

**WEST of SCOTLAND
ARCHAEOLOGY
SERVICE**



**West of Scotland Archaeology Service
Procedural Guidance for Archaeology and Development**

Contents	Page
1 Introduction	1
2 The Purpose of the Procedural Guidance	3
3 National Policy for Archaeology	4
4 The West of Scotland Sites and Monuments Record	6
5 The Archaeological Development Management Process: Pre-Application and Application Consideration Stages	7
6 The Archaeological Development Management Process: Post-Consent Stage	13
Bibliography, Contacts, and Online Sources	20
Annex A Standard Planning Conditions for Archaeology	23
Annex B Standard Conditions for Archaeological Fieldwork	25

1 Introduction

- 1.1 Archaeological remains are a finite environmental resource, which cannot be regenerated once destroyed. There is also considerable public interest in archaeological sites and in the archaeological process (excavation) by which evidence of the past is discovered. National planning policy (Scottish Planning Policy (SPP) 23) states that

“government policy is to protect and preserve non-designated, other historic environment interests, in situ wherever feasible and, as such, they are material considerations in the planning process. Where, in the case of archaeological sites, this proves impossible, planning authorities should ensure that procedures are in place in order that appropriate excavation, recording, analysis, publication and archiving is undertaken before and/or during development”.

- 1.2 To meet the requirements of this national policy local authorities in Scotland ensure that their Local Development Plans contain appropriate archaeological policies to protect archaeological sites, and they also ensure through the process of considering planning applications that archaeological remains are appropriately considered, taking advice from their own in-house, or specially retained, professional archaeologists as required. These advisers are known as local authority archaeological curators.
- 1.3 Eleven local authorities together fund the West of Scotland Archaeology Service (WoSAS), a joint archaeological curatorial service providing archaeological advice within the planning process to its Member Councils. The eleven member Councils of WoSAS are as follows:

Argyll & Bute Council
East Ayrshire Council
East Renfrewshire Council
Glasgow City Council
Inverclyde Council
North Ayrshire Council
Renfrewshire Council
South Ayrshire Council
South Lanarkshire Council
West Dunbartonshire Council
West Lothian Council.

An elected member from each Council serves on the West of Scotland Archaeology Service Joint Committee, which was set up under Minute of Agreement in accordance with Sections 56 and 57 of the Local Government (Scotland) Act 1973. The Member Councils have agreed to protect and further their respective planning-related archaeological interests, to further co-operation in the protection and monitoring of the archaeological resource, and to strive for

uniform compliance with the requirements of all relevant legislation and Central Government guidance (West of Scotland Archaeology Service Minute of Agreement, Clause 3, 13 March 1997).

- 1.4 WoSAS provides advice to its Member Councils under the terms of a Committee approved Service Level Agreement, reporting to a Steering Group of Senior Planning Officers, and also to the Joint Committee of elected representatives.
- 1.5 At its meeting on 3 April 2009 the West of Scotland Archaeology Service Joint Committee approved the West of Scotland Archaeology Service Procedural Guidance for Archaeology and Development for general application across the 11 WoSAS Member Councils.

2 The Purpose of the Procedural Guidance

- 2.1 The Member Councils' Local Development Plans establish the basis for efficient and consistent decision-making in respect of development proposals. This Procedural Guidance provides additional detailed information on the standard procedures adopted by all of the WoSAS Member Councils to handle applications for planning consent which have been identified as raising archaeological issues. It sets out the range of processes which may be followed by the Member Councils for assessing and determining such applications; for controlling archaeological work when consent has been granted with archaeological conditions; and the role of WoSAS in advising the Member Councils throughout the development management process. The Procedural Guidance has been produced primarily to assist applicants, their agents, prospective developers, and the public in understanding the different stages of the archaeology and development process.
- 2.2 This Procedural Guidance is applicable to all archaeological sites and landscapes both above and below ground; unlisted historic buildings or other built structures; designed gardens, cemeteries, or landscapes; battlefield or skirmish sites; and sites with historical or cultural associations. It contains specific information on different archaeological and planning responses which may arise during the development management process. It
- emphasises the need for a high level of specialist understanding in assessing the archaeological potential of any development site, thereby minimising the risk of unexpected discoveries and reducing associated costs
 - gives guidance to applicants and developers on the likely archaeological works that will be expected of them in the light of accumulated archaeological information throughout the area of the WoSAS Member Councils
 - assists applicants, developers, property owners, their agents and advisers by setting out and explaining the procedures which the WoSAS Member Councils expect to be followed
 - promotes archaeological remains as a positive contributor to the economic well being of the area of the WoSAS Member Councils.

3 National Policy for Archaeology

Scheduled Monuments

- 3.1 Monuments, which are deemed to be of national significance, are Scheduled under the Ancient Monuments and Archaeological Areas Act 1979. Under this Act, the First Minister has a duty to maintain a Schedule of Ancient Monuments in accordance with a published set of criteria (for information on the criteria see Historic Scotland Scottish Historic Environment Policy (SHEP) October 2008). It is a criminal offence to carry out works affecting a Scheduled Monument without first obtaining prior written consent, known as Scheduled Monument Consent, from the Scottish Ministers. Scheduled Monuments are administered by Historic Scotland on behalf of the Scottish Ministers and information on the locations and extents of Scheduled Monuments may be found on the Scottish Ministers' *Pastmap* web site at: <http://jura.rcahms.gov.uk/PASTMAP/start.jsp>
- 3.2 Where both Scheduled Monument Consent and planning consent are required for a proposed development, the former consent procedure takes precedence. Even where planning consent has been granted for a development, a refusal of Scheduled Monument Consent means that development on a Scheduled Monument cannot legally take place. Where both Scheduled Monument Consent and planning consent have been granted for a proposed development, but archaeological work is required before development can proceed, this will be covered by conditions attached to the Scheduled Monument Consent issued by the Scottish Ministers. The conditions are not normally duplicated in any conditions attached to the planning consent. The implementation of conditions attached to Scheduled Monument Consent is administered by Historic Scotland (for further details about Scheduled Monument Consent procedures see Historic Scotland SHEP October 2008).
- 3.3 Where a proposed development will affect a Scheduled Monument local authorities must consult Historic Scotland. The requirement for Historic Scotland consultation is set out in Para 15 (j) (v) of the Town and Country Planning (General Development Procedure) (Scotland) Order 1992 as amended by Para 5 (e) of the Town and Country Planning (General Development Procedure) (Scotland) Amendment (No.2) Order 1994, and as set out in the notification requirements of the Town and Country Planning (Notification of Applications) (Scotland) Direction 1997. A consultation is required not only in cases where there would be development within a Scheduled area, but also where any proposed development might affect the setting of a Scheduled Monument. It is considered particularly important that the integrity of the settings of Scheduled Monuments be safeguarded. As developments which create setting impacts are normally located outside the legally Scheduled area, it falls to the local authorities under their planning powers to assess and determine setting impacts.

- 3.4 Developers are advised to undertake early consultation with Historic Scotland where a Scheduled site is involved. It should also be noted that not all nationally important remains which merit Scheduling are yet Scheduled, and, as new sites continue to be identified, further sites may prove worthy of Scheduling in the future.

Unscheduled Archaeology

- 3.5 Scheduled Ancient Monuments represent only a small proportion of the national archaeological resource and there are many archaeological sites, landscapes, features, and deposits which do not meet the criteria for national importance, but which are considered instead to be of regional or local significance. The West of Scotland Sites and Monuments Record, which covers all of the area of the eleven WoSAS Member Councils, includes up to date information on known archaeological sites, finds, and events (see section 4 below). WoSAS also has extensive knowledge and experience of assessing and predicting where unrecorded, buried archaeological features may be expected to be found.
- 3.6 Modern construction methods can mean the total or extensive removal of sensitive archaeological deposits and features which, once lost, are irretrievable. National policy for unscheduled archaeology is set out in Historic Scotland SHEP October 2008 and in SPP 23. The principle of the policy is that the archaeological resource should be preserved as far as possible in the state in which it has come down to us, and should be passed on to future generations without further change or loss of evidence. Conservation should involve only the minimum degree of intervention considered necessary to preserve evidence. There are now well-established strategies to ensure that important archaeological assets are not unnecessarily destroyed in the course of development and these are outlined in this guidance.
- 3.7 Unscheduled archaeology has no legal protection at a national level. It is protected instead through the planning system and also through various other regulatory systems connected to agriculture, forestry, and some statutory undertakings. SPP 23 establishes that the national policy for unscheduled archaeological resources is as follows:
- archaeological resources are to be protected and preserve wherever feasible
 - archaeology, along with other historic environment interests, are material considerations in the planning process
 - where the case for preservation of archaeological sites proves impossible, planning authorities are to ensure that procedures are in place in order that appropriate excavation, recording, analysis, publication and archiving is undertaken before and/or during development.

4 The West of Scotland Sites and Monuments Record

4.1 As part of the advice service provided under the Service Level Agreement to its Member Councils, WoSAS maintains a single, computerised, integrated Sites and Monuments Record (SMR) covering the full area of all Member Councils. Potential planning applicants are encouraged to approach WoSAS at an early stage in planning their projects to obtain SMR information and to discuss potential archaeological issues.

4.2 The SMR includes a database, archive, and other geographical information of all known archaeological sites and other sites of historic interest, and also of recent archaeological events, such as excavation. The SMR is kept regularly up to date with any new information as it is received by WoSAS. The SMR can be consulted online as follows:

http://gis.south-ayrshire.gov.uk/wosas/	(map enabled search)
http://www.wosas.net/search.php	(online database search)
http://jura.rcahms.gov.uk/PASTMAP/start.jsp	(map enabled search)

4.3 *Pastmap* is the Scottish Ministers' map enabled query system for Scottish National and Regional Archaeological and Architectural Datasets, including the Scheduled Monument dataset. WoSAS's own map enabled online SMR search is available via South Ayrshire Council's web site and is the WoSAS recommended online source, as it normally gives access to the most up to date information. At present WoSAS updates this web site on a monthly basis.

4.4 These online searches are provided for public information purposes only. They are not suitable for drawing up planning, utility, rural development, or forestry applications without the benefit of specialist archaeological advice. SMR information is subject to regular change and only contains information known at any given point of time. Areas of archaeological potential, where there may be buried archaeology, are difficult to map, but may nonetheless contain very significant archaeological remains. Anyone planning a development or management project should always consult WoSAS directly for its advice, in particular in respect of areas of buried archaeological potential where no archaeological sites are currently recorded. Anyone requiring map information about Scheduled Ancient Monuments is advised to consult Historic Scotland directly for this.

4.5 As well as making online searches available, WoSAS can supply SMR data either digitally, or as paper copies, as required. A charge may be levied for the time taken to provide advice and/or SMR extracts in accordance with the WoSAS approved Access to Information and Charging Policy (see <http://www.wosas.net> for the policy).

5 The Archaeological Development Management Process: Pre-Application and Application Consideration Stages

5.1 The archaeological development management (formerly known as development control) process is set out in detail in the Scottish Government's Planning Advice Note (PAN) 42. The Scottish Government has no plans at present to update this PAN. The sections below set out the process followed by the WoSAS Member Councils in assessing and determining development applications which may affect archaeological resources. It is based on the national advice provided in PAN 42.

Pre-application consultation

5.2 PAN 42 makes clear that it is the responsibility of planning applicants to assess the potential archaeological impacts of their development proposals. It is strongly recommended that applicants seek early advice from WoSAS, before considering the submission of a planning, or where appropriate, a listed building application. Such pre-application consultations and discussions can identify potential archaeological issues at an early stage, thereby ensuring the smooth processing of a planning application by the Member Council, minimising unnecessary and costly delays for the applicant. Member Councils may also seek to include the assessment of archaeological matters in Processing Agreements for the handling of major development applications.

Initial appraisal

5.3 WoSAS makes an initial appraisal of development proposals, when pre-application enquiries are received, or when planning applications are lodged. This initial appraisal includes an assessment of both direct and setting impacts. Weekly lists of planning applications supplied by Member Councils are routinely scanned by WoSAS to identify applications which may raise archaeological issues, whether currently known or potential. In addition WoSAS provides Member Councils with regularly updated archaeological consultation trigger maps, which allow them at an early stage to identify potential issues involving known archaeological sites. These trigger maps do not routinely identify areas of archaeological potential, because of the difficulties of mapping these, hence why monitoring by WoSAS of the weekly list of planning applications also takes place.

5.4 As noted in Section 4 above, at a pre-application enquiry stage WoSAS will on request provide the applicant with extracts of archaeological information from the SMR where this has not been obtained online; appropriate advice on the significance of the information; advice on the potential for the presence of unrecorded, buried archaeology; and full details of further assessment work which should be undertaken by the applicant prior to submission of an application for planning or listed building consent. This may include the need for archaeological

evaluation by trial trenching (see section 5.19 below). If there is no contact from an applicant at a pre-application enquiry stage, WoSAS will provide this information and advice to the Member Council's development management staff after a planning application has been submitted, along with recommendations to the Council for handling the archaeological issue. If further archaeological assessment work (including trial trenching) requires to be undertaken by the applicant before the Member Council decides the application and the applicant has not already done this, this will introduce a delay in the processing of the application, whilst this work takes place. Planning applicants should note that the Council can legally require that such further information be submitted to it, before it processes the application (see Planning Advice Note 42, paragraph 21).

Procedure for Scheduled Ancient Monuments

- 5.5 Where a planning application directly affects a Scheduled Ancient Monument, the Council will consult Historic Scotland. Scheduled Monument Consent may be required, as well as planning consent. Where a planning application affects the setting of a Scheduled Ancient Monument, the Council is also required to consult Historic Scotland (see Section 3 above).

Environmental Impact Assessment

- 5.6 Where a proposed development requires a formal Environmental Impact Assessment, it is normal practice for such an assessment to include a section on predicted impacts on Cultural Heritage, both direct and indirect (that is setting issues), unless this matter has been specifically excluded by the Member Council at the scoping stage as not being relevant following advice from WoSAS. The Cultural Heritage section will normally include an assessment of archaeological sites and landscapes both above and below ground; historic buildings or other built structures, whether listed or not; designed gardens, cemeteries or landscapes; battlefield or skirmish sites; and sites with historical or cultural associations.
- 5.7 The submitted archaeological assessment will include references to the relevant Local Development Plan archaeological planning policies, a gazetteer and maps of all identified archaeological and historic features, an assessment of the significance of predicted impacts, and recommendations for appropriate mitigation. Preparation of the relevant section of the Environmental Statement is usually preceded by an archaeological desk-based assessment (see Section 5.10 below) and a field reconnaissance survey (see Section 5.14 below). In some cases an archaeological evaluation by trial trenching (see Section 5.19 below) may also be required at the Environmental Impact Assessment stage.
- 5.8 Where nationally important archaeological sites would be affected by the proposed development, whether or not they are currently Scheduled, it is normal practice for the Cultural Heritage assessment of the Environmental Statement to include an assessment of the significance of the predicted impacts on the setting

of such sites. There is as yet no published national guidance for this assessment procedure. Historic Scotland, as a statutory consultee in the Environmental Assessment process, normally issues on a case by case basis its own guidance in respect of the expected scope of a setting assessment in relation to a Scheduled Monument. Where archaeological sites of national significance, but which are not currently scheduled, would be affected, WoSAS on behalf of the Member Council will issue on a case by case basis guidance on the scope of the required setting assessment. The WoSAS guidance will normally specify that a landscape architect, as well as a professional archaeological consultant, should be involved in formulating the necessary setting assessment, and that there will be a requirement for visual representations of predicted impacts in the form either of wireframes, or in some case photo-montages.

- 5.9 In cases where no formal Environmental Impact Assessment is required in respect of a planning application, but there is still a potential setting impact for a nationally important archaeological site, whether Scheduled or not, WoSAS may recommend to the Member Council that the applicant be asked to provide an appropriate assessment undertaken by a landscape architect and professional archaeological consultant, before the Council considers the application.

Archaeological desk-based assessment (DBA)

- 5.10 Where initial appraisal suggests that the proposed development may have archaeological potential, WoSAS may request that an archaeological desk-based assessment (DBA) is carried out by the applicant. This will happen where WoSAS considers that there is insufficient desk-based information available in the SMR and more information could be obtained from readily available documentary sources.
- 5.11 In general such a study will consist of a check of all relevant archaeological/historical records, maps and aerial photographs. The following sources should be checked as a minimum:
- the Sites and Monuments Record (SMR)
 - the National Monuments Record of Scotland (NMRS)
 - Historic Scotland's (HS) databases of listed buildings, Scheduled Ancient Monuments and monuments proposed for scheduling.
 - Historic Land Use Assessment Data for Scotland
 - the Inventory of Gardens and Designed Landscapes in Scotland.
 - relevant Development Plan policies.
 - vertical stereo aerial photographic coverage held by the RCAHMS
 - Ordnance Survey map coverage from 1850 onwards, and any other readily available early cartographic sources held at the National Library of Scotland Map Library. Many of these are online at <http://www.nls.uk/maps/index.html>
 - bibliographic references and early parish accounts.
 - locally held archives where appropriate

- previous geotechnical records, where appropriate and available, such as engineering boreholes and test pits.
- 5.12 Archaeological agents working for prospective developers should note that it is not sufficient to rely on online databases to obtain information for DBAs, as the information is subject to regular change and areas of archaeological potential are difficult to map. Contact should be made with the SMR, Historic Scotland, and/or the RCAHMS as appropriate to ensure that the most up to date information is being used.
- 5.13 In all cases, DBAs must be carried out by professionally qualified and experienced archaeologists, with expertise in the collection and analysis of information from documentary sources. All DBAs must be undertaken in accordance with established guidelines and best practice, as set out by the Institute for Archaeologists in the Standard and Guidance for archaeological desk-based Assessment (IFA, 1994, revised 2001 and 2008).

Field Reconnaissance Survey (also known as a Walk Over Survey)

- 5.14 For some development proposals WoSAS may require a walk over survey by a professionally qualified and experienced archaeologist(s) in addition to a DBA. The purpose of the field reconnaissance survey is to identify and assess on the ground features of cultural heritage interest which have been detected in the DBA; to record any further features of cultural heritage interest not already identified in documentary sources; and to identify areas of potential for buried archaeology. Field reconnaissance is particularly required where larger scale developments are proposed in rural areas, where there has been little prior archaeological survey. It is important that a field reconnaissance survey be conducted across the whole area of the proposed development, in order to assess the presence/absence, character, extent, and condition of all upstanding cultural heritage sites, monuments and landscape features and the potential for buried archaeology. It is also important that such a survey is conducted at an appropriate time of the year in areas where cultural heritage features could be obscured by bracken overgrowth. An allowance of an appropriate timescale for the field reconnaissance survey to take place may therefore need to be integrated into forward planning for proposed development projects. ‘Cultural heritage features’ in this context means individual archaeological sites above and below ground; historic buildings or other built structures, whether listed or not; designed gardens, cemeteries or landscapes; battlefield or skirmish sites; and sites with historical or cultural associations.
- 5.15 All individual features identified in the field reconnaissance survey should be recorded, photographed and sketched. All features should be marked on a plan, at a relevant scale, keyed by means of Grid References to Ordnance Survey mapping. All individual features should also be described in a gazetteer to accompany plan/maps.

- 5.16 Occasionally WoSAS may specify that there should be a formal field walking survey of ploughed fields to identify the presence of flints and other finds, which can frequently be an identifier for the presence of an unrecorded, buried archaeological site. An allowance of an appropriate timescale for the field reconnaissance survey to take place may need to be integrated into the forward planning for proposed development projects, especially in rural areas where this field walk survey may need to be tied to ploughing seasons.
- 5.17 In all cases, field reconnaissance surveys must be carried out by professionally qualified and experienced archaeologists, with expertise in this type of work.

Geophysical Prospection

- 5.18 Geophysical prospection is a recognised archaeological method for predicting the presence or absence of archaeological remains, but the various techniques do not produce good results in the igneous rocks and parent materials of the west of Scotland. This type of archaeological prospection will therefore rarely be specified by WoSAS as a suitable prediction tool to assess the archaeological impacts of prospective development. In all cases where an applicant has opted voluntarily to carry out a geoprospective survey, he will be asked by WoSAS to carry out a sample trial trench evaluation (see section 5.19 below) to validate the geophysical results.

Archaeological Evaluation

- 5.19 An archaeological field evaluation by sample trial trenching may be recommended by WoSAS at either a pre-application stage where an approach has been made to WoSAS for advice by a prospective developer or his agent; prior to determination of a planning application by the Member Council where there has not been a pre-application approach to WoSAS; or in some cases it may be required as part of an archaeological mitigation strategy, after conditional planning consent has been granted, but where no prior evaluation has taken place. Evaluations are typically requested by WoSAS for large greenfield developments, even where there is no surface evidence for the presence of archaeological remains. By their nature archaeological remains normally exist at a non-visible, sub-surface level, and the larger the development footprint, the greater the possibility of encountering such buried remains. Evaluations will sometimes also be required for smaller development sites in archaeologically sensitive areas identified by WoSAS, where there is a high probability of encountering buried archaeological remains. WoSAS can provide advice on a case by case basis on the probability of there being such buried remains.
- 5.20 An evaluation is an invasive examination of the prospective development area to establish the presence/absence, extent, character, and significance of its archaeological potential. An evaluation is distinct from a full-scale archaeological excavation, in that only sufficient archaeological examination is carried out to

characterise any archaeology which may be present. It is usually therefore a fairly inexpensive operation, when compared with full-scale excavation. Typically WoSAS will specify that a 5-10% sample of the development area be trial trenched, although this size of sample may increase in certain highly sensitive areas. In small scale urban sites a percentage level of trenching may be inappropriate and WoSAS may instead specify trenches of a specific size and layout to characterise the archaeological potential of the site.

- 5.21 All evaluation will normally be monitored by WoSAS on behalf of the Member Council. Sufficient notice of the commencement of the evaluation requires to be provided to WoSAS, along with the name of the archaeological organisation which will be carrying out the evaluation. Typically two weeks notice is required.
- 5.22 In all cases, field evaluations must be carried out by professionally qualified and experienced archaeological organisations or individuals. The work will be expected to conform to national standards as set out by the Institute for Archaeologists in Standards and Guidance for archaeological field evaluation (IFA, 1994, revised 2001 and 2008).

Determination of Applications

- 5.23 On receipt of the results of a field evaluation or the results of any other assessment from an applicant's own archaeological consultant, or any assessment made by WoSAS itself, WoSAS will provide appropriate advice to the Member Council on the contents of any reports or assessments, including a recommendation on the appropriate action to be taken in respect of any archaeological remains either known, or suspected to exist, on site. This may include:
- a recommendation of refusal of the application to protect archaeological remains *in situ* in keeping with national and Local Development Plan policies, including protection of their setting
 - a recommendation of avoidance of significant remains through the design and layout of the development
 - a recommendation of attachment to the planning consent of a condition or conditions, or a Section 75 Agreement, to secure specific archaeological mitigation, to take place normally before development, including fencing to protect archaeological sites, full archaeological excavation, standing buildings recording, archaeological watching briefs, and any other action as may be appropriate.
- 5.24 The decision on the application is taken by the Member Council taking into account all of the relevant information before it, including any archaeological information provided by the applicant and the advice provided by WoSAS.

6 The Archaeological Development Management Process: Post-Consent Stage

Archaeological Mitigation

6.1 Archaeological mitigation is only required after a decision has been taken on a planning application. It may be secured by attachment of an appropriately worded condition or conditions to a planning or listed building consent, or by a Section 75 agreement. The standard archaeological conditions which WoSAS recommends to its Member Councils for attachment to a planning consent are set out in Annex A. These are based on the model conditions contained in Planning Advice Note 42, but have been modified to bring them up to date with current practice. There is a range of archaeological mitigation options open to the Member Council (described below). The selection of the most appropriate mitigation option is made by the Member Council, taking into account the Local Development Plan archaeological policies, the significance of the archaeological site(s) as advised by WoSAS, the most appropriate archaeological condition as recommended by WoSAS, and any other factors it considers to be relevant.

Preservation *in situ* of archaeological remains

6.2 There are several ways by which this can be achieved:

- by refusal of the planning application
- by avoidance of the area containing the archaeological remains, during both construction and operation, usually by fencing
- by design of the development layout to exclude the remains
- by design of foundations to preserve the remains under development.

6.3 Where archaeological remains have not been excluded from the development layout by the applicant, but are to be preserved *in situ* within it after planning consent has been granted, the Member Council may require the following by condition:

- that such remains are fenced temporarily to protect them during development
- fenced permanently to protect them during operation of the site
- included in managed open space subject to an appropriate management regime
- covered by a geotextile and depth of suitable material to protect them during operation of the site.

- 6.4 In some cases it may be possible to avoid damaging archaeological remains by careful design of foundations, for example, in the case of small scale development, by use of a raft foundation instead of strip foundations. For larger scale developments in urban areas different piling systems in various configurations can help to minimise damage to buried archaeological features and deposits. By reducing the depth of ground beams and pile caps, possibly by incorporating the pile cap into the structural floor slab, unnecessary disturbance of important archaeological features can also be minimised.

Archaeological Recording

- 6.5 In many cases it may be more appropriate to secure a programme of archaeological recording, rather than preservation of archaeological remains *in situ*. The Member Council will take the decision whether to require archaeological recording rather than preservation *in situ* of archaeological remains, by reference to national and Local Development Plan policies; the results of any desk-based assessment, walk over survey and field evaluation supplied by the applicant; and the curatorial advice supplied to the Member Council by WoSAS.
- 6.6 All archaeological recording will require to conform to a Method Statement, a Project Design, or a formal Written Scheme of Investigation (WSI) (the condition attached to the planning consent will specify which of these is appropriate), which has been agreed by WoSAS, and approved by the Member Council, before any archaeological recording work can commence on site.
- 6.7 All archaeological recording work must be carried out by professionally qualified and experienced archaeologists with proven expertise in the type of archaeological recording work required and will be expected to conform to national standards as set out by the Institute for Archaeologists (see section 7 below for references and the Standards and Guidance may also be found on the Institute for Archaeologists web site at <http://www.archaeologists.net>).
- 6.8 Archaeological recording can take several forms. These are described in detail below.

Archaeological Excavation

- 6.9 Archaeological excavation can be relatively time-consuming – the larger excavations can take many months of both on-site and off-site work – and may be expensive. Formal large-scale excavations are however relatively rare in respect of prospective development, as many developers are required by policy to preserve archaeological remains *in situ*, or they may voluntarily opt to do so, rather than bear the costs of archaeological excavation. Where large scale archaeological excavation cannot be avoided, whilst allowing development to proceed, developers should remember that archaeological excavations normally reveal a wealth of hitherto unknown information and usually attract a great deal of

- local, and sometimes national, media and public attention. There may therefore be substantial public relations benefits to be gained for developers from large scale archaeological excavations. WoSAS will identify to developers where opportunities exist for such publicity and will encourage developers to consider the benefits of making their archaeological results available via public open days at excavation sites, talks by their own archaeologists, or web and other publication.
- 6.8 All archaeological excavation required by a condition attached to a planning consent, or by a Section 75 Agreement, will conform to a Written Scheme of Investigation (WSI), usually compiled by the developer's appointed archaeological contractor or consultant, which has been agreed in writing by WoSAS and approved by the Member Council before excavation commences. The WSI normally commits the developer, or whoever is funding the excavation work, to a timetable and the full costs of a range of archaeological work, including excavation, post-excavation analysis, and where appropriate, the publication of the results. The Member Council may also require that there is a programme of public information to be associated with the excavation, where this is deemed by the Council to be appropriate. Where large scale excavations are necessary over a longer timetable, there may require to be Addenda to the original WSI in the form of detailed Project Designs drawn up as the project proceeds. These too must be agreed with WoSAS before any work covered by the Project Design(s) can proceed on site. The formal approval of the Member Council is not usually necessary to any such Addenda documents, once it has given its approval to the original WSI.
- 6.9 A programme of post-excavation analysis, leading to publication in an agreed format, will usually require the involvement of a number of external specialists in such areas as the analysis of preserved plant remains, the study of waterlogged wood, and the study of ceramics and animal bone. The post-excavation phase of the programme of works can be time consuming and, in the case of large-scale excavations, it may be several years before the results are ready for publication. The programme of archaeological work required by the WSI will not normally be considered by the Member Council to have been completed until all post-excavation analysis has been finished, a publication-ready report has been prepared, the full written excavation archive has been submitted to the National Monuments Record of Scotland, and the excavation finds have been declared to the Treasure Trove Panel. The Member Council will therefore not normally discharge any condition attached to a planning consent which requires a programme of archaeological work governed by a WSI, until it has received proof that these latter stages of the programme have been secured by contract or other legal commission. It is normal practice however for the Member Council to allow development to proceed on site once the fieldwork stages of the necessary archaeological investigation have been completed, pending completion of post-excavation assessment and reporting.

- 6.10 All archaeological excavation will be monitored by WoSAS on behalf of the Member Council and arrangements to facilitate this will be set out in the approved WSI.
- 6.11 All archaeological excavation will conform to the WoSAS standard conditions for fieldwork (see Annex B).
- 6.12 All archaeological excavation must be carried out by professionally qualified and experienced archaeological organisations or individuals. The work will be expected to conform to national standards as set out by the Institute for Archaeologists in Standards and Guidance for archaeological excavation (IFA, 1995, revised 2001 and 2008)

Standing Building or Structure Recording

- 6.13 Where the Council has granted consent with a standing building recording condition, any required recording specified by WoSAS will be commensurate to the scale of the proposed alteration or demolition. WoSAS will set out as required a brief for the standing building recording work, drawing as appropriate on the contents of best practice guides for such work, produced by the Royal Commission on the Ancient and Historic Monuments of Scotland and the former Royal Commission on the Historic Monuments of England (now part of English Heritage). Additional advice has been published by the Association of Local Government Archaeological Officers (ALGAO) on the process involved in assessing proposals for the alteration and repair of historic structures at <http://www.algao.org.uk/Publications/Analysis&Rec.htm>.
- 6.14 Standing building, or structure, recording will typically be required by the Member Council in respect of unlisted buildings or structures of historic interest, where WoSAS has advised the Member Council that such a record is warranted, either because of the apparent age of the building or structure, or because it has unusual features, or because it is a type of historic site for which there is little current information. Less typically the Member Council may require that recording is undertaken for listed buildings or structures, if it appears that the normal recording to be undertaken by the RCAHMS will be insufficiently detailed, or where the Member Council's conservation officer has requested that additional recording be undertaken.
- 6.15 The methodology for recording the building must be set out in a Method Statement compiled by the organisation or individual carrying out the recording work, agreed in writing by WoSAS, and approved by the Member Council before recording work commences.
- 6.16 Most of the required recording work may be done during the process of refurbishment or demolition, so appropriate downtime shall require to be allowed by the developer for the standing building recording to take place.

- 6.17 All standing building or structure recording must be carried out by professionally qualified and experienced archaeological organisations or individuals with specific experience in the recording of historic buildings. The work will be expected to conform to national standards as set out by the Institute for Archaeologists in Standards and Guidance for the archaeological investigation and recording of standing buildings or structures (IFA, 1996, revised 2001 and 2008).

Archaeological watching brief

- 6.18 In some cases a pre-application assessment, or appraisal by WoSAS may suggest that important archaeological remains are less likely to be present on site, but that there is nonetheless still a requirement for the presence of an archaeologist during ground disturbance to monitor ground conditions and record any unexpected finds, deposits, or structures. In these cases WoSAS will recommend to the Member Council that they attach an archaeological watching brief condition to planning consent. Archaeological watching briefs are a low key and relatively inexpensive exercise. A watching brief will never be specified by WoSAS where significant archaeological remains are suspected to be present, as in that eventuality it is not an appropriate archaeological methodology for the scale of the required recording task.
- 6.19 Watching briefs are normally carried out in such a way as to minimise unnecessary delay to the development programme. Typically one hour of machine downtime per feature, artefact, or deposit must be allowed for archaeological recording, but in practice, recording will take less time than this and can sometimes be fitted around machine activity on site. Where there are complex archaeological features (this is rare under a specified watching brief – see 6.18 above), there will require to be longer downtime whilst a Project Design for recording the unexpected find is drawn up and executed. These downtimes will be specified clearly in the Method Statement which will require to be agreed in writing by the WoSAS and approved by the Member Council, before development and the accompanying watching brief can commence.
- 6.20 Sufficient notice of the commencement of development, and thus the start of any archaeological watching brief, must be given to WoSAS, along with the name of the archaeological organisation which will be carrying out the watching brief. Typically two weeks notice is required.
- 6.21 The results of a watching brief must be published in full. While many watching briefs may merit at best a short note in a local archaeological journal or Discovery and Excavation in Scotland, occasionally the work may be of greater importance and a longer report, in a suitable publicly accessible format, may be required. This will be specified in the Method Statement to be agreed by WoSAS and approved by the Member Council.

- 6.22 All archaeological watching briefs must be carried out by professionally qualified and experienced archaeological organisations or individuals with specific experience in this methodology. The work will be expected to conform to national standards as set out by the Institute for Archaeologists in Standard and Guidance for an archaeological watching brief (IFA 1994, revised 2001 and 2008)

Dissemination of Archaeological Information

- 6.23 All of the archaeological recording processes described above include appropriate reporting and publications as required. These publications are normally academic archaeological reports and academic Journal publications required by the archaeological profession. In some cases the Member Council may require a wider dissemination of information to the public, including excavation open days, web site, lectures to interested groups, and publicly accessible reports, all to be provided by the developer. Where the archaeological significance of the site warrants such an approach, the Council will secure appropriate public dissemination of information by attachment of condition(s) to planning consent, or by inclusion of appropriate clauses in a Section 75 agreement. This requirement is only likely to be imposed where there will be major archaeological excavation, returning significant amounts of visible archaeological material which can be readily understood by the public.

Monitoring of Archaeological Recording Works

- 6.24 WoSAS will seek to monitor all archaeological fieldwork taking place in the areas of the Member Councils. The purpose of monitoring is to ensure that archaeological mitigation strategies required by planning condition, or Section 75 Agreement, are being fully and effectively implemented. For major development sites with complex archaeology the Member Council may require the developer to fund such monitoring by attachment of an appropriate planning condition or by inclusion within a Section 75 agreement.

Finding an Archaeological Contractor

- 6.25 All archaeological work required as a result of conditions attached to a planning consent in the WoSAS area must be carried out by a competent professional archaeological organisation or individual to meet the standards of the Institute for Archaeologists. It is up to applicants and developers to satisfy themselves about the competencies of their chosen archaeological contractor. WoSAS does not hold a list of approved archaeological contractors or individuals. These contractors or individuals may be found by reference to the Institute for Archaeologists, the Yellow Pages, or the informal list which WoSAS provides from time to time and which is posted on the WoSAS web site at <http://www.wosas.net>.

6.26 The WoSAS informal list consists of those archaeological contractors or individuals who wish to undertake work in the West of Scotland Archaeology Service area, and who have asked to have their details provided by WoSAS to enquirers. Any contractor or individual is at liberty to ask for their contact details to be included on the informal list at any time, and no vetting procedure for inclusion on the list is in place. Neither WoSAS, nor its Member Councils can vouch for the quality of services provided by the bodies or individuals on the WoSAS informal list, nor will they accept responsibility for the actions or omissions of those listed.

Bibliography

Primary Legislation

Ancient Monuments and Archaeological Areas Act 1979

Planning Scotland Act 2006

Circulars

5/1992 The Town and Country Planning (General Permitted Development)(Scotland) Order 1992

6/1992 The Town and Country Planning (General Development Procedure)(Scotland) Order 1992

Town and Country Planning (Notification of Applications) (Scotland) Direction 1997

4/1998 The Use of Conditions in Planning Permissions

National Planning Policy Guidelines

Scottish Planning Policy 23 Planning and the Historic Environment 2008

Planning Advice Notes

PAN 42 Archaeology – the Planning Process and Scheduled Monument Procedures 1994

PAN 52 Planning in Small Towns 1997

Scottish Historic Environment Policy

Historic Scotland Scottish Historic Environment Policy 2008

Standards and Guidance

Association of Local Government Archaeological Officers

Analysis and Recording for the Conservation and Control of Works to Historic Buildings

Advice to Local Authorities and Applicants 1997

Historic Scotland

The Treatment of Human Remains in Archaeology 1997

Managing Scotland's Archaeological Heritage 1997

Scheduled Ancient Monuments, a Guide for Owners, Occupiers and Land Managers
Historic Scotland 1999

The Conservation of Architectural Ancient Monuments in Scotland – Guidance on
Principles 2001

Non Destructive Investigation of Standing Structures Technical Advice Note 23 2001

Development and Archaeology in Historic Towns and Cities Technical Advice Note 27
2004

Measured Survey and Building Recording for Historic Buildings and Structures
Practitioners Guide 4 2004

Carved Stones: Scottish Executive Policy and Guidance 2005

Historic Scotland/RCAHMS

Historic Land-use Assessment: Development and Potential of a technique for Assessing
Land-use Patterns 1999

Institute for Archaeologists

Standard and Guidance for archaeological desk-based assessment 1994 (revised 2001 and 2008)

Standard and Guidance for archaeological field evaluation 1994 (revised 2001 and 2008)

Standard and Guidance for an archaeological watching brief 1994 (revised 2001 and 2008)

Standard and Guidance for archaeological excavation 1995 (revised 2001 and 2008)

Standard and Guidance for the archaeological investigation and recording of standing buildings and structures 1996 (revised 2001 and 2008)

Royal Commission on the Historical Monuments of England

Recording Historic Buildings: a Descriptive Specification (Third Edition) 1996

Scottish Government Development Department Planning Division

Pilot Model Policy Study Conclusion and Next Steps 2006

Contacts

West of Scotland Archaeology Service

Charing Cross Complex

20 India Street

Glasgow G2 4PF

Tel: 0141 287 8332-3/ 0141 287 8334

Fax: 0141 287 9529

E-mail: enquiries@wosas.glasgow.gov.uk

Web sites: <http://www.wosas.net/>

<http://gis.south-ayrshire.gov.uk/wosas/Default.aspx>

Historic Scotland

Longmore House

Salisbury Place

Edinburgh EH9 1SH

Tel: 0131 668 8600

Fax: 0131 668 8765

Web site: www.historic-scotland.gov.uk

Institute of Field Archaeologists

SHES Whiteknights University of Reading

PO Box 227 Reading

RG6 6AB

Tel: 0118 378 6446

Fax: 0118 378 6448

E-mail: admin@archaeologists.net

Website: www.archaeologists.net

Institute of Historic Building Conservation:

Jubilee House

High Street
Tisbury
Wiltshire SP3 6HA
Tel 01747 873133
Fax 01747 871718
Email: admin@ihbc.org.uk
Website: www.ihbc.org.uk

Association of Local Government Archaeological Officers:
Tel: 019755 64071
Email: algao.cji@btinternet.com
Website: www.algao.org.uk

Online sources of archaeological information

Sites and Monuments Record: <http://www.wosas.net/search.php> (online database search)
<http://jura.rcahms.gov.uk/PASTMAP/start.jsp> (map based search)
<http://gis.south-ayrshire.gov.uk/wosas/> (map based search)

Pastmap: <http://jura.rcahms.gov.uk/PASTMAP/start.jsp>

RCAHMS Canmore and Historic Land Use Assessment mapping applications:
<http://www.rcahms.gov.uk>

National Map Library of Scotland (historical mapping):
<http://www.nls.uk/maps/index.html>

Annex A

Standard planning conditions for archaeology recommended by WoSAS to Member Councils

Negative suspensive condition (based on para 34 of PAN 42)

No development shall take place within the development site as outlined in red on the approved plan until the developer has secured the implementation of a programme of archaeological works in accordance with a written scheme of investigation which has been submitted by the applicant, agreed by the West of Scotland Archaeology Service, and approved by the Planning Authority. Thereafter the developer shall ensure that the programme of archaeological works is fully implemented and that all recording and recovery of archaeological resources within the development site is undertaken to the satisfaction of the Planning Authority in agreement with the West of Scotland Archaeology Service.

Watching brief condition (based on para 35 of PAN 42)

The developer shall secure the implementation of an archaeological watching brief, to be carried out by an archaeological organisation acceptable to the Planning Authority, during all ground disturbance. The retained archaeological organisation shall be afforded access at all reasonable times and allowed to record, recover and report items of interest and finds. A method statement for the watching brief will be submitted by the applicant, agreed by the West of Scotland Archaeology Service, and approved by the Planning Authority prior to commencement of the watching brief. The name of the archaeological organisation retained by the developer shall be given to the Planning Authority and to the West of Scotland Archaeology Service in writing not less than 14 days before development commences.

Fencing condition (based on para. 33 of PAN 42)

No development shall take place until fencing has been erected in a manner to be agreed with the Planning Authority, along the line shown in (*selected colour*) on the approved plan; and no works shall take place within the area inside that fencing without the prior agreement of the Planning Authority.

Standing buildings survey condition

Prior to development commencing, the developer shall secure the implementation of an archaeological standing building survey of the extant structures, to be carried out by an archaeological organization acceptable to the Planning Authority. The scope of the archaeological standing building survey will be set by the West of Scotland Archaeology Service on behalf of the Planning Authority. The name of the archaeological organization retained by the developer shall be given to the Planning Authority and to the West of Scotland Archaeology Service in writing not less than 14 days before the survey commences. Copies of the resulting survey shall be deposited in the National Monuments Record for Scotland and in the local Sites and Monuments Record upon completion.

Mitigation Strategy condition

Prior to the commencement of development the developer shall submit for the Council's approval an archaeological mitigation strategy. Thereafter the developer shall ensure that the approved strategy is fully implemented and that all recording and recovery of archaeological resources within the development site is undertaken to the satisfaction of the Planning Authority in agreement with the West of Scotland Archaeology Service.

(or between outline and detail applications)

The developer shall submit for the approval of the Planning Authority an archaeological mitigation strategy along with the detailed or reserved matters application. Thereafter the developer shall ensure that the approved strategy is fully implemented, that all significant archaeological remains are preserved *in situ* as may be required by the Planning Authority, or that any necessary recording and recovery of archaeological resources within the development site is undertaken to the satisfaction of the Planning Authority in agreement with the West of Scotland Archaeology Service.

Annex B

West of Scotland Archaeology Service

Standard Conditions for archaeological fieldwork Last modified 6 September 2004

(a) To avoid confusion as to the status of project documentation, it is preferred that the use of the term “Written Scheme of Investigation” for a project design for archaeological fieldwork should be limited to those instances where the archaeological contractor is acting on behalf of a client to implement the requirements of an archaeological planning condition which specifically requires that such a document be produced in advance of development. In other circumstances, such as proposals for evaluation of a site prior to determination of a planning application, or proposals for the implementation of another form of archaeological condition, other terms such as “Project Design” or “Method Statement” are to be preferred.

(b) The West of Scotland Archaeology Service will monitor the progress of archaeological work on behalf of its relevant funding partner. The contractor must provide sufficient notice of fieldwork to the Service so that monitoring arrangements can be put in place, and provide updated timescales for all post-excavation work so that its progress can be monitored as required.

(c) The supervising archaeologist(s) executing the archaeological works must have professional experience commensurate with the tasks in hand. If requested, the name(s) and CV(s) of the archaeologist(s) must be forwarded to the West of Scotland Archaeology Service for approval prior to commencement of the archaeological works.

(d) The text of all reports related to the project is to be supplied in digital form to the West of Scotland Archaeology Service for comment. This may be in any of the following formats: Adobe PDF (preferred), Microsoft Word or Rich Text Format each with embedded illustrations. The archaeological contractor is to provide details of the file format used and the compression method if any.

Gazetteers of sites and references to sites in all reports must include the WoSASPIN identifier.

Original survey or mapping data should also be supplied digitally, geo-referenced and in ESRI (preferred) or AutoDesk compliant formats. Where appropriate a digital polygon boundary geo-referenced to the British National Grid representing the fullest extent of the archaeological intervention (e.g. extent of area surveyed, extent of evaluation area) should be supplied.

Final versions of all reports should be rendered uneditable prior to their re-submission. As well as a digital copy, two hard copies of the final report should also be supplied (drafts for comment will be accepted in digital format). If a temporary public access embargo is required this should be clearly stated in the associated copyright information supplied with each report. Should digital reports or associated documents be of an appropriate size for delivery by e-mail they may be sent directly to enquiries@wosas.glasgow.gov.uk with an appropriate project identifier in the subject line.

(e) A brief summary of the results of the archaeological work must be prepared and submitted for publication in the Council for Scottish Archaeology’s annual journal 'Discovery and Excavation in Scotland' at the appropriate time. A draft of this text must be forwarded to the West of Scotland Archaeology Service for comment prior to submission.

If the archaeological contractor mounts information relating to the archaeological work on the World Wide Web for public access WoSAS are assumed to have permission to create a hyperlink to those documents relating to the work from WoSAS’s web site. Where the contractor cannot or does not intend to mount information relating to the work on the World Wide Web for public access, WoSAS may ask for at least one image (preferably digital, e.g. TIFF) and an accessibly worded summary of the work and its archaeological context of around 250 words to be supplied for that purpose. If a temporary public access embargo is

required this should be clearly stated in the associated copyright information supplied with each summary.

(f) A summary report of the results of the archaeological work should be prepared and submitted for publication in the gazetteer or “list of work done” section of an appropriate period journal, where such entries are sought by the editors. A draft of the text must be forwarded to the West of Scotland Archaeology Service for comment prior to submission.

(g) Any report for formal publication in an appropriate archaeological journal or other medium should be submitted in draft form to the West of Scotland Archaeology Service for comment prior to submission.

(h) A copy of all reports should be deposited in the National Monuments Record for Scotland, along with the project archive, on the completion of all relevant work. The project archive should contain all relevant details in connection with the planning and execution of the project, including any terms of reference received by the archaeological contractor.

(i) The archaeological contractor may be invited to present the results of this project at the annual West of Scotland Archaeology Forum.

(j) In all publicity, reports and summaries connected with the archaeological works, both published and archived, due acknowledgement must be given to the curatorial role of the West of Scotland Archaeology Service in facilitating the archaeological investigation.

(k) All work on site shall be carried out in compliance with current Health and Safety at Work legislation. In particular, the archaeological contractor must ascertain from the client whether the archaeological work forms part of a programme of work to which the Construction (Design and Management) Regulations 1994 are applicable, and if so, the archaeological contractor must prepare and disseminate the relevant safety plan documentation and information.

(l) Any human remains encountered must be left *in situ*, and notification immediately made to the local police and to the West of Scotland Archaeology Service.

(m) The arrangements for the final disposal of any finds (artefacts) made in connection with the archaeological work are to be in keeping with Scottish legal requirements, as set out in “Treasure Trove. Guidelines for Field Workers” issued by the Scottish Executive Education Department in August 1999.

(n) The archaeological contractor must have the necessary technical resources for satisfactory completion of the archaeological work in place before the project commences.

(o) The archaeological contractor must have appropriate employer's and public liability insurance cover.

(p) The relevant local museum service should be adequately informed of the start of on-site investigations.