



Project to define professional functions and standards in archaeological practice

National Occupational Standards for Archaeological Practice

Accredited Standards

Section A

2nd December 2002

Dr Stephen Carter
Alastair Robertson



Summary of Units and Elements

Ref	Unit & Element titles
A	Provide guidance and set policies for the investigation, recording, management and conservation of the historic environment
AA1	Develop policies and guidance for archaeology
AA1.1	Establish emerging trends and priorities
AA1.2	Identify and assess community requirements and expectations
AA1.3	Identify and evaluate constraints and opportunities
AA1.4	Prepare and consult on drafts of new policy and guidance
AA1.5	Recommend and justify new policy and guidance
AA2	Commission research
AA2.1	Specify research requirements
AA2.2	Commission and brief researcher(s)
AA2.3	Monitor the progress of the research programme
AA2.4	Verify research outcomes against the brief
AA3	Propose and plan a research project
AA3.1	Propose a research project
AA3.2	Develop and plan a research project
AA4	Establish plans and monitor policy implementation
AA4.1	Establish plans for the implementation of policies and proposals
AA4.2	Promote policy implementation
AA4.3	Develop support arrangements for implementation
AA4.4	Monitor and evaluate the effects of policies and operations
AA5	Provide guidance on and process applications for resource support
AA5.1	Provide guidance and advice on applications for resource support
AA5.2	Process applications for resource support

Unit AA1 Develop policies and guidance for archaeology

Elements

AA1.1 Establish emerging trends and priorities

AA1.2 Identify and assess community requirements and expectations

AA1.3 Identify and evaluate constraints and opportunities

AA1.4 Prepare and consult on drafts of new policy and guidance

AA1.5 Recommend and justify new policy and guidance

Unit Commentary

This unit is for archaeologists who are responsible for the development of policy or guidance in any occupational context within the profession including collections. In order to develop policies or guidance, it is necessary first to establish the requirements and expectations of interested parties within archaeology and in the wider community. Constraints and opportunities for the development of policies or guidance should be assessed and draft proposals prepared for consultation. Final proposals can then be recommended with appropriate justifications.

AA1 Develop policies and guidance for archaeology

AA1.1 Establish emerging trends and priorities

Performance Required

This will involve:

- a) identifying trends and priorities which appear significantly to be influencing the development of archaeological policy and practice
- (b) canvassing reliable **sources** of information and opinion to inform judgements about significant trends and priorities
- (c) taking account of current debates
- (d) assessing the potential impact of emerging trends and priorities on current policies and practice
- (e) **presenting** an assessment of trends and priorities which are likely to influence archaeology policy and practice in a suitable format and justifying to **decision-makers**

Occupational Context

1 Sources may include:

- technical and academic journals, books and websites.
- expert opinion
- official policies, guidelines, legal requirements, planning procedures
- records of sites and excavations
- collections
- records of planned developments

2 Presentation:

- oral
- written
- graphic
- digital/electronic

3 Decision-makers:

- internal
- external

Knowledge Requirements

You need to know and understand how to:

- Access data sources
- Identify and rank areas of priority against agreed criteria
- Make presentations to facilitate decision making

You need to know about:

- Sources of opinion and data
- Current and anticipated policy and legislation

AA1 Develop policies and guidance for archaeology

AA1.1 Establish emerging trends and priorities

Required Skills

You should demonstrate:

- how to make verbal presentations with visual aids
- how to use of the internet and search engines
- your ability to network with professional colleagues, other opinion formers and influential people
- how to monitor the mass media

Evidence Required

You should provide evidence that you can establish emerging trends and priorities

- This will include documentary evidence that includes
- records of trends in needs, demands and imperatives
 - records of opinion canvassed and data sources accessed
 - presentations of trends and priorities,

Questioning the candidate, based upon the documentation provided, to explore

- their understanding of current trends and debates in archaeology including needs, demands and imperatives
- their ability to canvas various relevant sources of opinion
- their understanding of current technology
- their ability to justify a course of action to decision-makers

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy development

AA1 Develop policies and guidance for archaeology

AA1.2 Identify and assess community requirements and expectations

Performance Required

This will involve:

- (a) identifying critical and relevant **community requirements** for the preservation of their archaeological heritage in the context of contemporary needs and pressures on land use and development
- (b) identifying critical and relevant **community requirements** for the description, recording and conservation of archaeological remains in the context of enhancing public information and as a resource for future research
- (c) identifying community reactions to programmes for archaeological investigation and collections and their social and economic impact
- (d) investigating and challenging community preferences for the investigation, recording, protection and conservation of archaeological sites and collections
- (e) identifying, evaluating and **presenting** options for the investigation, recording, protection and conservation of archaeological sites and collections that best meet community requirements and expectations

Occupational Context

1 Sources of data about community requirements:

- relevant documentation and advisory notes
- results of comparative field research
- consultation programmes with interested parties

2 Presentation of data:

- oral
- written
- graphical

Knowledge Requirements

You need to know and understand how to:

- Identify, investigate, evaluate and challenge community requirements, preferences and reactions
- Identify and evaluate potential conceptual solutions which match key aspects of community requirements

You need to know about:

- Sources of data about community requirements
- Presentation methods appropriate to the information to be presented and the audience for whom intended

AA1 Develop policies and guidance for archaeology

AA1.2 Identify and assess community requirements and expectations

Required Skills

You should demonstrate:

- How to use questionnaires to assess community preferences
- How to use audio-visual aids to create presentations comprehensible to the non-specialist

Evidence Required

You should provide evidence that you can identify and assess community requirements and expectations

- this will include documentary evidence that includes Records of community requirements, preferences and reactions
- records of potential solutions identified and evaluated

The candidate should be questioned, based upon the documentation provided, to explore:

- their understanding of community requirements in terms of the preservation of the archaeological heritage
- their understanding of the contemporary needs and pressures on archaeological sites
- their ability to respond both to the needs of the community as regards archaeological proposals
- their ability to negotiate solutions to perceived problems between communities and the archaeological heritage

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy development

AA1 Develop policies and guidance for archaeology

AA1.3 Identify and evaluate constraints and opportunities

Performance Required

This will involve:

- a) identifying known and potential **constraints and opportunities** relevant to the investigation and preservation of the historic environment
- b) acquiring data required to evaluate **constraints and opportunities** from **appropriate data sources**
- c) using appropriate **methods and techniques** to evaluate **constraints and opportunities**
- d) assessing **constraints and opportunities** against valid **criteria** to indicate their relative significance and effect on objectives and programme
- e) ensuring that **constraints and opportunities** which are likely to have the most significant impact on objectives and programme are identified, prioritised, summarised accurately and assumptions qualified
- f) ensuring that potential risks and benefits to objectives and programme arising from the analysis of **constraints and opportunities** are identified, evaluated and incorporated in advice to interested parties.

Occupational Context

- 1 **Constraints and opportunities (arising from):**
 - planning policies and legislation
 - short and long term needs
 - site (location, infrastructure, climate, topography, geophysical)
 - resources (data, finance, human, materials, time)
 - technological capabilities
 - communications
 - demographic, political, environmental, economic considerations
 - cultural significance
 - interest groups
 - synergy with other projects and initiatives

2 Appropriate data sources:

- planning processes
- relevant documentation
- expert opinion
- results of archaeological research
- consultation with interested parties

3 Methods and techniques (may include):

- physical surveys
- excavation
- consultation
- literature review
- artefact analysis
- environmental analyses

4 Criteria (may relate to):

- cultural / historic value
- criticality (e.g. rate of deterioration)
- economic factors
- practical factors (e.g. construction methods, access, facilities)
- environmental impact

Knowledge Requirements

You need to know and understand how to:

- Access data sources
- Apply criteria to establish significance
- Assess risks and benefits

You need to know about:

- Sources of data and opinion
- Types of constraint and opportunity to be identified
- Types of survey methods and techniques
- Criteria used to assess significance

AA1 Develop policies and guidance for archaeology

AA1.3 Identify and evaluate constraints and opportunities

Required Skills

- N/A

Evidence Required

You should provide evidence that you can identify and evaluate constraints and opportunities

This will include documentary evidence that includes:

- data acquired for evaluation
- methods and techniques for evaluation used
- constraints and opportunities assessed (
- criteria used to indicate significance
- constraints and opportunities with most significant impact
- potential risks and benefits evaluated
- additional relevant considerations and recommendations

The candidate should be questioned, based upon the documentation provided, to explore:

- their understanding of potential constraints opportunities relevant to the archaeological heritage
- their ability to collect data, to process it and to present it to others in a clear, comprehensible format
- their ability to assess the most significant constraints and opportunities in terms of their affect upon archaeological objectives and programmes and, in particular, the risks they pose

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy development

AA1 Develop policies and guidance for archaeology

AA1.4 Prepare and consult on drafts of new policy and guidance

Performance Required

This will involve:

- a) ensuring the **policy** is explicitly consistent with the organisation's aims, objectives and priorities.
- b) ensuring policy is based on the evaluation of identified and prioritised needs of the community
- c) ensuring policy conforms to legislative requirements and guidance and is informed by a review of best current practice as identified by competent authorities
- d) ensuring policy conforms to related priorities, purposes and values within the organisation and the wider community
- e) ensuring that policy recommendations are based on consideration of a range of potentially viable options and their implications
- f) agreeing a process and timescale for **consultation** and ensuring that appropriate documentation is distributed to all interested parties
- g) analysing and prioritising responses, evaluating the implications of any proposed changes and incorporating justifiable amendments in a final policy draft
- h) presenting final policy recommendations with supporting justification to decision makers

Occupational Context

1 Policy covers:

- archaeological sites (including related structures, excavation, , artefacts, surveys and environmental data)
- the archaeological landscape
- archaeological collections
- working methods
- health and safety
- personnel
- financial and contractual procedures
- use and maintenance of equipment and materials
- recording and storing information
- collections
- relationships with other organisations
- other legally required procedures

2 Consultation methods

- correspondence
- questionnaire based
- formal and informal meetings
- oral presentations
- circulation of draft policies for comment

Knowledge Requirements

You need to know about:

- Why the identified needs of the target community have been prioritised as they have
- What are the relevant legislative requirements or how they can be accessed
- Who are competent national or local organisation who may identify current good practice in the formulation of policy
- What are the known priorities, purposes and values of the organisation as a whole
- Why broad agreement should be achieved before final recommendations are made
- The purpose and context of the managerial action
- Relevant archaeological issues
- Relevant legal issues

AA1 Develop policies and guidance for archaeology

AA1.4 Prepare and consult on drafts of new policy and guidance

Required Skills

You should demonstrate:

- How to write policy statements
- How to design, organise and run formal and informal meetings
- How to use audio-visual aids to create presentations comprehensible to the non-specialist
- How to communicate both to relevant professionals and to the wider community

Evidence Required

You should provide evidence that you can prepare and consult on drafts of new policy and guidance

This will include documentary evidence that includes:

- Policy documentation in which they have played a significant role:

The candidate should be questioned, based upon the documentation provided, to explore how they

- ensure that policy indicates the organisation's view of the service provided, as to its nature, importance, aims and objectives
- ensure that policy is based on an evaluation of the needs of the community
- ensure that policy conforms to legislative requirements and is informed by a review of the best current practice
- ensure that policy conforms to related priorities, purposes and values within the organisation and the wider community
- ensure that policy recommendations are based on consideration of a range of options and their implications
- agree a process and timescale for consultation and that all relevant documentation is distributed to all relevant parties
- analyse and prioritise responses, incorporating justifiable amendments in a final policy draft
- present final policy recommendations to decision makers

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy development

AA1 Develop policies and guidance for archaeology

AA1.5 Recommend and justify new policy and guidance

Performance Required

This will involve:

- a) preparing appropriate documentation, which clearly and accurately explains policy intentions, timetable for implementation, monitoring arrangements and procedures to achieve compliance
- b) comparing and contrasting old and new proposals and their impacts upon **interested parties**
- c) ensuring the effective **dissemination** of information on new and changed policies to interested parties
- d) providing advice and guidance on policy, regulatory requirements and related procedures to interested parties
- e) monitoring the effectiveness of policy advice and guidance and taking effective corrective action to clarify areas of misunderstanding

Occupational Context

1 Interested parties:

- general public
- those directly affected by new or changed policies
- those responsible for advice, guidance, monitoring and compliance

2 Dissemination

- advertising
- direct communication
- mailshot
- promotional events

Knowledge Requirements

You need to know and understand how to:

- Organise dissemination of new policies

You need to know about:

- Policies already in place
- Old proposals
- Legal constraints
- Characteristics of mailshots and advertising and their appropriate uses

AA1 Develop policies and guidance for archaeology

AA1.5 Recommend and justify new policy and guidance

Required Skills

You should demonstrate:

- Communication skills: oral and written, to provide information and advice
- Organisational skills to disseminate information about new policies
- Your ability to listen to and take account of the concerns of both archaeologists and the wider community

Evidence Required

You should provide evidence that you can recommend and justify new policy and guidance

The candidate should be questioned, based upon the documentation provided, to explore how they

- prepare documentation explaining policy intentions, a timetable for implementation, monitoring arrangements and procedures to achieve compliance
- ensure effective dissemination of information on new and changed policies to interested parties
- provide advice and guidance on policy and regulatory requirements to interested parties
- monitor the effectiveness of policy advice
- clarify areas of misunderstanding

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy development

Unit AA2 Commission research

Elements

AA2.1 Specify research requirements

AA2.2 Commission and brief researcher(s)

AA2.3 Monitor the progress of the research programme

AA2.4 Verify research outcomes against the brief

Unit Commentary

This unit is for archaeologists who are responsible for the commissioning of research by others in any occupational context within the profession. This involves assessment and prioritisation of data requirements leading to the specification of research requirements; researchers can then be commissioned and briefed. The progress of the research programme should be monitoring and the outcomes verified against the brief at the end of the programme.

AA2 Commission research

AA2.1 Specify research requirements

Performance Required

This will involve:

- a) clarifying intended purpose, scope and parameters of **research** with interested parties
- b) assessing, justifying and prioritising **data requirements**
- c) identifying and assessing potentially relevant data sources
- d) investigating valid and ethical means and methods for acquiring data and identifying best practice options
- e) where appropriate, ensuring that expert opinion is canvassed to assist in the preparation of the research specification
- f) ensuring that **resource** requirements for research are estimated accurately, summarised and justified
- g) presenting the specification of research requirements in a suitable format

Occupational Context

1 Research (may be related to):

- policy formulation
- policy implementation
- project design
- programme implementation
- project evaluation

2 Data requirements (may include):

- Policy (local, regional, national, international)
- legal and regulatory
- social and economic
- historical
- archaeological
- natural and built environment
- infrastructure
- resources
- public opinion

3 Resources:

- human
- financial
- documents and records
- data
- time

Knowledge Requirements

You need to know and understand how to:

- Specify data requirements
- Evaluate and prioritise research needs
- Estimate resource requirements for research

You need to know about:

- Relevant existing policies affecting the research area
- Sources and of existing data
- Research methods
- Types of resource requirement
- Presentation formats

AA2 Commission research

AA2.1 Specify research requirements

Required Skills

You should demonstrate:

- The preparation of research specifications

Evidence Required

You should provide evidence that you can specify research requirements

Documentary evidence will include:

- records of data requirements specified and justified
- records of research needs identified, evaluated, justified and presented

The candidate should be questioned, based upon the documentation provided, to explore the following:

- their ability to accurately specify data requirements
- their ability to identify and use data sources
- their skill at assessing whether or not data is adequate
- their canvassing of expert opinion when it is warranted
- that resource requirements are accurately estimated, recorded and justified
- that the research specification has been presented in a suitable format

Evidence Rules

- The candidate should have been involved in at least 2 substantive research commissions

AA2 Commission research

AA2.2 Commission and brief researcher(s)

Performance Required

This will involve:

- a) Ensuring that project **specifications** are consistent with organisational requirements and provide full and accurate information to enable potential researchers to prepare and submit appropriate proposals
- b) Developing **criteria** for selection of researchers and making the criteria available to potential researchers
- c) identifying potentially suitable researchers and issuing project specifications in accordance with organisational procedures
- d) Responding to enquiries from potential researchers in accordance with organisational procedures
- e) Ensuring that selection procedures are fair and just and enable the selection of those best able to fulfil the research brief
- f) Ensuring that **contracting** arrangements accurately detail both the requirements which the researcher must meet and the conditions of employment
- g) Ensuring that appointments are confirmed in time to allow work to proceed effectively and efficiently
- h) Ensuring that researchers are provided with **appropriate information and support** to enable them to plan the project and incorporate best practice
- i) Ensuring that researchers are aware of monitoring arrangements and the criteria by which their work will be evaluated

Occupational Context

1 Specifications

- purpose
- objectives
- methods
- legislation
- parameters
- outcomes
- budget

2 Criteria

- requirements
- preferences
- parameters

3 Contracts

- of employment
- for services

4 Appropriate information and support

- on the organisation and its preferred methods of working
- on matters which arise during commissioning
- on how to handle contingencies which arise during the contract

Knowledge Requirements

You need to know and understand how to:

- Develop clear and concise project specifications which will enable potential contractors to assess their suitability to do the work and the organisation to assess those likely to meet the specification
- Set up selection procedures for researchers

You need to know about:

- Organisational strategy and policy and its relationship to the project in question,
- Why it is important to clarify and include in the project specification information in relation to purpose, objectives, methods, legislation, parameters, outcomes, budget
- The criteria for selecting researchers
- Relevant contract law
- What standard contracts are available
- How and where to advertise for researchers

AA2 Commission research

AA2.2 Commission and brief researcher(s)

Required Skills

You should demonstrate:

- How to write clear research specifications
- How to brief researchers
- How to network and communicate with other professionals

Evidence Required

You should provide evidence that you can Commission and brief researchers.

This evidence should be presented in the form of a project proposal with model advertisement and contract in which you:

- provide full and accurate information to enable potential researchers to prepare and submit appropriate proposals
- develop criteria for selection and make them available to potential researchers
- advertise project requirements, identifying potentially suitable researchers and issuing project specifications
- respond to enquiries from potential contractors
- ensure that selection procedures are fair and just and enable selection of the best able to fulfil the project brief
- ensure that contracts accurately detail both the requirements the researcher must meet and the conditions of employment
- ensure that the contract is issued as quickly as possible to allow the project to proceed
- ensure that the contractors are provided with appropriate information and support

Evidence Rules

- The candidate should have been involved in at least 2 substantive research commissions

AA2 Commission research

AA2.3 Monitor the progress of the research programme

Performance Required

This will involve:

- a) defining appropriate criteria for evaluating achievements and agreeing monitoring procedures and milestones for reporting on progress
- b) providing researchers with the necessary **data** at the right times to enable them to meet the objectives and deliver required outcomes
- c) offering researchers appropriate and accurate feedback on their work to encourage good practice and increase motivation
- d) maintaining effective relationships with researchers to support the organisation's work and enable it to meet its objectives
- e) communicating **variations** to specifications to the researchers accurately and without delay
- f) settling **disputes** promptly and in accordance with contract conditions and organisational procedures
- g) preparing reports on progress as necessary to interested parties

Occupational Context

1 Data

- organisational & regulatory requirements
- project specifications & schedules
- contextual & project related

2 Variations

- organisational requirements
- specifications & schedules
- contextual & project related
- changing circumstances & personnel

3 Disputes in relation to

- working conditions
- the quality of the work
- the support provided
- scheduling
- conditions of employment

Knowledge Requirements

You need to know about:

- Information which contractors might need to enable them to act effectively
- Contractors' rights to organisational information and where there may be a need to highlight its confidentiality
- The role of the project manager in offering support to contractors and the relationship of this to the achievement of objectives
- How to offer constructive feedback (compared with positive feedback) to contractors and the relationship of this to achievement of project outcomes and contractor motivation
- Contract conditions
- Organisational procedures with regard to contracts and contract management

AA2 Commission research

AA2.3 Monitor the progress of the research programme

Required Skills

You should demonstrate:

- How to set up work schedules
- Report writing
- Your ability to deal tactfully and patiently with researchers' questions and problems
- How to monitor the quality of researchers' work

Evidence Required

You should provide evidence that you can monitor the progress of the research programme

The candidate should be questioned, based upon the documentation provided, to explore how they:

- define appropriate criteria for evaluating achievements and monitoring procedures
- provide researchers with necessary data to enable them to meet objectives
- offer researchers appropriate and accurate feedback on their work
- maintain effective relationships with the researchers
- communicate variations to specifications
- settle disputes
- prepare reports on progress

Evidence Rules

- The candidate should have been involved in at least 2 substantive research commissions

AA2 Commission research

AA2.4 Verify research outcomes against the brief

Performance Required

This will involve:

- a) objectively comparing research outcomes against the requirements set in the project specification
- b) reviewing the findings in the context of comparable studies
- c) assessing data quality and reviewing the methodology used for obtaining and evaluating data and challenging departures from accepted best practice
- d) reviewing the interpretation of research findings and challenging assumptions which appear to depart from accepted norms
- e) reviewing the presentation, content and structure of the research report and advising on any modifications required to meet organisational requirements
- f) advising **interested parties** on the acceptability of the final report on research outcomes.
- g) where appropriate, identifying opportunities for and encouraging the publication and dissemination of research outcomes

Occupational Context

1 Interested parties

- commissioning clients
- publishers
- interested local, national and international organisations

Knowledge Requirements

You need to know and understand how to:

- Constructively criticise researcher's outputs

AA2 Commission research

AA2.4 Verify research outcomes against the brief

Required Skills

You should demonstrate:

- How to constructively criticise researcher's output

Evidence Required

You should provide evidence that you can verify research outcomes against the brief

The candidate should be questioned, based upon the documentation provided, to explore how they:

- define appropriate criteria for evaluating achievements and agreeing monitoring procedures
- provide researchers with necessary data at proper times to enable them to meet objectives
- offer researchers appropriate and accurate feedback on their work
- maintain effective relationships with the researchers
- communicate variations to specifications to researchers accurately without delay
- settle disputes promptly in accordance with contract conditions
- prepare reports on progress as necessary

Evidence Rules

- The candidate should have been involved in at least 2 substantive research commissions

Unit AA3 Propose and plan a research project

Elements

AA3.1 Propose a research project

AA3.2 Develop and plan a research project

Unit Commentary

This unit is for archaeologists who propose and develop research projects. It is relevant to archaeologists in a wide variety of organisations including heritage agencies, academic research institutions, commercial organisations and the voluntary sector. Research projects may involve the collection and analysis of new data (including new field data) and the re-analysis or synthetic analysis of existing data. This unit does not cover purely descriptive exercises such as the compilation of catalogues.

Individuals may carry out research projects alone or as part of a team. The principal researcher usually proposes the research topic and takes the lead in formulating the research proposal. This includes identifying the research aims and objectives within the context of relevant research strategies; and identifying appropriate methodologies for the research and the resources and timescale required. The format of the research proposal will be determined primarily by the requirements of the organisation providing the funding.

AA3 Propose and plan a research project

AA3.1 Propose a research project

Performance Required

This will involve:

- a) identifying a topic for original research
- b) reviewing existing and current research in the field for its relevance to the proposed project
- c) defining the aims, objectives and relevance of the project and reviewing these with potential stakeholders
- d) establishing how the research fits into any relevant research policies and strategies
- e) identifying potential funding bodies for the proposed research and establishing the criteria they will apply to providing support
- f) identifying potential and necessary partners and collaborators in the research and canvassing their support
- g) formulating a research proposal that is agreed with stakeholders, partners and collaborators and is compliant with funding body criteria
- h) estimating resource requirements
- i) formulating and submitting the **research proposal** in accordance with organisational procedures and the requirements of funding body (or bodies)

Occupational Context

1 The research proposal (will include):

- aims and objectives of the project
- the current state of research in the field
- the methodology to be used
- the resources and timetable, including the main stages and tasks of the research
- the possible scope and nature of the research outcomes and how they are to be communicated to relevant audiences

Knowledge Requirements

You need to know and understand how to:

- Present the aims and objectives of the project
- Write a proposal, and what components should be in it

You need to know about:

- What constitutes original research
- Which organisations fund the type of project proposed
- To whom the proposal should be addressed and presented
- Relevant research strategies and policies
- What other research is being undertaken by organisations and individuals in this field
- The state of existing research in the field
- The normal project management methods for monitoring projects
- Procedures for peer review and refereeing

AA3 Propose and plan a research project

AA3.1 Propose a research project

Required Skills

You should demonstrate:

- How to communicate with other professionals
- How to present information in the proposal to make it appear as exciting and novel as possible
- How to make a convincing argument that the project objectives can be achieved with the proposed methodology

Evidence Required

You must provide evidence proving that you can propose a research project. The project may include the investigation of primary or secondary sources or be a combination of both. The research could be for any reason, including exhibitions, interpretations, publications or academic awards. The evidence would be normally in the form of completed, refereed projects.

The candidate should be questioned, based upon the documentation provided, to explore the following:

- presenting the aims and objectives of the project
- specifying the value and significance of the project
- the relationship between the project and the research policy and strategy of the organisation
- review both primary and secondary sources
- identify potential uses for project results
- the main stages and tasks of the project
- the contributions of the various participants
- procedures for reporting progress

Evidence Rules

- The candidate should have been involved in at least 2 research projects that have successfully been submitted to peer review.

AA3 Propose and plan a research project

AA3.2 Develop and plan a research project

Performance Required

This will involve:

- a) verifying the research aims and deliverables of the project
- b) accurately describing the nature, quantity and quality of data to be collected and analysed
- c) identifying and evaluating factors that might benefit or obstruct the achievement of research aims
- d) selecting the **methods** best suited to realising the research aims and deliverables
- e) preparing a work breakdown and critical path analysis that optimises the use of resources within constraints on timescale
- f) estimating the **resource requirements** of the project, including contingencies, and reconciling costs against constraints on funding
- g) identifying a team with the necessary skills to achieve the project tasks within projected qualitative, timescale and funding parameters
- h) identifying and agreeing targets and milestones with stakeholders where required
- i) proposing and agreeing project management and evaluation procedures, including an appropriate programme of peer review, with stakeholders

Occupational Context

1 Methods

- documentary
- statistical
- comparative
- experimental
- investigative
- bibliographic

2 Resource requirements

- data
- personnel
- finance
- equipment
- accommodation
- time

Knowledge Requirements

You need to know and understand how to:

- Estimate the time and resources needed to complete each task
- Cost resource requirements, allowing for inflation and other pressures

You need to know about:

- The research aims and deliverables of the project
- What data are needed to achieve the research aims
- What factors are likely to benefit or obstruct the project
- The range of methods available and the best methods for achieving the research aims and deliverables
- How to identify project tasks, and to show their relationship to each other
- What factors to include in estimating the timescale of the project
- How to identify significant milestones and useful targets
- How to identify an appropriate programme of peer review

AA3 Propose and plan a research project

AA3.2 Develop and plan a research project

Required Skills

You should demonstrate:

- Critical path analysis
- Data analysis

Evidence Required

You must provide evidence proving that you can identify the methodology to achieve the aims and objectives of a project as part of a collaborative team and as an individual. The methodology must include the investigation of primary or secondary sources or a combination of both. The research could be for any reason, including exhibitions, interpretations or publications or academic awards. The evidence would be normally in the form of actual project proposals.

The candidate should be questioned, based upon the documentation provided, to explore the following:

- the research aims and outputs of the project
- data needed
- impact of factors that might obstruct the project
- the feasibility of various methods
- evaluation criteria and methods to assess the success of the project

Evidence Rules

- The candidate should have been involved in at least 2 substantive projects submitted for approval.

Unit AA4 Establish plans and monitor policy implementation

Elements

AA4.1 Establish plans for the implementation of policies and proposals

AA4.2 Promote policy implementation

AA4.3 Develop support arrangements for implementation

AA4.4 Monitor and evaluate the effects of policies and operations

Unit Commentary

This unit is for archaeologists who are responsible for the implementation of new policies in any occupational context within the profession. It is necessary to plan for the successful implementation of new policies and to promote the process of implementation. The process should be monitored and the effects of the new policy should be evaluated.

AA4 Establish plans and monitor policy implementation

AA4.1 Establish plans for the implementation of policies and proposals

Performance Required

This will involve:

- a) identifying relevant objectives for implementation of **policies and proposals**
- b) identifying and assessing **programme factors** and time constraints
- c) assessing the availability of required **resources** accurately and realistically
- d) defining and communicating the respective roles of **Affected parties** with realistic time limits set for achievement
- e) ensuring that **organisational arrangements and procedures** to maximise the co-operation and participation of all parties are initiated and implemented
- f) identifying **control requirements and procedures** for policy implementation accurately
- g) ensuring that an operational plan for implementation which identifies accurately **relevant constraints and parameters** is prepared and presented to **interested parties** in an agreed format

Occupational Context

- 1 Policies and proposals (relate to):**
 - planning control
 - building control
 - archaeology: (including historic landscapes, agri-environment measures, marine sites)
 - conservation (including conservation areas, listed buildings, scheduled ancient monuments, action areas, structure plans, sites of cultural/scientific significance)
 - archaeological collections
- 2 Programme factors:**
 - times at which resources are expected to be available (e.g. grants and related conditions)
 - priorities
 - operational plans
 - starting / completion time requirements
 - political, cultural and conservation implications of alternative time periods
- 3 Resources:**
 - materials
 - financial
 - human
 - data
- 4 Affected parties:**
 - land and property owners
 - occupiers
 - funders
 - contractors
 - public authorities
 - advisors / specialists
 - interest groups
- 5 Organisational arrangements and procedures:**
 - client dialogue
 - committee structures
 - management system
 - consultation procedures
- 6 Control requirements and procedures**
 - procurement strategy
 - project management
- 7 Relevant constraints and parameters:**
 - social, cultural, political
 - economic
 - archaeological
 - environmental
 - legal
 - technical
 - timescale
 - resources
- 8 interested parties:**
 - internal
 - external

AA4 Establish plans and monitor policy implementation

AA4.1 Establish plans for the implementation of policies and proposals

Knowledge Requirements

You need to know and understand how to:

- Identify relevant objectives for implementation of policies and proposals
- Identify and assess programme factors
- Identify and assess required resources
- Define and communicating roles of parties
- Initiating and implement organisational arrangements and procedures to maximise co-operation and participation of all parties
- Identify controlling requirements and procedures for policy implementation
- Identify and present relevant constraints and parameters

You need to know about:

- Programme factors affecting time period requirements and presenting constraints
- Types of resource requirement
- Roles of parties
- Types of organisational arrangement and procedure
- Control requirements and procedures for policy implementation
- Types of constraint and parameter which are likely to arise

Required Skills

You should demonstrate:

- How to communication with colleagues and clients
- The organisation of personnel
- The scheduling of tasks
- Budgeting

Evidence Required

You should provide evidence that you can establish plans for the implementation of policies and proposals

This will include documentary evidence that includes:

- operational plans for implementation prepared: by the candidate

The candidate should be questioned, based upon the documentation provided, to explore the following:

- objectives for implementation of policies and proposals
- identifying programme factors
- assessing the availability of resources
- communicating with colleagues
- organisation of personnel
- budgeting
- preparation of an operational plan

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy implementation

AA4 Establish plans and monitor policy implementation

AA4.2 Promote policy implementation

Performance Required

This will involve:

- a) establishing and implementing a plan for promoting and effecting the introduction of policy for the historic environment
- b) **communicating** policy requirements to all **interested parties** using appropriate **strategies**
- c) ensuring that likely targets of positive support for policy changes are identified and appropriate contacts are made in a manner which is likely to enlist goodwill
- d) encouraging supporters of policy change to agree to clear statements of need for, and nature of, changes and improvements
- e) ensuring that potential resistance to policy change is identified and appropriate contacts made to identify and answer concerns and minimise opposition

Occupational Context

1 Communications:

- oral
- written
- graphical
- media

2 Interested parties:

- land and property owners
- occupiers
- funders
- contractors
- public authorities
- elected representatives
- curators and others responsible for collections
- advisors
- pressure groups
- the general public

3 Communication strategies:

- advertising
- public relations
- guidance material
- special promotional events

Knowledge Requirements

You need to know and understand how to:

- Establish and implement plans for promoting and effecting introduction of policy
- Communicate, enlisting support for and minimise opposition to policy requirements using appropriate strategies

You need to know about:

- Types of communication strategy

AA4 Establish plans and monitor policy implementation

AA4.2 Promote policy implementation

Required Skills

You should demonstrate:

- communication and influencing skills (oral, written, graphical, media) to obtain support for policy change

Evidence Required

You should provide evidence that you can promote policy implementation

This will include documentary evidence that includes

- plans for promoting and effecting introduction of policy established and implemented
- evidence of support for policy change achieved and opposition identified

The candidate should be questioned, based upon the documentation provided, to explore the following:

- introducing archaeology policy
- developing a strategy for communicating with interested parties
- encouraging supporters
- minimising opposition

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy implementation

AA4 Establish plans and monitor policy implementation

AA4.3 Develop support arrangements for implementation

Performance Required

This will involve:

- a) identifying the need for **incentives** to support policy implementation
- b) collecting and evaluating data to identify most appropriate type(s) of **incentive** against appropriate criteria
- c) calculating resource implications of introducing **incentives**
- d) identifying available resources for **incentives** and potential **funding bodies**
- e) prioritising **incentive** requirements accurately having regard to priorities for the historic environment, time constraints and availability of resources
- f) ensuring that bids for resources which are sufficient to meet prioritised **incentive** requirements are made to **funding bodies** and justified
- g) ensuring that an appropriate audit system which is capable of identifying breaches of conditions and potential and actual fraud is developed, implemented and monitored

Occupational Context

1 Types of incentive:

- grants
- loans
- subsidies
- waiver

2 Funding bodies:

- public, private and voluntary sectors
- local
- regional
- national
- international

Knowledge Requirements

You need to know and understand how to:

- Identify, and assess incentive requirements
- Calculate, justify and prioritise incentive requirements
- Develop and implement audit and monitoring systems

You need to know about:

- Types of incentive
- Criteria for evaluation
- Audit systems
 - Types of resource and funding body

AA4 Establish plans and monitor policy implementation

AA4.3 Develop support arrangements for implementation

Required Skills

You should demonstrate:

- How to collect data
- How to writing applications for funding
- Communication skills

Evidence Required

You should provide evidence that you can develop support arrangements for implementation

This will include documentary evidence that includes:

- records of bids for resources
- audit systems implemented

The candidate should be questioned, based upon the documentation provided, to explore the following:

- identifying the need for incentives
- identifying the most appropriate types of incentives
- the costs of incentives
- available resources for incentive
- using an appropriate audit system

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy implementation

AA4 Establish plans and monitor policy implementation

AA4.4 Monitor and evaluate the effects of policies and operations

Performance Required

This will involve:

- a) identifying **aspects of the historic environment** which may be affected by proposed **policies** and operations
- b) identifying the **effects** to be monitored are and prioritising those with the most likely impact
- c) identifying appropriate and realistic evaluation criteria
- d) developing a suitable **monitoring** system which is capable of generating valid and reliable data about each identified effect
- e) ensuring that the monitoring system is implemented and reliable data are gathered regularly and monitored
- f) ensuring that information collected is summarised, evaluated realistically and justifiable conclusions are drawn and **presented** in a suitable format for **decision making**

Occupational Context

- 1 **Aspects of the historic environment:**
 - property owners and tenants
 - members of the general public
 - local authorities
 - national and regional authorities and related agencies
 - communities
 - owners/managers of collections

2 Scope of policy:

- local
- regional
- national
- international
-

3 Type of effects:

- social and cultural
- economic
- political
- environmental
- short and long term needs
- time and phasing

4 Types of monitoring:

- public consultations
- operational research

5 Presentation:

- oral
- written
- graphical

6 Decision makers:

- immediate superiors and managers
- elected representatives
- public servants

Knowledge Requirements

You need to know and understand how to:

- Identify aspects of the environment which may be affected by policies and operations
- Prioritise effects with the most likely impact
- Identifying and applying appropriate and realistic evaluation criteria
- Develop and implement monitoring systems capable of generating valid and reliable data
- Justify conclusions drawn from information collected

You need to know about:

- Known impact of different environmental effects
- Types of evaluation criteria
- Types and purposes of monitoring systems

AA4 Establish plans and monitor policy implementation

AA4.4 Monitor and evaluate the effects of policies and operations

Required Skills

You should demonstrate:

- How to set up monitoring systems
- How to analyse monitoring data

Evidence Required

You should provide evidence that you can develop support arrangements for implementation

This will include documentary evidence that includes:

- records of bids for resources
- audit systems implemented

The candidate should be questioned, based upon the documentation provided, to explore the following:

- identifying the need for incentives
- identifying the most appropriate types of incentives
- the costs of incentives
- available resources for incentive
- using an appropriate audit system

Evidence Rules

- The candidate should have been involved in at least 2 substantive areas of policy implementation

Unit AA5 Provide guidance on and process applications for resource support

Elements

AA5.1 Provide guidance and advice on applications for resource support

AA5.2 Process applications for resource support

Unit Commentary

This unit is for archaeologists who provide guidance on policies and who process applications for resource support (grants, loans, subsidies) associated with these policies. New policies and compliance requirements should be communicated accurately with clear and helpful advice to interested parties. Applications for support must be dealt with promptly and follow organisational procedures. In the case of successful applications for support, applicants should be monitored for compliance with conditions.

AA5 Provide guidance on and process applications for resource support

AA5.1 Provide guidance and advice on applications for resource support

Performance Required

This will involve:

- a) preparing documentation, which clearly and accurately explains new or changed **policy** on the historic environment intentions, means of implementation, measures of effectiveness and requirements for compliance
- b) ensuring that policies and compliance requirements are communicated clearly and accurately to all **interested parties** using appropriate and agreed strategies
- c) making available **advice** regarding policies and compliance to interested parties in a clear and helpful manner
- d) ensuring that the effectiveness of advice and **communication strategy** is monitored and evaluated and corrective action is taken to make good any deficiency

Occupational Context

1 Policy on the historic environment:

- local
- regional
- national
- international

2 Interested parties:

- general public
- property owners and occupiers
- developers
- other professionals
- agents
- others with an interest in making an application for consents

3 Advice (may cover):

- statutory requirements
- national and local policies
- availability and eligibility for grants, loans and subsidies

4 Communication strategies:

- advertising
- public relations
- guidance material
- special promotional events

Knowledge Requirements

You need to know and understand how to:

- Prepare documentation on policy and compliance requirements
- Develop and evaluate the effectiveness of communication strategies and advice on policy
- Advise on policy and compliance enquiries and availability and eligibility for grants, loans and subsidies

You need to know about:

- Types of policy and compliance requirements
- Types of communication strategy
- Types of grant, loan and subsidy

AA5 Provide guidance on and process applications for resource support

AA5.1 Provide guidance and advice on applications for resource support

Required Skills

You should demonstrate:

- How to communicate clearly and concisely with public bodies and interested parties
- How to organise promotional events
- How to put into place effective monitoring strategies

Evidence Required

You should provide evidence that you can provide guidance and advice on applications for resource support

This will include documentary evidence that includes:

- documentation prepared and communicated
- records of advice made available
- corrective action taken where advice and communication strategy has been

The candidate should be questioned, based upon the documentation provided, to explore the following:

- explaining new or changed archaeology policy
- communicating to all interested parties
- providing advice to interested parties
- monitoring the effectiveness of the communication strategy

Evidence Rules

- The candidate should have been involved in at least 2 substantive applications submitted for approval.

AA5 Provide guidance on and process applications for resource support

AA5.2 Process applications for resource support

Performance Required

This will involve:

- (a) promptly acknowledging **applications** for **incentives** and classifying accurately in accordance with organisational procedures
- (b) where **information** is insufficient for assessment purposes, advising applicants of additional information needs
- (c) ensuring that applications are assessed against the relevant **criteria** and those which conform in most main respects are selected for further consideration
- (d) ensuring that applications which clearly fail to meet the assessment criteria are recommended for **rejection** and reasons **communicated to interested parties**
- (e) ensuring that potentially successful applications are subjected to further detailed evaluation, and any required modifications identified and **communicated to interested parties**
- (f) ensuring that the level of incentive for which the applicant potentially qualifies is calculated accurately and appropriate conditions are specified and justified
- (g) presenting recommendations in an appropriate format
- (h) ensuring that the use of incentives and applicants' compliance with specified conditions is monitored and evaluated against organisational and policy objectives
- (i) ensuring that appropriate advice is offered where type and level of incentives fail to achieve planned objectives and where specified conditions are not complied with
- (j) ensuring that processes, including authorisation for payments, are completed within the required period and in accordance with appropriate legislation and organisational policy

Occupational Context

- 1 Type of application:**
 - grant
 - loan
 - subsidy
 - waiver
- 2 Incentives relevant to:**
 - conservation
 - collections
 - access and use
 - environmental improvement
- 3 Type of information:**
 - applicant details
 - applicant requirements
 - site details (physical, technical, legal)
 - existing / planned use of site (access, occupancy, activities)
 - financial information
- 4 Information from:**
 - property owners and occupiers
 - developers
 - consultants
 - agents
 - contractors
 - other affected parties
 - documentary sources
 - surveys
- 5 Criteria:**
 - technical
 - procedural
 - legal / regulatory
 - organisational
- 6 Communication:**
 - oral
 - written
 - formal
 - informal
- 7 Interested parties:**
 - applicants
 - line managers
 - funding bodies
 - other regulatory authorities
 - committees

AA5 Provide guidance on and process applications for resource support

AA5.2 Process applications for resource support

Knowledge Requirements

You need to know and understand how to:

- Assess, evaluate, process and justify decisions on applications for incentives
- Calculate level of incentives
- Specify conditions
- Monitor, assess and advise on the use of incentives

You need to know about:

- Types of application and incentive
- Types of decision criteria
- Types of conditions
- Types of format

Required Skills

You should demonstrate:

- How to communicate clearly and concisely with public bodies and interested parties
- How to organise promotional events
- How to put into place effective monitoring strategies

Evidence Required

You should provide evidence that you can process applications for resource support

This will include documentary evidence that includes:

- applications assessed and processed
- records of monitoring and assessing the deployment of incentives
- authorisations for payments

The candidate should be questioned, based upon the documentation provided, to explore the following:

- acknowledging and classifying applications for incentives
- providing advice for applicants
- assessing applications against criteria
- scrutinising applications to choose the best
- communicating the results of decisions
- acting in accordance with appropriate legislation and organisational policy

Evidence Rules

- The candidate should have been involved in at least 2 substantive applications submitted for approval.