



Project to define professional functions and standards in archaeological practice

National Occupational Standards for Archaeological Practice

Accredited Standards

Section B

2nd December 2002

Dr Stephen Carter
Alastair Robertson



Summary of Units and Elements

Ref	Unit & Element titles
B	Plan, specify and agree requirements for the investigation, recording, management, conservation and presentation of the historic environment
AB1	Develop and agree objectives for projects
AB1.1	Define aims and initial objectives for the project.
AB1.2	Identify and assess factors affecting the achievement of objectives for the project
AB1.3	Develop and agree objectives for the project
AB2	Propose and agree project methods
AB2.1	Identify project requirements
AB2.2	Agree project methods
AB3	Agree a brief
AB3.1	Assess and present a proposal for a brief
AB3.2	Agree a brief
AB4	Estimate resources and develop programmes
AB4.1	Specify and estimate resources required for the project
AB4.2	Develop programme and schedules for the project
AB5	Co-ordinate the procurement process
AB5.1	Agree a procurement procedure
AB5.2	Evaluate and select potential suppliers
AB5.3	Obtain tenders
AB5.4	Select suppliers
AB6	Prepare and agree the contract
AB6.1	Recommend and agree a form of contract
AB6.2	Prepare contract
AB6.3	Negotiate and conclude a contract

Unit AB1 Develop and agree objectives for projects

Elements

AB1.1 Define aims and initial objectives for the project

AB1.2 Identify and assess factors affecting the achievement of objectives for the project

AB1.3 Develop and agree objectives for the project

Unit Commentary

This Unit is relevant to archaeologists responsible for the development of projects on behalf of clients and the agreement of contracts to undertake the project. This function is performed both by internal project managers developing a project on behalf of their own organisation and by external consultants who are likely to be working for non-archaeological organisations. This unit involves the definition of aims and objectives for projects.

The starting point is to establish the client's aims and objectives for the project. Who is the 'client'? There may be several: direct clients include those who have appointed the consultant/project manager, those who will pay for the work to be carried out, and those who will be accountable for project outcomes. Indirectly, there may be others whose aspirations and expectations must also be taken into account including political or financial sponsors and/or beneficiaries from the project's successful conclusion. These could be referred to as 'stakeholders'; 'clients' and 'stakeholders' therefore will often be a mix between those directly and indirectly interested in the project and those within and external to the project manager's own organisation.

It is possible that the client's aims originate from poorly defined or vague needs. Hence, included in the Unit are the functions of clarifying client and stakeholder aims, assessing factors that influence the achievement of objectives, developing options and final agreement with the clients and stakeholders of objectives to be met.

AB1 Develop and agree objectives for projects

AB1.1 Define aims and initial objectives for the project

Performance Required

This will involve:

- a) accurately identifying the **client(s)** and their responsibilities for the project
- b) clearly establishing the scope of the project
- c) accurately interpreting the relevant ideas, **aims and expectations** of the client in enough detail to define the broad objectives
- d) determining that initial **objectives** are practicable and reaching agreement with the client in a manner conducive to their continuing support

Occupational Context

- 1 **Clients:**
 - external
 - internal
 - line management
 - key groups interested in project outcomes
- 2 **Aims and expectations:**
 - of internal clients
 - of external clients
 - clients' critical success criteria
 - objective; subjective
- 3 **Objectives:**
 - primary; secondary
 - short term; long term
 - technical
 - academic
 - commercial
 - financial
 - time
 - performance
 - quality
 - regulatory

Knowledge Requirements

You need to know and understand how to:

- Identify and clarify clients' aims, expectations and objectives
- Negotiate with clients

You need to know about:

- Clients aims and strategic objectives - understanding the influence of these on the project.
- What work would be necessary in order to fulfil the clients' aims, objectives and expectations
- Types of short term and long term objective

AB1 Develop and agree objectives for projects

AB1.1 Define aims and initial objectives for the project

Required Skills

You should demonstrate:

- How to determine client's aims, objectives and expectations

Evidence Required

You should provide evidence that you can define aims and initial objectives for the project

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

- clients' responsibilities for the project
- definition of project scope
- aims, ideas and expectations of clients
- initial objectives agreed with clients
- whether clients' aims, objectives and expectations were realistic and accord with professional best practice

Evidence Rules

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

AB1 Develop and agree objectives for projects

AB1.2 Identify and assess factors affecting the achievement of objectives for the project

Performance Required

This will involve:

- a) identifying significant **factors** potentially relevant to the initial objectives
- b) gathering sufficient information to assess the impact of the identified factors on the initial objectives recording these accurately
- c) identifying and justifying to the client the need for **specialist advice** where it is critical to the assessment process, and obtaining required advice
- d) accurately assessing the impact of identified factors on the initial **objectives** and presenting the analysis clearly and in sufficient detail to enable recommendations for changes to initial objectives to be justified

Occupational Context

1 Factors:

- constraints, threats and opportunities in relation to:
 - health and safety
 - environmental impact
 - location and local conditions;
 - resources
 - time
 - impinging activities
 - confidentiality
 - regulatory context
 - commercial context
 - technical context
 - users
 - community context

2 Specialist advice:

- commercial
- resources
- technical
- regulatory
- legal
- community
- academic

3 Objectives:

- primary; secondary
- short term; long term
- academic
- technical
- commercial
- financial
- time
- performance
- quality
- regulatory

Knowledge Requirements

You need to know and understand how to:

- Assess factors
- Communicate – orally and in writing – to clients the impact of significant factors upon their initial objectives

You need to know about:

- Factors peculiar to or of particular significance to the project context
- Others' experience in carrying out similar activities
- Significance of activities which impinge on the project
- Commercial context of project
- Regulatory context of project
- Sources and types of specialist advice

AB1 Develop and agree objectives for projects

AB1.2 Identify and assess factors affecting the achievement of objectives for the project

Required Skills

- N/A

Evidence Required

You should provide evidence that you can identify and assess factors affecting the achievement of objectives for the project

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

- factors identified and prioritised
- information on factors gathered
- input by specialists
- briefing instructions to specialists
- impact of identified factors

Evidence Rules

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

AB1 Develop and agree objectives for projects

AB1.3 Develop and agree objectives for the project

Performance Required

This will involve:

- a) verifying that **clients'** objectives are sufficiently clear to develop feasible project objectives
- b) developing project **objectives** which are as close to the clients' objectives as can be justified by consideration of the impact of the identified factors
- c) fully involving clients in the refinement of project objectives to gain their support for decisions
- d) developing and agreeing with clients criteria which are suitable to select preferred project objectives from options
- e) defining project objectives in terms of **measurable outcomes**
- f) agreeing project objectives with clients in a manner conducive to their continuing support

Occupational Context

1 Clients:

- external
- internal
- line management
- key groups interested in project outcomes
- colleagues in different disciplines

2 Objectives:

- primary; secondary
- short term; long term
- academic
- technical
- commercial
- financial
- time
- performance
- quality
- regulatory

3 Measurable outcomes relate to:

- performance
- accuracy
- use of resources
- time
- health and safety
- compliance with regulations
- client satisfaction (internal; external)
- end user satisfaction (fit for purpose)

Knowledge Requirements

You need to know about:

- How project objectives are expressed for internal and external clients
- Means of gaining agreement and support – formal, informal
- Relevant criteria for selecting options and their application
- Targets and performance indicators relevant to the project type and the project organisation

AB1 Develop and agree objectives for projects

AB1.3 Develop and agree objectives for the project

Required Skills

- N/A

Evidence Required

You should provide evidence that you can develop and agree objectives for the project

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

- project objectives and options developed
- criteria developed to select project objectives from options
- application of criteria to select from options
- measurable outcomes related to project objectives
- project objectives agreed with clients

Evidence Rules

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

Unit AB2 Propose and agree project methods

Elements

AB2.1 Identify project requirements

AB2.2 Agree project methods

UNIT COMMENTARY

This Unit deals with the development of a detailed project design from a client's brief, identifying what tasks should be undertaken, how and by whom; ensuring that methods specified are accurate and sufficient for purpose, conforming with relevant regulations and guidance; and bringing these proposals together in a method statement

In order to identify project requirements you need to be clear about the requirements set out in the client's brief and the limits of your responsibilities. You will need to make a judgement about the level of detail required and be able to assess what are the critical aspects of the project. Depending on the purpose that the project is designed to serve and stage at which it takes place, you will need to be aware of the cost and time implications to the project programme and be able to select appropriate and cost effective methods. You will also need to be able to identify sources of expert advice and support to help plan and carry out the project.

AB2 Propose and agree project methods

AB2.1 Identify project requirements

Performance Required

This will involve:

- (a) identifying from the project brief what tasks must be carried out, by whom and confirming these with the client
- (b) identifying and prioritising all relevant **factors relating to the project** which will require consideration
- (c) identifying relevant **sources of data** and selecting appropriate **methods** to achieve project objectives
- (d) identifying appropriate project quality assurance and safety requirements

Occupational Context

1 Projects may include:

- desk-based studies
- field investigations of sites and landscapes
- intrusive
- non-intrusive
- artefact studies
- interpretive projects
- educational projects

2 Factors relating to the project:

- Archaeological and cultural factors:

- archaeological context
- cultural context
- historical context
- research frameworks and agendas
- conventions, charters, guidelines

- Regulatory factors:

- planning regulations
- health and safety regulations
- archaeological policy and guidance
- scheduled ancient monument status
- designed landscape status
- conservation area status
- listed building status
- other non-statutory guidelines

3 Sources of data may include:

- site and site context
- archive records, reports, research publications
- site owners / occupiers
- statutory authorities, utilities
- government departments
- consultative bodies

4 Methods:

- documentary
- statistical
- comparative
- experimental
- investigative

Knowledge Requirements

You need to know and understand how to:

Level of investigation

- Establishing the appropriate type and level of investigation

You need to know about:

Methods of investigation

- What appropriate methods of investigation to employ in the context of different projects:
- Relevant physical aspects of sites and their environs (for field projects)
- Relevant archaeological, historical and cultural factors and constraints
- Regulatory factors

Types of quality assurance and safety requirements

AB2 Propose and agree project methods

AB2.1 Identify project requirements

Required Skills

You should demonstrate:

- How to communicate with clients – orally and in writing – to ascertain which investigations are needed for each stage of the project
- How to carry out research to discover all relevant information about the site
- Which methods of investigation would be most appropriate for the project at hand
- How to schedule investigations
- How to budget work to be done
- How to communicate with other interested parties to request their co-operation
- That personnel involved in the investigations are suitably qualified
- That all personnel are aware of their legal and contractual obligations
- How to carry out research from documentary sources
- Taking expert advice
- How to Interpret technical data and reports

Evidence Required

You must provide documentary evidence that you have:

- accurately identified what investigations must be carried out and by whom
- agreed with the client a feasible schedule for investigation and estimated agreed associated time and costs

You will produce supporting documentary evidence that, in doing so, you have:

- identified and prioritised all relevant factors which will require investigation
- selected appropriate methods for investigation and data sources
- provided third parties, who will be affected, with clear and accurate information and requested their co-operation
- verified, where investigation is commissioned from others, that investigators are competent

Evidence Rules

- Your evidence must be from the result of work activities carried out by yourself on at least two significant projects

AB2 Propose and agree project methods

AB2.2 Agree project methods

Performance Required

This will involve:

- a) presenting and agreeing appropriate **methods** with the client
- b) agreeing with the client a schedule that meets the project requirements and estimating associated time and costs
- c) ensuring that the proposed project conforms with all relevant **regulations and guidance**.
- d) obtaining any appropriate and necessary **permissions or approvals** for the proposed project design

Occupational Context

1 Methods:

- documentary
- statistical
- comparative
- experimental
- investigative

2 Regulations and guidance:

- planning regulations
- policy and guidance
- scheduled ancient monument status
- designed landscape status
- conservation area status
- listed building status
- non-statutory guidelines

3 Permissions or approval from:

- client
- site owner and occupiers
- owner of artefacts
- adjoining owners and occupiers
- local / statutory authorities
- professional bodies
- public utilities
- other notifiable authorities

Knowledge Requirements

You need to know and understand how to:

Planning projects

- Specifying, planning and scheduling site investigations in terms of:
- Required investigation outcomes
- Cost
- Timescale

You need to know about:

Relevant regulation and guidance

AB2 Propose and agree project methods

AB2.2 Agree project methods

Required Skills

You should demonstrate:

- How to obtain permissions and insurance
- How to carry out investigations according to the budget brief and agreed schedule
- How to commission investigations
- That investigations meet the requirements of the brief
- That data are complete, accurate and in an appropriate format
- How to seek expert advice
- How to collate, assess and interpret data
- How to prepare reports and assessments in suitable formats for circulation and discussion with interested parties
- How to accurately reference the report
- Compliance with health and safety regulations

Evidence Required

You must provide documentary evidence that you have:

- presented an investigation report that clearly indicates all relevant factors and any significant interactions between them and which states clearly the authority on which assessments, interpretations and recommendations have been made

You will produce supporting documentary evidence that, in doing so, you have:

- confirmed relevant permissions and insurances
- carried out and commissioned investigation of relevant factors relating to the site
- established that the scope and rigour of investigations meet the requirements of the brief and verified that data are complete, accurate and in a clear format
- sought expert advice on specific issues identified as relevant to the investigation
- assessed and accurately interpreted data from investigations¹ and identified and recorded findings, including opportunities and constraints

Evidence Rules

- Your evidence must be from the result of work activities carried out by yourself on at least two significant projects

¹ This will include investigations carried out both by yourself and those commissioned from others.

Unit AB3 Agree a brief

Elements

AB3.1 Assess and present a proposal for a brief

AB3.2 Agree a brief

Unit Commentary

This Unit is relevant to archaeologists responsible for the development of projects on behalf of clients and the agreement of contracts to undertake the project. This function is performed both by internal project managers developing a project on behalf of their own organisation and by external consultants who are likely to be working for non-archaeological organisations. This unit involves formulating a brief for archaeological projects large or small.

The brief may be prepared by the client organisation or their consultant for discussion with internal teams, external contractors or statutory/regulatory bodies. Alternatively, it may be produced by the latter for the purposes of procurement of services from contracting bodies. In the case of large projects, where, for example, a maximum budget has been set by a funding body, the assessment and presentation of a proposal will be particularly important. On small projects this stage (AB3.1) and the agreement of the brief (AB3.2) may be integrated in a single process.

AB3 Agree a brief

AB3.1 Assess and present a proposal for a brief

Performance Required

This will involve:

- a) fully taking into account relevant investigations to establish the **parameters of the brief**, identifying all areas of poor information and uncertainty and obtaining additional valid information to develop a brief
- b) **selecting and analysing** relevant and valid **data** and qualifying its status
- c) confirming proposed project budgets and related financial data are realistic
- d) seeking clear statements of agreement and position from relevant **interested parties**
- e) producing a clear, accurate and unambiguous document setting out a summary of the brief parameters within an agreed timescale and presenting it to **interested parties**

Occupational Context

1 Parameters of the brief:

- client requirements
- user factors
- time factors
- physical factors
- resource factors
- regulatory factors
- cost factors
- community factors

2 Methods for selecting and analysing data:

- comparison with similar projects
- standard checklists
- reference to relevant comparative research

3 Criteria for selecting data:

- critical archaeological parameters
- the scale and sensitivity of the project

4 Interested parties:

- client
- consultants
- contractors
- funding agencies
- statutory and regulatory authorities
- community
- landowners/tenants
- elected representatives

Knowledge Requirements

You need to know and understand how to:

- Select methods to investigate and obtain information and data to establish parameters of briefs
- Identify areas of poor and uncertain information
- Select and analyse relevant and valid data
- Establish the status of data and obtain statements of agreement and position
- Estimate projected project costs and related financial data
- Summarise and present brief parameters

You need to know about:

- Sources of information to establish parameters to briefs
- Types of analytical techniques

AB3 Agree a brief

AB3.1 Assess and present a proposal for a brief

Required Skills

N/A

Evidence Required

You should provide evidence that you can assess and present a proposal for a brief

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

- parameters of the brief
- areas of poor information and uncertainty
- identified additional information
- cost and financial data
- statements of agreement and position from interested parties

Evidence Rules

- The candidate should have been involved in the preparation of at least 2 substantive project briefs

AB3 Agree a brief

AB3.2 Agree a brief

Performance Required

This will involve:

- a) discussing an initial brief with the **contractor** and noting and summarising significant points raised
- b) fully explaining and discussing with the **contractor** and other **interested parties** significant constraints, opportunities and areas of uncertainty within the brief
- c) proposing appropriate and accurate modifications to the initial brief to reflect the outcome of discussions
- d) discussing provisions for subsequent changes to the brief with the **contractor** and other **interested parties**, clearly explaining implications and agreeing and accurately recording decisions

Occupational Context

1 Contractors:

- internal
- external

2 Interested parties:

- client
- consultants
- potential contractors
- funding agencies
- statutory and regulatory authorities
- community
- landowners/tenants

Knowledge Requirements

You need to know and understand how to:

- Present briefs
- Identify, explain and discuss constraints, opportunities and areas of uncertainty within briefs
- Modify and negotiate agreements on briefs
- Identify provisions for and implications of changing briefs
- Explain and discuss constraints, opportunities and areas of uncertainty with contractors and other interested parties

AB3 Agree a brief

AB3.2 Agree a brief

Required Skills

You should demonstrate:

- How to negotiate modifications to a brief

Evidence Required

You should provide evidence that you can agree a brief

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

- Initial briefs presented
- points raised in discussions
- Agreements on briefs negotiated
- provisions for subsequent changes to briefs

Evidence Rules

- The candidate should have been involved in the preparation of at least 2 substantive project briefs

Unit AB4 Estimate resources and develop programmes

Elements

AB4.1 Specify and estimate resources required for the project

AB4.2 Develop programme and schedules for the project

Unit Commentary

This Unit covers the competence of archaeologists to estimate resources and develop programmes for projects. A programme defines the scope of the works and is a scheme worked out to include all the activities needed to achieve the project outcomes, resourced and scheduled.

On large and complex projects the role of the project manager will normally be to direct and verify the activities of specialists and others who will be preparing material at the level of technical detail. On smaller projects or on those that are straightforward, the project manager may well be expected to do all this work themselves.

AB4 Estimate resources and develop programmes

AB4.1 Specify and estimate resources required for the project

Performance Required

This will involve:

- a) agreeing the required degree of accuracy in specifying and estimating resources with clients
- b) realistically estimating, justifying and agreeing the **methods, resources** and time needed to achieve the required project outcomes with clients
- c) verifying that resources required for component project activities are estimated and specified accurately, and sufficient information is provided to facilitate their acquisition
- d) verifying that assumptions on which estimates are based, qualifications and sources are clearly stated
- e) verifying that contingent allowances are clearly identified and are related to comparable experience
- f) ensuring that where adjustments in costs are requested by clients, the consequences are accurately assessed and clients advised
- g) ensuring that estimated resources are consistent with the successful achievement of project outcomes
- h) clearly explaining resource estimates to clients and indicating they meet the specification of requirements

Occupational Context Statement

1 Methods (related to):

- desk-based studies
- field investigations of sites and landscapes
- intrusive
- non-intrusive
- conservation
- artefact studies
- interpretive projects
- educational projects

2 Resources:

- people
- materials
- data
- finance
- equipment
- facilities
- information systems

Knowledge Requirements

You need to know and understand how to:

- Use proprietary spread-sheet packages

You need to know about:

- Order of magnitude estimating - purposes and limitations
- Time/cost/quality relationships
- Direct costs / indirect costs / allowances
- Methods of increasing accuracy of costs and estimates
- Sources of information about good current practice in estimating
- Means of obtaining budget estimates from others
- Methods of determining which areas of estimates have most influence on accuracy of total estimate
- Means of specifying resources in the categories of: finance, human resources; materials; facilities; information

AB4 Estimate resources and develop programmes

AB4.1 Specify and estimate resources required for the project

Required Skills

You should demonstrate:

- How to budget
- How to schedule
- That estimated resources are consistent with successful achievement of project outcomes
- How to communicate resource estimates to clients
- How to obtain budget estimates from others
- The use of spread-sheet packages

Evidence Required

You should provide evidence that you can specify and estimate resources required for the project that includes:

- agreement on degree of accuracy required
- estimation of time and cost of preparing specifications and estimates
- methods used for estimating
- specifications of types of resources related to component activities in work breakdown structure
- assumptions made, estimates qualified and sources of estimates
- contingencies provided for
- adjustments requested by client
- estimates presented to clients

Evidence Rules

- The candidate should have been involved in at least 3 substantive projects submitted for approval

AB4 Estimate resources and develop programmes

AB4.2 Develop programme and schedules for the project

Performance Required

This will involve:

- a) agreeing the required **degree of accuracy** of the programme and schedules with clients
- b) estimating, justifying and agreeing with clients the resources and time needed to achieve the required outcomes of the project and schedules
- c) verifying that programme **links** between component activities are correctly identified
- d) where reductions in duration are requested by clients, analysing scope for changes to identify the most significant areas for reduction
- e) verifying that schedules are mutually compatible with impinging programmes
- f) agreeing programme with clients in a manner conducive to their continuing support

Occupational Context

1 Degree of accuracy:

- related to requirements for control of resources
- compliance with project objectives
- compliance with external factors (legal, regulatory, funding)

2 Links:

- chronological
- inter-dependence
- hierarchical

Knowledge Requirements

You need to know and understand how to:

- Deal with uncertainty
- Schedule resources - determined by demand

You need to know about:

- Methods of preparing and structuring programmes and schedules
- Significance of terms used in planning and scheduling
- Dependencies and restraints between starts and ends of activities
- Proprietary computer based planning tools

AB4 Estimate resources and develop programmes

AB4.2 Develop programme and schedules for the project

Required Skills

You should demonstrate:

- How to work with clients and colleagues to achieve agreed ends
- How to budget
- How to schedule
- How to justify and verify methods used for budgeting and scheduling
- The use of computer planning tools

Evidence Required

You should provide evidence that you can develop programme and schedules for the project that includes:

- estimates of costs involved in programming
- choices of planning tools and methods
- project programmes and component activity schedules
- links between programmes, schedules and work breakdown structure
- clients changes accommodated
- final project programme

Evidence Rules

- The candidate should have been involved in at least 3 substantive projects submitted for approval

Unit AB5 Co-ordinate the procurement process

Elements

- AB5.1 Agree a procurement procedure**
- AB5.2 Evaluate and select potential suppliers**
- AB5.3 Obtain tenders**
- AB5.4 Select suppliers**

Unit Commentary

This Unit is relevant to archaeologists responsible for the development of projects on behalf of clients and the agreement of contracts to undertake the project. This function is performed both by internal project managers developing a project on behalf of their own organisation and by external consultants who are likely to be working for non-archaeological organisations. This Unit is about the co-ordination of the tendering process.

The tendering process involves agreeing the procurement procedures with the client, drawing up a tender list (where this is applicable), obtaining tenders and advising on the selection of tenderers. The Unit is applicable for tenders for works, for supplies and for services (which can include professional services).

The Unit is specifically concerned with open competitive tendering and single negotiation, however, other standard methods of procurement may be used.

AB5 Co-ordinate the procurement process

AB5.1 Agree a procurement procedure

Performance Required

This will involve:

- a) identifying and agreeing feasible and realistic procurement objectives and options
- b) identifying and evaluating a range of **procurement methods** capable of meeting project key objectives against appropriate **criteria**
- c) selecting, recommending and agreeing the most effective procurement method with the client and other interested parties
- d) ensuring that the agreed procurement method meets **client constraints** and relevant **legal and statutory requirements**
- e) agreeing and confirming the **procurement method** selected and appropriate implementation procedures

Occupational Context

- 1 **Procurement methods:**
 - single tender or negotiation
 - competitive tender
 - two-stage tender
- 2 **Evaluation criteria:**
 - degree of risk
 - relative cost
 - timescales
 - complexity
 - quality
- 3 **Clients' constraints:**
 - mandatory
 - advisory
- 4 **Legal and statutory requirements:**
 - common law
 - contract law
 - regulations, codes of practice and procedure

Knowledge Requirements

You need to know and understand how to:

- Identify and agree procurement objectives and options
- Identify and evaluate a range of procurement methods
- Select the most effective procurement method

You need to know about:

Procurement options

- Normal types and methods of procurement
- How to evaluate what methods of procurement best suit different types of project, taking account of complexity, value and timescale for completion
- Client requirements and preferences for procurement routes

Procurement methods

- The costs, risks and benefits of alternative methods of procurement
- Standard procurement procedures applying to different methods of procurement
- Legal and regulatory requirements applying to particular categories of client and project type (including EU legislation)
- The archaeologist's duties and responsibilities as they apply to different forms of procurement
- Legal and ethical issues applying to the conduct of the procurement process

AB5 Co-ordinate the procurement process

AB5.1 Agree a procurement procedure

Required Skills

N/A

Evidence Required

You should provide evidence that you can agree a procurement procedure

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

- selected, recommended and agreed the most effective procurement method with the client
- identified and agreed procurement objectives and options
- identified and evaluated a range of procurement methods
- verified that the procurement method meets client constraints and relevant legal and statutory requirements
- agreed and confirmed the method selected and appropriate implementation procedures

Evidence Rules

- The candidate should have been involved in the procurement of works, good and services

AB5 Co-ordinate the procurement process

AB5.2 Evaluate and select potential suppliers

Performance Required

This will involve:

- a) identifying potential tenderers and providing preliminary **tender** information in accordance with agreed procurement procedures and **statutory requirements**
- b) identifying and inviting interested tenderers who are potentially capable of meeting the contract specification to provide relevant **background information** to substantiate their capabilities
- c) devising and agreeing relevant and valid **criteria** for weighting and performance rating potential tenderers in order to select a shortlist,
- d) offering the client additional relevant and objective information about potential tenderers to assist their selection
- e) ensuring that the number of **tenders** to be invited is appropriate to the contract size and value and recommending and agreeing the list with the client and other interested parties
- f) promptly contacting potentially suitable tenderers and confirming their willingness to bid
- g) in cases where potential tenderers decline an invitation, adding additional contractors who meet minimum criteria to the list

Occupational Context

1 Type of tender:

- single negotiated
- open competitive
- fixed price
- fixed price with contingency provision
- estimate
- hourly/day rates
- two stage

2 Statutory requirements in tendering:

- compulsory competitive tendering
- European Union requirements

3 Provision of background information:

- documentary
- references
- interview

4 Selection criteria:

- workforce with appropriate skills
- perceived added value (including professional reputation of potential suppliers)
- acceptability of known sub-contracting arrangements
- acceptability to client
- acceptability to statutory/regulatory authorities
- financial resources
- references from previous clients and Bankers

Knowledge Requirements

You need to know and understand how to:

- Identify potential tenderers
- Devise criteria for comparing potential tenderers

You need to know about:

Tendering

- Types of tender and their applicability to different forms of procurement
- Sources of information on potential tenderers
- Legal and statutory controls on tendering procedures
- Methods of evaluating capability and performance of potential tenderers

Tendering procedures

- Standard procedures for main types of tender arrangement
- Relevant criteria for shortlisting potential tenderers
- The archaeologist's duties and responsibilities for advising on and co-ordinating tendering arrangements

AB5 Co-ordinate the procurement process

AB5.2 Evaluate and select potential suppliers

Required Skills

N/A

Evidence Required

You should provide evidence that you can evaluate and select potential suppliers

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

- ensured that the number of tenders to be invited is appropriate to the contract size and value
- recommended and agreed the list
- identified and invited potential tenderers
- devised and agreed relevant and valid criteria to select a shortlist

Evidence Rules

- The candidate should have been involved in the procurement of works, good and services

AB5 Co-ordinate the procurement process

AB5.3 Obtain tenders

Performance Required

This will involve:

- a) ensuring that **tender enquiry documentation** complies with statutory regulations, codes of practice and organisational policy and contains complete and accurate descriptions of the technical requirements, contract terms and conditions and procedures for submission
- b) ensuring that **tender** enquiry documents are issued to all tenderers on the agreed list in accordance with agreed procedures and timetables
- c) acknowledging **queries** from **tenderers** promptly and providing additional clear and accurate information where requested)
- d) investigating comments from **tenderers** which indicate problems with clarity of documentation, technical feasibility or tender period and making appropriate **amendments** to the documentation)
- e) communicating additional information, clarification and **amendments** to all **tenderers** promptly and fairly)
- f) recording feedback and queries from **tenderers** accurately and advising client and other consultants of necessary **amendments** and tender withdrawals

Occupational Context1

1 Tender enquiry documents:

- invitation to tender
- form of tender
- proposed form of contract and terms and conditions
- supporting and background documentation
- returns procedure
- specifications
- schedules
- health and safety plan

2 Type of tender:

- single negotiated
- open competitive
- fixed price
- fixed price with contingency provision
- estimate
- hourly/day rates
- two stage

3 Type of tenderer:

- for works
- for supplies
- for services (including professional services)

4 Type of query:

- technical (quantity / quality / standards)
- timetable / programme
- price(including contingency provisions)
- liability
- method / terms of payment
- contract terms and condition

5 Amendments:

- extension to tender period
- changes resulting from queries

Knowledge Requirements

You need to know about:

Tendering procedures

- Legal and statutory controls on tendering procedures
- Standard procedures for documenting and conducting main types of tender
- The archaeologist's duties and responsibilities for advising on and co-ordinating tendering arrangements

AB5 Co-ordinate the procurement process

AB5.3 Obtain tenders

Required Skills

You should demonstrate:

- How to produce tender enquiry documentation

Evidence Required

You should provide evidence that you can obtain tenders

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

- issued tender enquiry documents
- acknowledged queries from tenderers
- provided additional information where requested

Evidence Rules

- The candidate should have been involved in the procurement of works, good and services

AB5 Co-ordinate the procurement process

AB5.4 Select suppliers

Performance Required

This will involve:

- a) verifying that returned **tenders** are stored securely and opened on the due date in accordance with the prescribed organisational procedures and **legal requirements**
- b) rejecting all **tenders** returned after the due date which have not been granted extensions
- c) selecting for evaluation **tenders** which are estimated, costed and calculated accurately, comply with specified requirements and meet financial criteria
- d) clarifying with the tenderer any discrepancies, omissions and errors in **tenders** selected for evaluation
- e) evaluating selected tenders accurately against the agreed **criteria** and selecting, recommending and agreeing the tender which best meets the criteria with interested parties
- f) confirming clients' and tenderers' ability to meet their obligations under the proposed form of contract
- g) negotiating and agreeing variations with selected **tenderer** where required and involving others as appropriate
- h) confirming the client's acceptance of the successful **tender** and informing unsuccessful **tenderers** and interested parties of the outcome of the selection process
- i) where insufficient tenders are obtained to demonstrate adequate competition, suitably modifying and repeating the tendering process

Occupational Context

- 1 **Type of tender:**
 - single negotiated
 - open competitive
 - fixed price
 - fixed price with contingency provision
 - estimate
 - hourly/day rates
 - two stage
- 2 **Legal requirements:**
 - statutes
 - codes of practice and procedure
- 3 **Evaluation criteria:**
 - quality (including strength of project team)
 - methodology
 - cost
 - timescale
 - others specified in the tender invitation

Knowledge Requirements

You need to know and understand how to:

Tendering procedures

- Evaluate selected tenders against agreed criteria and agreeing the tender which best meets these criteria
- Ensure that security and confidentiality procedures are followed
- Select tenders for evaluation
- Communicate in an appropriate fashion with both successful and unsuccessful tenderers

You need to know about:

Tendering procedures

- Legal and statutory controls on tendering procedures
- Standard procedures for documenting and conducting main types of tender
- The archaeologist's duties and responsibilities for advising on and co-ordinating tendering arrangements

AB5 Co-ordinate the procurement process

AB5.4 Select suppliers

Required Skills

You should demonstrate:

- How to ensure that appropriate procedures are followed throughout the tendering process
- How to negotiate and agree variations to tenders

Evidence Required

You should provide evidence that you can select suppliers

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

- evaluated selected tenders
- agreed the tender which best meets the criteria
- confirmed the clients' and tenderers' ability to meet their obligations

Evidence Rules

- The candidate should have been involved in the procurement of works, good and services

Unit AB6 Prepare and agree the contract

Elements

AB6.1 Recommend and agree a form of contract

AB6.2 Prepare contract

AB6.3 Negotiate and conclude a contract

UNIT COMMENTARY

This Unit is relevant to archaeologists responsible for the development of projects on behalf of clients and the agreement of contracts to undertake the project. This function is performed both by internal project managers developing a project on behalf of their own organisation and by external consultants who are likely to be working for non-archaeological organisations. This Unit is about your role in advising the client on the selection of a suitable form of contract and your subsequent action in preparing the contract forms and negotiating details with prospective suppliers. It is specifically concerned with the use of standard forms of contract and not with the drafting of one-off or complex forms which are properly the domain of legal specialists.

In order to negotiate and conclude a contract you will need to be clear about the expectations of both parties and aware of the limits of your authority to vary contract terms and conditions. Your negotiations will need to be conducted in a manner that maintains goodwill and trust between the parties. And, at the conclusion of the negotiations you will be responsible for ensuring that all contract documentation is complete and accurate, complies with normal contract requirements and is processed in accordance with best practice.

AB6 Prepare and agree the contract

AB6.1 Recommend and agree a form of contract

Performance Required

This will involve:

- a) identifying the **parties** to and the purpose of the contract
- b) selecting, with others where appropriate, a **form of contract** which is appropriate to the client's needs and project requirements and making a clear and realistic recommendation to the client
- c) confirming, with others where appropriate, that the **form of contract** selected and recommended is matched realistically to the client's objectives for performance, time, cost and quality
- d) giving the client an opportunity to comment and seek clarification and providing clear and accurate information and advice on related contractual issues
- e) recommending a **form of contract** which is fit for the purpose, legally valid and enforceable

Occupational Context

1 Parties to contracts:

- client
- employer
- contractor
- identified third parties

2 Forms of contract (as recommended by):

- sector bodies
- professional institutions
- central and local government and related agencies

Knowledge Requirements

You need to know about:

Forms of contract

- Principle types and forms of contract relevant to procurement of works, supplies and services (including professional services)
- Characteristics and merits of different forms of contract in the context of different project and client contexts
- Archaeologist's duties and responsibilities in providing advice on contracts
- Sources of expert support and advice on contracts

AB6 Prepare and agree the contract

AB6.1 Recommend and agree a form of contract

Required Skills

You should demonstrate:

- How to identify the purpose of the contract
- How to select the most appropriate type of contract.
- How to communicate recommendations and deal with feedback from the client
- How to recommend a form of contract fit for the purpose, legally valid and enforceable

Evidence Required

You should provide evidence that you can recommend and agree a form of contract s

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

- selected and recommended a form of contract which is fit for the purpose, legally valid and enforceable

Evidence Rules

- The candidate should have been involved in the preparation of contracts for at least 2 substantive activities

AB6 Prepare and agree the contract

AB6.2 Prepare contract

Performance Required

This will involve:

- a) verifying, with others where appropriate, that the **form of contract**, clauses and documentation selected are valid, suitable for purpose and the **type of procurement** proposed
- b) making legitimate modifications to standard forms to ensure that the contract is matched to client and project requirements and the proposed form of procurement
- c) verifying that particulars and preliminaries incorporate completely the needs of the client, supplier and identified third parties
- d) confirming that the contract, clauses, appendices and amendments are complete, legally valid and comply with statutory requirements
- e) seeking advice, as appropriate, on modifications and amendments to standard forms and on the implications of drafting non-standard contracts, clauses and documents and clearly explaining the outcome to the client, supplier and identified third parties
- f) making checks and obtaining approvals for contract documentation which are necessary and sufficient

Occupational Context

1 Forms of contract (as recommended by):

- sector bodies
- professional institutions
- central and local government and related agencies

2 Type of procurement:

- competitive tender - limited competition (select list), open competition
- non-competitive - negotiation, extension of contract

3 Types of Tender

- fixed price
- fixed price with contingency provision
- estimate
- hourly/day rates

Knowledge Requirements

You need to know about:

Forms of contract

- Principle types and forms of contract relevant to procurement of works, supplies and services (including professional services) in the construction industry
- Characteristics and merits of different forms of contract in the context of different project and client contexts
- Archaeologist's duties and responsibilities in providing advice on contracts
- Sources of expert support and advice on contracts

Contract law

- Principles of contract

Amendments and variations

- Allowable amendments and variations to standard forms of contract within the construction industry

AB6 Prepare and agree the contract

AB6.2 Prepare contract

Required Skills

You should demonstrate:

- How to modify the contract to suit the needs of your organisation, the client, supplier and form of procurement
- That the contract, clauses, appendices and amendments are complete, legally valid and comply with statutory requirements

Evidence Required

You should provide evidence that you can prepare a contract

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

- verified that the form of contract, clauses and documentation selected are valid, suitable for purpose and the form of procurement proposed

Evidence Rules

- The candidate should have been involved in the preparation of contracts for at least 2 substantive activities

AB6 Prepare and agree the contract

AB6.3 Negotiate and conclude a contract

Performance Required

This will involve:

- a) conducting negotiations in a manner which maintains goodwill and the co-operation of the parties, involving others as appropriate
- b) negotiating and agreeing contract terms, conditions and **amendments** with all relevant parties and accurately recording outcomes
- c) ensuring that sufficient copies of final contract documentation are prepared, signed, complete and accurate and meet **regulatory and legal requirements**
- d) identifying the **obligations** of all the parties and obtaining acceptable proof these can be met at identified stages in the programme
- e) confirming, with others where appropriate, that documentation relating to the contract is complete, accurate notified to relevant parties and secure

Occupational Context

1 Contract amendments:

- allocation of risks and responsibilities
- structure of contract
- key instructions
- insertions and deletions

2 Regulatory and legal requirements:

- statutes
- codes of practice and procedure
- common law

3 Obligations:

- payments and retentions
- insurances
- bonds
- warranties
- statutory approvals
- financial guarantees

Knowledge Requirements

You need to know about:

Forms of contract

- Principle types and forms of contract relevant to procurement of works, supplies and services (including professional services) Characteristics and merits of different forms of contract in the context of different project and client contexts
- Archaeologist's duties and responsibilities in providing advice on contracts
- Sources of expert support and advice on contracts

Contract law

- Principles of contract
- Case law as it applies to standard forms of contract

Amendments

- Allocation and assignment of risk
- Allowable amendments and variations to standard forms of contract

Contract obligations

- Acceptable proof regarding:
- Payments and retentions
- Insurances
- Bonds
- Warranties
- Statutory approvals
- Financial guarantees

AB6 Prepare and agree the contract

AB6.3 Negotiate and conclude a contract

Required Skills

You should demonstrate:

- How to negotiate and agree contract terms, conditions and amendments

Evidence Required

You should provide evidence that you can negotiate and conclude a contract

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

- negotiated, agreed and confirmed contract terms, conditions and amendments
- ensured that contract is compliant with requirements

Evidence Rules

- The candidate should have been involved in the preparation of contracts for at least 2 substantive activities