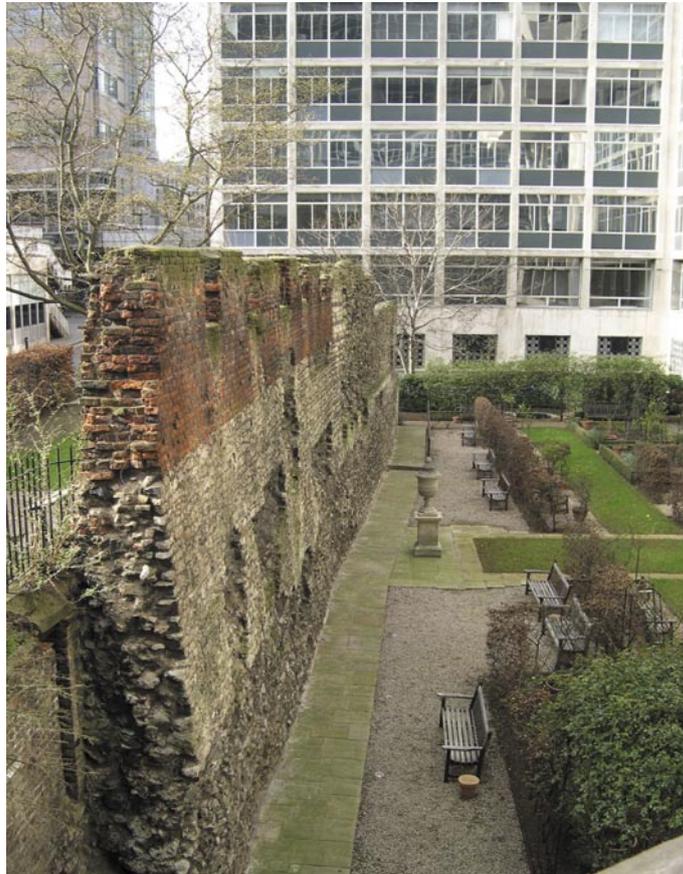


# ARCHAEOLOGY

in the City of London



## Archaeology Guidance



CORPORATION  
OF LONDON

Department of Planning & Transportation



City wall, Goring Street

MOLAS

Cover: City wall, St. Alphage Garden. COL

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Including a flow diagram showing how different stages of archaeological work relate to the planning process

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## **Acknowledgements**

## **Contacts**

# Archaeological Advice & Planning Applications

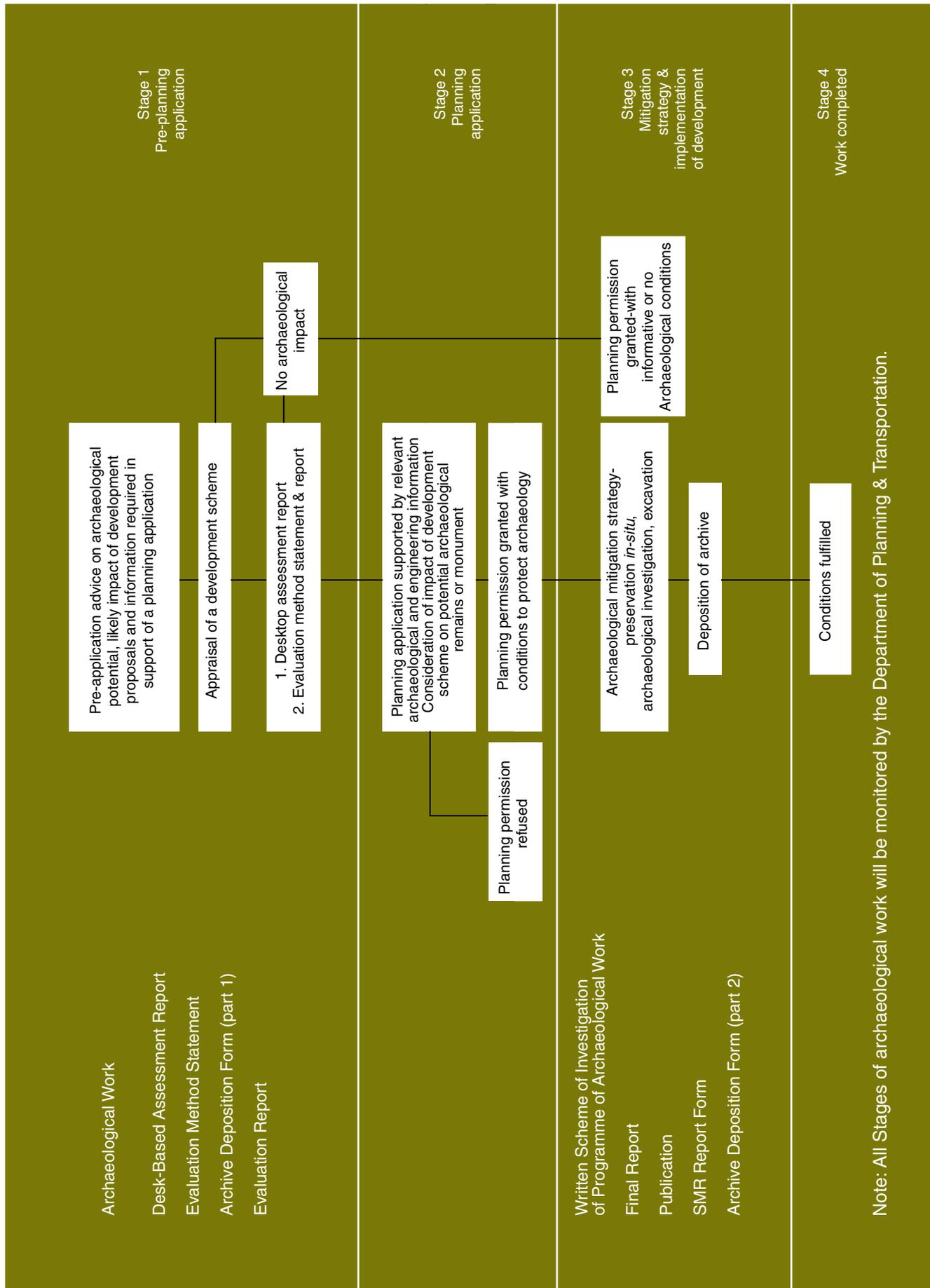


Figure 1

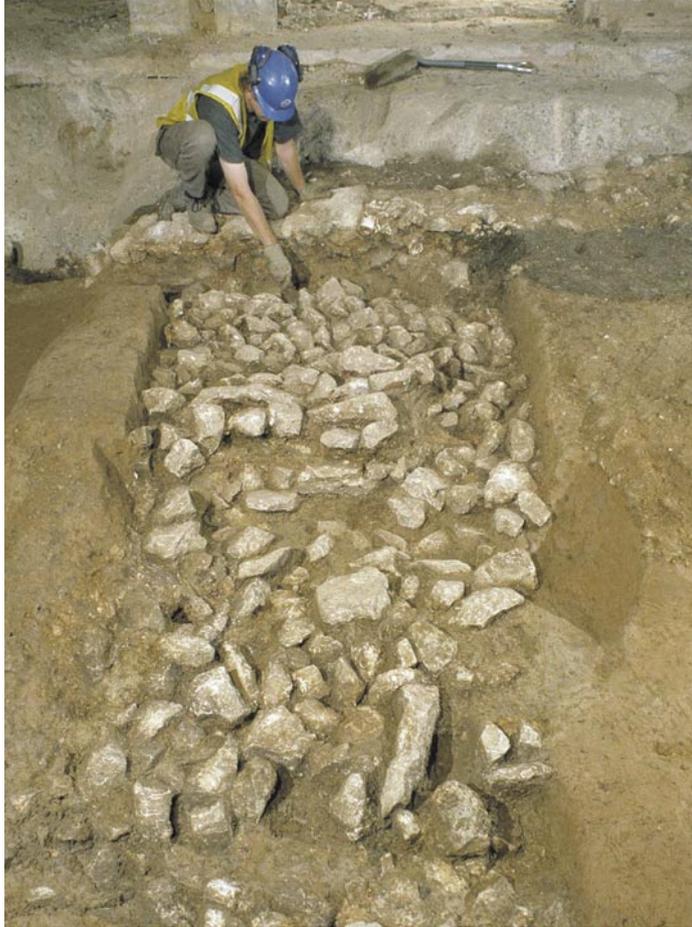
# Introduction

This planning advice note sets out guidance to be followed for archaeological work carried out in the City of London. It covers all stages of archaeological work: assessment, evaluation, geotechnical investigations which may affect archaeological remains, archaeological investigation, recording and excavation, post excavation work, publication, and archiving.

The guidance is based on that written by the English Heritage Greater London Archaeology Advisory Service, but differs where advice specific to the City of London is relevant.

This Planning Advice Note 3 revises and supercedes Planning Advice Note 3, Archaeological Assessment (1996).

The flow chart (*Figure 1*) illustrates different stages of archaeological work and how they relate to the planning process.



Fort wall, 25 Noble Street

*MOLAS*

# Archaeological Assessment

## Introduction

Planning Policy Guidance: Archaeology and Planning (PPG 16) gives advice on archaeology in the planning process. The advice states:

“The desirability of preserving an ancient monument and its setting is a material consideration in determining planning applications whether that monument is scheduled or unscheduled. Developers and local authorities should take into account archaeological considerations and deal with them from the beginning of the development control process.” (Paragraph 18).

It also states: “Where nationally important archaeological remains, whether scheduled or not, are affected by proposed development there should be a presumption in favour of their physical preservation.” (Paragraph 8).

The Corporation of London Unitary Development Plan (UDP), 2002 contains policies relating to archaeological remains and sites with archaeological potential. Policy ARC 1 states: “To require planning applications which involve excavation or groundworks on sites of archaeological potential to be accompanied by an archaeological assessment and evaluation of the site including the impact of the proposed development”. This will apply to sites in areas of archaeological potential and where an application for planning permission, listed building consent or conservation area consent may have implications for surviving archaeological remains.

PPG 16 states that local authorities can expect developers to provide the results of such assessments and evaluations as part of their application for sites where there is good reason to believe there are remains of archaeological importance. (Paragraph 22). It will not be possible to determine the application without the relevant archaeological information.

## Archaeological Desktop Assessment

A desk-top assessment should be prepared prior to the submission of the application in order that the archaeological implications of the alterations or development can be fully considered.

The information will enable the Department of Planning & Transportation to consider the proposals and to reach an informed decision.

The assessment will enable consideration of the archaeological potential of the site in conjunction with other planning, listed building or conservation area matters. It should be an assessment of published and unpublished archive and historical material and indicate the presence of archaeological remains on the site and their nature, character, quality, date and extent. Prior to determination of any application, additional evaluation trial work, on site, may be required in order to further assess the presence or absence of remains, their extent, nature, quality and character.

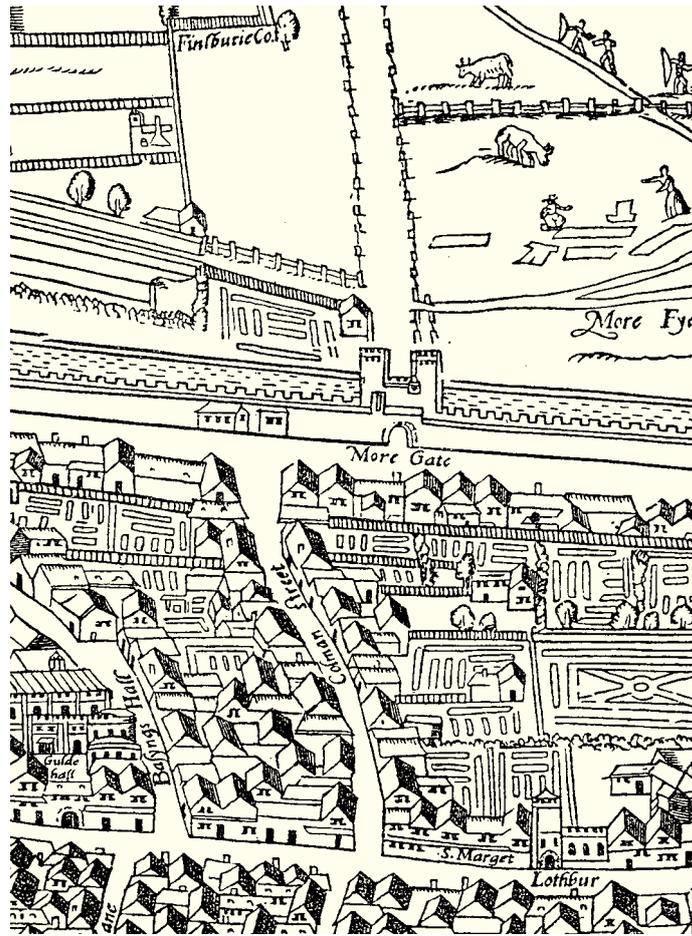
The Department of Planning & Transportation can advise of organisations which would be able to carry out both assessment and archaeological work.

There is a presumption in favour of preservation *in-situ* of nationally important archaeological remains, whether scheduled or not (PPG 16 paragraph 8). In some cases, unscheduled remains and monuments of local, regional and national importance may be considered worthy of preservation *in-situ* (PPG16 paragraph 16). On such sites, the results of assessment and evaluation should influence the design of the development in order to preserve or protect a monument or remains. This may be achieved through limited basement coverage or sympathetic foundation design. Conservation proposals, or proposals for enhancement and interpretation that could be carried out by the applicant as part of the development may also be identified.

Some development schemes will have minimal archaeological implications where existing basements or foundations are reused, or where

archaeological remains may not survive on the site. In such cases, the applicant will be requested to provide relevant information prior to, or at the time of making a planning, conservation area or listed building consent application.

Where a site includes a Scheduled Ancient Monument, additional legislative procedures apply and specific advice will be given. Scheduled Monument Consent is required for works affecting a scheduled ancient monument or its setting, and is obtained from the Department for Culture, Media and Sport. Application forms and guidance are available from the Inspector of Ancient Monuments at English Heritage, London Region, who should be consulted prior to making an application.



Agas map c.1562

Guildhall Library

## Desk-top assessment

The assessment should consider the archaeological potential of the site and the impact of any development proposals on surviving monuments or remains. The following information should be provided and relevant sources consulted. Where more detailed, or specific information is required, this will be drawn to the applicant's attention.

1. The archaeological, environmental, topographical and historical significance of the site in the context of the City of London, and its local, regional or national context should be considered. This will involve:

- Geological maps.

Assessment of trial pit and borehole data from the site, where available, and in the immediate vicinity. This data should be marked on a plan.

Other geophysical or geotechnical data.

- Plans and maps of the site and its immediate environs, including medieval and early modern pictorial and surveyed maps. For example, Agas c.1562, Ogilby and Morgan 1676, Roque 1746, Horwood 1780, and Ordnance Survey, 1st series and subsequent series, including pre- and post-war, as appropriate. A plan of the site on an Ordnance Survey base at a scale of 1:1250. Plans of Roman and medieval London, using published or unpublished sources, will also be relevant.

Goad's Fire Insurance Maps, for example, 1886, 1930, held in Guildhall Library.

Historical documents held in museums, libraries or other archives, for example Guildhall Library, Corporation of London Record Office and the London Metropolitan Archive.

Historic views, including paintings, drawings and photographs. Contemporary photographs of the site may also be useful.

- Unpublished research reports and archives, held by The London Archaeological Archive and Research Centre at the Museum of London. Methodology and results of archaeological work already carried out on the site and sites in the immediate environs. A summary of archaeological evidence with references and sites illustrated on a plan should be included. Where more detailed or specific information is required, this will be drawn to the applicant's attention. Any constraints on this information should be noted, such as the type of observation or investigation, limited site access, antiquarian observation or unprovenanced reports.

In some cases, site conditions inferred from adjacent or similar sites can help to predict the nature and character of surviving remains.

- Survey drawings of the ground and basement floors of the existing building or previous buildings on the site, with levels and sections, including foundations. Where appropriate, reference to the planning history should be made including any planning application or listed building consent drawings.

The Greater London Sites and Monuments Record, (GLSMR) held by English Heritage.

[www.english-heritage.org.uk](http://www.english-heritage.org.uk)

Trade and Business Directories.

Listed buildings or Scheduled Ancient Monuments on the site or adjacent to it.

Tree Preservation Orders.

- Any other relevant information, for example from a site visit. This may include details of access and the current use of the building.

Any constraints on these sources should be noted, for example, where primary information is not available or is unreliable.

2. Areas of archaeological potential on the site should be assessed including the type, likely date, nature and depth of remains, variations in the depth and extent of their quality and quantity across the site.
  - The topography of the site should be described and shown on a plan. The academic and research potential of the remains should also be assessed with reference to current or potential proposed research themes.
  - The degree of disturbance or destruction by existing or previous buildings or other structures on the site should be indicated. These may include basements, foundations, slab thickness, inspection pits, services, tunnels, etc. Contaminated areas should be defined, the degree of contamination assessed and any constraints on safe archaeological investigation established.
  - Areas of archaeological survival and areas considered to have been destroyed on the site should be indicated on an Ordnance Survey plan at a scale of not less than 1:500. This should also be shown in section.

The impact of any development proposals on the site should be assessed, with reference to the architect's, engineer's and planning application drawings, as appropriate. Areas of proposed ground disturbance should be clearly indicated on plan and in section.

- Proposals for further evaluation work, for example, trialwork or other investigations in specific areas in order to assess the survival, condition and nature of any monument, building or remains which may survive on the site or its immediate vicinity should be made where appropriate. They should be shown on a scaled plan.
- Details of how development proposals are to be designed in order to minimise disturbance to surviving remains, for example, site coverage, basements and foundations. Areas where preservation *in-situ* is to be achieved should be clearly marked. This should be accompanied by a method statement outlining details of safeguarding and preservation and any long term management or monitoring.
- The local, regional, national or international importance of the archaeological resource should be assessed with regard to the above and with reference to Secretary of State's Criteria for Scheduling, see PPG 16 Archaeology and Planning, Annex 4.

3. Bibliography and sources consulted.



St. Ethelburga, Bishopsgate  
14th or 15th century doorway, later narrowed.

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## Introduction

Archaeological evaluation may be required to provide additional archaeological information, to inform foundation design or basement configuration of a development proposal. It is used to verify conclusions of an assessment and provide qualitative data on the nature, extent, date and character of the archaeological resource. Where appropriate, applicants will be required to carry out archaeological evaluation prior to a decision in areas of archaeological potential and where the proposed application has implications for surviving archaeological monuments or remains. It may not be possible to determine the application without the relevant archaeological information. It should be noted that questions about the archaeological potential of a site, or the impact of the proposed development may remain, even after initial appraisal and detailed desk-based assessment.

In accordance with advice set out in Planning Policy Guidance Note 16 (PPG16) and policy in the COL UDP 2002, archaeological evaluation on site may be necessary in order to assess the presence or absence of archaeological remains, their extent, nature, quality, date and character, in relation to the impact of the proposed development and to inform planning or listed building consent applications. The evaluation will follow a desk-based assessment of the archaeological potential of a site and assessment of the proposed impact. The brief for the work should be agreed by the Department of Planning and Transportation.

“It is normally a rapid and inexpensive operation, involving ground survey and small-scale trial trenching, but it should be carried out by a professionally qualified archaeological organisation or archaeologist.” PPG16, paragraph 21

## Purpose

The Standard and Guidance for Archaeological Field Evaluations (IFA, 1994) defines the purpose of Field Evaluation as the need to gain information about the archaeological resource in order to contribute to the:

- formulation of a strategy for the preservation or management of those remains; and/or
- formulation of an appropriate response or mitigation strategy to planning applications or other proposals which may adversely affect such archaeological remains, or enhance them; and/or
- formulation of a proposal for further archaeological investigations within a programme of research.

## Objectives and types of evaluation

The objectives of archaeological evaluation should be set out in a project design agreed by the Department of Planning and Transportation before work begins. Evaluation can be non-intrusive, for example, geophysical, chemical or survey techniques, as well as intrusive, for example, auger, borehole, monitoring of geotechnical work, test pits or trenches.

## Scale and nature of evaluation

There is no single evaluation methodology appropriate for all situations. All field-work should follow the Archaeology Guidance. It is important to identify potential archaeological remains and site constraints, in the form of modern intrusions such as deep basements and foundations, before designing an appropriate evaluation strategy.

Where appropriate, the evaluation should focus on the known or presumed impact of development proposals. There should be clear research objectives with a prediction of what the evaluation methodology can achieve, in order to assess the likely impact on archaeological remains and to help design an appropriate mitigation strategy.

In reporting the results of evaluation work, the accuracy of the original expectations and the appropriateness of the method should be assessed in order to illustrate what level of confidence can be placed on the information that will provide the basis of the mitigation strategy.

## Methods to be considered in designing an appropriate evaluation strategy

- contour survey
- metal detecting
- auger survey
- borehole investigation (core samples)
- fieldwalking
- chemical analysis
- geophysical techniques
- test pits (including monitoring geotechnical investigation)
- single item samples
- trench excavation - random or targeted to answer specific questions of expected archaeological features
- trench excavation - targeted to expected archaeological features



Bull Wharf Lane, Upper Thames Street

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## Project Design for Archaeological Evaluations

(Adapted from IFA Standard and Guidance for Archaeological Field Evaluations, 1994, 3.2.19)

- Site location plan at a scale of 1:1250, located to the National Grid Reference
- Scale plan of site with location of proposed impact, if known
- Geological and topographical background
- Archaeological and historical background
- Statement of expectation, using criteria for assessing national importance of; period, relative completeness, condition, rarity and group value
- Research objectives for archaeology, by period (in the form of questions)
- Statement of site-specific evaluation and field methodology
- Location of the areas for evaluation including reason and justification
- Method of recording (from identification only, single item samples, sample excavation, or bulk samples)
- Post excavation fieldwork methodology including finds and sample collection strategy
- Report preparation, contents, and proposed distribution
- Copyright
- Archive deposition
- Publication and dissemination proposals in addition to site report
- Timetable
- Staffing including relevant specialists
- Health & Safety arrangements
- Legislative or other constraints or caveats
- Monitoring procedures
- Contingency arrangements

## Evaluation report

The report should be completed and submitted within 6 weeks of completion of fieldwork.

### Frontispiece

- Site name and address
- GLSMR number
- Title of report
- Organisation and author
- Date of report
- Site code
- Ordnance Survey national grid reference

1. Contents list
2. Summary - non technical
3. Introduction
4. Planning background
5. Previous work(s) relevant to archaeology of site
6. Geology and topography of site
7. Research objectives
8. Methodology of site-based and off-site work
9. Results and observations, quantitative (including constraints of site, see below). Appropriate mitigation strategy
10. Assessment of results against original expectations (using criteria for assessing national importance of; period, relative completeness, condition, rarity, and group value) and review of evaluation strategy
11. Statement of potential of archaeology
12. Conclusions and recommendations for appropriate mitigation strategy
13. Publication and dissemination proposals in addition to site report
14. Archive deposition
15. Bibliography
16. Acknowledgements
17. Sites & Monuments Record form

In this way, the two complementary parts of prediction and results can work actively together to define the most appropriate mitigation strategy, whether that be preservation *in-situ* or excavation or a combination of both.

**Site constraints which may influence investigation strategy and reporting**

- was access to the building or site limited or were some areas inaccessible and for what reasons?
- were test pits placed in optimum areas with regard to objectives of evaluation, such as type and character of archaeological survival predicted in archaeological assessment; extent of foundations, or potential impact of development proposals?
- were test pit locations altered? If so, for what reasons, e.g., obstructions, drainage, access?
- were test pits located away from areas of potential impact for access reasons? will the results need to be interpreted and extrapolated?
- is the evaluation part of a phased evaluation, and what is the reason for this? For example site history, changes to scheme, part of a programme of geotechnical and archaeological evaluation?



Whitefriars, 1346 river wall

*Pre-Construct Archaeology Ltd.*

# Post Excavation & Updated Project Design Reports

## Reports

Reports are prepared for submission in support of planning applications, to inform the decision making process, as part of the reporting process following archaeological investigation and to satisfy conditions of a planning permission.

All archaeological reports submitted with a planning application or submitted pursuant to a condition of a planning permission, will be public documents. Archaeological reports are also sent to the Greater London Sites and Monuments Record for inclusion in the regional database and library. Reports are also available in Guildhall Library.

Reports should follow a similar format for ease of access as set out below. Where post-excavation assessment and analysis stages are necessary, E.H. Management of Archaeological Projects 2 (MAP2) guidance should always be followed.

The format for publication should follow the requirements of the individual journal or publishing house (see Archaeology Publication).

### Suggested format of archaeological reports

#### Frontispiece

Site name  
City of London  
GLSMR Number (if applicable)  
Planning Application Number  
Site Code  
Ordnance Survey national grid reference

#### Title of report

e.g. Archaeological Assessment Report  
Impact Assessment Report  
Evaluation Report  
Archaeological Evaluation of Geotechnical Investigations  
Excavation Report  
Archaeological Watching Brief Report

### Organisation

#### Author

#### Date of report

1. Index
2. Summary non-technical
3. Introduction
4. Planning background
5. Previous work relevant to archaeology of the site
6. Geology and topography of site
7. Research objectives
8. Methodology of site-based and off-site work
9. Results/observations-quantitative
10. Potential of archaeology/observations to answer research objectives
11. Publication proposals
12. Archive deposition
13. Conclusions
14. Bibliography
15. SMR form



Medieval Boss Lane, Millennium Bridge

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# Archaeological Publication

## Function

The report of archaeological investigations should sum up what is already known at this stage and what further work will be required to present the results of recording and analysis. For larger projects, it is a commitment and an opportunity to state what level of work can be achieved within a given timetable. Approval and agreement of the programme may therefore lead to the fulfilling of a condition of a planning consent, upon completion of all subsequent work leading to publication and archiving.

## Format

The principal of the post-excavation assessment and updated project design is established by English Heritage in MAP 2. This stage of archaeological work should be seen as transitional and as a gateway to the substantive analysis and publication of the results. It should be a short executive summary, and be backed up by tables and appendices where appropriate. It should concentrate on research objectives which can be achieved through realising the potential of the integrated results and result in a targeted and resourced publication and dissemination proposal. Where new or additional analytical techniques are relevant, these should be put forward with a brief justification. It is not appropriate to include unsynthesised data.

<b>Title page</b>	Address, site codes, Registered plan number, author, and date
<b>Executive summary</b>	Plain English description of the major findings of the investigation; how these and further work can answer the research questions
<b>Contents</b>	List of subtitles and page numbers
<b>Introduction</b>	Background to project including planning history
<b>Archaeological background</b>	Summary of local and national context and known comparisons N.B. site codes and other codes should also have full text references
<b>Research aims</b>	The original research aims by period and theme at the onset of fieldwork
<b>Results of fieldwork</b>	Brief statement of main results of excavation, and current understanding
<b>Quantification &amp; results of assessment</b>	Statigraphic, Finds, Environmental, Dating, Other
<b>Statement of potential</b>	Assessment of how the different and combined categories of evidence integrate to answer the research questions (Include new areas of research suggested by the evidence)
<b>Significance of data</b>	Using national and regional evaluation criteria headings, an assessment of the significance of the evidence with reference to published academic works
<b>Analysis &amp; reporting proposals</b>	Further analysis required, how and who will do it, methodologies for different analysis (including historical research), proposed publication and dissemination formats, resources and programme chart with time and personnel, and refereeing arrangements
<b>Acknowledgements</b>	
<b>Bibliography</b>	



Roman building, 8-12 Gresham Street

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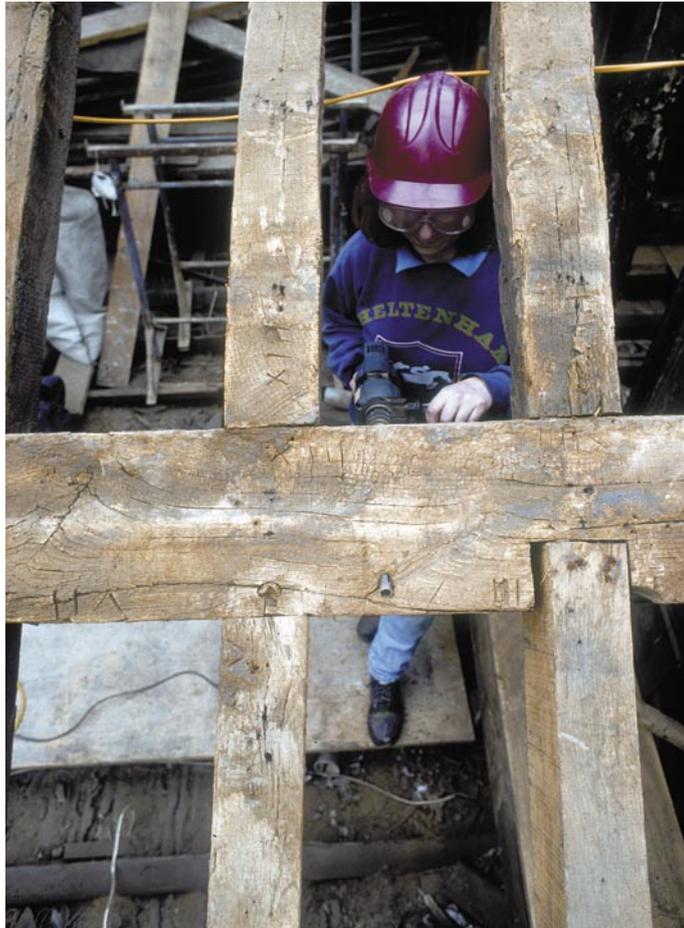
## Publication

A report must always be written to record and disseminate the information gained as a result of archaeological investigations, even if the results are negative (IFA 1994 3.7). The scale of publication will depend on the survival and type of archaeology recorded. There is a minimum level of publication for all investigations. This consists of submitting a GLSMR report form to the GLSMR and a paragraph summary for the London Archaeologist 'Excavation round-up'. These should be provided within 6 months of completion of site work and revised at post-excavation assessment and final publication stages if necessary. An interim report should also be written as this helps to disseminate results promptly to those involved with the development, as well as for local societies, local and regional journals. Where significant discoveries are made, notes should also be sent to national journals.

Publication proposals should be discussed with the Department of Planning & Transportation, initially at post-excavation assessment stage when the significance of the archaeology can be determined.

It is the responsibility of the archaeological contractor to negotiate with the editors of the journals or publishing houses for acceptance of publication texts and to arrange for the appropriate publication grant to be provided.

Publication	Types of site	Frequency
GLSMR	All	Constantly updated
London Archaeologist	All sites: Brief site summaries and site interpretations	Quarterly Copy date for Round-up end of March
London & Middlesex Archaeology Society Transactions	Site interpretations Large sites	Annual & Newsletter for short notes
Proceedings of the Prehistoric Society	Reports of national prehistoric interest	Annual & Newsletter for rapid dissemination
Britannia	Reports of national Roman interest. All Roman period sites for gazetteer	Annual & Gazetteer
Medieval Archaeology	Reports of national medieval interest. All medieval period sites	Annual & Gazetteer
Post-Medieval Archaeology	Reports of national interest post-medieval. All post-medieval period sites for gazetteer	Annual & Gazetteer
Other specialist/ artefact specific etc journal	Intrinsic and specific interest	various
Popular booklets	Local interest	as appropriate
Video and other media	Popular interest	as appropriate
Interpretation panels	Local interest	as appropriate
<b>Other publications relevant to archaeology in London</b>		
Surrey Archaeology Collections	Site reports Transactions of Site reports	Annual Annual
The Essex Archaeological Archaeologia Cantiana	Site reports	
IFA 1994 Standard & Guidance for Archaeological Excavation		



1-4 Middle Temple Lane, Middle Temple  
Recording roof timbers

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# Preservation of Archaeological Remains *in-situ*

## Introduction

Advice in Planning Policy Guidance 16 and policy in the COL UDP 2002 states that there should be a presumption in favour of the physical preservation of nationally important remains. The objective of preserving monuments and remains *in-situ*, reburying, and sealing a site, needs to be achieved in a way that will maintain a site without deterioration. Recording previous impacts on archaeological remains and assessment of soil conditions can aid an understanding of their survival. Analysis of any previous archaeological excavation records and recording of known modern intrusions, such as foundations, can help establish factors which have affected archaeological survival.

Redevelopment of buildings and sites where there have been previous archaeological observations, recording or excavation, can provide the opportunity to assess the burial conditions and the effectiveness of the methodology which has preserved the archaeological remains. When a site has previously been archaeologically recorded (and therefore has an accessible archive) specific records should be made to compare the original and current findings and this objective should be incorporated in to the project design. There will also be sites where modern interventions such as piling, service trenches or pile probing have affected archaeological remains.

The following guidance is an outline of circumstances that may exist at different sites. Appropriate methods of recording and analysis should be included in a written scheme of investigation, and the results incorporated in the post-excavation report and publication. This guidance will be reviewed and developed as and when knowledge increases.

**Sites which have not been fully excavated and where remains are buried.**

- Record the type, mass, and loading capacity of backfill materials used.
- Interpret the methodology used in reburial material, conditions, date of backfill, characteristics. Record the Ordnance Datum level of the water table. Measure water and soil chemistry.

**Sites which have been affected by non-archaeological intrusions such as piling, pile probing, service trenches and test pits.**

- Record (where possible) the date and type of foundations, the extent of destruction or disturbance. Have the foundations been designed to respond to local ground conditions?
- Record the physical condition of the archaeological remains. What impact have modern interventions had on their survival? For example, have the deposits slumped or apparently been deformed by modern interventions?
- Record soil and water chemistry of all archaeological strata to measure the impact of the physical environment through time. Compare remains which are in direct contact with modern intrusions with those removed from direct contact.

**Sites where remains have been reburied and sites where intrusions such as piling, pile probing, service trenches, and test pits have been carried out.**

- Record relative conditions of environmental evidence.
- Record relative conditions of organic remains, particularly timber.
- Record relative conditions of artefacts.
- Record evidence of chemical migration between ancient and modern deposits.
- Record post-depositional changes in ancient and modern deposits. Interpret evidence for indication of changes in hydrology through time.

### Sites where remains are to be preserved *in-situ*

A full post excavation record (including plans and photographs) should be made of the site at the end of the programme of archaeological work. This should include comments on the survival of 'modern' material, with a statement of the rationale behind the decision to preserve *in-situ*.

An inert material should be introduced to protect the archaeological remains and act as a physical marker between the archaeological remains and the reburial material. 'Terram' may not be the most appropriate material, as in some cases this can act as a conduit for microbiological and other activity. An iron-free sand should be used as a 'buffer' material, except against very fragile materials such as plaster or mud brick.

The loading capacity of the burial material should replicate the previous burial conditions so that

excessive loading does not introduce new pressures and to minimise further impact on the archaeological remains that are to be preserved *in-situ*. Ideally, material which has been generated as part of the controlled excavation should be reintroduced into the areas from which it originated, or, if appropriate, material of less loading capacity.

It is important that water movement across the site and the same water table are maintained. Where wet organic materials are to be preserved *in-situ*, they should be covered, kept wet, and reburied as soon as possible in order to ensure that the burial conditions are maintained.

Where possible and appropriate hydrology monitoring points should be introduced which can be assessed at suitable intervals. This is to be agreed with the Department of Planning & Transportation.



Roman painted wall plaster, Plantation Place

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Roman pottery, 8-10 Moorgate

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# Standards & Practice in Archaeological Fieldwork

**This document is addressed to developers, applicants, and their agents who commission archaeological work in support of an application for planning permission, or work to be carried out pursuant to a planning permission; archaeological organisations who undertake work, and all those involved in archaeological work - to ensure consistency of standards and approach.**

Archaeological fieldwork covers the full spectrum of techniques from remote sensing and borehole investigation to survey and excavation. This guidance note concentrates on methods and approaches to investigations carried out as part of evaluation and mitigation strategies, and is applicable to all site work undertaken. Written schemes of investigations for archaeological excavations, evaluations, and watching briefs, prepared by an archaeological consultant or contractor (see Appendix I)- should be carried out in full accordance with this guidance. Alternative approaches and methodologies may be acceptable, but should only be employed with the written approval of the Department of Planning & Transportation in order to ensure consistency of approach and standards. The Code of Conduct, the Code of Approved Practice for the Regulation of Contractual Arrangements in Field Archaeology, and Standards of the Institute of Field Archaeologists are considered baseline standards for all archaeological work.

**All written schemes for investigations submitted for approval by the Department of Planning & Transportation should incorporate these standards and practices.**

## Introduction

Archaeological fieldwork will take place at different stages in the planning process (Figure 1). It may follow the recommendations of an archaeological desktop assessment, the first stage in assessing the archaeological potential and development impact of a site. Archaeological evaluation may be carried out to inform and support a planning application, to help design an appropriate mitigation strategy, prior to a decision on a planning application (PPG16, 21). In exceptional circumstances, where it is not possible to undertake pre-determination evaluation due to immovable constraints, evaluation may be included in the conditions of a planning permission. The extent of archaeological excavation will depend on the agreed mitigation strategy and the impact of the proposed development. Archaeological work will range from a programme of recording and protection to ensure preservation *in-situ*, to recording and excavation of archaeological remains affected by the proposed development. Archaeological investigations should include continuous assessment of the methodology and research objectives and the rapid feedback of information from spot dating and environmental analysis to inform the investigation strategy.

English Heritage's Inspector of Ancient Monuments should also be consulted for advice where statutorily protected archaeological remains, Scheduled Ancient Monuments, may be affected.

The Department of Planning & Transportation should be consulted for further advice where work to listed buildings is proposed.

## Written scheme of investigation

Planning Policy Guidance Note 16 paragraph 30 states: “In cases where planning authorities have decided that planning permission may be granted but wish to secure the provision of archaeological excavation and the subsequent recording of the remains, it is open to them to do so by the use of a negative condition i.e. a condition prohibiting the carrying out of development until such time as works or other action, e.g. an excavation, have been carried out by a third party. In such cases the following model is suggested:

No development shall take place within the area indicated (this would be the area of archaeological interest) until the applicant has secured the implementation of a programme of archaeological work in accordance with a written scheme of investigation which has been submitted by the applicant and approved by the Planning Authority.”

The timetable for the investigation should be included within the details of the agreed scheme.

A written scheme of investigation for all archaeological recording will always include research objectives for the proposed work, should follow the findings of an archaeological assessment, and take account of the potential development impact. These will normally be defined in discussion with the Department of Planning & Transportation and after full consultation of the GLSMR. Details will include all methodologies, levels of expertise, and estimated resources for fieldwork, analysis, publication/ dissemination, and archiving.

Evaluation work is the initial stage of investigation, and carried out in support of a planning application to enable an informed decision. Evaluation will seek to define and characterise the archaeological remains on a site. Where archaeological remains are discovered or predicted, and the proposed scheme has an impact on those remains, further archaeological work will be necessary. This will be a mitigation strategy for preservation *in-situ*, full

excavation, or a combination of the two.

The development proposal may be redesigned to avoid or minimise the impact on archaeological remains, in accordance with advice in PPG 16 and the COL UDP (2002).

## Fieldwork

The Department of Planning & Transportation should be informed in writing at least one week in advance of commencement of fieldwork.

All members of the archaeological team (including external specialists) will have read and understood the written scheme of investigation, including this archaeological guidance, before work starts on site. Where the archive is to be deposited with the Museum of London, an Archive Deposition Form should be obtained and returned to the Museum before work starts.

## Site preparation

The removal of the basement slab and makeup should be done under archaeological supervision. All undifferentiated topsoil, or overburden of recent origin, will be removed down to the first archaeological layer. An exception to this would be where a focused soil-sampling strategy is proposed to record and collect data from reworked soil contexts above recognisable stratified archaeological contexts. If a mechanical excavator is to be used to remove topsoil, or modern material such as slab make up, this should normally remove spits of no more than 0.20m depth, moving along the length of the trench. Successive spits may be similarly removed until the first archaeological horizon is reached. That level should be cleaned in plan using a wide blade, ditching bucket or similar, with no teeth. If the machine has to re-enter the trench, care will be taken to ensure that it does not damage underlying remains. All machine work and demolition must be done under archaeological supervision, and should cease immediately when archaeological evidence is revealed. It is important that enabling works such as temporary shoring, “grubbing out”, hoarding

erection, access road construction etc., are carried out under archaeological supervision and recording where remains may be affected. The machine must not be used to cut arbitrary trial trenches down to natural deposits without regard to the archaeological stratification.

### **Trench preparation & archaeological evaluation**

Following machine clearance, all faces of the trench that require examination or recording will be cleaned using appropriate hand tools. All investigation of archaeological levels will be by hand, with cleaning, examination and recording both in plan and section. In the case of archaeological evaluations, the objective is to define remains rather than totally remove them. Full excavation will be confined to those deposits which have been agreed with the Department of Planning & Transportation through a project design and site meeting. Within significant levels partial excavation, half-sectioning, the recovery of dating evidence, sampling, and the cleaning and recording of structures is preferable to full excavation.

### **Excavation technique**

Subsequent excavation will be by hand unless bulk deposits of little archaeological or environmental potential occur. In some circumstances, these could be removed mechanically, in consultation with the Department of Planning & Transportation.

At the evaluation stage, it is important that a sufficient sample is studied to allow the resolution of the aims and objectives of the work. The investigation must not be at the expense of any structures, features, or finds which might reasonably be considered to merit preservation *in-situ*. This is important where the mitigation strategy, including preservation, is still being considered.

It may be practicable to leave modern foundations *in-situ*. Where it is clear that modern foundations have removed archaeological remains, their removal may be desirable in order to gain access

to archaeological levels. This should not be done if damage to archaeological remains is likely to occur.

Assessment of 'naturally deposited' levels may also be necessary where organic preservation has occurred. This is particularly important in dealing with peat, palaeochannels, and alluvial formations. These can provide valuable information about the natural environment before, during and after human occupation and can help questions such as why a location was selected for occupation, the impact it had on the environment, why it was abandoned, and the general environmental context of the City.

### **Preservation *in-situ***

Where archaeological remains are to be preserved *in-situ*, a specification will be agreed with the Department of Planning & Transportation to protect remains from deterioration, for example, from changes in groundwater levels. Advice on the appropriate level of protection will be provided by the Department of Planning & Transportation in consultation with the English Heritage Regional Science Advisor.

Finds of human remains will be left *in-situ*, covered and protected. If removal is essential it can only take place under appropriate measures which include; Faculty jurisdiction, Home Office licence, Environmental Health regulations, coroner's permission under the Disused Burial Grounds (Amendment) Act 1981, or other legislation. It will be necessary to ensure that adequate security is provided in such cases.

### **Treasure Act 1996**

In accordance with the Treasure Act 1996, all finds of gold and silver and hoards of 10+ base metal coins must be recorded, removed to a safe place and reported to the local Coroner. Security measures must be taken to protect the finds from theft where removal can not take place on the day of discovery.

## Recording of standing structures

Where Listed Building Consent is required, it must be obtained before work commences on site. The Department of Planning & Transportation will advise on the need for consent. The Department of Planning & Transportation may require exploratory opening up as part of a Listed Building Consent and may impose appropriate conditions to ensure proper recording.

Assessment and understanding of any historic building, site or area should be the first stage in making decisions about future use, alteration or repair. This may involve different techniques such as historical assessment, detailed drawings or research, selective opening up works (listed building consent should always be sought and works kept to a minimum), non-destructive investigation, and observations to a pre-agreed method statement. Recording (for example, by photogrammetry or stone-by-stone elevation drawings), will be necessary to demonstrate or amplify conclusions about the quality and importance of structures.

## Survey and geotechnical investigations

Topographical survey may be an appropriate method of recording sites or earthworks as part of, or prior to, preparing a scheme of archaeological fieldwork or repair to a monument. The survey may be carried out by digital or traditional methods, and the format of the interpretative drawings generated from the survey should be agreed with the Department of Planning & Transportation before commencement of site work.

Geophysical techniques (EH1995(b)) may be appropriate both as part of the evaluation process and to supplement evidence from other areas of the site. Methodologies, equipment and objectives of each type of survey should be clearly set out in the written scheme of investigation submitted to the Department of Planning & Transportation for approval. The methodology, equipment and objectives of metal detecting, either as part of initial evaluation or coincident with other investigations,

should also be set out as part of the written scheme of investigation.

Archaeological monitoring and recording of geotechnical test pits and boreholes should be planned together as a method of rapidly assessing the potential of archaeological deposits and modern disturbance. It may be followed by archaeological test pits or boreholes in specific areas. It may not be possible to clean and record the archaeological profile of geotechnical test pits, due to health and safety or access constraints. Every effort should be made to establish the presence or absence of archaeological deposits by establishing the absolute ordnance datum (AOD) for the height of significant deposits, including the depth of modern intrusions, key stratigraphic components and natural deposits. Borehole data can be examined by an archaeologist for evaluation purposes. The collection of dating evidence in the form of material culture and ecofactual remains should be maximised at this stage to inform the design of an appropriate mitigation strategy.

Where work on the sub-tidal or inter-tidal zone of the Thames foreshore is proposed, information stored on the GLSMR and results of the Thames Archaeology Survey should be consulted. Where development proposals may affect the foreshore, a detailed survey should be carried out in advance of designing appropriate mitigation strategies. Written schemes of investigation for archaeological work should take into account the constraints of the working conditions, Health and Safety requirements and the need to agree access with the Port of London Authority and the Environment Agency.

Geoarchaeological or environmental sampling-terrestrial or riverine- may be the main emphasis of archaeological investigation. Areas of undisturbed deposits (which may be sub-alluvial, and foreshore deposits) may yield evidence of past environments. Where these areas are affected by a development proposal, justification for environmental sampling should refer to known or predicted human occupation.

## Access and safety

Access to the site should be granted to the Department of Planning & Transportation in order to monitor the work and to ensure that it is being conducted to proper professional standards and in accordance with the consents. This will be done through site inspections and regular progress reports.

All relevant health and safety legislation, CDM, COSHH regulations and codes of practice should be respected. It is the responsibility of the organisation undertaking the work to ensure that their Health and Safety Policy is up-to-date with current legislation (SCAUM 1997). Risk assessments should be drawn up for all activities, including making arrangements for the site to be monitored as necessary. This requirement is a non-archaeological constraint on archaeological investigation as health and safety factors will take precedence over archaeological concerns.

There is a duty of care for the applicant to provide all reasonable information on contamination and the location of live services before site works commence, in order that work can be carried out efficiently to enable the archaeological organisation to provide an accurate specification.

Where there is reason to believe that the ground, or adjacent buildings, may be contaminated or unsafe the applicant must have made arrangements for pollution sampling and testing before archaeological work on sites can take place, with guidance from Environmental Services.

If contamination is discovered, a strategy for the sampling and recording of archaeological deposits and structures needs to be designed in agreement with Environmental Services and the Department of Planning & Transportation.

Evaluation test pits, trenches or other excavated areas should be reinstated to a methodology agreed with the Department of Planning & Transportation before work commences. If, for any reason, it is

proposed to discontinue work during the progress of the archaeological investigations, suitable arrangements must be made to protect and support exposed areas of archaeology until long-term arrangements can be made.

## Monitoring

The Department of Planning & Transportation may monitor works at any stage and, to facilitate this, the written scheme of investigation should include monitoring points and written progress reports at agreed intervals in the timetable for on-site and off site work.

## Unexpected discoveries

The purpose of assessment and evaluation is to provide as much information as possible of archaeological remains on a site and to reduce the possibility of unexpected discoveries. If unforeseen archaeological remains are discovered, and there are timetable or resource issues or the remains are potentially of national importance, a site meeting will be called immediately with the client, the Department of Planning & Transportation and, if appropriate, the English Heritage Inspector of Ancient Monuments. A strategy for preservation *in-situ* or excavation will be discussed, followed by negotiations with funding agencies to fulfil the agreed strategy.

## Public accessibility

Public access is a key component of all results of archaeological investigation. In line with policy in the COL UDP 2002 and according to the Code of Conduct of the IFA, every effort should be made to bring the circumstances, results and analysis of archaeological work to the general public and such proposals will be considered favourably. Site hoarding displays, site access in the form of open days, viewing platforms where possible, publicity at local and national media level, and accessible illustrated digests and displays of the results of archaeological investigations will be considered positively.

## Recording systems

A unique number site code should be agreed with the Museum of London Archaeological Archive and Research Centre (LAARC) before fieldwork commences.

The recording systems adopted during the investigations must be fully compatible with those published by the Museum of London Archaeology Service (MoLAS 1994) and Museum of London (MoL 1998). These have been used extensively across London for a long period of time. No alternative recording system must be adopted without the prior agreement of the Department of Planning & Transportation and LAARC. The site archive will be organised to be compatible with other archaeological archives in London. Individual descriptions of all archaeological strata and features excavated or exposed will be entered onto prepared pro-forma recording sheets which include the same fields of entry on the recording sheets of the Museum of London Archaeology Service. Sample recording sheets, sample registers, finds recording sheets, registered finds catalogues, and photographic record cards will also follow the Museum of London equivalents. This requirement for archival compatibility includes computerised databases.

Plans prepared should include the following: a site location plan, based on the current Ordnance Survey (O.S.) 1:1250 map (reproduced with the permission of the Controller of HMSO) and indicating north; a trench plan at 1:100, of the location of areas investigated in relation to the investigation area and National Grid Reference. All sections should be located on a plan with O.S. co-ordinates.

The locations of the O.S. bench marks used and site TBM should be indicated. Tying site grids to standing buildings identified on O.S. maps is not sufficiently accurate. This data can be accepted in digital form onto the English Heritage GLSMR with the completed Sites and Monuments Report Form. A record of the full extent in plan of all archaeological deposits revealed in the investigation should be

made: plans should be on polyester based drawing film, related to the National Grid, and be at a scale of 1:10 or 1:20 unless otherwise agreed with the Department of Planning & Transportation. 'Single context planning' should be used. The information should be digitised for eventual CAD applications. The GLSMR will accept .DXF or .DWG format of the extent of the site and location of major features with the completed Sites and Monuments Report Form.

Upon completion of each evaluation trench, at least one long section should be drawn or a representative part as agreed with Department of Planning & Transportation. This should include a profile of the top of natural deposits, extrapolated from cut features etc. if the trench has not been fully excavated. Sections, including half-sections of individual layers or features, should be drawn as appropriate to 1:10 or 1:20.

The OD height of all principal strata and features should be calculated and indicated on the appropriate plans and sections. A 'Harris matrix' stratification diagram should be employed to record stratigraphic relationships. This record should be compiled and fully checked during the course of the excavations (Harris 1993). Spot dating should be incorporated onto this diagram during the course of excavations.

Recording of standing structures will vary in accordance with the intrinsic interest of the structure and its relationship to below-ground archaeology. Detailed stone by stone drawings of important features revealed in investigations may be required. Structures of little or no significance may appear on a site plan. The recommendations of ICOMOS 1990 should be followed. The intended level of survey and analysis must be stated in the specification or project design.

A full photographic record of the investigations should be prepared to a specified photographic policy included in the written scheme of investigation submitted to the Department of Planning & Transportation for approval. This should include an images register, black and white prints and colour

transparencies (on 35mm film), and digital images, illustrating in both detail and general context the principal features and finds discovered. The photographic record will also include working shots to illustrate the progress of the archaeological investigation. The transparencies will be mounted in suitable frames for long-term curation in preparation for deposition with the archive. Medium of large format photography and video recording may also be appropriate.

Where appropriate, a photogrammetric record should be made of complex structures, features, and horizons liable to be exposed or damaged in the course of the investigation, such as buildings or parts of buildings. Appropriate scales will be specified in the written scheme of investigation.

The Department of Planning & Transportation will occasionally request, selected copies of photographs in order to raise the profile of the archaeological heritage. Permission will be sought to reproduce any images and copyright duly acknowledged.

### **Treatment of finds and samples**

Different sampling strategies may be employed according to established research targets and the perceived importance of the remains being investigated. A site-specific sampling strategy should be included in the written scheme of investigation submitted to the Department of Planning & Transportation for approval. This should be part of an iterative process of review, analysis and feedback to excavators during the progress of the fieldwork. For example, spot-dating of pottery and the results of sample flotation analysis, should be incorporated into the running matrix to aid on-site interpretation. Any changes or development of the sampling strategy should be documented with the rationale and agreement for the change. Sampling for date, structure, and environment are particularly important. Sample size should take into account the frequency with which specific material is likely to occur, and the preservation conditions. Bulk sieving should be employed for recovery of environmental evidence

to ensure that complete samples are collected and assessed for significant deposits. The Museum of London Specialist Services maintains a regional service for post-excavation which can be commissioned to undertake appropriate levels of work.

The strategy for sampling archaeological and environmental deposits and structures may include soils, timbers, pollen, diatoms, animal bone, and human bone. A high priority will be given to the sampling of alluvial and other anoxic deposits (such as peat) where organic materials may be preserved. The sampling strategy will be developed in consultation with the Department of Planning & Transportation who may also seek advice from the English Heritage Advisor Regional Science Advisor. Subsequent on-site work and analysis of the samples and remains should be undertaken by the contractor's environmental archaeologists.

### **Scientific dating and analysis**

Sampled deposits should be subject to appropriate specialist analysis. The written scheme of investigation should indicate the likely need and methodologies for such analysis. Where appropriate, timbers should be subject to dendrochronological analysis and radiocarbon dating. Optically Stimulated Luminescence (OSL) and archaeomagnetic dating should also be used where appropriate. The English Heritage Regional Science Advisor and the Centre for Archaeology at English Heritage can advise upon the suitability of methodologies and laboratories for specialist analysis.

### **Finds treatment**

In the City the finds retrieval policies of the Museum of London should be adopted. All identified finds and artefacts should be retained according to the method statement, and selection, retention, and retrieval policy appropriate to the material type and date. No finds will be discarded without the prior approval of the Department of Planning & Transportation.

All finds and samples should be treated in a proper manner and to standards agreed in advance with the approved recipient museum. They should be exposed, lifted, cleaned, conserved, marked, bagged and boxed in accordance with the guidelines set out in the United Kingdom Institute for Conservation's 'Conservation Guidelines No. 2' and the Museum of London 'Standards (MoL1998)' (where this is the recipient Museum). All metal objects should be x-rayed and selected for conservation (except in those cases where it is agreed with the Department of Planning & Transportation that this will not be necessary).

Ceramic (pottery, clay tobacco, building material fabric and brick form) reference collections, housed at the Museum of London Archaeological Resource Centre, should be consulted for descriptive and analytical purposes to ensure that terminology is consistent across the region. The British Museum and other local Museums may also hold important comparative collections of material and these should be consulted as appropriate.

The archaeological organisation responsible for the works should ensure that contracts are in place with internal and external specialists to cover all necessary processing, conservation, and specialist analysis through the assessment and analysis stages of the project.

### **Post-excavation programme and performance indicators**

The Department of Planning & Transportation may monitor works at any stage. To facilitate this stage, monitoring points should be agreed before post-excavation work starts, as part of the overall timetable.

### **Reports & Archives Arrangements for archive deposition**

The finds and records from London excavations provide an immensely valuable public resource. The owners of finds and records should be urged to

donate these to the appropriate Museum as a matter of best practice in the public interest: In most cases this will be the Museum of London. Arrangements for the curation of the archive should be agreed prior to starting fieldwork. Where the archive is to be deposited with the Museum of London, this should be set out in the Deed of Transfer or Deposit Agreement which should be included in the written scheme of investigation submitted to the Department of Planning & Transportation. An Archive Deposition Form should be obtained and returned to the Museum of London Archaeological Archive and Research Centre before work commences.

### **Integrity of archaeological archives**

The integrity of the site archive should be maintained. All finds and records should be properly curated by a single organisation, and be available for public consultation in accordance with Standards in the Museum Care of Archaeological Collections' MGC 1992, Towards an Accessible Archaeological Archive The Transfer of Archaeological Archives to Museums: Guidelines for Use in England, Northern Ireland, Scotland and Wales SMA 1995. For deposition with the Museum of London the General Standards for the Preparation of Archaeological Archives deposited with the Museum of London should be followed.

The archives for evaluation, watching brief and excavation work should be fully integrated even when the works have been carried out by different archaeological organisations. This should be taken into account in the written scheme of investigation.

### **Temporary storage**

The archaeological organisation will be expected to have the resources required for the secure temporary storage of collections prior to transfer to an appropriate recipient museum: This will normally be during the period of post-excavation analysis and publication.

## Contents of archive

The minimum acceptable standard for the site archive is defined in the MAP2, 5.4 and Appendix 3 (EH 1991). It should include all materials recovered (or the comprehensive record of such materials - see below) and all written, drawn, and photographic records including a copy of all reports (desk-based, evaluation, survey work, or other), relating directly to the investigations undertaken. It should be quantified, ordered, indexed, and internally consistent before transfer to the recipient Museum. It should contain a site matrix, a site summary, artefact and environmental assessment, and analysis reports. Copyright should be clearly identified at the time of transfer. Appropriate guidance set out by the Museums and Galleries Commission, the Society of Museum Archaeologists, and appropriate recipient museums should be followed in all circumstances.

## Security copying

The recipient Museum's guidance on the needs of digital storage and archival compatibility will be sought and followed. Security copying should be in line with the recommendations of English Heritage.

## Access to archives

Pursuant to these agreements the site archive will be presented to the archive officer or appropriate curator of the recipient Museum for accession within 12 months of the completion of fieldwork (unless alternative arrangements have been agreed in writing with the Department of Planning & Transportation). Access to finds and records from archaeological investigations should be given, at the request of the Department of Planning & Transportation, to designated archaeological organisations at any time, before they have been accessioned by the appropriate recipient museum, if this is considered necessary to enhance the understanding or interpretation of the archaeology of the City. Access to all records and other material, (written, illustrative and digital) should be given where evaluation work has been undertaken by a

different organisation and any associated costs should be incorporated into the written scheme of investigation.

## Archive not donated to museum

If the archive is not to be donated to an appropriate Museum, arrangements must be made for a comprehensive record of all materials (including detailed drawings, photographs, and descriptions of individual finds) to be deposited at an appropriate Museum, in lieu of the archive.

## Publication and dissemination of results

A short summary of the results of the work, even if negative, and GLSMR report form, must be bound into a report for submission to the Department of Planning & Transportation as soon as possible after the completion of archaeological works. The site summary should be a non-technical summary in plain English, which will enable the Department of Planning & Transportation to inform local societies and others about the results of the archaeological investigations or survey. The appropriate archaeological report forms should be used and guidance followed for delivery of digital data.

The minimum requirements for public dissemination is the submission of the GLSMR report form - to be submitted to the GLSMR as soon as possible, or within six months of the completion of fieldwork; and a paragraph summary of the results for publication in the London Archaeologist 'Excavation round-up'. Such publication will meet the 'minimum requirements' set out in Appendix 7 of MAP2 1991, and derive from a 'phase 2 review' as defined in that document. Where appropriate, reports should be formatted so that details of the proposed development impact can be separated from the archaeological information and enable archaeological information to be made available to the GLSMR within 6 months of the completion of fieldwork. Copies of all reports should be sent to Guildhall Library.

Where the above mentioned 'phase 2 review' indicates the need for further assessment and analysis, the recommendations set out in the Management of Archaeological Projects 1991 should be followed. At the completion of the assessment and updated research design stage, and on completion of the publication text, the Department of Planning & Transportation will advise on whether the archaeological conditions of the planning permission will be met, or whether approval of appropriate key stages, target dates and overall timetable for completion of the project to publication stage, is required. This may depend on the size and complexity of the project.

The proposed publication and dissemination of results should be agreed with the Department of Planning & Transportation. Contingency arrangements (such as an agreed percentage of the field costs) to provide for this element of the work, should be made before field-work commences, and include the costs of page tariffs for certain journals. Site works should not commence until the Department of Planning & Transportation has expressed itself satisfied that suitable arrangements have been made.



101 Queen Victoria Street- late 1st or early 2nd century Roman buildings

*Pre-Construct Archaeology*

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Roman road, 60-63 Fenchurch Street

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