the Fabric Advisory Committee, the local planning authority, English Heritage, as the case may be).

A local planning authority may require as a condition of planning permission that the administrative body makes provision for the carrying out of excavation and recording in accordance with a project brief prepared by the planning authority and taking advice from archaeological consultants (PPG 16, paragraph 25). In such cases an important function of the Cathedral Archaeological Consultant at this point will be to liaise with the local planning authority to co-ordinate his/her Brief with any requirements they may have; it is clearly desirable for there to be a single agreed Brief for any given project.

PHASES 2 – 5: ARCHAEOLOGICAL PROJECT IMPLEMENTATION

Having agreed upon a particular tender the work can then be put in hand, subject to any conditions which may have been made as a part of the approval. Project implementation can be broadly divided into four phases: Fieldwork; Post-Fieldwork assessment; Analysis; Dissemination.

Phase 2: Fieldwork

Fieldwork is the primary activity of data collection, guided by the questions and goals referred to in Part A, section 3.4 above. It may involve recording of the standing fabric or excavation of archaeological deposits below ground, with either operation being carried out directly by the archaeological contractor. It may also involve a Watching Brief; that is, a programme of observation and recording by archaeologists during work carried out by some other contractor.

During the course of fieldwork unexpected discoveries may be made. These may be such that they require review of the initial Project Design. Any major changes to the Project Design will need to be re-submitted for approval by the Commission or other authorising agency. However, the Project Design itself should establish procedures for agreeing minor variations. In cases where the Commission has requested the preservation in situ of certain features, the extent of which was unclear at the time that the Project Design was drawn up, consultation with the Commission will need to take place during the fieldwork to determine the precise extent of what is to be preserved.

Generally the Commission should be kept informed of the timetable for fieldwork carried under an approval from the Commission, so that its representatives may have the opportunity to visit during the course of the work. In all cases, the Archaeological Consultant should ensure that there is provision for monitoring work carried out by outside archaeological contractors.

The fieldwork stage is finished only when the site records have been put in order, cross referenced and indexed. A short summary report on the site and the data recovered should be made to the administrative body and to the authorising agencies.

Phase 3: Post-Fieldwork Assessment

Following the completion of the fieldwork and submission of the summary report, the next phase will be to carry out a post-fieldwork assessment. This is intended as a critical review of the data obtained during fieldwork, to assess its potential for further detailed analysis and interpretation. The review will take place against the research objectives defined in the Project Design at the outset, but the new data itself may require a revision of the objectives.

The assessment will enable the archaeological contractor, in consultation with the Cathedral Archaeological Consultant, to bring forward detailed recommendations concerning: the level of analysis that should take place in the post-fieldwork programme; any further conservation or other treatment of artifacts not already carried out during the fieldwork phase; and the appropriate form of publication and dissemination of the results.

When these recommendations have been agreed in principle by the administrative body, the archaeological contractor should then prepare a revised Project Design, incorporating the detailed provisions for the post-fieldwork stage. This will need to be agreed formally by the administrative body and it will normally be made a condition of the initial consent that a copy also be submitted to the Commission or Fabric Advisory Committee for final approval.

Phase 4: Post-Fieldwork Analysis and Report Preparation

After approval of the revised Project Design, analysis of the data may then proceed, together with the preparation of appropriate written and illustrated reports. Once again, certain information thrown-up during analysis and interpretation of the results may force alterations to the revised Project Design. However, scope for minor variations should generally be contained within the provisions of the document.

Phase 5: Dissemination of the Results

Once the analysis and interpretation is complete and any reports are at editorial stage, the final phase of the project will be dissemination of the results and deposition of the archives. Dissemination can result in a number of different types of publication, from major academic reports to Popular guidebooks. The project archive will comprise the full range of records generated, from earliest assessment through the fieldwork stage to the post-fieldwork analysis, together with the finds.

It is recommended that the ownership of all records and finds should normally vest in the cathedral chapter, and that copyright in all records relating to an archaeological project should vest jointly in the cathedral chapter and the archaeological contractor. However, all records and finds should be store together in an appropriate archive and archaeological store, which should be agreed upon the initial Project Design (an appropriate store will be one that meets the relevant standards laid down by the Royal Commission on Historical Manuscripts, the Museums and Galleries Commission and the British Standards Institute). Arrangements for deposition must include proper provision for the subsequent curation and conservation of records and finds.

A copy of the final report should be deposited with the National Monuments Record (Archaeology) section of the RCHME, to whom the offer of a copy of the project archive should also be made. Guidance on the indexing, format and microfilm copying of the archive is available from the RCHME National Monuments Record Centre, Kemble Drive, Swindon, SN2 2GZ (telephone 0793 414700).

GLOSSARY OF KEY ARCHAEOLOGICAL TERMS

Appraisal: the most basic level of investigation, being merely a rapid overview of a proposal to determine whether or not there is likely to be an archaeological element. If there is, it will then be necessary to advance through further stages in order to determine the archaeological importance of the areas to be affected.

Assessment: an essentially desk-based review of all existing archaeological information relating to the area under consideration. There may in addition, however, be a limited non-intrusive fieldwork component. The information gained at this stage may be adequate to enable recommendations to be made. If not, it will be necessary to undertake a Field Evaluation.

Field Evaluation: this is designed to improve existing information to a level of confidence at which recommendations can be made. It may be either intrusive (such as trial trenching, opening up a small section of wall, or removing plasterwork) or non-intrusive (involving techniques such as geophysical and radar survey). If intrusive work involves the 'disturbance or destruction of archaeological remains' it will require approval from the Commission. Non-intrusive work obviously requires no such approval.

Mitigation Strategy: a strategy to limit the degree of archaeological disturbance, or a programme of archaeological investigation and recording designed to recover information from a site in advance of its destruction (or a combination of the two). The nature of the mitigation strategy will be determined by the importance of the feature and the type of work to be undertaken.

Brief: a document setting out the overall framework of the project (including its research aims and objectives) and indicating the nature of the archaeological work that will be required. This will serve as the basis on which the tendering Organisation can draw up A detailed Project Design.

Project Design: a practical, quantifiable schedule of works, with a detailed definition of objectives, method statement, costing and timetabling. It should be sufficiently detailed to allow the archaeological work to be monitored against it, and should include procedures for handling minor variations to the design. Attention is drawn to the suggested Project Design specification set out in Appendix 2 of MAP2, and it is recommended that in general a similar format should be followed. At the same time, the Project Design should always be commensurate in scale and detail with the archaeological work actually proposed.

Post-Fieldwork Assessment: a critical review of the data obtained during fieldwork, to assess its potential for further detailed analysis and interpretation. This review will take place against the research objectives defined in the Project Design at the outset, but the new data itself may require a revision of the objectives. This will enable the archaeological contractor, in consultation with the Cathedral Archaeological Consultant, to bring forward detailed recommendations for Post-Fieldwork analysis in a revised Project Design.

Dissemination: this involves both publication of the results and deposition (in an appropriate archive or archaeological store) of the Project Archive. Publication can take a number of forms, and may include major academic reports, articles in national or regional journals, and popular guidebooks.

Project Archive: this comprises the full range of records generated during the course of a project, from earliest assessment through the fieldwork stage to the post-fieldwork analysis, together with the finds.

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SUMMARY OF PROCEDURES

1 ARCHAEOLOGICAL PROJECT PLANNING

1.1 CONSULTATION

Administrative body to consult with relevant professional advisors and other interested bodies. Cathedral Archaeological Consultant (CAC) to undertake initial Appraisal.

1.2 EVALUATION

i) **Assessment**

To be undertaken by CAC. If further information is required, proceed to ii) below:

ii) **Field Evaluation**

CAC to prepare and implement project Design, or to prepare a Brief if the work is to be contracted out. Where intrusive fieldwork is to involve 'the disturbance or destruction of archaeological remains' an application to the Commission must be made. Scheduled Monument Consent will be necessary in the case of a Scheduled Ancient Monument.

1.3 STRATEGY FORMULATION

In the light of the Evaluation, CAC to advise administrative body on appropriate level of mitigation. The advice of any interested bodies (eg: CFCE, FAC, English Heritage, local planning authority) should also be sought at this stage.

Administrative body to submit an application to the Commission, including the results of the Evaluation, with a proposed archaeological mitigation strategy.

1.4 APPROVAL BY THE COMMISSION OR FAC

Approval by the Commission may be absolute, or conditional upon the submission of further documentation (eg. project Design). Having obtained approval from the Commission, the administrative body should, where necessary, submit any applications for planning consent or Scheduled Monument Consent.

1.5 DETAILED PROJECT DESIGN AND TENDERING

CAC to prepare either a Project Design (if he/she is to undertake the work) or a Brief (if the work is to be contracted out). Final project Design to be agreed with the relevant authorising agencies (CFCE, FAC, local planning authority).

ARCHAEOLOGICAL PROJECT IMPLEMENTATION

2. FIELDWORK

Project Design to be implemented in accordance with any relevant conditions. Any major variations to the initial Project Design occasioned by unexpected discoveries to be submitted for approval by the Commission.

3. POST-FIELDWORK ASSESSMENT

Archaeological Contractor to carry out assessment and to agree with CAC a revised Project Design for the post-fieldwork stage. Administrative body to submit this to the Commission or FAC for approval.

4. POST-FIELDWORK ANALYSIS AND REPORT PREPARATION

Revised Project Design to be implemented.

5. DESSEMINATION OF THE RESULTS

Report to be produced, and all records and finds to be deposited in an appropriate archaeological store. Duplicate copy of final report to be sent to the National Monuments Record.