Historic England

MoRPHE Project Planning Note 3

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Although this document refers to English Heritage, it is still the Commission's current advice and guidance and will in due course be re-branded as Historic England.

Please see our website for up to date contact information, and further advice.

We welcome feedback to help improve this document, which will be periodically revised. Please email comments to guidance@HistoricEngland.org.uk

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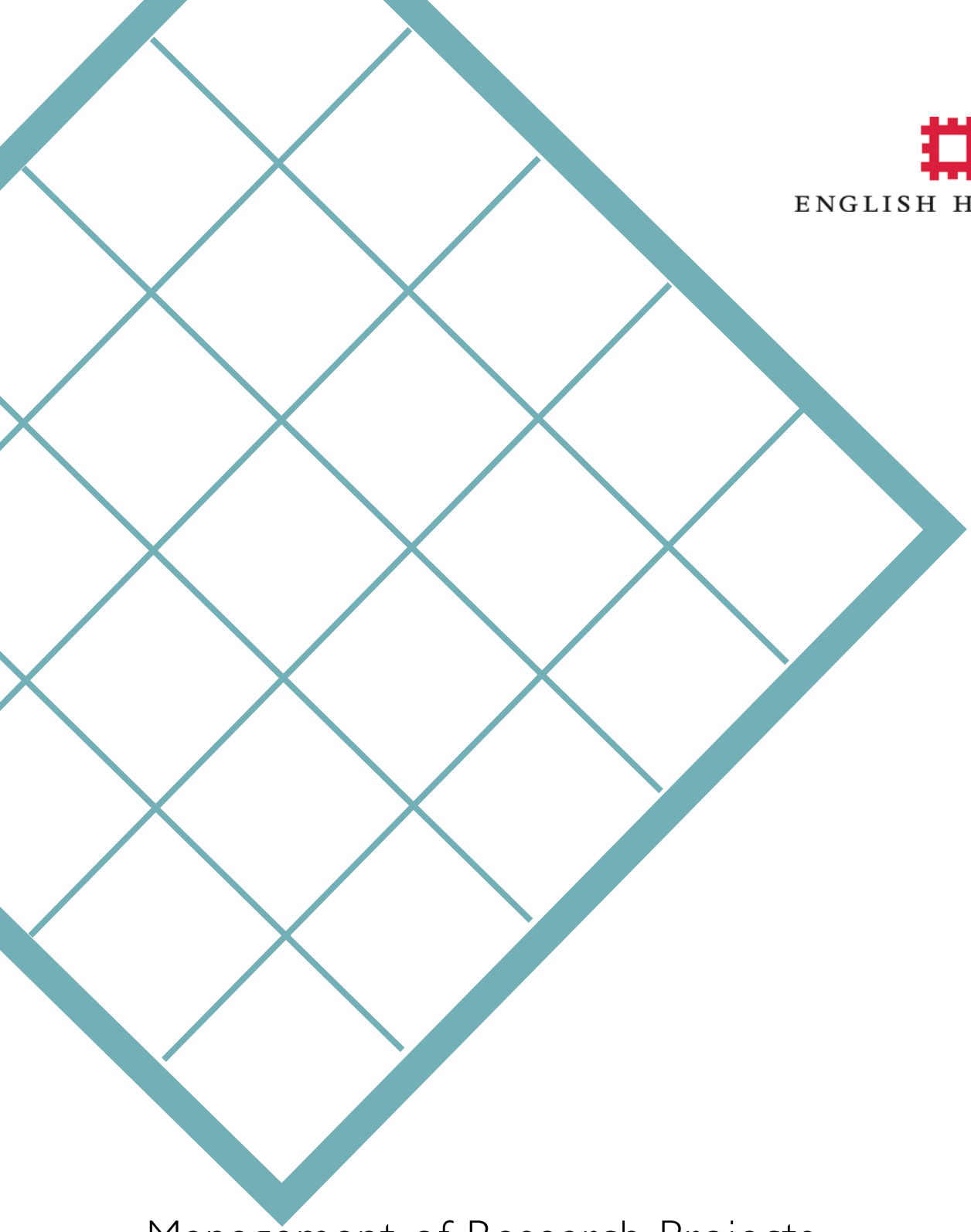

ENGLISH HERITAGE

Management of Research Projects in the Historic Environment

PPN 3: Archaeological Excavation

Version	Date	Comments
1.0	January 2008	1st published version

Preface

MoRPHE Project Planning Notes (PPNs) form an integral part of the Management of Research in the Historic Environment (MoRPHE) Project Management Methodology issued by English Heritage in 2006.

They are intended to be presented together with, and read in conjunction with, the 'MoRPHE Project Managers Guide' which gives generic guidance on project management. The Project Managers Guide can be downloaded from the English Heritage 'Free Publications' list website:

www.english-heritage.org.uk/publications

It must be emphasised that these Project Planning Notes represent guidance on planning and running projects. They do not supplant or replace accepted standards and guidelines on the practice of particular skills or techniques (geophysics, laser-scanning, surveying on archaeological sites, environmental archaeology etc), nor do they supersede issued best practice guidance emerging from Local Authorities or from Professional Associations (e.g. the IFA or IHBC). They are intended to be used in conjunction with such documents.

Contents

1.0 Introduction

1.1 Scope of this Project Planning Note

1.1.1 This Project Planning Note provides guidance for projects involving terrestrial intrusive archaeological investigation. It therefore covers field evaluation (though see below for more on this subject), full-scale excavation, and subsequent treatment of data, archive and dissemination.

1.1.2 Excavations to which it can be applied include those undertaken primarily for research purposes, those commissioned as part of a mitigation strategy on a development site, those primarily for educational purposes such as those carried out in conjunction with media organisations, and those undertaken as volunteer-based outreach projects.

1.1.3 The Project Planning Note is not designed to inform approaches to auger transects or borehole arrays, nor is it designed to inform excavation of geotechnical test-pits unless acquisition of archaeological data is an equal or prime objective.

1.1.4 This Project Planning Note does not cover closely-associated projects such as Desk-Based Assessments, Archaeological Survey, Geophysical Survey, or Historic Building Recording projects (as distinct from surveying on an archaeological excavation). These will form the subject of separate Project Planning Notes or Guidelines.

1.1.5 This Project Planning Note has been substantially influenced by previous documentation on project management of excavations, most notably Management of Archaeological Projects (2nd Edition), commonly known as MAP2 (English Heritage 1991). Much of the detailed text remains identical, but some revision was considered desirable as a result both of the development of more generic MoRPHE guidance to reflect the widening range of research activities in the historic environment, and as a result of lessons learned through the application of MAP2 in the field since 1991. MAP2 was conceived as an evolving document: this Project Planning Note has emerged as a result of that evolutionary process.

1.2 General principles of approach

1.2.1 An important principle underlying MoRPHE, retained from the MAP2 approach, is that fieldwork projects should be staged, and these stages should be iterative. Decisions to proceed through successive stages should be informed by intelligence emerging from the previous stage. Thus, each Execution Stage of an excavation project will be informed by an Updated Project Design emerging from the previous stage.

1.2.2 It follows that each stage must be completed before the next begins, and here, the principle should be extended to ensure that all ordering of relevant archive material is completed as part of each stage. Within this principle, it has become accepted practice to plan for the assessment of the potential for analysis as part of the fieldwork. This review must be planned and costed as part of the Project Design from the outset.

1.2.3 Some excavations are able to ensure direct feedback from on-site finds analysis and from evaluation of environmental samples to inform decisions on effort. Such ongoing decision-making is to be encouraged, but it is important that these decisions are documented in sufficient clarity to inform future stages of work (and indeed future fieldwork in the vicinity).

2.0 Planning

2.1 Setting Objectives of fieldwork

2.1.1 The academic justification for the project, as set out in the aims and objectives section, must be clearly formulated and expressed at the outset. The end result should be an increase in knowledge coupled with appropriate dissemination of the results which reflects the significance of the data collected and the creation of an archive deposited in an appropriate place for continuing curation and access.

ENGLISH HERITAGE PROJECTS

Projects run and commissioned by English Heritage should cross-reference their aims and objectives to national priorities, defined in SHAPE, the Strategic frameworks for Historic Environment Activities and Programmes in English Heritage, the English Heritage Research Strategy Agenda, and the English Heritage Corporate Strategy 2005-2010.

2.1.2 Projects with a national rather than a regional scope should be discussed with English Heritage's designated lead for a national strategy area, and/or with the Head of Historic Environment Commissions before a Project Proposal is submitted. Projects with a regional scope should be discussed with the relevant staff in the English Heritage regional teams (usually the Inspector of Ancient Monuments, Historic Buildings Inspector or Historic Areas Advisor) before a project outline is submitted. Contact details are available in the HEEP Guidance Notes, available at http://www.english-heritage.org.uk/server/show/nav.1305.

2.1.3 All projects should make reference to Regional and Thematic Research Frameworks where these are available (for a list of available frameworks see http://www.english-heritage.org.uk/server/show/conWebDoc.2197). Specialist agendas such as World Heritage Site research frameworks must be consulted where

appropriate, and reference should also be made to Regional Environmental Reviews where available.

2.1.4 Project Proposals for fieldwork projects must include plans for all work up to and including site archive completion and assessment. The assessment estimates may need to be revised in light of the emerging results of fieldwork.

2.2 Techniques for Time and Resource Planning

2.2.1 General guidance on time and resource planning is contained in the MoRPHE Project Managers Guide Appendix 1. For English Heritage commissioned excavation, more specific requirements for time recording for archaeological projects is contained in the HEEP Guidance Notes (http://www.english-heritage.org.uk/server/show/nav.1305).

2.3 Risks and their Management

2.3.1 The MoRPHE Project Managers Guide contains general guidance on Risk management (section 2.3.2, Appendix 2). This ensures that both 'positive' Risks (e.g. finding more, or better preserved deposits than anticipated) and 'negative' Risks, (e.g. prolonged bad weather) can be identified at an early stage. These must be kept under close review to ensure that the aims and objectives of the project can be met within the agreed funding. The project Sponsor must be kept informed of any major changes to methodology or the project programme that arise from such reviews. Procedures for varying cost and timetable will often be determined by the project Sponsors (e.g. HEEP guidance notes).

2.3.2 It is important that organisations learn from previous project experience in Risk management. Too often such experience is not shared effectively between colleagues, with the effect that the same problems and mistakes are repeated where they could have been foreseen and mitigated. Project managers and executives must refer to Issues Logs, Review Point outcomes from previous similar projects, and in particular to End of Project reports to learn from previous experience.

2.3.3 Specific Health and Safety Risk Assessments will be built into all excavation Project Designs. Such risk assessments must follow legislative requirements and best practice, e.g. as set out in the SCAUM Health and Safety Manual.

2.3.4 It is highly recommended that disaster management plans, which ensure that business can continue in the event of a major disaster, (e.g. the loss of a headquarters building through fire), are referenced in Project Designs. While archaeological material is irreplaceable, data can and should be copied and held in a separate location in line with current best business practice.

2.4 Products of Excavation projects

2.4.1 Emphasis should be placed on the early identification of the products of a research project, which can include both specif outputs and desired outcomes for the research. Planning is more effective when there is clear vision of what the project is aiming to deliver. It is, however, accepted that products can be difficult to define precisely at the inception of an excavation project, as much will depend on the results of fieldwork and the Assessment of potential.

2.4.2 Thought should be given to the preliminary dissemination of results and data, where appropriate. As a minimum, there is a need to complete an OASIS entry on fieldwork projects (http://ads.ahds.ac.uk/project/oasis/). Some organisations already publish assessment reports, usually on-line, so that useful or significant data is made available in advance of analysis, subject to all the usual caveats about conclusions drawn in advance of analysis.

2.4.3 The products of fieldwork will be directly proportionate to the significance of the project results and data, as identified by appropriate Assessment. The Project Design, updated after fieldwork, will set out a programme of analysis and dissemination in order to address the project's research drivers. Consideration must be given to the management outcomes of a project, e.g. improved guidance or procedures, in addition to appropriate academic outputs

2.4.4 Archive deposition must be planned and costed as part of the dissemination strategy, including the deposition of electronic datasets with an appropriate digital archiving repository, such as the Archaeology Data Service. Guidance on this is available in MoRPHE Technical Guide 1, Digital Archiving and Digital Dissemination (http://www.english-heritage.org.uk/upload/pdf/MoRPHE_Technical_Guide_1_Digital_Archiving_and_Dissemination.pdf).

2.4.5 During planning it is critical that a suitable accredited repository be identified for the project archive. A clear understanding of the repository's requirements is essential, and the appropriate standards must be built into site archive completion.

2.4.6 The dissemination strategy must include the steps necessary to achieve sign-up to proposed outcomes (e.g. web-site maintenance; management agreement implementation, publisher agreement, electronic archive deposition, archive deposition).

2.5 Likely Project Stages

The Stages in an archaeological investigation project will vary, as documented in the Project Design, and as decided during project Review Points, but will typically consist of the following:

2.5.1 Start Up. At this stage the initial aims and objectives for the project are established. In threat-led research (e.g. developer-funded excavation) a Brief will be issued by the appropriate Curatorial archaeologist, and Project Proposals (as part of tenders) are submitted by contract archaeological teams.

2.5.2 Initiation. The main planning stage – the emphasis here is on wide consultation with appropriate specialists to ensure that the maximum research benefit is derived from the excavation, and that the arrangements for archive storage are agreed in outline.

2.5.3 Site Evaluation. In larger excavations this optional stage provides information to help target the main phase of excavation.

2.5.4 Fieldwork and assessment of potential for analysis. The main stage of field activity, resulting in collection of data, accompanied as appropriate by assessment of the data and material collected to inform planning of post excavation analysis. In larger projects several stages of fieldwork may be planned for.

2.5.5 Analysis. The analysis of data and material derived from the investigation, and preparation of the report.

2.5.6 Dissemination. Publication or other means of appropriate dissemination of the research results of the investigation, and deposition of the archive. Where a substantial publication is planned for, this stage may usefully be further broken down into sub-stages e.g. Peer review, Editorial, Design, Printing.

2.5.7 Closure. This is an overall review of the project, with the opportunity to identify further research, or appropriate updates to project procedures or research agendas.

2.5.8 Table 1 (below) shows the likely sequence of project stages for an archaeological investigation project. Depending on project circumstances, some of the Execution stages may be broken down further into several stages e.g. of Fieldwork, or Dissemination. Review points take place at the end of each stage, and likely issues for Review are noted.

2.5.9 Typical products of research, archive and dissemination activities at each stage are listed. Detailed product descriptions for those products marked with an asterisk and numbered P1, P2 etc are given in Appendix 1. These may be adapted for use in projects, and other product descriptions prepared as appropriate.

Table 1. Typical stages and products for an excavation project

Stage	Research products	Archive products	Dissemination products
Start up	Brief from curatorial archaeologist / sponsor Proposal from contracting archaeologist / research team		
Review Point R1: Are the objectives clear and in line with relevant research programmes, sub-programmes and national and regional agendas?			
Initiation	Methods statement completed by research team and specialists. Site access agreement signed	Project Management Archive created Archive repository identified	Communication with specialists Communication with stakeholders
Review Point R2: Is the Project Design achievable? Is it complete in line with current advice? Is the proposed methodology appropriate?			
Site evaluation (optional)	Evaluation report Updated Project Design reflects Evaluation Report	P1. Site Archive established*	OASIS entry created Evaluation report circulated
Review Point R3.1: Does evaluation justify proceeding to Fieldwork?			
Fieldwork and assessment of potential for analysis	Site infrastructure established Field research completed Conformance to standards checked. P2. Assessment Report* Monitoring visits made. Updated Project Design reflects Assessment Report	P1. Site Archive established / updated*	OASIS entry created / updated Report drafted Dissemination plan drafted Outreach work completed

Table 1. cont.

Review point R3.2: Is the site archive complete? Does assessment merit full analysis or should the project proceed to Dissemination stage? Is the Updated Project Design appropriate?			
Analysis	Analysis and understanding completed	P3. Research Archive created*	OASIS entry updated Report updated Dissemination plan updated
Review Point R3.3: Analysis complete in line with project objectives? Has analysis delivered an enhanced understanding? Site Archive and Research Archive ready for deposition? Dissemination plan approved? Report text prepared in line with dissemination plan?			
Dissemination	Editorial work completed	Site and Research Archive deposited	OASIS entry completed Referee comment on Report Report published
Review Point R3.4: OK to close project? Can recommendations for future research be made?			
Closure	Research agendas updated Procedural guidance updated	Project Management archive completed	

2.6 Team Structure and Required Skills

2.6.1 The roles and responsibilities of the Project Team, Project Executive and Project Manager are set out in the MoRPHE Project Managers Guide section 1.2.

2.6.2 Communication skills are essential in all excavation projects. They are typically multi-disciplinary, and may involve negotiation between separate Expert teams, specialists, subcontractors etc. Face to face team meetings have been found to be the most effective approach. Where time and cost do not allow this, careful consideration should be given to how all relevant project team members will be kept informed. Online group and team collaboration web-sites should be considered to provide access to shared files, bulletin boards, calendars etc

TEAM MEETINGS

Representatives of the project team should be selected to attend regular meetings. All relevant areas of interest should be represented (e.g. archaeological scientists, artefact specialists, etc).

The purpose of team meetings is to:

- maintain a constant critical view of the project's objectives and make any necessary adjustments to the Project Design

- ensure that progress and expenditure accord with the forecast

- review the Risk and Issue logs and identify the need for Variations

- involve all members of the project team in making any necessary adjustments to priorities, methodologies, timetabling, or budget, for inclusion in the updated Project Design.

- inform all members of the project team of progress in areas outside their own particular concern

- ensure that work is being carried out to an appropriate professional standard

- ensure that the outputs for each stage of the project are signed off by the project team.

2.6.3 Records should be kept of the communication, the decisions made and alterations to the Risk and Issues logs taken at team meetings or by other means. Highlight Reports will be appropriate. These should be circulated to all members of the team.

2.7 The Project Design

2.7.1 The Project Design is the main product of the Initiation stage of the project, and is usually multi-authored, with specialists in each area contributing, e.g. to methods statements. A generic specification for Project Designs is given in the MoRPHE Project Managers Guide. More specific guidelines for Project Designs for archaeological excavation are given in Appendix 2. Note that the circumstances of the project may require altered or additional sections or more specific content. Appropriate guidelines (for example HEEP Guidelines for applicants, or internal guidelines on project governance) should be consulted.

2.7.2 The project manager must ensure that there is an adequate circulation and sign-up system for project documentation, including Project Designs and assessment reports. This must include the internal project team and external specialists as well as the project executive and the stakeholders.

2.7.3 The Project Design will be updated during the project in preparation for Review Points, to include additional detail covering the next planned Stage.

3.0 Project Execution

3.1 Introduction

3.1.1 Archaeological excavation encompasses an ever increasing variety of activity and techniques, with different types of projects having different means of collecting data and assessing value and significance, and achieving increased understanding. What each project will share, however, is a

number of key stages: data collection and assessment; analysis, understanding; and dissemination, which are discussed in detail below. Each of these Execution Stages will contribute to the site and research archives, and each must be subject to continual assessment and review, which is vital to the successful achievement of each stage and the project as a whole.

3.1.1 Regular review of the project's products and outputs should be undertaken throughout its lifecycle. Formally this occurs at each of the Execution Stages, and more frequently, and informally, as necessary. This serves the purpose of checking the results against the stated Aims and Objectives, and will progress the project forward in an iterative manner. This process is described in MoRPHE (2.5.2) as a 'cycle of continuous review,' in which the Project Team Acts, Reports, Plans, Decides, and Acts.

3.1.2 Regular review of each Execution Stage also allows for flexibility within the project, and enables new discoveries, whether in the field or in post-excavation, to be encompassed through the regular consideration Issues as they are logged. These may lead to the production of an Updated Project Design, possibly requiring a Variation in the time or budget for the current stage or for the whole project. In certain circumstances, exceptional discoveries may in themselves generate new projects, which require separate agreements and resourcing.

3.1.3 Communication within the Project Team and with external Project Assurance and Sponsors is essential. Keeping relevant parties involved through regular meetings and Highlight Reports allows for more efficient decisions to be made. Project documentation, which is required at the end of each Executive Stage, should also be maintained throughout, using site diaries and the Issue Log. This enables discoveries and decisions to be tracked, the adoption of which can later be assessed for effectiveness.

3.2 Fieldwork: Evaluation projects

3.2.1 Certain projects, particularly large scale excavations, will often have been preceded by one or more preliminary evaluation exercises. Evaluations generally consist of trial trenching or other means of intrusive investigation. The purpose of an evaluation is not to completely excavate or detail the archaeological resource, but rather to assess the remains and their potential: to establish the presence and/or absence of archaeological deposits, and to determine their significance, value, and extent. Typically evaluations will also inform upon the need for, scope and resourcing of future investigation. This is done through the issue of an evaluation report, which is disseminated to the Project Sponsor and the relevant decision making bodies.

3.2.2 Occasionally evaluations will yield such significant results that even if no additional fieldwork is anticipated, further study leading to publication is desirable: this is particularly true for significant artefacts or environmental remains, or where the remains are to be preserved in situ. On such occasions, the above model of assessment, analysis and dissemination will

be adhered to, and an Updated Project Design required. This eventuality should be managed as a Risk.

3.2.3 All evaluations, even those which do not result in further work, will generate an archive, which will generally consist of the paper, artefact and environmental archive and the evaluation report. This should be submitted to the relevant archive repository to an agreed timetable, as identified in the Project Design. In addition, a summary of the work must be submitted to the local Historic Environment Record, and an OASIS form completed (where appropriate), which will provide a summary of the work and the location of the archive (see 2.4.2, above). These steps are required of all evaluations, even if the results are negative or unlikely to lead to subsequent work.

3.3 Fieldwork: Decision-making in the field

3.3.1 In pursuit of an enhanced knowledge of the past, decisions are continuously made on archaeological sites. Some are so ingrained within normal fieldwork techniques that we are not even conscious of making them. Others require a more formal approach. These may be prompted by monitoring visits, where specialist members of the Project Team advise on scientific sampling or dating, for example, or the need to close or extend areas of excavation. Such decisions may have an effect on programming or resource, and should be recorded in the Issue Log. If significant variation to the Project Design is necessary, this needs to be ratified by the Project Board and Sponsor, and any resource implications agreed, before it is executed.

3.3.3 Project Managers should design fieldwork projects that facilitate continuous decision-making in the field, and which can give immediate information on features excavated through the use of on-site analysis of information, artefacts and environmental remains gathered.

3.3.4 For example rapid spot-dating of key deposits can immediately create a framework for understanding the chronology of the site. If applied appropriately, this can lead to a culture of informed and iterative excavation, whereby a more targeted approach is acceptable. This key approach will also lead to a corresponding reduction in post-excavation assessment time and cost, as much of this work will have been completed on site.

3.4 Fieldwork:

3.4.1 The value of the knowledge gained is entirely dependent on the quality of the fieldwork.. This is the responsibility of each member of the Project Team, not least those actively engaged in field excavation.

3.4.2 To promote this ensure that

- All members of the Team have a clear understanding of the Aims and Objectives of the archaeological exercise, and how these will be achieved

- All members of the Team understand their own role in the successful delivery of the project
- The on-site recording and recovery techniques are in line with current industry best practice, and are fully understood by all (this may require additional training)
- All paper and digital records made on-site, and the treatment of artefacts and environmental remains, are reviewed continuously. Record checking and collation must be completed at each excavation stage, before an area is considered complete, backfilled, or the site closed. Errors or omissions in recording discovered during post-excavation cannot be recovered, and the information is therefore lost. Appropriate resourcing must be allowed for this whilst in the field.
- Everyone has a responsibility to participate in developing a fuller understanding and interpretation of the site.

3.4.3 The site records and assemblages, when combined with the registers, photographs, drawings and diaries, will constitute the primary site archive (See Appendix 2). This is the key archive for the site, and is the raw data upon which all subsequent assessment and analysis and future interpretation will be based. The archive can therefore not be compromised, nor altered – it remains the original record of what was excavated or recorded, and how. The archive should be quantified, ordered, indexed and made internally consistent. All finds and coarse-sieved and flotation samples should have been processed and be stored under appropriate conditions. It should also contain a site matrix, summary of key findings, and descriptions of the artefact and environmental data. Arrangements should be made for the proper cataloguing and storage of the archive during the project life-cycle and it may be appropriate to involve an archive/museum specialist.

3.4.4 Distinct from the project archive, project management documentation should also provide full detail on how the project met its goals, including the Project Proposal and Design, Risk and Issue Logs, Highlight Reports and any other documentation produced. Note that copies of key documents (e.g. Project Proposal, Project Design, Issue Log) should be placed with the site archive.

3.4.5 The reason for keeping these groups separate is that the "archive" is the material that should be kept in perpetuity, is likely to be useful to the researcher and therefore will be accepted by a museum or accredited repository. Project management material on the other hand is unlikely to be wanted by a repository and probably only has value to the organisation carrying out or funding the work for monitoring and checking purposes or as a record of how the work was carried out. Some of it is also likely to be discarded after a certain period of time.

3.4.6 In addition to ordering of the physical archive, an OASIS form (where appropriate) should be completed and updated at the end of each Execution Stage. This feeds into the local Historic Environment Records, and allows rapid dissemination of the results, even if interim, of the project

to the archaeological community thereby ensuring early appreciation and take-up of the results.

3.5 Fieldwork: Planning for Analysis

3.5.1 The data identified as appropriate for analysis should be worked up into a formal proposal, which will be expressed as the Updated Project Design, which will define the objectives of the Analysis Stage and the strategies and resources necessary to achieve them. The format of the Updated Project Design is the same as that for the original Project Design with an additional section, Summary of potential, which summarises those aspects of the data-collection selected for analysis during the Assessment Stage.

3.5.2 All the project team members to be involved in the Analysis Stage should contribute to the formulation of the Updated Project Design. Some materials will need to be worked on sequentially by more than one specialist. It is critical that such sequences be identified at a sufficiently early stage in consultation with all concerned so that an achievable and agreed programme can be formulated.

3.5.3 Additional guidance external to the Project Team should be considered at this stage, both to focus and fine tune the formulation of research objectives and consider the available report format options. Academic and editorial comment can more usefully be canvassed at this stage than at a later stage in the preparation of a report text, when alteration is more difficult and more expensive.

3.5.4 Planning for the Analysis Stage should bear in mind the two objectives to be met, namely the production of a research archive and of a suitable dissemination strategy. Analysis should be planned with the publication firmly in view, and the research archive should only contain data which derive from the analysis of material intended for publication. The urge to accumulate data not specified in the Updated Project Design as part of the research archive or publication must be resisted.

3.5.5 When establishing the resources needed for analysis therefore, allowance must be made for the costs of producing a report for publication and archive deposition. The scope of the report will have been defined in the Updated Project Design as a publication synopsis. Preparation of a report to publication standard requires the performance of a wide range of related tasks which can be easily overlooked when planning for analysis: it is most important that these are identified at an early stage. Contact should be established at this stage with the proposed publication outlet to establish cost implications of editorial or reprographic requirements.

3.5.6 It must also be borne in mind that transfer of the report draft to an editor for publication is not the end of the process. Consideration must be given to the need for provisions once the editorial processes are underway, of time for team members to answer queries, correct proofs and act as general liaison in the period between delivery to the publishing body and the eventual appearance of a printed report. The timescale on

which this will be done will depend on priorities established by the publishing body, which should be consulted about the likely timescale and editing needs. It is however sensible to assume a cost for an Editorial Project Design (see below) at this stage. A copy of the publication synopsis should be sent to the appropriate editor to ensure that it conforms to requirements.

3.5.7 Any additional resources necessary to complete the Project Archive (see below) must also be identified at this stage. The assessment report will have identified any material in the site archive for which special arrangements for long term curation need to be made. Discussion with the museum or other archive recipient will have been held earlier in the project and it may now be necessary to re-establish contact and make a formal agreement on a mutually acceptable transfer date for the project archive.

3.5.8 The Updated Project Design will be considered at the next Review Point. The end result of the Review will generally be an agreement that the Updated Project Design is acceptable and work should progress to the next Execution Stage – Analysis.

3.6 Analysis

3.6.1 Following on from the approval of the Updated Project Design, work on the Analysis Stage may commence (recognising that some analysis of results will already have been undertaken during fieldwork).

3.6.2 It is essential that before any further activities take place all members of the project team are fully briefed. The Project Manager should ensure that all those involved have contributed to the formulation of the Updated Project Design and are thoroughly acquainted with it.

Particular attention should be paid to ensuring that:

- there is a common understanding of the objectives of the Analysis Execution Stage.
- individuals are clear about their own role and their relationship to other team members
- recording and analytical strategies are explained and any necessary additional collective or individual training undertaken

3.7 Analysis and report production

3.7.1 It is important to ensure that resources for analysis are directed towards achieving the stated academic objectives and not towards other areas of enquiry outside the scope of the planned publication, however interesting they might be. It is also important that classes of material which cannot fulfil the potential predicted at assessment are identified at an early stage to allow modification of the work plan and allow re-allocation of resources. Any changes in priorities, methodologies or timetabling should be identified in the Issue Log, assessed by the Project Manager and discussed and agreed with other members of the Project Team as they

may have implications for other aspects of the project (see MoRPHE Project Managers Guide section 2.5.2 for guidelines on handling Issues). Any alterations to the Project Design or report contents should be made by authorised staff and should be recorded in the Issues Log and Project Design: they should also be reported to the Project Sponsors via a Highlight Report and if substantial enough to alter significantly the planned publication, editorial approval should also be sought.

3.7.2 The Analysis Stage will result in new data which comprises the Research Archive. This should be checked and ordered to ensure that it is properly indexed and appropriately linked with underlying site and/or assessment archive data from which they may have been derived. Thus, the catalogue or tabulated data from pollen analysis will form a new element of the archive but will be linked appropriately to the assessment and initial site indices. Where such data is (as is now common-place) held digitally, the file nomenclature and archive index should be standardised to ensure ease of collation prior to deposition at the conclusion of the project.

3.7.3 Reports synthesising the results of analyses are, by their nature, collaborations of multiple contributors. It is essential that the strategy for attribution and arrangement of contributors' work within such a report has been discussed and agreed in advance. It is equally essential that all contributors are given the opportunity to check the draft in advance of formal submission.

3.7.4 The report should be submitted in a completed state containing all the evidence, analysis and synthesis the author(s) consider(s) necessary to fulfil the Project Design. All aspects of text, tables, artwork and other illustrative material, figure and content lists, list of contributors, camera ready copy (CRC) for fiche, bibliography, appendices and all other items for inclusion should be fully integrated and cross-referenced. In effect the submitted report should be in a sufficiently final state for the author(s) to be willing to allow it to be publicly distributed in manuscript.

3.7.5 For English Heritage Publications, the Project Manager should contact the English Heritage Publishing Team for guidance on proposal of publications, management of the publication process and house style. Information is available via the English Heritage intranet.

3.7.6 Once a completed text for publication has been produced it should be sent to the Project Sponsor and other parties for their approval. The advice of an independent academic referee may well be sought by the Project Team or required by the Project Sponsor or publishing body at this stage. Referees may be asked for their opinion of the quality of the report and to comment specifically on all or any of the following:

- how far the publication reflects the stated aims of the Project Design
- whether the publication meets general archaeological and academic standards and priorities
- whether the proposed publication meets the requirements of the publishing body

- what work might need to be done to improve the published report

3.7.7 On receipt of any comments from the Project Sponsor or referee, it may be necessary to make amendments to the submitted report. These might comprise structural or content revisions: if the process of assessment, targeted analysis and ongoing quality control has been adhered to, such changes should not be major.

3.7.8 The comments should be circulated to the entire project team and appropriate responses discussed and agreed. The appropriate team members should be identified to undertake the work and the editorial strategy costed up, and accurately timetabled. This limited programme should then be expressed in the form of a short Editorial proposal, linking clearly the suggested changes with the specific tasks to carry out the proposed alterations. The Editorial proposal should be submitted to the project Sponsor for authorisation (thus triggering a further Review Point 3).

3.7.9 The revised draft should be resubmitted to the project Sponsor and to the agreed publisher.

3.8 Dissemination

3.8.1 There are now other options for publication apart from the traditional journal article or monograph. Internet journals and on-line publication series are available for digital dissemination, and some organisations are also moving towards print-on-demand publication. The choice of medium will depend on a number of factors, including the nature of the material being published, the availability of on-line archive data, the nature of the target audience, and so on. The choice of medium (or media) will need to be agreed with the project Sponsors in the Updated Project Design.

3.8.2 Once the content of the publication text has been agreed the cost of publication must be established. When calculating costs allowance must be made for proof-reading which will already have been calculated as a project cost.

3.8.3 A breakdown of the costs of publication and a production schedule should be agreed in consultation with the relevant editor/publishing body. The production costs incurred by the publishing body will in general include:

- preparation of illustrations
- design and layout
- printing
- marketing/distribution

3.8.4 If other dissemination outlets have been opted for or included within the Updated Project Design, for example web-sites, exhibitions, tool boxes, posters or popular books, it is expected that the same general principles of publication will be followed. This should include peer and/or academic review and appropriate costing for production. Special consideration will have to be given to issues such as copyright, author attribution, marketing and circulation if non-traditional forms of publication are chosen, which should be included in the Updated Project Design.

3.9 Archive Deposition

3.9.1 At each Execution Stage, further elements of the overall Project Archive (Site archive, Research archive, Project Management Archive) will almost certainly have been created. It is the Project Team's responsibility to prepare, order and integrate these further elements during the conduct of each Stage appropriately, so that at the point of deposition most, if not all, of the Project Archive will be ready for transfer to the appropriate museum or holding organisation. It is the Project Manager's responsibility to ensure that this work is carried out to a satisfactory standard. The Project Archive is most likely to comprise both material (artefacts, hard copy texts, photographs, etc) and digital (databases, scans, digital images etc) components. For digital components, please see MoRPHE Technical Planning Note 1: Digital Archiving.

3.9.2 It should be noted that many museums charge a fee for accepting archaeological archives, and this must be built into the Updated Project Design from the outset. It is also worth noting that most projects will require transport and human resources in order to effect the archive transfer, and these too must be planned for.

3.9.3 Consideration should be given to placing digital datasets, the final report and selected components of the archive – for example detailed specialist reports – with a suitable digital archive depository, e.g. ADS, particularly when the results of analytical study are not being reproduced in full in the published work.

3.9.4 Corresponding with the physical archive and its deposition, the final versions of the HER reports and OASIS forms should be completed.

3.10 Closure

3.10.1 Controlled Closure ensures that a project has a defined and agreed end-point. The project will be formally closed by the Project Executive, after it has ensured that:

- All agreed work, as given in each Project Design or Updated Project Design, has been completed or changes to the original agreements documented
- All Sponsors or other Stakeholders are aware the project is coming to an end
- Staff, both permanent and contractual, are aware of changes to their employment status, line-management or programmes, as appropriate

- All invoices for work undertaken have been received and paid
- An End-of-Project Report is compiled (see below)

3.10.2 As part of the Closure Stage, and End-of-Project Report should be produced and lodged with the project management documentation (MoRPHE p.49). This Report should include two main topics of consideration:

- Lessons learned – what useful lessons were learned during the project which might be applicable to similar projects in the future? What project-management processes, tools and techniques were effective, and which were not? What recommendations can be made?
- Post-Project Evaluation Plan – in particular, are there potential further areas of the study not fully explored within the parameters of the project, which may be suitable for future projects?

4.0 Review

4.1 Assessment as a technique

This section covers the application of formal Assessment of the products of excavation and/or analysis. Assessment is presented here as a technique which can be applied during the Execution Stages in an excavation project, rather than as a separate Execution Stage.

4.2 When to use Assessment

4.2.1 One of the key contributions of MAP 2 was the identification of the need for a formal review of the data collected during fieldwork, known as Assessment. Academic and archaeological objectives must be defined in order to produce a relevant and timely final publication report, which reflects the value of the data collected. This in turn requires selectivity when planning post-excavation work. Not everything recovered from a site will have the same potential and significance, and is by Assessment that those elements that require further study are identified, and the necessary resource allocated.

4.2.2 The complexity of Assessment and the amount of time required will vary; for example deeply stratified urban sites will probably require more detailed work on the stratigraphy than rural sites with a limited occupation span. It should however be stressed that any work undertaken should be directed towards allowing decisions to be made about the potential of the data and the nature of the future programme; no detailed analytical study should be undertaken until Assessment has been completed. Considerable breadth of academic knowledge is needed to make the necessary judgements; staff of proven experience and ability should be used for assessment. Alternative sources of expert advice should be sought if not available within the project team.

4.2.3 A key aspect of Assessment is the need for a co-ordinated approach. The importance of integrating artefact and environmental evidence with the stratigraphic record has long been acknowledged, but not always fully exploited. Too often programmes of analysis have been initiated on related groups of data with insufficient contact between the specialists concerned and no cross-reference made until the final stages of publication preparation. The assessment phase must establish the full potential of the properly integrated data as early as is practical.

4.2.4 Exceptionally, for backlog projects (i.e. excavations which have not been analysed or written up) a Project Design may be necessary just covering Assessment. It will comprise four principal products.:

- Data assessment completed
- Assessment Report prepared
- Assessment Report approved by team
- Updated Project Design for Analysis Stage compiled

4.3 Assessment of potential in practice

4.3.1 In some cases the potential of the material being assessed will be self-evident. If, for example, a large collection of securely stratified environmental data from a previously un-researched context type is recorded in the site archive, its potential can easily be characterised because it is known to be unique. Equally, a small collection of highly fragmented pottery from a site with high residuality and a long occupation span can be identified as having no apparent potential without supplementary records being necessary.

4.3.2 In other cases further work will be needed to establish the archaeological potential of the material. The methods used will vary according to the type of material and the extent to which it is already understood. For example collections of pottery largely represented in existing regional type series may be rapidly scanned to achieve all adequate assessment. In contrast, for environmental material such as parasite remains or pollen, it is necessary to extract material from sub-samples and determine whether the remains are present and also determine how well the remains are preserved as well as the concentration and diversity in order to arrive at an estimate of their potential. It must be stressed, however, that any processing and recording should only be done to demonstrate that a particular research topic has potential. It is important that those responsible for managing and monitoring the project during this stage should ensure that this is the case.

4.3.3 Before the bulk of the environmental remains and artefacts are assessed it is important that all contexts containing residual or contaminated material are identified. In order to do this, initial artefact dating (e.g. ceramic, glass, clay pipes) should be integrated with the site matrix. This will alert specialists working on material to contexts where analysis may prove unprofitable.

4.3.4 It is of crucial importance that all assessors of material are adequately briefed. It is the project manager's responsibility to ensure that all those involved are provided with the material for assessment in a suitably ordered and accessible manner, and with the relevant background and contextual data.

4.3.5 All relevant specialists should be provided with:

- an up to date copy of the Project Design
- a copy of the site, environmental, and finds summaries
- specific information on the individual contexts from which the material referred to them for assessment comes including:
- context type
- position in the stratigraphic sequence, and/or relationship to major structures
- approximate date where known, or details of how this is to be derived
- degree of contamination or residuality
- recovery method
- sufficient data to allow contexts to be grouped together to provide useful and appropriate analytical units for study. Analytical work depends to a great extent on such groupings, rather than on the deductions that can be drawn from a single context. Groupings are likely to be defined primarily by chronology (e.g. by provisional phases or groups of similar phases), and secondly by structural context or context type
- details of any questions the Project Manager wants the specialist to consider

4.3.6 Artefact and environmental specialists should liaise closely with conservators to ensure that appropriate recommendations can be made on both immediate and long-term conservation requirements. It is important that relevant museum specialists should also be consulted about any immediate and long-term storage requirements.

Any discard policy must also be agreed and documented.

Scientific dating techniques should be utilised as much as possible during assessment, as establishing an absolute chronology will inform the stratigraphic and other analyses. In certain instances, subsequent dating work may be recommended during the analysis programme in order to further refine the results. The English Heritage Scientific Dating Team can provide further advice.

4.3.7 Assessment and selection of artefactual and environmental material for further study is now widely practised, but assessment of structural data is less commonly undertaken. More rigorous consideration must be given to justifying the degree of stratigraphic analysis proposed. For example proposing a forward programme which does little more than

reiterate context descriptions and relationships that exist in the records and matrix of the site archive cannot be justified. Structural analysis should be directed towards establishing an interpretation of the site record and describing why a particular phasing or interpretation is suggested. Assessment should identify the need for further work on the stratigraphic records in these terms.

4.3.8 Once assessments have been made of the individual classes of data the results should be integrated. All the strands of evidence are brought together for the first time and their combined potential considered. For example, in isolation a group of pottery from a pit may be of limited significance, but in conjunction with the study of plant remains and animal bone the potential of all the elements may be greatly increased. To be successful this will need a period of intense communication between all the specialists involved. This should be achieved principally through regular meetings of the project team. It is essential that the project manager makes all the material category assessment reports available to all members of the project team, so that the full potential of the site archive can be explored.

4.3.9 Any archives generated or enhanced as a result of Assessment should be checked and ordered to ensure that they are properly indexed and appropriately linked with underlying archive data from which they may have been derived. Thus, assessment of pollen from a site will form a new element of the archive. Where such data is held digitally, the file nomenclature and archive index should be standardised to ensure ease of collation prior to deposition at the conclusion of the project.

4.3 Assessment: Report production

4.4.1 The end-product of Assessment will be an Assessment Report. Once this assessment report is written, the project team should consider its contents to establish whether it is appropriate to proceed to analysis.

4.4.2 In some cases this consideration of the Assessment Report will reveal that an Analysis Execution Stage is not appropriate. However it will still be necessary to prepare a report accurately reflecting the significance of the results for publication, updating the HER and OASIS entry and arranging for the deposition of the Project Archive.

4.4.3 Where assessment does demonstrate that the site archive contains material which has the potential to contribute to the pursuit of local regional or national research priorities, appropriate data should be identified for analysis. When identifying such data it should be borne in mind that such work should be directed towards the final product of a project, dissemination. Consideration of the Assessment Report should isolate:

- material crucial for interpreting the site which should be published
- material which merits publication for its intrinsic archaeological value outside the context of the site report, for example artefact or environmental studies
- material considered to have no present archaeological potential or relevance

5.0 Archive and Dissemination

Good practice in this area is well established in published guidelines and standards issued by heritage sector lead bodies. See section 3 covering execution of archaeological excavations, the sample Product Descriptions included in Appendix 2, and Further Information, below.

It is important to ensure that the archive created becomes an effective resource for future research. A communication plan to ensure take up of the results and further research may be appropriate.

6.0 Further information

ALGAO: Association of Local Government Archaeological Officers (ALGAO) issue model briefs and specifications for archaeological work www.algao.org.uk

Regional Research Frameworks issued by ALGAO on behalf of the historic environment research community are at

http://www.algao.org.uk/Association/England/Regions/ResFwks.htm

HEEP: Historic Environment Enabling Programme guidance for applicants includes useful additional guidance for projects commissioned by English Heritage www.english-heritage.org.uk/heep

IFA: The Institute of Field Archaeologists issues national standards and guidelines for the conduct of excavations www.archaeologists.net

OASIS: Details of the OASIS signposting system are online at

http://ads.ahds.ac.uk/project/oasis/)

SCAUM: Standing Conference on Archaeological Unit Managers (SCAUM) issues a health and safety manual accessible online to members http://www.scaum.org/

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8.0 Contact details

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Appendix 1: Key product descriptions

The following section describes key products from an excavation project. They should be used as a guide for planning, rather than copied into Project Designs. For example

- The specific composition of a site archive should be reviewed in the context of the techniques and scale of the project.
- Job titles e.g. 'Project manager' should be replaced with the names of project team members.
- Specific standards and guidelines in use (e.g. the recording manual) should be refereed to in the 'Quality criteria and method' section
- Calendar dates should be included for planned completion, rather than stage names.

Product P1: Site Archive established / updated

Purpose of the Product

The site archive represents the original record of the project's results. It is the primary source of information retained to inform future research and understanding of the site. The first objective in assembling the site archive is to preserve the integrity of the primary field record. It must be maintained in optimum conditions to ensure the physical survival of the records, ecofacts, artefacts and other specialist materials.

Composition

The site archive will contain material specified in relevant standards and in the project design as appropriate. The following composition will be typical:

1) Project administration and management archive

- Project management key documents (project proposal, project design – including updated project design, risk log, issues log, highlight reports. See MoRPHE Project Managers Guide Appendix 2 for composition)
- Landowner agreements
- Copyright forms
- Model release forms for use of photographic material containing people
- copies of correspondence relating to fieldwork
- Index to the site evaluation and archive

2) Site Evaluation archive (where undertaken)

- original records from assessment (e.g. field-walking records)
- survey reports from the Assessment stage where relevant (e.g. borehole, geophysical, documentary research)

3) Site archive

- Hard copy text records

- original context records
- original photographic records
- original sample records
- original skeleton / human remains records
- original site drawing registers
- original bulk and small finds records (e.g. registered finds, bulk finds, artefact dating catalogues)
- records of conservation and x-rays undertaken during fieldwork
- Finds and environmental materials
- artefacts, environmental materials and residues and any other sample residues
- discard records indicating what material has been discarded from archive
- Graphic materials
- site drawings (plans, sections, elevations)
- Photographic material
- original photographic material (slides, prints, negatives, X-rays)
- Digital material
- digital files
- metadata to describe the content and management requirements of files (see MoRPHE Technical Guide 1 for detailed guidelines).
- Miscellaneous materials
- site notebooks/diaries

4) Site archive Assessment Report (See Product description P2 below for details).

Derived From

1) Project management.

2) Site based primary data gathering in all forms including:

- Compilation of written records in manual or digital form
- Photography
- Measured survey and drawing
- Artefact and environmental remains sampling, collection, processing storage and discard procedures

Format and presentation

Refer to 'Archaeological Archives A guide to best practice in creation, transfer and curation' Archaeological Archives Forum 2007 for national guidance on presentation of site archive. Guidelines and standards issued by the future archive repository must be consulted.

Allocated to

Preparation of the site archive is the responsibility of the project manager and finds manager who should liaise closely with the archive manager and the conservator in particular, and other specialists as needed

Quality criteria and method

The site archive must be

- ordered,
- indexed,
- adequately documented
- internally consistent
- secure
- quantified
- conformant to standards required by the archive repository
- signposted appropriately to ensure future use in research

Reference should be made to

- IFA standards and guidance
- 'Archaeological Archives A guide to best practice in creation, transfer and curation' Archaeological Archives Forum 2007 for national criteria.
- For English Heritage projects, the "Guidance Archiving and Signposting" issued for the Research Department should be consulted.
-

Person / group responsible for quality assurance

Project Manager, Project Assurance Officer

Person / group responsible for approval

Archive Manager

Planned completion date / stage

At completion of the Data gathering Execution Stage(s)

Product P2 Assessment Report completed

Purpose of the Product

To provide an assessment of the potential of the site archive and other gathered data to support research aims and objectives.

Composition

A document structured as follows

1 Factual data

For each component of the project (e.g. stratigraphic/structural, artefactual, environmental) there should be a statement setting out:

- the quantity of material and or records
- the provenance of material: this should include comments on provisional dating and evidence for contamination or residuality
- the range and variety of materials: this should include comment on any bias observed due to collection and sampling strategies
- the condition of material: this should include comments on the extent to which an assemblage is likely to be affected by preservation bias, and comment on its potential for long-term storage
- the existence of primary sources or relevant documentation may enhance the study of site data
- The means of collecting the data should be briefly described (e.g. rapid scanning, 10% sample recorded, pilot study based on x-radiography).

2 Statement of potential

This should comprise a considered statement on the value of the data. The statement should be addressed at two levels:

For each material category consideration should be given to:

- questions posed in the project design which the data-collection has the potential to answer
- new research questions resulting front the data-collection
- the potential value of the data-collection to local, regional and national research priorities

The significance of an individual material category may be greatly enhanced by considering its study with that of inter-related material. The contents of all the material category assessment reports should be considered in this light before an integrated assessment report is prepared. This should summarise:

- site specific questions posed in the project design which the data collection has the potential to answer
- potential new research topics resulting from the recovery of the data collection
- the potential value of the site to local, regional, and national research priorities

3) Storage and curation

This section should be compiled following consultation with conservators the archive manager and the appropriate museum professional and should contain:

- Comment on both immediate and long-term conservation and storage requirements for the data held in the site archive
- Recommendations about discarding material from mixed, contaminated or unstratified contexts, where there is no apparent purpose in retention. In formulating a discard policy due regard must be given to the views of the eventual recipient of the archive, the legal owners of the material and those responsible for the care of the excavated site

Derived From

Fieldwork, site archive preparation, consultation with specialists, and consideration of national and regional research agendas.

Format and presentation

Written report.

Allocated to

Project Manager, with input from appropriate specialists and analysts.

Quality criteria and method

- Clearly conveys the contribution to knowledge provided by the data collected.
- Bases this significance on appropriate research agendas
- Includes input from appropriate analysts and specialists

Person / group responsible for quality assurance

Project Manager

Person / group responsible for approval

Project Executive / Project Assurance Officer

Planned completion date / stage

At conclusion of Data gathering Execution Stage(s)

Product P3 Research Archive deposited

Purpose of the Product

Preserves the results of work done during the analysis stage and will comprise: stratigraphical/structural, artefact, environmental and other catalogues and all other records as well as details of the methods and selection strategies used in each case.

Composition

The archive composition will follow standards and guidance, and the updated Project Design. Typical composition will include:-

Records

- Analytical Context Records
- Analytical Building Recording Records
- Analytical Field-walking Records
- Phasing/Matrices

Reports

- Analytical Reports
- Final Report
- Ancillary Publications

Finds/environmental material

- Analytical Bulk Finds Records
- Analytical Small Finds Records
- Analytical Sample Records
- Analytical environmental samples and records
- Finds and Samples Box List
- Analytical Human Bone Records
- Analytical Environmental Material Records
- Conservation Records
- Discard Records

Photographic material

- Photographs
- X-Radiographs
- Photographic Catalogues

Graphic material

- Analytical Drawings
- Artefact drawings

- Drawing Catalogues

Electronic data

- Analytical Electronic Data
- Analytical Electronic Data Catalogues
- Integrated analytical records

Miscellaneous material

- Correspondence
- Derived From
- Work of specialists analysing the site archive

Format and presentation

Refer to 'Archaeological Archives A guide to best practice in creation, transfer and curation' Archaeological Archives Forum 2007 for guidance on presentation of research archive.

Allocated to

Project Manager, Archive manager, Specialists

Quality criteria and method

The research archive should be:

- cross-referenced internally to related data groups, to the final publication, and if necessary to a general context concordance.
- supplemented by indices to allow users maximum accessibility to the contents.
- conformant to standards required by the archive repository

Person / group responsible for quality assurance

Archive Manager, Specialists

Person / group responsible for approval

Project Executive, Archive Curator, Project Assurance Officer

Planned completion date / stage

At the end of the Analysis Stage(s).

Appendix 2: Project Design structure

Purpose

A2.1 The Project Design is the key project management document in the MoRPHE methodology. It is the basis for appraisal and approval of the project. It also provides the baseline for monitoring and performance management; sets out the common understanding of aims, methods, resources and implementation for the project team as a whole; and forms the basis for the legal agreements through which any elements of a project are sub-contracted.

A2.2 The Project Design should set out all the information needed for the project to be appraised and authorised (or not) at Review Point 2. It will be updated towards the end of each Execution Stage and appraised at each Review Point 3.

A2.3 When an assessment of potential for further analysis is carried out as part of a project Execution Stage this may result in changes to the aims and objectives of a project as some avenues of enquiry are seen to have little or no potential but new opportunities are recognised. The Updated Project Design may therefore revise the project's aims and objectives. It is less likely, but possible, that this may also affect the project's business case

A2.4 The Project Design should be a comprehensive free-standing document that assumes no prior knowledge of the project and its circumstances on the reader's part. It should be concise, and extensive supplementary information (such as individual assessment reports or agreements for sub-contracted work) should be presented as appendices to the main document.

A2.5 The Project Design will be assessed rigorously against the relevant criteria set out in the English Heritage Research Strategy, and against our published research agendas, strategies and priorities, and Review Points 2 and 3. When drafting a Project Design, authors and contributors should bear in mind the need to set SMART targets and focus on demonstrating the critical linkage between aims and objectives, data/information potential, methods, products, and programme and resources.

Structure and Presentation

A2.6 The MoRPHE PMG suggests outline headings and structure for a generic Project Design. Different project types, however, will require a different emphasis, weighting and balance of information. The following structure is based upon that used within English Heritage Research department. Please note that the Assessment of Potential and Updated Project Design for Analysis, which should be produced as a single integrated document, will require a slightly different structure (A2.7).

Executive Summary

This will summarise the project in a manner suitable for wider circulation to expert and professional audiences. For English Heritage funded work this will be used in the RaSMIS on-line reporting system.

1. Introduction and Scope

Set out the scope of the project and the context and drivers for carrying it at this time; you should also summarise what is outside the scope of the project. For EH funded work identify the SHAPE sub-programme. Refer to previous work and relevant current initiatives. For site or area specific projects provide an NGR and location map.

Summary of Products and Tasks: this will outline the shape and scope of the Execution Stage, the principal outputs, and the main task groups envisaged.

Interfaces and Partnerships: this will, if appropriate and relevant, set out connections and links established between the project and other initiatives, and any formal partnerships which form part of the project.

2. Aims and Objectives

This will detail the project's aims and objectives. These will be set out as high-level aims and contributing objectives (MoRPHE PMG 2.1.1). It may be helpful to frame research aims and objectives as questions (below, A2.15).

Outline the potential of the available data or information sources to meet the aims and objectives.

3. Business Case

This will refer to the aims and objectives (above) and will set out how the project addresses English Heritage and sector priorities, the benefits it will deliver, and any other factors or circumstances that support the case for carrying out the work at this time (such as synchronicities or added value arising from other initiatives or partnerships).

It is important to be critical, realistic and specific when outlining strategic fit. Most projects can be aligned broadly with high-level strategic goals but relevance and priority must be demonstrated specifically through SHAPE sub-programme and topic(s).

4. Dissemination and Archive

This will detail the dissemination strategy and should where appropriate provide outlines for proposed publications. This is a requirement for all Project Designs for an Execution Stage which will deliver formal reports for dissemination.

The primary product of analysis is the report for dissemination. The intended scope of the report will therefore help structure the analysis programme and vice versa.

This section will specify archive strategy and storage arrangements.

5. Methods Statements

This will detail the methods to be employed (especially any innovative methodological or technical developments) and how these will deliver the aims and objectives.

6. Resources and Programming

This section will provide the following information:

Project Team: a breakdown of the project team including individual responsibilities.

Management Responsibilities: a statement of management structure and responsibilities; this should include internal and external communication strategies.

Accommodation, Facilities and Equipment: a statement of requirements, including proper justifications and specifications for any equipment purchases.

Products, Tasks and Timetable: this must set out how the project will proceed, identifying the products, the tasks and task-groups needed to produce them, and the timetable and milestones for delivery. This must include:

- Task List: this will be tabulated with numbered tasks linked to the Gantt chart, indicate staffing and resources, and be cross-referenced to aims and methods (see Table 2 below); and
- Gantt Chart, showing critical path, timetable and milestones;

Task List and Gantt Chart should include all tasks, including those to be performed by external contractors. For ease of reference and collation it may be desirable to bind the Gantt Chart at the end of the document if it is lengthy and complex.

Health & Safety Statement

Equalities Impact Assessment where needed (this may referenced in this section with the full Assessment included as an appendix)

Budget and Resources: Best practice is to present this as a table. An example (based on that in use at English Heritage) is presented in Table 3 below.

Typically this will include:

- Staff or contractors and their cost to the project by year
- non-staff costs (accommodation, equipment, mapping data etc) the source of funding must be identified
- Travel & Subsistence

7. Bibliography

References in the text, and the bibliography, must accord with English Heritage standards and conventions.

Appendices

These may include detailed specifications and costing from external contractors.

A2.7 MoRPHE stresses the need for a staged and reflexive approach. For most fieldwork projects or field investigations this will include a formal qualitative review at the end of the fieldwork which will assess the potential of the data captured on site and a revision of the aims and objectives for analysis as necessary (this is set out further in the MoRPHE PPNs). The updated Project Design, setting out the programme of analysis, will be based upon this appreciation of the quantity, quality and potential of the data. This Assessment of Potential and Updated Project Design for Analysis should form a single integrated document. The following structure is used by English Heritage Research Department projects.

Executive Summary

1. Introduction and Scope

2. Assessement

Assessments of individual data categories: these will set out Factual Data followed by Statements of Potential. Rather than include lengthy specialist assessment reports in the main body of the text these should be summarised with the full report attached as an appendix.

Integrated Assessment of Potential: this should set out the aggregate importance and significance of the integrated data set.

3. Aims and Objectives

Project aims and objectives may be revised in the light of the results of the assessments of potential for further analysis.

4. Business Case

The project business case may be revised in the light of any changes to aims and objectives.

5. Dissemination and Archive

6. Methods Statements

7. Resources and Programming

8. Bibliography

Appendices

These will include detailed assessment reports.

General notes on Project Design Content

A2.8 Project Designs should be paginated and have a contents page. The cover page should have a document control grid (MoRPHE PMG, Appendix 2). Contributors other than the main author(s) should also be identified against their contributions in the text. For ease of reference illustrations may be best bound together at the end of a document rather than distributed through the text.

A2.9 What follows is general guidance which will be relevant to most projects. See also Table 1 in section 2.5 of the main text.

A2.10 Project Designs for recording or investigation Execution Stages will normally include:

- provision for the establishment and completion of the site archive and completion of a summary report
- provision for completion of the assessment of potential (Assessment Report)
- provision for the completion of an Updated Project Design for Analysis

A2.11 Project Designs for the analysis Execution Stage will normally include:

- provision for the completion of the research archive
- provision for completion of the report for publication or other end goal

A2.12 It is important that project designs should link aims and objectives, methods statements and resources and programming. In the assessment and updated project design potential should be assessed against the original project aims, and the revised aims should be founded in the potential as established by the assessment.

A2.13 Numbering individual aims and objectives and methods statements allows easy cross-referencing between sections, and a tabulated task list is a useful way of integrating aims, methods, and resource allocation (see Table 2 below).

A2.14 Weight of documentation is no substitute for quality, and documents should be as concise as is consistent with presenting a strong case in sufficient detail. This is particularly true of assessments, where presenting information and results in a tabular form can be useful.

A2.15 Defining and presenting aims and objectives is one of the most challenging aspects of preparing a project design. Thinking of aims and objectives as questions can be helpful. It also helps the case if aims can be related to English Heritage priorities and to regional and specialist interest research agendas. When applying MoRPHE to pre-MoRPHE or pre-MAP2 projects, retrospective definition of aims and objectives can be very constructive. In presenting aims and objectives it is helpful to treat aims as major themes or goals to which specific objectives contribute. The following are examples for archaeological excavation projects:

What was the subsistence base of the settlement?

- What was the contribution of animal husbandry to the subsistence economy?
- What was the contribution of agriculture to the subsistence economy?
- What part did exploitation of marine resources play in the subsistence economy?

A2.16 Assessments should address the original project aims and objectives and form the basis of the revised project aims and objectives.

A2.17 Methods statements must be explicit, and it is important that their relevance is demonstrated: for instance, how will they address a specific area of potential or a specific aim, and what will the product be? Where appropriate, reference should be made to procedures manuals and professional standards and guidelines.

Table 2. Example tabulated task list

This example illustrates tasks (brigaded as task groups or phases) as they might be defined for the 'Analysis' Execution Stage of an archaeological excavation project, contributing to the overall Product of 'Analysis and understanding completed' (c.f. Table 1 above). It illustrates the detail of tasks, and is suitable for use in planning and approving resources and monitoring progress.

The task number, task, performed by, and days columns are essential parts of the task list. The aims and cost columns do not have to appear on a task list, although this information should be presented elsewhere.

In addition to tabulation, other methods of display of planned tasks, such as Gantt charts, may be appropriate: the essential requirement is clearly conveying information about the project: who will do what, when and at what cost.

Task No.	Aims	Task	Performed by	Days	Cost
Task group: Preparation					
1		Copy site archive	WDS	2	
2		Transport of material to London	WDS	1	
Task group: Specialist Analysis					
3	1,2	Documentary analysis	RTV	15	
4	1,3,4	Identify/analysis and report on pottery	TWP	17	
5	1,3,4	Ceramic input into site phasing	TWP RTV	1 2	
6		Produce updated phasing	RTV	4	
7		Write stratigraphic text	RTV	39	
8	4,5,7	Identify/analysis and report on worked wood	MK	5	
9	4,5,7	Update metalwork catalogue	APW	5	
10	4,5,7	Update glass catalogue	APW	5	
11	5,7	Identify/analysis and report on textile	EMc	2	
12	6,7	Identify/analysis and report on insects	CFA	7	
13	6,7	Identify/analysis and report on animal bone	CFA	25	
14	6,7,8	Identify/analysis and report on environmental material	AT CFA	25 15	
Task group: Illustrations					
15	3	Produce pottery drawings	AK	14	
16	4,5	Produce other finds drawings	FD	22	
17		Produce site plans etc	FD	17	
Task group: Preparation of Publication Text					
18		Review Meeting	All	1	

19		Edit and integrate specialist reports	RTV APW	12 6	
20		Write background/introduction	RTV	10	
21		Write discussion and conclusions	RTV	10	
22		Circulate text for internal comment / sign-off	All	1	
23		Collate report for referees and submit	WDS RTV	2 2	
Task group: Update Project Design					
24		Receive and consider referee's comments	PVC WDS APW	1 1 1	
25		Meeting with Stakeholders	PVC	1	
26		Meeting with Editors	PVC	0.5	
27		Update Project Design for Editorial Execution Stage	PVC WDS		
Task group: Signpost and Archive					
28		Update OASIS record	RTV	0.5	
29		Collate and deposit research archive	WDS	3	
Task group: Project Management					
30		General liaison & management (including highlight report, issues and risk logs)	PVC	10	
31		End Stage Review Meeting	All	0.5	

Table 3 Example presentation of resource and financial information

1) Project Staff Time (days) by year. Use this to show the commitment of individuals time to the project. In larger organisations, including the team will illustrate the commitment of different teams required.

For project staff cost calculation where needed the day-rate (i.e. £ per day cost to the project) of each staff member should be given to allow a full estimate of staff cost to be identified.

Staff	**Team**	**Days**	**Days**	**Days**	**Total (Days)**
Year		2007/08	2008/09	2009/10	
Jo Catford	Survey	2	2	5	9
Sue Barton	Survey	16	12	3	31
A.N. Other	Project Mgt	5	5	6	16
Mark Corne	Graphics	1	1	1	3
Ed Fielden	Outreach	2	2	10	14
Total		26	22	25	73

2) Other costs: Identify the items of non-staff cost required. For larger organisations identifying the budget that will pay for them may be appropriate.

Item	**Budget**	**Year**			**Total**
		2007/08	2008/09	2009/10	
External Specialists					
Coad Stone	Arch Inv	£3,276.40	0	0	£3,276.40
Coprolites	AS&A	£27.62	£17.50	0	£35.12
Thermal Imaging	IGS	£5,500.00			
Sub-total		£8,804.02	£17.50		£8,811.52
Equipment and Facilities					
Historic Mapping	Arch Inv		£700.00		£700.00
Sub-total			£700.00		£700.00
Travel & Subsistence	Arch Inv	£1,200.00	£700.00	£200.00	£2,100.00
	Arch Prj	£120.00	£120.00	£75.00	£315.00
	AS&A	0.00	0.00	0.00	
Sub-total		£1,220.00	£820.00	£275.00	£2,415.00
Total		£10,024.02	£1,537.50	£275.00	£11,836.52

3) Grant aid requirement: Use this to summarise the grant aid required for each year of the project

Grant source (e.g. HEEP)	Year			Total
	2007/08	2008/09	2009/10	
Loamshire tile industry project grant	£2,000.00	£2,000	£2,000	£6,000