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Chapter 1

Introduction: The PPG16 Era

The two decades between 1990 and 2010 were boom years for archaeological research across Britain. In England alone nearly 82,000 investigations have been recorded from this period, variously revealing structures and deposits ranging from campsites occupied by the earliest human inhabitants of northwest Europe over half a million years ago to settlements and workplaces of the modern industrial age. Many things conspired to promote this level of activity, but the most significant was the publication in November 1990 of *Planning Policy Guidance Note 16: Archaeology and Planning* (DoE 1990), popularly known as PPG16. It was a document that changed the face of public archaeology and triggered what might fairly be called the PPG16 Era as a distinct phase in the history of archaeological endeavour in Britain.

This report summarises and contextualises the achievements of archaeology in England during the PPG16 Era based on the results of the Archaeological Investigations Project (AIP), and considers the ongoing implications. Established at Bournemouth University in 1995 with funding from English Heritage (now Historic England) the AIP recorded the nature, extent, and distribution of completed investigations, especially those connected with planning-related archaeology carried out by archaeological contractors. Using the robust data-set created by recording individual investigations year-on-year over the PPG16 Era it is possible to chart an original picture of the progress of archaeological research that, in looking back over a period of profound change, is internationally significant for what it says about the transformation of practice while also providing guidance for the development of an agenda for archaeology over the next decade or more.

The aim of the report is to identify and document long-term trends and patterns within a range of fieldwork traditions during the PPG16 Era, illustrating some of

the achievements and impacts that such an approach brought, and putting it all into its wider academic, social, political, economic, legal, and professional context down to the present day. Although planning-related investigations dominated archaeological activity between 1990 and 2010, accounting for about 90 per cent of recorded events, much else happened over the same period and attention is directed towards these activities as well. Thus, after a consideration of the background, context, and development of archaeology before, during, and after the PPG16 Era in this introduction, the following six chapters examine trends in planning-related and non planning-related archaeological work in England between 1990 and 2010. Chapter 8 then looks at archaeological outputs, and Chapter 9 assesses through case studies some of the achievements and impacts of the work. In conclusion, Chapter 10 looks forward to the way archaeological endeavour is moving towards the thirtieth anniversary of PPG16 in 2020, and beyond.

By way of preface three fundamental points must be made. First, is that while archaeological resource management in England shares many common underpinning principles with approaches taken elsewhere in Europe, and other parts of the western world, the legal, professional, and academic frameworks within which it is done are peculiar to England (*see* CIFA 2015; Hunter & Ralston 2006; Thomas 2007). The practices discussed in this report therefore represent one way of doing things; other countries do things differently according to specific local circumstances (Ashworth & Howard 1999; Carman 2015: xi) as the case studies from more than a dozen areas of Europe brought together by Katalin Bozóki-Ernyey (2007a) so clearly illustrate. Second, and following on from the first point, is that a key principle of archaeological resource management that came to the fore in England during the PPG16 Era was the need for informed decision-making. This is discussed further below,

but one implication of such an emphasis was the very clear separation of archaeological investigations into ‘pre-determination’ and ‘post-determination’ works, regardless of whether the ‘determination’ in question related to the planning system, the control of works through protective legislation (e.g. Scheduled Monument Consent), or simply making formal requests for funding and permissions. Third, is that post-determination investigations (also known as mitigation works), especially those in relation to planning permissions and Scheduled Monument Consents that were undertaken as a result of imposed conditions or agreements, must be seen in the context of a failure to achieve the primary objective of the legislation, which is to protect and conserve archaeological remains and the historic environment more generally. Thus, alongside the impacts and achievements reported here it is important to emphasise the widespread success of what can be called ‘PARIS Policies’ that represent the other side of the coin and focus on the preservation of archaeological remains *in situ* (Corfield *et al.* 1998; Davis *et al.* 2004; Saunders 1978; Wainwright 1993; Williams *et al.* 2016).

Twin pillars of archaeological research

Archaeology was a well-established discipline long before PPG16, and continued to develop and change during the PPG16 Era and beyond. By 2010 the archaeological process had become well-established in terms of its theoretical underpinnings and the necessary technical skills and intellectual competence to investigate, analyse, interpret, report, and present to wide interested audiences the remains of all periods whether standing, buried, or below the water (Carver 2009; Hodder 1999). The integration of archaeology with property development became well understood from the mid-1980s (Barber *et al.* 2008; McGill 1995), not only in Britain but also elsewhere in Europe (Bozóki-Ernyey 2007a; Webley *et al.* 2012) and in North America (Roberts *et al.* 2002). There were plenty of interesting questions to be asked of archaeological remains in order to facilitate piecing together a nuanced and detailed understanding of the past relevant to the interests of contemporary post-modern society (Olivier 1996). The quantity, quality, and wide distribution of archaeological remains were appreciated even though there were concerns over the rate of loss (Darvill & Fulton 1998). And, cementing it all together, legal frameworks and professional practice fell into place to encourage and support the management of archaeological remains through protection, conservation, and, where appropriate, investigation through survey and excavation (Fitzpatrick 2012; Last 2012; Wainwright 1993).

Grossly simplified, archaeological investigation in the late twentieth and early twenty-first centuries can be visualised as resting on two main foundations: the twin pillars of archaeological research (Figure 1.1). One pillar



Figure 1.1 Representation of the twin pillars of archaeological research that support and give rise to archaeological investigations.

comprises research prompted by the long-standing traditions of problem-oriented and curiosity-driven research carried out mainly by government agencies, staff in university departments, and members of national, regional, and local amenity societies and community groups. Problem-orientated research, also known as agenda-driven research, emphasises the investigation of pre-defined questions: societal, academic, or professional issues or problems recognised as worth exploring in order to improve understanding or fill gaps in knowledge. By contrast, curiosity-driven research, sometimes also known as ‘blue-sky’ research, emphasises the potential of unanticipated or unexpected lines of inquiry prompted simply by being curious about perceived relationships, patterns, and juxtapositions of things or ideas in the real world.

The second pillar comprises what is sometimes referred to as development-led research, or planning-related research, prompted by various forms of property development and land-use change carried out within a complicated and diverse framework of legislation and associated guidance. By 1990 this included: the *Ancient Monuments Acts* controlling works at Scheduled Monuments, Guardianship Monuments, Areas of Archaeological Importance, and other protected places; the *Town and Country Planning Acts* providing strategic development frameworks and spatial planning, development control in relation to specific proposals, environmental assessment, and control over works to Listed Buildings and Conservation Areas; and a raft of other legislation dealing with works at specific resources (e.g. wrecks; military remains; churches etc.) and protected areas (e.g.

National Parks; Areas of Outstanding Natural Beauty; Environmentally Sensitive Areas; World Heritage Sites etc.). Here the choice of what to investigate is inevitably directed and constrained by the nature, location, and extent of the proposed development.

In practice, overlaps and links abound between the endeavours represented by the two pillars. As Richard Bradley found when researching a new account of British prehistory, what he initially characterised as Two Cultures turned out to be closely related and in places bridged by common sense and a shared interest in the past (Bradley 2006a). Indeed, a whole spectrum of archaeological research is increasingly mediated and unified by the negotiation, construction, and implementation of robust Research Frameworks that straddle the twin pillars (A Cooper 2008; Miles 2013; Olivier 1996; Thomas 1997). In this sense, Research Frameworks encourage the use of development-led and planning-related research opportunities to address problem-orientated agendas and follow-up insights and propositions arising from curiosity-driven research.

Especially important in the sphere of planning-related research in England was the publication in November 1990 of PPG16 (DoE 1990). Already referred to as revolutionising approaches to archaeological practice over a period of 20 years, its impact can still be felt. This relatively short document of just 24 pages significantly raised the profile of archaeology within the town and country planning system by clarifying the way that archaeological remains should be considered in decision-making and the weight that should be given to their protection and management. It highlighted the need for reliable information to inform decision-making, it emphasised the need to consider the preservation of remains wherever possible, and reiterated the powers that local planning authorities had to include conditions on development approvals that required developers to facilitate and finance an agreed programme of investigation and reporting for archaeological remains that could not be preserved. As such it transformed the rather negatively charged idea of development-led archaeology as something reactive into the positive forward-looking practice of planning-related archaeology that was proactive, in the sense that spatial planning in Britain is based upon a planned approach. Building on the principles set out in PPG16, similar policy guidance was subsequently published for other parts of the United Kingdom: Scotland (Scottish Office 1994a; 1994b), Wales (Welsh Office 1991; 1997), and Northern Ireland (DoENI 1999).

Prelude to PPG16

The influence of PPG16 is such that some consideration of its origins and context is appropriate, for it did not simply appear out of the blue. Like most legislation and related guidance, it represented the consolidation and formal

articulation of ideas and principles circulating at the time, and which were already being tried and tested. Much of the back-story has been told in gentle narrative fashion by Geoffrey Wainwright (2000), Chief Archaeologist at English Heritage when PPG16 was launched and one of the document's principal architects. Reflective comments celebrating 25 years of PPG16 and its successors in a special edition of *The Archaeologist* also provide useful sidelights (Thomas 2016a; Bryant & Wills 2016; Brown 2016; Carroll 2016; Darvill 2016; Lennox 2016). What becomes clear is that two main strands of thinking came together in structuring PPG16: one representing the evolving indigenous tradition of British archaeology, the other a broader European perspective.

Archaeology in England before 1990

The twin pillars of archaeological research are clearly visible through most of the twentieth century, but their relative importance changed over time as the wider academic, social, political, and economic landscape gradually mutated. Until the late 1970s, problem-orientated and curiosity-driven research formed the dominant pillar, although development-led work (in contradistinction to 'planning-led' work) latterly under the banner of 'Rescue Archaeology' increased its influence and often captured the headlines (Evans 2016; Everill & Irving 2015; Jones 1984; Rahtz 1974). Indeed, it is surprising just how many ostensibly 'research' excavations were undertaken as a result of opportunities opened up when new developments threatened familiar sites with destruction or brought new sites to light during the course of groundworks and clearance operations. Some early examples even attracted 'developer funding', as in the case of E. C. Curwen's investigations at Whitehawk Camp, Brighton, in 1932–33 (Thomas 2016b).

By the late 1970s it was clear that the idea of reactive intervention and 'preservation by record' was becoming impracticable, not least because of the vast scale of the work needed in relation to the meagre resources available (Saunders 1978; Thomas 1976; Wainwright 1984). Philosophies and approaches shifted towards the conservation of sites and the planned management of change both in towns and the countryside. Conferences in Southampton (Darvill *et al.* 1978) and York (Mytum & Waugh 1987) debated many of the key issues in a fast-changing world.

One important change was the enactment of the *Ancient Monuments and Archaeological Areas Act 1979* that fundamentally altered the way works to Schedule Monuments were dealt with, replacing a simple passive notification process with an active consent procedure (Biddle 1994a: 2–4; Champion 1996: 53–55). Much the same happened in relation to other dimensions of the historic environment covered by legislation, for example Listed Buildings, while active management through

careful stewardship was promoted right across the heritage sector (Baker 1983; Darvill 1987a; 1993). Following the adoption in Europe of the principles of cultural resource management (CRM) and environmental impact assessment (EIA) first established in the United States of America (Cleere & Fowler 1976; McGimsey 1972; Schiffer & Gumerman 1977), attention switched from responding to decisions already taken to an approach that involved directly influencing the decision-making process. Key to this was providing a broad and accessible knowledge-base of recorded archaeological sites. National records were available as the Ordnance Survey Index of Archaeological Sites, established on a systematic basis in 1951 (Darvill & Fulton 1998: 59–61), and the National Monuments Record established by the Royal Commission on the Historical Monuments of England in 1963 (Aberg & Leech 1992; Fowler 1981: 107; RCHME 1993). Staffordshire County Council appointed an archaeologist to the county planning department in 1959 (Barratt 1966), while the first county-based sites and monuments record was established in Oxfordshire in 1965 (Benson 1972). Together these initiatives provided a model for future development across the country. The Walsh Report of 1969 encouraged county councils to appoint archaeological officers and establish local records (Walsh 1969: 26–7), so that by 1975 nearly half the counties in England had direct access to a local Sites and Monuments Record (Baker 1983; Burrow 1985). The early development of these new approaches to what, by 1975, was already being referred to as the ‘historic environment’, and its relationship to town and country planning, is well documented by the papers presented at two seminars held in Oxford organised by Trevor Rowley and Mike Breakell (Rowley & Breakell 1975; 1977). Over the following decade, and with the support of successive government agencies, the remaining counties followed suit with the last piece in the jigsaw tapped into place in Kent in 1989.

In theory all should have been well. Section 17 of the *Town and Country Planning Act 1932* established that planning authorities (at that time Urban and Rural District Councils) could, subject to the approval of the Minister of Health, include in their schemes protection for buildings and other monuments of archaeological interest and importance. It was a principle included in later iterations of the planning acts down to the *Town and Country Planning Act 1990*, but rarely used. The presence of county archaeologists to advise the members of their authority’s planning committee, and the availability of archaeological records and published surveys and development studies to underpin their arguments, helped set the stage for change. But it was three problematic high-profile large-scale development sites with rich archaeological remains that revealed the inherent weaknesses of the system and prompted action. First was the palatial Roman building discovered on the Queen’s Hotel

site in York in 1988 with little time and inadequate funding for its full investigation and recording (Cleere & Marchant 1989). Next was the case of Huggin Hill, London, where the remains of a well-preserved and extensive Roman bath block came to light in January 1989. Partial excavation, modifications to the piling layout to reduce the impact of the development, and burial of the site under a protective layer of sand became the agreed solution after much debate (Anon 1989; Shelbourn 1989). And finally there was the site of the Rose Theatre in Southwark, London, first revealed in December 1988. By May the following year the structures found there had engendered widespread public debate about whether the remains should be preserved out of sight under the proposed development, fully or partially excavated, or protected in a way that would allow further investigation and display in future (Biddle 1989; Wainwright 1989). In response to these cases, Virginia Bottomley, then the Heritage Minister, announced in May 1989 the Government’s intention to introduce guidance on archaeology in planning. A consultation draft of what became PPG16 was issued in February 1990 with the final document published nine months later in November 1990 (DoE 1990).

The European dimension

Archaeological policy and approaches in Britain are, to a greater or lesser extent, influenced by international agreements, especially those developed and approved by European bodies. At a meeting in London on 6 June 1969 the Council of Europe, at that time a body representing 18 European states, opened for signature the *European Convention on the Protection of the Archaeological Heritage* (CoE 1969). The convention was later revised and again opened for signature in Valletta, Malta, in January 1992 (CoE 1992). It is now generally known as the Malta Convention and by the end of 2010 had been adopted by 41 out of the 47 member states of the Council of Europe at that time. The UK government ratified it in September 2000 and it came into force in the UK in March 2001. This convention, and its implications for individual states, has been widely discussed (Dries 2011; Haas & Schut 2014; O’Keefe 1993; Trotzig 1993; Willems 2007). It is complemented by a series of other agreements and recommendations resulting from the work of various committees and groups of experts convened by the Council of Europe, including the *Convention for the protection of the architectural heritage of Europe*, adopted in 1985 (CoE 1985), the *Recommendation on the integrated conservation of cultural landscape areas as part of landscape policies* adopted in 1995 (CoE 1995), and the *European Landscape Convention* opened for signature in Florence in October 2000 (CoE 2000). Together with others, these documents provide a robust framework, at a European scale, within which to situate approaches to archaeological resource management. Although daunting in

their presentation and proliferation, these conventions and recommendations are important in the way they harmonise and communicate core ideals.

The doctrinal setting of much of what is contained in recent Council of Europe conventions and recommendations is contained in the *Charter for the Protection and Management of the Archaeological Heritage*, prepared by the International Committee on Archaeological Heritage Management and ratified by the General Assembly of its parent body, ICOMOS, in Lausanne in 1990 (ICAHM 1990; Björnstad 1989; Cleere 1993). This document also had a strong influence on the content of PPG16.

To date the European Union has not issued a Directive dealing explicitly with archaeological matters, but certain aspects of what is contained in PPG16 derive from the principles underpinning *Directive 85/337/EEC on the assessment of the effects of certain public and private projects on the environment* adopted in Brussels on 27 June 1985 and first implemented in the UK by the *Town and County Planning (Assessment of Environmental Effects) Regulations 1988 (SI 1199)*. As will be discussed in Chapter 4, environmental assessment regulations expanded considerably during the PPG16 Era with archaeological and heritage considerations included within environmental impact assessment applied to particular projects and, since 2004, to strategic environmental assessment.

Planning is a matter that the European Union is peripherally involved with, although something that might become of more central concern is linking heritage to the idea of sustainable development and well-being (CEU 2014). Previous work in this area though is patchy. The provisional identification of seven inter-state planning areas within the European Union (Darvill 1997) to provide a wide perspective on strategic planning did not make the impact initially imagined, although at regional level there is a fair degree of convergence in thinking and practice. Regionally this is well illustrated by the PLANARCH Project established in 1999 under the European Union's Interreg IIC programme for the North West Metropolitan Area that included Kent and Essex as one of five comparative regions around the southern North Sea Basin. The results show both similarities and differences in arrangements for the integration of archaeology and planning between the four adjoining EU member states (Cuming *et al.* 2001). Similarly, on a broader scale, the Discovering the Archaeologists of Europe project backed by the European Commission through the Leonardo da Vinci II fund provides a snap-shot of the professional arrangements and labour market for archaeology in c.2007–08 for 12 out of the 27 member states of the European Union at that time. Collectively, these studies show very different articulations in the way planning, development, and the protection of archaeological sites come together (Aitchison 2008).

November 1990: A new dawn

For many archaeologists Wednesday 21 November 1990 has become a red-letter day in the history of the discipline. This was not because of the heated debates in London about Margaret Thatcher's premiership after 11 years in office that led to her resignation the following morning, but rather because 250 km to the north, in Lincoln, the Heritage Minister, Baroness Blatch, formally launched PPG16 at the annual conference of the English Historic Towns Forum (EHTF 1990; Wainwright 2000: 926). As noted above, this relatively short document (Figure 1.2A) gave new impetus to archaeological work across England by formalising its place in strategic planning and by creating a system within which archaeological data contributed to informed decision-making for development control (later known as 'development management').

The implications of PPG16 quickly spread far and wide, its main messages being trumpeted in the archaeological trade press and beyond (*e.g.* Redman 1990; Scarse 1991). Early reviews of its impact and effectiveness were carried out in 1991 (Pagoda Projects 1992) and 1994 (Roger Tym & Partners 1995), quantifying for the first time the extent to which archaeological considerations impinged on the planning process (Wainwright 1995: 21). Subsequent reviews illustrate a wider range of perspectives on the longer-term value and impact of PPG16 (*e.g.* Manley 1993; Pugh-Smith 2000; Roe 1995) most of which are generally positive. But not everyone was happy with the way that PPG16 began restructuring the archaeological process, and some argued fervently that it would reduce the value of archaeological research (Bishop 1994; Carrington 1993; Carver 1994; Graham 1992; Hinton 1992; Morris 1993; 1994a; 1995; 1998a; 1998b).

For developers, the great value of PPG16 lay in providing a set of approaches that reduced risk in bringing projects to fruition on time and within budget. But its impact can also be seen in the rapid evolution of professional practice through the early 1990s (Aitchison 1999; 2012; Darvill 1999; 2006; 2012; Pickering 2002). Across the discipline there was a much greater focus on role definition, with the consolidation of three roles in particular:

- Curators: managers of the historic environment at local, regional, and national levels
- Contractors: investigators of the historic environment
- Consultants: facilitators of resource management, investigation, and development

Within local planning authorities the role of curator was generally split between the authority's archaeological officer and the sites and monuments record officer/historic environment records officer. The arrangement and jurisdiction of local planning authorities across England changed a little over the period between 1990 and 2010

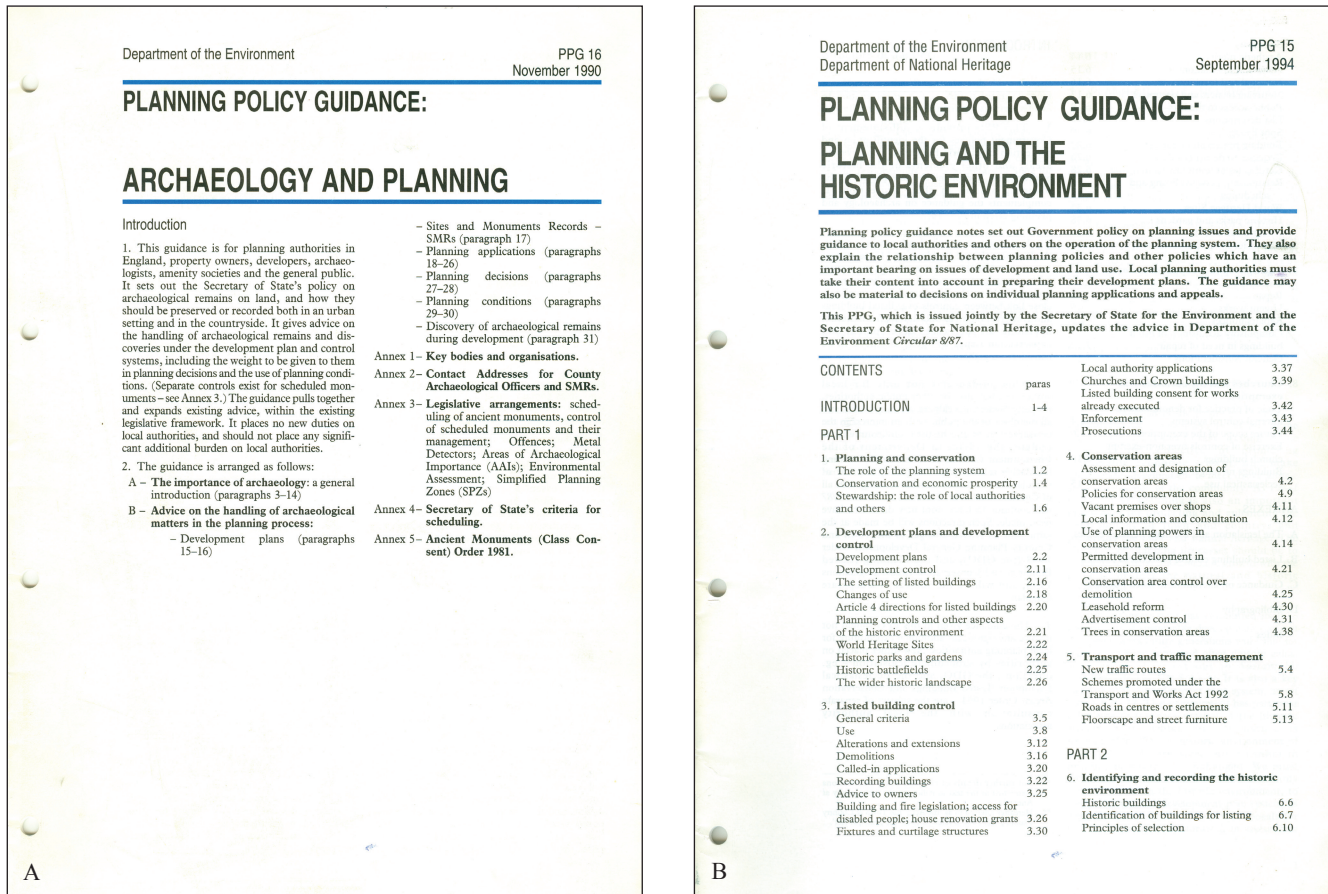


Figure 1.2 Planning Policy Guidance Notes. A. PPG16 published in November 1990. B. PPG15 published in September 1994.

(see Chapter 2), while the number of posts working in this sector of the discipline expanded from an estimated 605 FTE in 1998 to 724 in 2008 when local authority curatorial staff represented about 18 per cent of the archaeological workforce (Aitchison & Edwards 2008: 19 and 39). Of these about 407 FTE were directly involved in giving archaeological advice to local authorities in England in 2006 (HE *et al.* 2017: 1).

Giving developers responsibility for providing background archaeological materials as part of a planning application, and for facilitating and funding agreed mitigation measures, inevitably led to a steady expansion of commercial archaeology. It has been estimated that in 1998 there were around 93 private-sector archaeological contractors and consultancies employing around 1341 staff, but by 2008 this had risen to an estimated 620 organisations with more than 3504 staff representing nearly 60 per cent of the archaeological workforce (Aitchison & Edwards 2008: 19, 35, 39 and 121).

PPG16 formed part of a broad panoply of documentation to support, expand, explain, and operationalise the *Town and Country Planning Act 1990* that provided the enabling legislation for a tightly structured multi-tier approach to spatial planning and development control. When it was

published there were already guidance notes covering such matters as Green Belts (PPG2), telecommunications (PPG8), and unstable land (PPG14). PPG16 on archaeology and planning was the first to deal explicitly with the conservation of particular resources but was followed in September 1994 by PPG15: *Planning and the Historic Environment* (DoE 1994a – the illogical numbering in relation to the date of issue is because document numbers were re-used after a piece of guidance was withdrawn). This dealt with Listed Buildings, Conservation Areas, and World Heritage Sites, and gave local planning authorities the powers to treat historic buildings in much the same way as archaeological sites (Figure 1.2B). Strangely, although developers can be required to provide surveys of buildings with their applications, and carry out mitigation works as a condition of planning consent, relatively few such investigations actually happened between 1990 and 2010 (see Chapter 3).

Despite amendments to the primary town and country planning legislation set out in 1990, and numerous policy and practice reviews over the period 1990 to 2010 (see Figure 1.3 for summary), PPGs 15 and 16 remained current until March 2010 when, as part of a rationalisation of planning guidance, they were combined and shortened to form *Planning Policy Statement 5: Planning for the*

	1990	1991	1994	1995	1996	1997	1999	2000	2001	2003	2004
Legislation and planning policy	Town and Country Planning Act 1990 Planning (Listed Buildings and Conservation Areas) Act 1990 PPG 16: Archaeology and Planning	Planning and Compensation Act 1991	PPG 15: Planning and the Historic Environment	Environment Act 1995		Council Directive 97/11/EC amending Directive 85/337/EEC on the effects of certain private projects on the environment	Town and Country Planning (Environmental Impact Assessment) Regulations SI 1999 293	Town and Country Planning (Environmental Impact Assessment) Regulations SI 2000 2867	Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment		Planning and Compulsory Purchase Act 2004 The environmental assessment of plans and programmes regulations SI 2004 1633
Policy and practice reviews		Exploring our past: Strategies for the archaeology of England (English Heritage)						Power of places: The future of the historic environment (English Heritage)	The historic environment: A force for our future (DCMS) From the ground up: The publication of archaeological projects a user needs survey (CBA)	Protecting our historic environment: making the system work better (DCMS) Historic environment records: Benchmarks for good Practice (English Heritage) The current state of archaeology in the UK (All Party Parliamentary Group)	Review of heritage protection: The way forward (DCMS) Protecting our marine historic environment: Making the system work better (DCMS) Review of the National Monuments Record (English Heritage)
Organizational and structures changes					Local Government re-organization, including creation of unitary authorities						Changes to the strategic planning system with the introduction of Local Development Frameworks
AIP data collation	Assessment of Assessment Project		↔	Archaeological Investigations Project starts AIP recording of Estate Management Surveys as separate event type.			AIP record building records (previously only recorded when part of another event)	↕	Start recording geophysics (previously recorded if part of another event)		↕

Figure 1.3 Timeline showing selected key legislation, reviews and policy documents in relation to organisational changes and AIP activities. A: 1990–2004. B: 2005–2015.

	2015	2014	2013	2012	2011	2010	2009	2008	2007	2006	2005	
Legislation and planning policy	Infrastructure Act 2015 Town and Country Planning (Environmental Impact Assessment) Regulations SI 2015 660	Directive 2014/52/EU on the assessment of the effects of certain public and private projects on the environment	Enterprise and Regulatory Reform Act 2013	National Planning Policy Framework (DCLG)	Localism Act 2011 Town and Country Planning (Environmental Impact Assessment) Regulations SI 2011 1824 Directive 2011/92/EU on the assessment of the effects of certain public and private projects on the environment	PPS 5: Planning for the Historic Environment (DCLG)	Marine and Coastal Access Act 2009	Planning Act 2008 Town and Country Planning (Environmental Impact Assessment) (Amendment) (England) Regulations SI 2008 2098		Town and Country Planning (Environmental Impact Assessment) Regulations SI 2006 3295		
Policy and practice reviews		Towards an integrated approach to cultural heritage for Europe (European Commission)			Realizing the benefits of planning-led investigation in the historic environment: A framework for delivery (Southport Group) National heritage protection plan 2011-15 (English Heritage)		Historic environment practice guidance (English Heritage) Implementing heritage protection reforms: A report on local authority and English Heritage staff resources (English Heritage, IHBG and ALGAO)	Draft heritage protection bill (DCMS) Conservation principles, policies and guidance (English Heritage)	Heritage protection for the 21 st Century: White paper (DCMS) Historic environment local delivery (Atkins)	Heritage protection review: Assessment of eight pilot projects (Historic Environment Conservation)		
Organizational and structures changes			First Neighbourhood Plan completed (Upper Eden, Cumbria)		Abolish regional spatial strategies, IPC, and Regional Development Agencies. Establish Local Enterprise Partnerships			Establish the Infrastructure Planning Commission, and nine Regional Planning Committees				
AIP data collation						AIP recording of specialist reports. End of AIP recording	↑		↑		AIP Recording of Maritime Data as separate event type	

Figure 1.3 Timeline showing selected key legislation, reviews and policy documents in relation to organisational changes and AIP activities. A: 1990–2004. B: 2005–2015.

Historic Environment (DCLG 2010). The main document was accompanied by a planning practice guide (EH 2010). Two years later, on 27 March 2012, most of the individual subject-specific policy guidance statements were swept away and replaced by a comprehensive unified *National Planning Policy Framework* (DCLG 2012a) as part of a review aimed at simplifying the planning system and stimulating sustainable development (see Chapter 10). Six years on, and following a review by Government officers, it is anticipated that a revised framework will be issued for consultation in spring 2018 (Dewar 2018: 19).

Changing political philosophies

Archaeology and politics have always been closely connected. During the PPG16 Era there were significant shifts in political philosophy and public policy that, controversially, changed perspectives on the nature and value of archaeological remains. In turn this changed the purpose of endeavours to investigate and manage them, the way investigations were funded and carried out, and the status and roles of the individuals and organisations involved in all aspects of the profession (Aitchison 2012; Darvill & Holbrook 2008; Edgeworth 2003; Everill 2007; 2009; Everill & Irving 2015; Kristiansen 2009). It is an inexorable process that continues today, is often hard to keep pace with, and as a dynamic, contested, and negotiated set of relationships can really only fully be understood in retrospect.

During the 1980s archaeological resource management embraced and developed responses to two main politically charged ways of thinking. First was ‘cultural relativism’ and the recognition that the Western Gaze gave a distorted view of the past by perpetuating an essentially imperialist view of heritage in which there was just one view on how it should be looked after and what it all meant (Smith 2006: 29). David Lowenthal memorably referred to the ‘past as a foreign country’ in his book of the same name, arguing forcefully that the past had ceased to be a sanction for inherited power or privilege, but rather had become a focus for personal and national identity and a bulwark against distressing change (Lowenthal 1985). Second was the idea of ‘sustainability’: the reconciliation of the desire to achieve economic development in order to secure higher standards of living now and for future generations with the need to protect and enhance the environment both now and in the longer term (Brundtland Commission 1987). Such perspectives were comprehensively endorsed at the UN Conference on Environment and Development held in Rio de Janeiro, Brazil, in June 1992, the so-called Earth Summit (UN 1992). By that time the UK government had already outlined its strategic aims (HMG 1990) and was working towards the practical realisation of key ideas such as the ‘precautionary principle’, ‘environmental capital’, and the

‘polluter pays principle’ (HMG 1994: 32–34), the latter now reframed as the ‘agent of change principle’. Working out the application of sustainability within the heritage sector involved forging a close link to the so-called Green Debate (Coles 1990; Greeves 1989; Pryor 1990; Macinnes & Wickham-Jones 1992). In a specifically archaeological context sustainability was taken to mean making good and appropriate use of heritage resources for the needs of today without compromising the ability of future generations to do the same.

Responding to these challenging new ways of thinking had a big impact on archaeology in general (Carver 1984; Hodder 1984) and archaeological resource management in particular (Cleere 1984). But both cultural relativism and sustainability were, in a sense, middle-range theories that provided the tools to mediated high-level political philosophy with day-to-day solutions in order to actually deal with the heritage in terms of land-use planning, investigation, interpretation, visitor management, education programmes, and public access. Looking across the PPG16 Era three successive overarching high-level political philosophies can be discerned and are considered briefly in the following sub-sections.

Monetarism

In its purest form, monetarism is an economic policy that emphasises the central role of governments in controlling the amount of money in circulation, a position advocated strongly by Milton Friedman (Friedman 1970). It was eagerly applied by Margaret Thatcher’s centre-right Conservative administration from 1979 through to 1990, and beyond to 1997 under John Major. Such thinking cascaded out into wider policy initiatives to encourage, for example, a belief in the efficiency of free market forces and from there to the creation of ‘markets’ in services and facilities that were previously considered the preserve of the state. Thus, many state monopolies were privatised during this period, and government agencies externalised with a semi-commercial remit. The organisation of state support for archaeology was swept up in these changes, first articulated in a paper by Michael Heseltine when he was Secretary of State for the Environment (DoE 1982). As a result, English Heritage was created in 1983–84 to take over the government’s responsibilities for archaeology in England, one of the many new bodies branded as quasi-autonomous governmental organisations or QUANGOs. Competition was seen as beneficial, and individual achievement the goal. Under such conditions the remains of the past were branded resources – ‘archaeological resources’ – while what was more broadly termed ‘heritage’ became something that could be quantified, commodified, and commercialised (Fowler 1992; Hewison 1987). It was within the social and political environment created by monetarism that PPG16 was born, articulating a Conservative agenda and providing a new vocabulary. As

Flatman and Perring (2012: 4) have suggested, it allowed the objectives of rescue archaeology to be achieved while decreasing dependence on state funding to do it.

Instrumentalism

From the late 1990s, at least within the centre-left political systems widespread across Europe and North America at the time (including Tony Blair's and then Gordon Brown's Labour administration in Britain between 1997 and 2010), the idea of monetarism was overtaken by an approach known as 'instrumentalism'. Based on the American philosopher John Dewey's ideas of pragmatism (Dewey 1927), this perspective promoted actions or activities not because they are useful or interesting in their own right but because they are tools or instruments of the state in the attainment of wider ambitions in the realm of human experience (Belfiore 2012; White 1943). Such experiences are not simply a sensory state of 'happiness' but an aesthetic dimension of life in which the individual citizen optimises their potential as a member of a global society in an environment that is stable, just, secure, and sustainable. In such a light the remains of the past were seen as dimensions of the wider environment as a whole – the 'historic environment'.

At the European level such thinking harmonised with deeply embedded principles of democratisation, subsidiarity of decision-making, and heritage as collective cultural identity enunciated in the *Treaty on European Union* signed in Maastricht in 1992 (EU 1992: Art. 128) and later strengthened slightly by revisions and amendments passed in Amsterdam in 1997, Nice in 2001, and Lisbon in 2007 (EU 2012: Arts. 3, 107, and 167). It can also be seen in the hugely influential 'Power of Place' debate initiated by English Heritage in 2000 that focused interest on the future of the historic environment, its role in people's lives, and its contribution to the cultural and economic well-being of the nation (Clark 2006a; DCMS 2001; English Heritage 2000a; 2000b). Instrumentalism was also core to the idea of informed conservation (Clark 2001), culturally-led regeneration, and the promotion of sustainability connected to well-being (Jowell 2005).

Localism

By the end of the PPG16 Era, and partly hastening its end, a third philosophy was gestating and gaining ground: 'localism'. Although localism is sometimes seen as the antithesis of globalism, it is in fact simply an approach that prioritises local interests as a counterbalance to regional and centralised governance; the opposite of a unitary state. It was a way of thinking promoted by the Conservative/Liberal Democrat Coalition led by David Cameron and Nick Clegg following the 2010 general election and became central to their policies (DCLG 2011). Key for archaeology is the way that localism promotes local history, local culture, and local identity through community control over some

aspects of governance and the neighbourhood production and consumption of goods and services. Closely allied to it is the idea of the 'Big Society' which is about putting power into people's hands, transferring power from Whitehall to local communities, and encouraging and enabling people to play an active role in society. In this way of thinking the remains of the past are seen as assets – 'heritage assets' – that should be treasured and valued, and used to meet social commitments. Fragmentation and diversity can be a consequence of localism, and analysis by Anthony Sinclair (2016) has revealed a segmentation of archaeological knowledge and practice during the period 2004 to 2013, with multiple repeated forms of engagement in archaeological enquiry.

The culmination of policy development on these matters was the *Localism Act 2011* that made a number of changes to the town and country planning system, including: the abolition of Regional Strategies and the Infrastructure Planning Commission; the encouragement of Neighbourhood Development Plans and community rights to build communal facilities; reforms to the Community Infrastructure Levy and the way Local Plans are constructed; and new powers of representation for the determination of planning applications. By March 2017 some 300 Neighbourhood Plans had been passed at referendum and 280 were in force in England (DCLG 2017a: 9). The *Housing and Planning Act 2016* and the *Neighbourhood Planning Act 2017* aimed to speed up and simplify the process of making and approving Neighbourhood Plans so a further acceleration of completed plans is expected through to the end of the decade.

It is these approaches that led to the simplification of planning guidance, including the consolidation of PPGs 15 and 16 as PPS5, the subsequent withdrawal of PPS5, and the consolidation of policy statements about the historic environment within Section 12 of the *National Planning Policy Framework* (DCLG 2012a: 30–32). At the time of writing it seems likely that localism will steer approaches to archaeological investigations for some time to come (*see* Chapter 10).

The need for a systematic record of archaeological endeavour

Whether seen as a resource, a dimension of the environment, or an asset, archaeological remains variously preserved in the form of above-ground, below-ground, or submerged objects, works, structures, and deposits have been systematically investigated and recorded for centuries. The publication of annual listings of the archaeological investigations undertaken in Britain is nearly as old. In 1846 the Archaeological Institute of Great Britain and Ireland (now the Royal Archaeological Institute) started a section entitled 'Archaeological intelligence' in the third volume of their journal. Based on submissions from regional

correspondents, it continued through to volume 51 published in 1894, although sporadically and with rather thin content in later years. In the early twentieth century the Earthworks Committee of the Congress of Archaeological Societies included within its annual report sections devoted to 'Record and Discovery' and 'Excavation' events. These reports were published from 1903 down to 1939 (from 1931 to 1939 as the report of the Research Committee), and contain much valuable information.

Nothing similar was produced in the years immediately following the Second World War, but from the late 1940s the Council for British Archaeology (CBA) produced an annual listing of publications known as the *Archaeological Bulletin for the British Isles* that in 1950 morphed into the *Archaeological Bibliography for Britain and Ireland*. Later still, *Archaeology in Britain* published between 1967 and 1992 became an established source of information about recent and ongoing work, although its coverage focused on, and was structured around, the work of the CBA's member organisations and institutions rather than particular sites and projects.

In 1961 the then Ministry of Public Building and Works began publication of *Excavations: Annual Report*, an annual round-up that was continued by its successor the Department of the Environment down to 1976. Although coverage was limited to projects funded by central government, in practice this meant that a high proportion of archaeological work undertaken at the time was listed and the results summarised.

Some of the major learned societies also publish annual listings of work falling within their particular academic areas of interest. The *Journal of Roman Studies* was one of the first in the field with listings from 1921 through to 1969 when the section, that still continues, was moved to the newly created journal *Britannia*. The journal *Medieval Archaeology* has carried a section dealing with recent work annually since 1957; *Post-Medieval Archaeology* has done the same since its first publication in 1967. Nothing so comprehensive emerged for prehistoric archaeology, although the *Proceedings of the Prehistoric Society* carried a section entitled 'Notes on excavations in England, the Irish Free State, Northern Ireland, Scotland and Wales' from 1935 through to 1939, and more recently a section containing summary excavation reports for most years between 1977 and 1985. The *Archaeological Journal*, published by the Royal Archaeological Institute, attempted a more synthetic approach between 1974 and 1978 with an annual overview of 'British Antiquity' based on new discoveries and publications.

Many county and local archaeological journals carry listings of discoveries and summaries of projects within their geographical areas of interest, some of which started well before the PPG16 Era. The Woolhope Naturalists Field Club, for example, began recording archaeological work in a dedicated section within its *Transactions* in 1914; Leicester Archaeological and Historical Society started its

listing of archaeological investigations in 1952; *Wiltshire Archaeological and Natural History Magazine* started its 'Register' in 1956; and the *Transactions of the Bristol and Gloucestershire Archaeological Society* started its 'Review' in 1977. At a broader scale, many regional groups of the Council for British Archaeology publish lists of recent work in their newsletters or annual reviews. Nationally, however, coverage is patchy as the provisional listing in Table 1.1 reveals.

All of these summaries and reviews provide invaluable sources of information about projects and discoveries, and in general serve defined readerships very well. They are important both for the time at which they are published and retrospectively as reference works and indicators of the historical context within which work took place. Indeed, for a variety of reasons, some of these summaries are all that is known about investigations that were never adequately published. The reality, however, is that for the period since 1939 there has never been a comprehensive, one-stop, easily accessible, published summary of completed and ongoing archaeological work in England. Trying to stitch together what does exist in piecemeal summary listings is not easy, and in any case does not provide a complete picture.

Approached from another direction, information about recent investigations is contained in publicly accessible archaeological records of various kinds. At one geographical scale these are represented by local-authority based sites and monuments records (SMRs) also known as historic environment records (HERs), whose development since the early 1970s has been one of the great achievements of British archaeology (Benson 1972; Burrow 1985; RCHME 1995; RCHME *et al.* 1998; Robinson 1999). Some are up to date and easily accessible, but it is widely recognised that there is much regional variation in what is recorded, a significant lag-time in the addition of new information to the records (Baker & Baker 1999: 25), and great variety in the ease with which they can be searched and accessed (DCMS 2008). At a national scale, the Royal Commission on the Historical Monuments of England (RCHME) began the creation of an Excavations Index to form part of the National Monuments Record in 1978, and this continued when RCHME was merged with English Heritage in 1999. Several years in the making, this incorporated records created and held by the Ordnance Survey and became an important source because of the historical depth that could be achieved by drawing on archaeological records stretching back several centuries. Its coverage, however, relies heavily upon the completeness of earlier records and the availability of information submitted for inclusion.

The need for easily accessible summary accounts of archaeological work in England became all the more necessary as the pace and scale of archaeological activity increased through the later part of the twentieth century. There is a common need, shared by archaeologists in all sectors of

Table 1.1 Summary of county and regional archaeological journals with annual listings of archaeological investigations within their collecting area during all or part of the PPG16 Era.

County / Unitary Authority	Journal	Investigations Listing
London	Transactions of the London and Middlesex Archaeological Society	X
	The London Archaeologist	X
Metropolitan counties (6)		
Greater Manchester	Transactions of the Lancashire and Cheshire Antiquarian Society	X
Merseyside	Merseyside Archaeological Society Journal	X
South Yorkshire	Yorkshire Archaeological Journal	X
Tyne & Wear	Archaeologia Aeliana	X
West Midlands	Transactions of the Birmingham & Warwickshire Archaeological Society	X
	West Midlands Archaeology	✓
West Yorkshire	Yorkshire Archaeological Journal	X
Non-Metropolitan counties (27)		
Buckinghamshire	Records of Buckinghamshire	X
	South Midlands Archaeology	✓
Cambridgeshire	Proceedings of the Cambridge Antiquarian Society	✓
Cumbria	Transactions of the Cumberland and Westmoreland Antiquarian and Archaeological Society	X
Derbyshire	Derbyshire Archaeological Journal	X
Devon	Proceedings of the Devon Archaeological Society	X
Dorset	Proceedings of the Dorset Natural History and Archaeological Society	✓
East Sussex	Sussex Archaeological Collections	X
Essex	Transactions of the Essex Archaeological Society	?
Gloucestershire	Transactions of the Bristol and Gloucestershire Archaeological Society	✓
Hampshire	Proceedings of the Hampshire Field Club and Archaeological Society	X
Hertfordshire	Hertfordshire Archaeology	✓
Kent	Archaeologia Cantiana	✓
Lancashire	Transactions of the Lancashire and Cheshire Antiquarian Society	X
Leicestershire	Transactions of the Leicestershire Archaeological and Historical Society	✓
Lincolnshire	Lincolnshire History and Archaeology	X
Norfolk	Norfolk Archaeology	X
North Yorkshire	Yorkshire Archaeological Journal	X
Northamptonshire	Northampton Archaeology	✓
	South Midlands Archaeology	✓
Nottinghamshire	Transactions of the Thoroton Society Nottinghamshire	✓
Oxfordshire	Oxoniensia	X
	South Midlands Archaeology	✓
Somerset	Proceedings of the Somerset Archaeological and Natural History Society	✓
Staffordshire	Transactions of the South Staffordshire Archaeological and Historical Society	X
	West Midlands Archaeology	✓
Suffolk	Proceedings of the Suffolk Institute of Archaeology and History	✓
Surrey	Surrey Archaeological Collections	✓

Table 1.1

County / Unitary Authority	Journal	Investigations Listing
Warwickshire	Transactions of the Birmingham & Warwickshire Archaeological Society	X
	West Midlands Archaeology	✓
West Sussex	Sussex Archaeological Collections	X
Worcestershire	Transactions of the Worcestershire Archaeological Society	X
	West Midlands Archaeology	✓
Unitary Authorities		
Bath and NE Somerset	Proceedings of the Somerset Archaeological and Natural History Society	✓
Bedford	Bedfordshire Archaeology	X
	South Midlands Archaeology	✓
Blackburn with Darwen	Transactions of the Lancashire and Cheshire Antiquarian Society	X
Blackpool	Transactions of the Lancashire and Cheshire Antiquarian Society	X
Bournemouth	Proceedings of the Dorset Natural History and Archaeological Society	✓
Bracknell Forest	Berkshire Archaeological Journal	X
Brighton and Hove	Sussex Archaeological Collections	X
Bristol	Transactions of the Bristol and Gloucestershire Archaeological Society	✓
	Bristol and Avon Archaeology	X
Central Bedford	Bedfordshire Archaeology	X
	South Midlands Archaeology	✓
Cheshire East	Journal of the Chester Archaeological Society	X
Cheshire West & Chester	Journal of the Chester Archaeological Society	X
Cornwall	Cornish Archaeology	✓
Darlington	Transactions of the Architectural and Archaeological Society of Durham and Northumberland	X
Derby	Derbyshire Archaeological Journal	X
Durham	Transactions of the Architectural and Archaeological Society of Durham and Northumberland	X
East Riding of Yorkshire	Yorkshire Archaeological Journal	X
Halton	Journal of the Chester Archaeological Society	X
Hartlepool	Transactions of the Architectural and Archaeological Society of Durham and Northumberland	X
Herefordshire	Transactions of the Woolhope Club	✓
	West Midlands Archaeology	✓
Kingston upon Hull	Yorkshire Archaeological Journal	X
Leicester	Transactions of the Leicestershire Archaeological and Historical Society	✓
Luton	Bedfordshire Archaeology	X
	South Midlands Archaeology	✓
Medway	Archaeologia Cantiana	✓
Middlesborough	Yorkshire Archaeological Journal	X
Milton Keynes	Records of Buckinghamshire	X
	South Midlands Archaeology	✓
NE Lincolnshire	Lincolnshire History and Archaeology	X

Table 1.1 Summary of county and regional archaeological journals with annual listings of archaeological investigations within their collecting area during all or part of the PPG16 Era. (Continued)

County / Unitary Authority	Journal	Investigations Listing
North Lincolnshire	Lincolnshire History and Archaeology	X
North Somerset	Proceedings of the Somerset Archaeological and Natural History Society	✓
Northumberland	Archaeologia Aeliana	X
Nottingham	Transactions of the Thoroton Society of Nottinghamshire	✓
Peterborough	Proceedings of the Cambridge Antiquarian Society	✓
Plymouth	Proceedings of the Devon Archaeological Society	X
Poole	Proceedings of the Dorset Natural History and Archaeological Society	✓
Portsmouth	Proceedings of the Hampshire Field Club	X
Reading	Berkshire Archaeological Journal	✗
Redcar and Cleveland	Yorkshire Archaeological Journal	X
Rutland	Transactions of the Leicestershire Archaeological and Historical Society	✓
Shropshire	Proceedings of the Shropshire Archaeological Society (to 1993); Shropshire History and Archaeology (1993 onwards)	X
	West Midlands Archaeology	✓
South Gloucestershire	Transactions of the Bristol and Gloucestershire Archaeological Society	✓
Southampton	Proceedings of the Hampshire Field Club	X
Stockton-on-Tees	Transactions of the Architectural and Archaeological Society of Durham and Northumberland	X
Stoke-on-Trent	Transactions of the South Staffordshire Archaeological and Historical Society	X
Swindon	Wiltshire Archaeological Natural History Magazine	✓
Telford	Proceedings of the Shropshire Archaeological Society (to 1993); Shropshire History and Archaeology (1993 onwards)	X
Thurrock	Transactions of the Essex Archaeological Society	X
Torbay	Proceedings of the Devon Archaeological Society	X
Warrington	Transactions of the Lancashire and Cheshire Antiquarian Society	X
West Berkshire	Berkshire Archaeological Journal	X
Wiltshire	Wiltshire Archaeological Natural History Magazine	✓
Windsor and Maidenhead	Berkshire Archaeological Journal	X
Wokingham	Berkshire Archaeological Journal	X
York	Yorkshire Archaeological Journal	X
Sui generis (1)		
Isle of Scilly	Cornish Archaeology	✓

the discipline, of wishing to know what has happened when and where so as better to inform their work and become alert to the implications of new findings. Not all investigations demand extensive publication, and in the case of minor works with negative or limited positive results, a statement in an annual summary, together with an appropriate report to the relevant SMR/HER, may satisfy professional obligations to publish and make available the results of such work.

Following the increase in developer-funded archaeology through the late 1980s, a project – known as the Assessment

of Assessments was commissioned by English Heritage in 1992. Its remit focused on investigations prompted by the town and country planning regulations, namely desk-based assessments, field evaluations, and archaeological components of environmental assessments, carried out between 1982 and 1991 with particular reference to the approaches used (Champion *et al.* 1995), the changing pattern of activity (Darvill *et al.* 1995), and the implications for government policy (Trow 1995). The research raised important questions about methodologies, quality, and standards. It also identified

the growing body of reports and documents that could be considered as ‘grey-literature’ because distribution was limited to relatively few copies circulated mainly to stakeholder organisations and individuals. One of the conclusions of the Assessment of Assessments project was that:

...the circulation and availability of such reports, or of summaries of the results of assessment programmes, are very poor. ... Improving retrieval and accessibility will require a consolidated effort and may be most easily brought about by professionally accepted good practice and peer pressure. ... In the longer term thought might be given to the creation of some kind of national agency to compile an annual gazetteer of desk-based archaeological assessments, field evaluation reports, and archaeological components of environmental statements. (Darvill et al. 1995: 45–46)

Broadly similar conclusions were also reached elsewhere within the discipline. In 1992, for example, a paper on archaeological publication prepared on behalf of the Society of Antiquaries and the Museums Association noted that:

...the number of archaeological interventions undertaken each year runs into many hundreds and no complete and consolidated record is kept of them. This is a situation which archaeology as a mature discipline should no longer be prepared to accept. (Carver et al. 1992: 2.3.4)

And from a slightly different perspective, reviews of the first few years of the operation of PPG16 revealed that while the way it was being implemented was generally acceptable to developers it would be appropriate to collect statistical information about its operation to allow periodic review (Roger Tym & Partners 1995: ii and iii; Pagoda Projects 1992).

In response, the English Heritage document *Frameworks for our Past* recognised that ‘the creation of comprehensive lists and indices of work in progress should be a priority’ not least to underpin the development of national, regional and thematic research frameworks (Olivier 1996: 36). It was a call developed and expanded in a number of subsequent reports and inquiries (APPAG 2003: 34; Bradley & Philips 2004; DCMS 2001: 15; 2004; EH 2000b: 36–38).

What took slightly longer to recognise was the fact that there were three connected dimensions to the problem (see Chapter 8). First, the requirement for detailed up-to-date information about individual investigations that had been completed. Second, the need for a more strategic view of the pattern of archaeological activity both diachronically and geographically in England. And third, the need for a central, indexed, and easily accessible archive of unpublished ‘grey-literature’ reports. In 1994 English Heritage felt that the time was right to rectify the first two dimensions, both for its own information and to document ongoing archaeological practice and achievement within England. The third dimension was added with the creation in 2002 of the Library of Unpublished Fieldwork (popularly known as the Grey Literature Library) in connection with the development of OASIS (Online

Access to the Index of Archaeological Investigations), both hosted by the Archaeology Data Service in York (Hardman 2002; 2006; 2009; Richards 2002).

The Archaeological Investigations Project

The Archaeological Investigations Project (AIP) was commissioned by English Heritage from Bournemouth University in 1995, with a series of reviews and revisions taking the project through to 2012. The first task was to back-fill records for the period 1990 to 1995 by supplementing material already collected for the Assessment of Assessments Project (Darvill et al. 1994; 1995). Initially the focus was on ‘grey literature’ reports, but as reporting patterns have changed and the pace of development-led archaeology quickened so the emphasis shifted towards documenting investigations and events using an ever-greater range of sources (Darvill & Hunt 1999a; 1999b). Subsequently, AIP collected data for the years 1996 to 2010 when it was put on pause in order to review the achievements of the previous two decades and take stock of what might be needed in the post PPG16 Era.

Successive iterations of AIP have taken account of the changing landscape of archaeological endeavour and the changing policy context of research commissioned by English Heritage as set out in periodically revised research framework papers. Initially the project was formulated within the objectives of *Exploring our past: strategies for the archaeology of England* (EH 1991a) that continued through to 2005 (EH 1997). From 2005 to 2010 it related explicitly to the realisation of Theme A (Discovering, studying and defining historic assets and their significance) and Theme G (Studying and devising ways of making English Heritage and the sector more effective) in the revised research agenda (EH 2005a: 7; 2005b: 12–13). The final phase of data collection and the preparation of this review related to the *National Heritage Protection Plan 2011–15*, Measure 1: Foresight, Activity Topic 1A: ‘Impacts of wider long-term changes (economic, social, environmental); identifying threats to, and opportunities for the historic environment and assets; gathering, collating, and interpreting sector intelligence and agreeing priorities’ (EH 2011). Most recently, the preparation of this report contributes to three themes within the Research Strategy set out by Historic England in 2016: Discovering and understanding our heritage and assessing its significance; Understanding risks, change, and opportunities; and Improving and developing heritage information management (HE 2016: 8–9).

Initially, the results of the AIP were published as annual gazetteers covering archaeological work in England from the period 1990 to 1999: nine printed supplements to the *British and Irish Archaeological Bibliography* (AIP Supplements 1–9. ISSN 1462–4052). Copies were distributed free of charge to subscribers of the bibliography, and to others at conferences and meetings. From 2000, the annual gazetteers

were produced only in pdf format available for review or download on-line at <http://csweb.bournemouth.ac.uk/aip/aipintro.htm> (AIP Supplements 10–21. ISSN 2042–860X). In addition, a web-based searchable database was available between 2000 and 2017 at <http://194.66.65.187/index.htm>, updated annually to 2010 with new entries and revisions/corrections to existing entries.

Records of investigations and events created by AIP have been incorporated, indexed, and cross-referenced within a range of on-line resources including: the English Heritage Excavations Index (formerly the RCHME Excavation Index) now archived at the ADS (<http://archaeologydataservice.ac.uk/archives/view/304/>) which itself shared data with other on-line resources such as PastScape, Archsearch, and the Heritage Gateway; the British and Irish Archaeological Bibliography (<http://www.biab.ac.uk>); and the OASIS record maintained by the Archaeology Data Service (<http://oasis.ac.uk/pages/wiki/Main>) discussed further below.

In addition to contributions, displays, and papers at conferences and seminars, an overview of archaeological activity in England between 1990 and 1999 based on AIP data was published in 2002 (Darvill & Russell 2002). This report updates the tables and charts in the 2002 publication with additional data and corrections to earlier counts as a result of data editing, correction, and the deletion of occasional duplicate records arising from changes to site-names or the extension of existing projects.

Specifically excluded from the AIP database are events relating to metal detecting and the opportunistic discovery of stray finds (including material defined as Treasure). Discoveries made through such events have been reported to the DCMS since 1997, with greater coverage since 2003 through the Portable Antiquities Scheme (PAS 2004). In the case of Treasure, this is mandated by a recording system set out in the guidelines associated with the implementation of the *Treasure Act 1996* (as revised for England, DCMS 2002). A web-based searchable database is available for the Portable Antiquities Scheme at <http://finds.org.uk/>.

The AIP has never attempted to collect, archive, or disseminate original documentation in the form of paper-based or digital reports, although it consults both, and where appropriate provides bibliographic sources and links to published and unpublished printed or on-line reports. Maintaining a library of reports is the domain of the Archaeology Data Service (Library of Unpublished Fieldwork Reports) and the network of HERs across England.

AIP and a model of archaeological process

Archaeological research is undertaken by many individuals and organisations for a variety of purposes. There is no single agreed archaeological methodology, although

many practitioners share the pursuit of an interpretative archaeology (Andrews *et al.* 2000) whose aim is the creation of ‘knowledge’. It is increasingly recognised that several different kinds of knowledge exist, each relevant to different situations and contexts (Darvill 2014; Hodder 1999; *see also* Chapter 8). Central to much archaeological research and knowledge creation is some kind of fieldwork variously involving survey, excavation, and/or the collection of materials and samples for analysis in the workshop or laboratory. How this is done, and what is considered relevant, changes over time as new theoretical perspectives, sharper questions, innovative field practices, and improved equipment and techniques come into play. The majority of archaeological fieldwork carried out in recent decades follows, more or less closely, a simple cyclical process (Figure 1.4) that has become familiar to archaeologists as the ‘management cycle’ (Andrews & Thomas 1995; Darvill & Gerrard 1990; 1994: 171; EH 1991b). Similar approaches can be detected in planning-related work and in non planning-related situations, although the emphasis given to different stages, the terminology used, and the expected outputs from each stage, vary according to the particular circumstances of individual programmes (Figure 1.5). The main phases in this process applied in either situation accord with the four-fold scheme proposed by English Heritage for the management of archaeological projects (EH 1991b: Figs. 1 and 2) which puts special emphasis on the decision-making and review stages. As explored in Chapter 10, one of the weaknesses of the cycle has also been the final stage, when reporting and reviewing should also lead to the definition of new ideas and new questions. The idea of conflating or even doing away with the stages in archaeological work altogether has been floated by Ottonello (2014), but this misconceives investigation as a monolithic pursuit thereby ignoring both the changing purpose of each stage (*see* Chapter 8) and the reflexivity arising from project reviews.

Building on the main stages of the management cycle it is helpful, for the purposes of trying to understand what is going on, to recognise three very general and broadly defined **investigation groups** within which most archaeological research can be classified: pre-determination; post-determination; and non development or non planning-related. These groups embrace a series of connected, sometimes sequential, but non-discrete **investigation types** (Table 1.2). Within each investigation type there are one or more discrete **investigatory events**: categorical space-time delimited methodologically defined episodes that provide suitable creator-defined units of record for the purpose of documenting what has happened when, where, by whom, and with what result (Table 1.3). These two last-mentioned categories – investigation types and investigatory events – form the basis of data recording and analysis within the AIP and deserve further consideration.

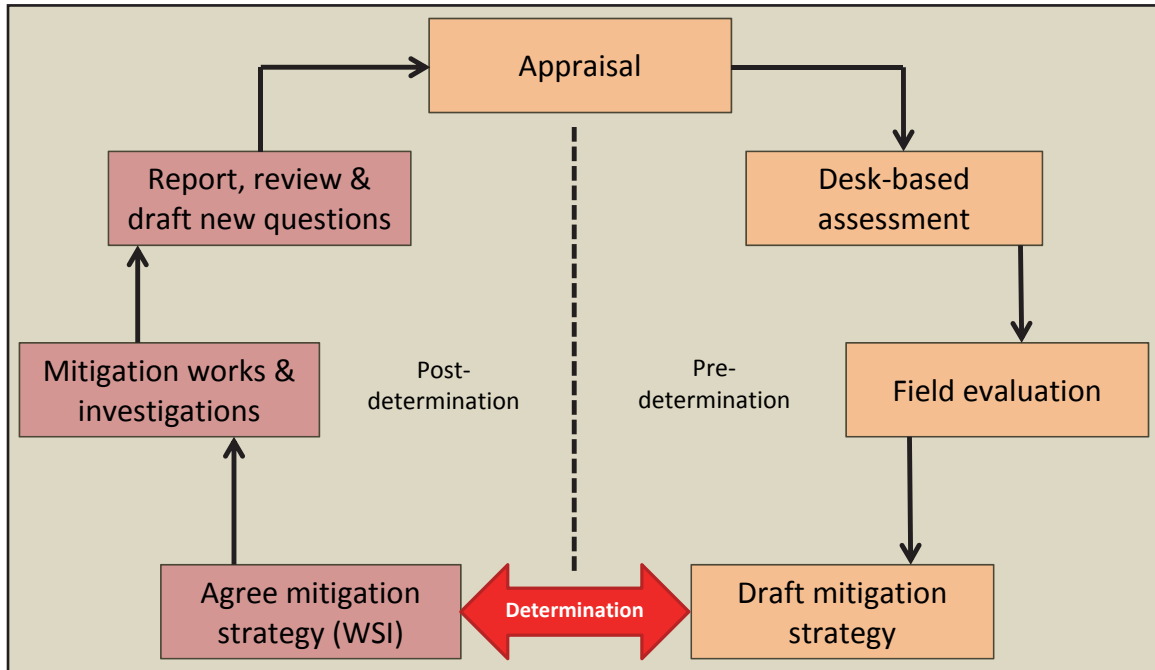


Figure 1.4 Diagram showing an idealised archaeological management cycle. (After Darvill 2004: Fig. 22.1)

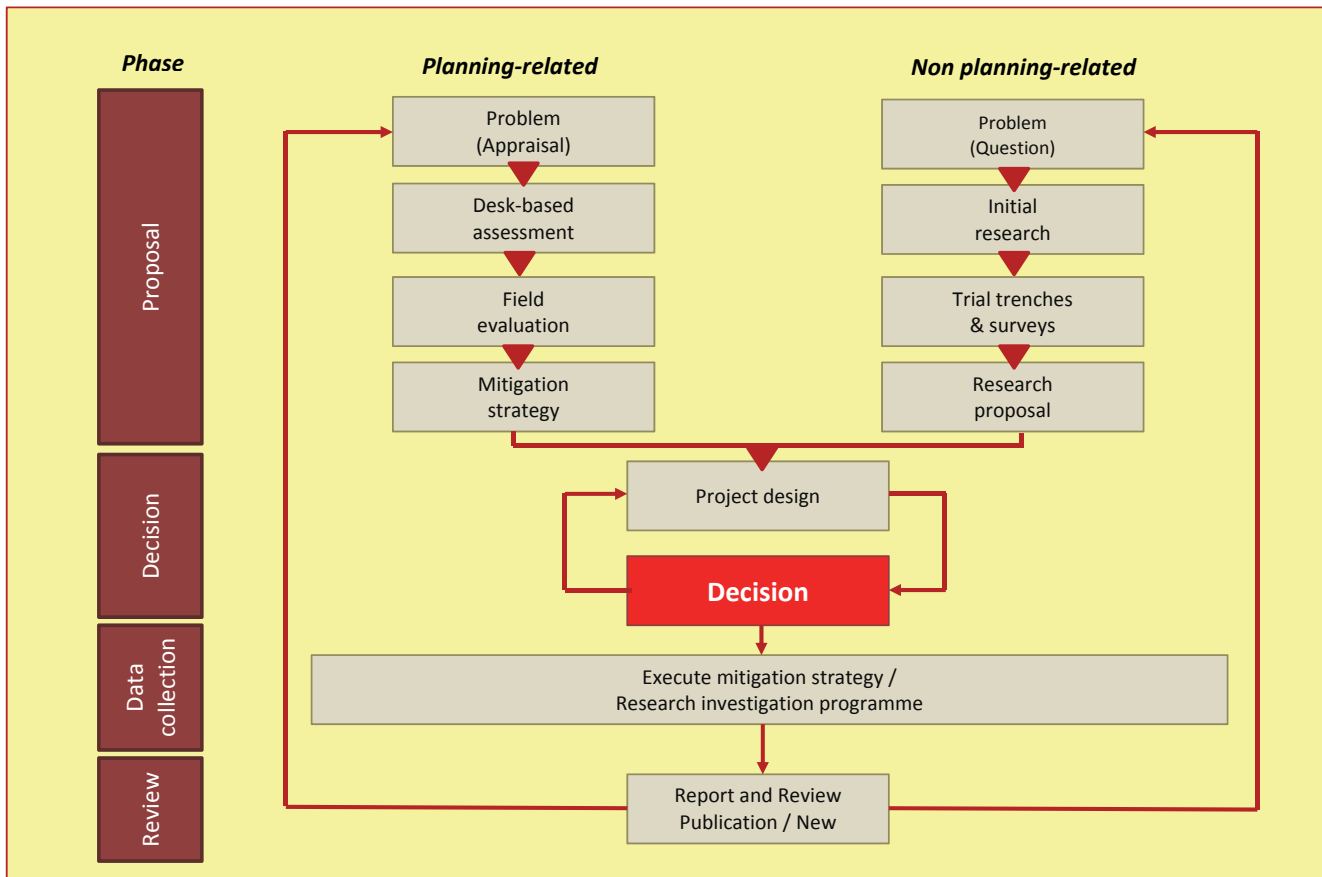


Figure 1.5 Flow diagram showing the idealised progress of archaeological investigations in development-led (planning-related) and non development-led (non planning-related) environments in relation to the key phases in project management set out in the Management of archaeological projects (EH 1991b).

Table 1.2 Summary of defined investigation groups in relation to investigation types.

Investigation Group	Investigation Type
Pre-determination	Appraisal [AIP Listing 1990–99]
	Desk-based Assessment [AIP Listing 1990–2010]
	Field Evaluation [AIP Listing 1990–2010]
	Environmental Impact Assessment [AIP listing 1990–2010]
	Geophysical Survey [AIP listing 2001–2010]
	Estate Management Survey [AIP listing 1995–2010]
	Marine Investigation [AIP listing 2005–2010]
Post-determination	Post-determination Mitigation Investigation [AIP Listing 1990–2010]
	Building Recording Survey [AIP listing 1997–2010]
	Post-Excavation Assessment [AIP listing from 2010]
	Post-Excavation Analysis & Reporting Programme [Not subject to AIP listing]
	Marine Investigation [AIP listing 2005–2010]
Non Planning-related Investigation	Non-development Investigation / Research Investigation [AIP Listing 1990–2010]
	Post-Excavation Assessment [AIP listing from 2010]
	Post-Excavation analysis & Reporting Programme [Not subject to AIP listing]
	Geophysical Survey [AIP listing 2001–2010]
	Marine Investigation [AIP listing 2005–2010]
	Estate Management Survey [AIP listing 1995–2010]

Table 1.3 Summary of the defined investigation types in relation to investigatory events. See Appendix A for definitions of investigation types and investigation events recorded by the AIP.

Investigation Type	Investigatory Event
Appraisal [AIP Listing 1990-99]	Initial Appraisal (Scanning); Detailed Appraisal (Checking); Private Appraisal
Desk-based Assessment [AIP Listing 1990-2010]	Cartographic check; Geotechnical check; Historical document review; Pictorial source check; Plot aerial photography; Record searches (SMR/NER/NMR); Secondary source review; Statutory designations check; Walk-over survey
Field Evaluation [AIP Listing 1990–2010]	Auger survey / auger transect; Bowsing survey; Ditch-side survey; Fieldwalking(non-systematic surface collection programme); Fieldwalking (systematic surface collection programme); Geochemical survey (heavy metals); Geochemical survey(organic carbon / loss on ignition); Geochemical survey(phosphates); Geophysical survey (electromagnetic); Geophysical survey (magnetic susceptibility); Geophysical survey(magnetometry / gradiometry); Geophysical survey (resistivity); Ground penetrating radar; Metal detector survey (non-systematic collection); Metal detector survey (systematic collection); Sample trenches (hand excavated); Sample trenches (machine excavated); Targeted evaluation trenches(hand excavated); Targeted evaluation trenches (machine excavated); Test-pit programme; Topographic survey
Post-determination Mitigation Investigation [AIP Listing 1990–2010]	Aerial photographic survey (including plotting and analysis programmes); Auger survey / auger transect; Bowsing survey; Ditch-side survey; Fieldwalking - non-systematic surface collection programme; Fieldwalking (systematic surface collection programme); Geochemical survey (heavy metals); Geochemical survey(organic carbon / loss on ignition); Geochemical survey(phosphates); Geophysical survey (electromagnetic); Geophysical survey (magnetic susceptibility); Geophysical survey(magnetometry / gradiometry); Geophysical survey (resistivity); Ground penetrating radar; Metal detector survey (non-systematic collection); Metal detector survey (systematic collection); Open-area excavation (partial); Open-area excavation (full); Recorded observation; Salvage excavation; Sample trenches (hand excavated); Sample trenches (machine excavated); Targeted evaluation trenches(hand excavated); Targeted evaluation trenches (machine excavated); Test-pit programme; Topographic survey; Watching brief / salvage recording

Table 1.3

Investigation Type	Investigatory Event
Non Planning-related Investigation / Research Investigation [AIP Listing 1990-2010]	Aerial photographic survey (including plotting and analysis programmes); Auger survey / auger transect; Bowsing survey; Ditch-side survey; Fieldwalking - non-systematic surface collection programme; Fieldwalking (systematic surface collection programme); Geochemical survey (heavy metals); Geochemical survey(organic carbon / loss on ignition); Geochemical survey(phosphates); Geophysical survey (electromagnetic); Geophysical survey (magnetic susceptibility); Geophysical survey(magnetometry / gradiometry); Geophysical survey (resistivity); Ground penetrating radar; Metal detector survey (non-systematic collection); Metal detector survey (systematic collection); Open-area excavation (partial); Open-area excavation (full); Recorded observation; Salvage excavation; Sample trenches (hand excavated); Sample trenches (machine excavated); Targeted evaluation trenches(hand excavated); Targeted evaluation trenches (machine excavated); Test-pit programme; Topographic survey; Watching brief / salvage recording
Estate Management Survey [AIP Listing 1995-2010]	Aerial photographic survey (including plotting and analysis programmes); Cartographic check; earthwork survey; Geotechnical check; Historical document review; Measured building survey; Pictorial source check; Plot aerial photography; Record searches (SMR/NER/NMR); Secondary source review; Statutory designations check; Visual survey
Building Recording Survey [AIP Listing 1997-2010]	
Geophysical Survey [AIP Listing 2001-2010]	Electromagnetic survey); Ground penetrating radar; Magnetic susceptibility; Magnetometry / gradiometry); Microgravity; Resistivity; Resistivity depth sounding; Resistivity profile; Seismic Refraction
Marine Investigation [AIP listing 2005–2010]	
Environmental Impact Assessment [AIP Listing 1990-2010]	Auger survey / auger transect; Bowsing survey; Cartographic depiction; Cartographic source check; Ditch-side survey; Documentary reference; Ditch-side survey; Fieldwalking - non-systematic surface collection programme; Fieldwalking (systematic surface collection programme); Geochemical survey (heavy metals); Geochemical survey(organic carbon / loss on ignition); Geochemical survey(phosphates); Geophysical survey (electromagnetic); Geophysical survey (magnetic susceptibility); Geophysical survey(magnetometry / gradiometry); Geophysical survey (resistivity); Ground penetrating radar; Metal detector survey (non-systematic collection); Metal detector survey (systematic collection); Pictorial representation; Pictorial source survey; Place-name survey; Plot aerial photographs; Record searches (SMR/HER/NMR); Recorded stray find search; Sample trenches (hand excavated); Sample trenches (machine excavated); Secondary sources; Statutory designation records; Targeted evaluation trenches (hand excavated); Targeted evaluation trenches (machine excavated); Test-pit programme; Topographic survey; Unrecorded stray find; Visual observation
Post-Excavation Assessment [AIP Listing from 2010]	
Post-Excavation Analysis & Reporting Programme [Not subject to AIP listing]	

Investigatory events as primary units of record

The idea that archaeological activity can be considered as a series of ‘events’ – for example: an open-area excavation; a magnetometer survey; or a watching brief – has long been recognised as potentially relevant to the construction of local SMRs/HERs (Foard 1997). At much the same time research into the assessment of archaeological remains for

the Monuments Protection Programme began to explore the definition and constitution of archaeological entities that for more than a century have been known as ‘monuments’ (Darvill 1988; Darvill *et al.* 1987; Startin 1993). The two elements were brought together in a powerful and highly structured way during work connected with the development of urban archaeological databases, especially

the experimental work based on Cirencester (Darvill & Gerrard 1994).

This was not a pragmatic development; rather it was theoretically driven by the explicit recognition that positivist philosophies underpinned much work on the development of archaeological records. Accordingly, it was considered appropriate to utilise distinctions inherent to positivist science and to allow the separation of observation from interpretation. Quite simply, archaeological operations such as excavations and surveys were conceptualised as the observation of archaeological phenomena (*i.e.* empirical experiences), from which interpretations and understandings could be made using either inductive (inferring a generality from a particular instance) or deductive (inferring the nature of a particular instance from a generality) logic. The importance and implications of these distinctions are only now beginning to be recognised and understood within this branch of archaeology, and find expression in the so-called Event-Monument (EM) models. There are also major practical implications. For example, systematically recorded events may, in legal terms, be regarded as matters of ‘fact’ which could be acceptable by all parties in cases of dispute; an instance might be that an excavation happened in a particular place at a specified time. What exactly was discovered in the course of that archaeological event, and what its significance might be, is a matter of judgement and may be susceptible to challenge, reinterpretation, and critical review. In an adversarial legal system such as exists in England today, and which includes planning and development control processes, such distinctions are potentially very important and provide a framework within which to structure the collection and analysis of data.

It was against this background, and with the clear understanding that such work would perpetuate an essentially positivist approach to data recording, that the use of events was adopted for the AIP. As the Project developed and expanded, and as the EM model became more widely applied, definitions and understandings of what an event comprises, and how one might be defined, became clearer and sharper. Catney (1999; Bourn 1999) provides a useful and widely accepted working definition of an event as:

A single episode of primary data collection over a discrete area of land. This single recording event can only consist of one investigative technique and is therefore a unique entity in time and space. (Catney 1999: 1)

With certain minor differences, this accords with the broad perception of an investigatory event as applied within the AIP since its inception. It is also well represented in the development and negotiation of data standards for compiling historic environment data. The first edition of *MIDAS: A manual and data standard for monument inventories* defined an event as:

Any event, or activity which has enabled information to be gathered or a judgement to be made about a monument in a particular locality, whether surviving or destroyed. (RCHME 1998: 14)

This was perpetuated in the second iteration of MIDAS (FISH 2007), and promoted in notes aimed at helping compile historic environment data (Gilman & Newman 2007: C6). In the third edition of MIDAS published in 2012, the term event has been re-named ‘investigative activity’ and defined as:

Any activity undertaken with the explicit intention of gathering information about, and understanding of, a Heritage Asset, and the creation of an information source to record that information and understanding. (FISH 2012: 38)

During the course of AIP the list of investigatory event types has developed and grown as new methods have come on stream and preferences for particular approaches have shifted. A critical element of this has been the incorporation of practical issues revealed through conversations with teams involved in the execution of different kinds of event and the scrutiny of briefs and specifications issued by archaeology offices. In this sense there is a strong element of practice-capture embedded in the terminology used, and the definitions that lie behind them. A review of archaeological investigatory events by ALGAO in 1999 led to the publication of a wordlist comprising 56 terms (ALGAO 2001; 2002a) later expanded and superseded by the National Monuments Record (NMR) *Event Type Thesaurus* (Adams 2009). A survey of ALGAO members in December 2011 revealed that all of the 52 respondents recorded events in their HERs, and the same number saw it as a primary function of HERs to record event information (Falkingham 2012).

From events to investigations

Within AIP, events are fine-grained categories reflecting how archaeological work is undertaken. At a slightly more general level, sets of events come together in various combinations to form what can be defined as ‘investigations’. A dozen main investigation types have been defined within the AIP over the last 20 years. Appendix A summarises and defines the scope of the main investigation types, while Table 1.3 lists the principal investigatory events that might form part of particular investigation types. Definitions of those recorded by AIP are given in Appendix A. As will be seen, events are not unique to a particular type of investigation. Events are methodologically defined, while investigation types are defined in terms of their purpose and context. As Table 1.3 shows, not all investigation types have been documented across the two decades of the PPG16 Era because during that time professional practice has been developing, maturing, and changing the emphasis given to particular strands of endeavour. Of the 12 now recognised, nine have been logged

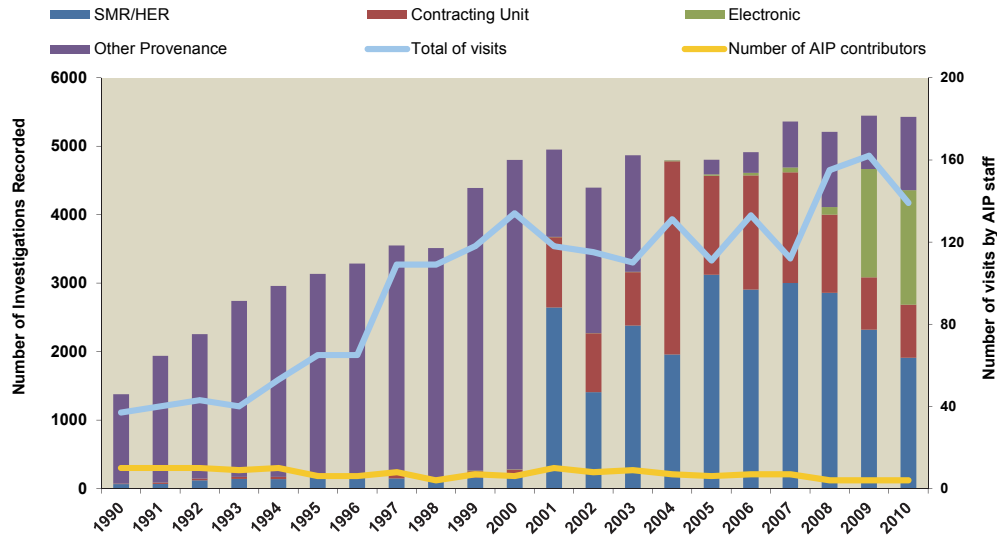


Figure 1.6 The practicalities of the data collection by the AIP showing the number of investigations recorded from key sources in relation to the number of visits and the size of the research team. (Data: AIP. Sample = 84,086 records)

for the whole period (1990–2010); appraisals were logged between 1990 and 1999; post-excavation assessment was only recorded in 2010; and post-excavation analysis and reporting was not systematically recorded at all in the years covered by this report.

In the main, investigation types are recognisable through distinct outputs or products, often in the form of a report and/or archive. There are two main exceptions. Geophysical survey sometimes occurs as an investigation type in its own right (sometimes with multiple techniques (events) being used) with its own research objectives, undertaken by specialist contractors, and with particular reporting outcomes. On other occasions it comprises one or more event(s) within another investigation type (*e.g.* field evaluation). Likewise, marine investigations, which are here defined by the environment in which they take place, can involve a wide range of events directed towards objectives that overlap with a range of investigation types (*e.g.* environmental impact assessment).

Separate, but parallel, with the work of the AIP there has been increasing attention directed towards the development, negotiation, and agreement of standards and guidance for archaeological activity. This was led by the Institute for Archaeologists (Institute of Field Archaeologists until November 2008; since December 2014 the Chartered Institute for Archaeologists) whose approach to the scoping of standards and guidance fits fairly neatly with the concepts behind the main investigation types used by AIP (Appendix A for concordance).

Recording archaeological endeavour

The concept of ‘archaeological’ implicit in the title of the project is very broadly defined. It includes all forms

of cultural, environmental, or heritage information that can be gathered through field investigations and surveys, material evidence recovered through such investigations, the results of laboratory analyses of samples and materials from investigations and surveys, and the records related to identifiable investigatory events.

Sources and collection methodology

Throughout the research carried out by the AIP, data for the construction of the annual gazetteers were collected from a wide variety of sources through personal visits by members of the research team, and by questionnaires distributed by post or electronically. In general, the number of visits made each year increased in response to the growing number of organisations involved in archaeological investigations (Figure 1.6). During personal visits researchers examined available reports and documents, completing data entry forms on laptop computers at the host organisation. Since 2002, in partnership with OASIS, increasing use has been made of on-line submissions to OASIS while AIP records have been provided to OASIS in return. Thus, overall, the AIP data-set comprises textual material plus a combination of counts, sampled populations, and quantifications. Data collection for 2010, the last year AIP surveyed was collected in 2011 and early 2012. Inevitably, some investigations were recorded more than once so the data-set represented in Figure 1.6 is greater than the eventual number of records once duplicates had been removed or their content combined.

In its final iteration, the AIP database comprises nine separate entry forms within a relational database. These main tables record investigation types as defined above: A – Appraisals (initial and detailed); B – Desk-based assessments; C – Field evaluations; D – Environmental impact assessments; E – Post-determination and non

Table 1.4 Number of records identified with each defined AIP investigation type by year 1990–2010. NR indicates those years for which data was not recorded as a separate investigation type, although it may have been recorded as an investigatory event and thus appear in later analyses.

Year	Building Recording	Desk-based Assessment	Environmental Impact Assessment	Estate Management	Field Evaluation	Geophysical Survey	Maritime Investigation	Post-determination / Research	Specialist/ Post-excavation	Totals
1990	NR	106	68	NR	519	1	NR	683	NR	1377
1991	1	210	95	NR	797	1	NR	832	NR	1936
1992	NR	287	62	NR	833	NR	NR	1073	NR	2255
1993	NR	359	78	NR	968	2	NR	1333	NR	2740
1994	NR	430	68	NR	977	4	1	1483	NR	2963
1995	NR	506	31	66	1036	8	1	1491	NR	3139
1996	NR	567	31	75	1051	1	NR	1563	NR	3288
1997	196	572	34	49	1075	13	NR	1614	NR	3553
1998	227	551	59	58	1072	9	NR	1549	NR	3525
1999	282	690	196	71	1220	18	NR	1926	NR	4403
2000	319	781	256	52	1430	10	NR	1964	NR	4812
2001	360	814	125	132	1370	235	NR	1916	NR	4952
2002	382	568	164	125	1136	185	NR	1842	NR	4402
2003	487	699	146	134	1295	270	NR	1842	NR	4873
2004	557	667	141	151	1218	249	NR	1818	NR	4801
2005	607	632	172	162	1069	258	6	1898	NR	4804
2006	634	692	132	104	1212	308	8	1824	NR	4914
2007	629	803	140	99	1340	276	16	2059	NR	5362
2008	637	745	79	86	1080	262	19	1858	NR	4766
2009	619	673	56	59	1088	310	15	1869	NR	4689
2010	510	644	108	90	1000	336	16	1588	76	4368
Totals	6447	11996	2241	1513	22786	2756	82	34025	76	81922

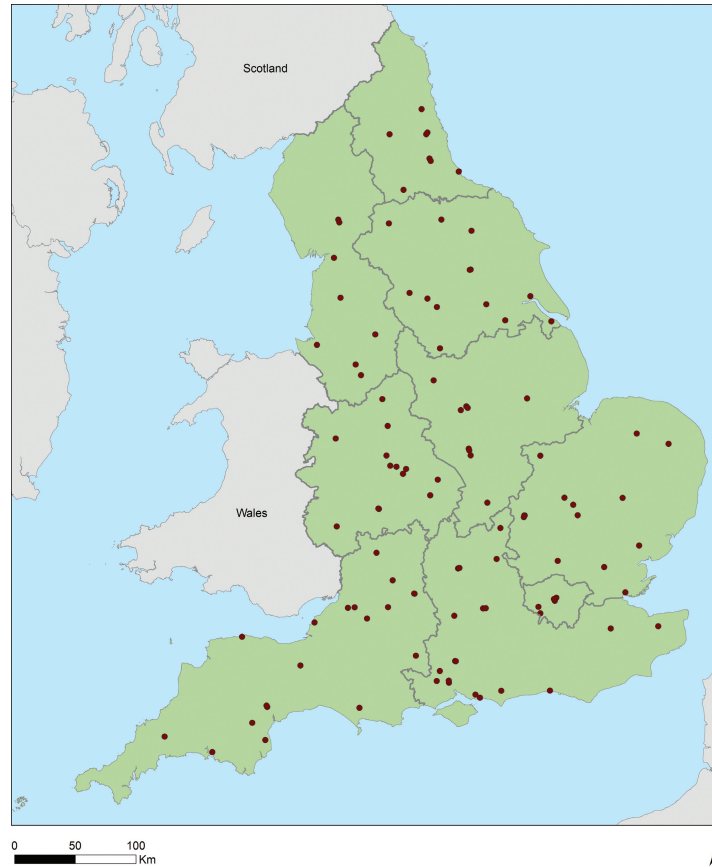


Figure 1.7 Map showing the distribution of main sources visited by AIP researchers between 1990 and 2010. Regional boundaries shown. See Appendix B for a list.

development-related events; F – Marine investigations; G – Building recording; H – Geophysical surveys; and P – Specialist and post-excavation projects (2010 only). Table 1.4 summarises the overall number of investigation event records for each investigation type, by year. As indicated on Table 1.3, however, not all investigation types were recorded throughout the PPG16 Era so the total of 81,922 should be regarded as a minimum number of recorded events. As will be seen in later analyses, data relating to some investigation types can be reconstructed from investigatory event records for years before it was recorded in a separate table. This brings the total of recorded events to *c.*86,000.

The main sources contributing to the assembly of the AIP databases are listed in Appendix B and their distribution mapped on Figure 1.7. The main source-types can be summarised as follows:

- *Sites and Monuments Records/Historic Environment Records.* Compiled and maintained by local authorities and widely recognised as the principal source of information about archaeological work within a geographically defined administrative area. However, because of the nature of the work carried out by these records, there

was generally a backlog in the entry of new data and in establishing cross-references to project files and archives. In practical terms it was often 1–2 years before a report was fully accessed into the relevant system.

- *Contractors and consultants.* These are the organisations that undertake or co-ordinate archaeological fieldwork and therefore provided the main source of information on recent projects. About 120 contractors and consultants scattered across the country were contacted and visited on an annual basis. Most maintained a consolidated archive of client reports and were happy for members of the research team to work through them systematically to complete the relevant database entries. In the early years of AIP printed record forms were made available to contractors for each year (colour coded) to complete themselves. Some contractors kindly completed the forms retrospectively and saved the need for a visit. Most contractors seemed happy to encourage the indexing of investigations at the level established by the AIP as it was considered to be in everyone's interest to know what is happening and to be able to access an up-to-date listing of recent activity in areas where a contractor might be working or competing for new work. Because AIP researchers visited the headquarters of the contractors and

consultants surveyed in order to complete the database this material has been assembled at no significant cost to the originators and in a consistent and systematic way. From 2002 OASIS records created on-line by contractors and consultants who regularly used this reporting system, and who often uploaded reports to the Library of Unpublished Fieldwork Reports, were used instead of personal visits.

- *Statutory undertakers with archaeological capacity.* Printed questionnaires and email inquiries were used to collect information about on-going and completed projects.
- *Museums with archaeological staff.* Printed questionnaires and email inquiries were used to collect information about on-going and completed projects.
- *University archaeology departments.* Printed questionnaires and email inquiries were used to collect information about on-going and completed projects in England.
- *Voluntary/independent sector organisations.* Printed questionnaires and email inquiries were used to collect information about on-going and completed projects. A mailing list of approximately 350 contacts was used to circulate the questionnaire; the response rate varied between 17.2 per cent in 1999 and 26 per cent in 1997.
- *Published listings and secondary sources.* Annual reports, 'round-ups', and other periodic summaries of work done were checked and used where available. They provide a useful cross-check on what has been done.
- *English Heritage Geophysical Survey Database.* English Heritage and its forerunner started compiling a central record of geophysical and geochemical surveys carried out in England in 1972. Initially the majority of these surveys were undertaken by staff from the Ancient Monuments Laboratory, but from the early 1980s the number of organisations involved increased. From 1980 such surveys on protected sites were deemed to require a license under S42 of the *Ancient Monuments and Archaeological Areas Act 1979* and these surveys were thereafter listed in the Geophysical Survey Database. Since 2001 AIP has systematically collected information on geophysical surveys whether part of a pre-determination evaluation or a stand-alone non-invasive survey. Data was collected from those commissioning geophysical surveys and contractors specialising in such work.

Inevitably, for all these sources, the quality of the records created by AIP researchers depended on the skills of the researchers and the quality of the information made available in reports and other documentation. Changes in the way investigations were understood and classified had an impact on the accumulating data-sets collected over the 20 years of the project. There are no doubt variations in the way researchers understood the archaeological process, and this too can be seen in some of the analysis presented in later chapters. It may be noted, however, that over the duration of the AIP, researchers reported a general increase

in the quality and usability of reports, a subject discussed further in Chapter 8.

One of the most difficult areas of data collection was in relation to environmental impact assessments, not least because these are sometimes brought together after the archaeological work has been completed and thus are not recognised in the issued reports. To supplement information available from contractors and consultants, the *Digest of Environmental Statements* (IEA 1993a; 1993b; 1994) was trawled for archaeological components. However, it is an illustration of the difficulty of systematically collecting data on environmental impact assessment that Sweet and Maxwell discontinued production of the *Digest* in 1995. Raw data on the number of environment impact assessments carried out have been obtained from the Department of Environment, Transport and the Regions (DETR), while copies of submitted statements relating to the period 1990–2008 were surveyed in the DETR library. Since 2008 submitted statements were no longer kept by DETR and there is no consolidated source available for subsequent years. The AIP therefore had to rely on contractors and consultants responsible for compiling environmental statements.

National statistics relating to Scheduled Monuments and government expenditure on archaeology were provided from English Heritage records and published sources such as their *Annual Report and Accounts*. National statistics relating to the number of planning applications, their distribution, and the extent of their determination were obtained from government statistics published by the Office of National Statistics (ONS) and individual government departments and agencies. These are mostly based on statutory returns made quarterly by local planning authorities. Inevitably, the scope of those returns, and the matters covered in published accounts, changed over the course of the PPG16 Era making the construction of long-term comparative data far from easy. As a result, data plotted on some later graphs and charts is incomplete across the twenty years of the PPG16 Era.

Data on the archaeological monitoring of planning applications is also tricky. There is no statutory requirement to keep records of this work, or the recommendations made, although some individual authorities do in fact do this as part of their own quality assurance systems (e.g. Johnson 1997). The AIP developed and circulated a questionnaire about the through-put of applications and their archaeological monitoring, but many curators were unable to complete them for a variety of reasons. The AIP statistics on archaeological appraisals are thus a 'grab sample' based on those authorities able and willing to complete the survey forms. Still more difficult is the matter of the decision record, especially as individual studies will relate only to one part of the process, and the life-cycle of many applications will cross more than one year (the later ones may not have completed their cycle at the time of survey).

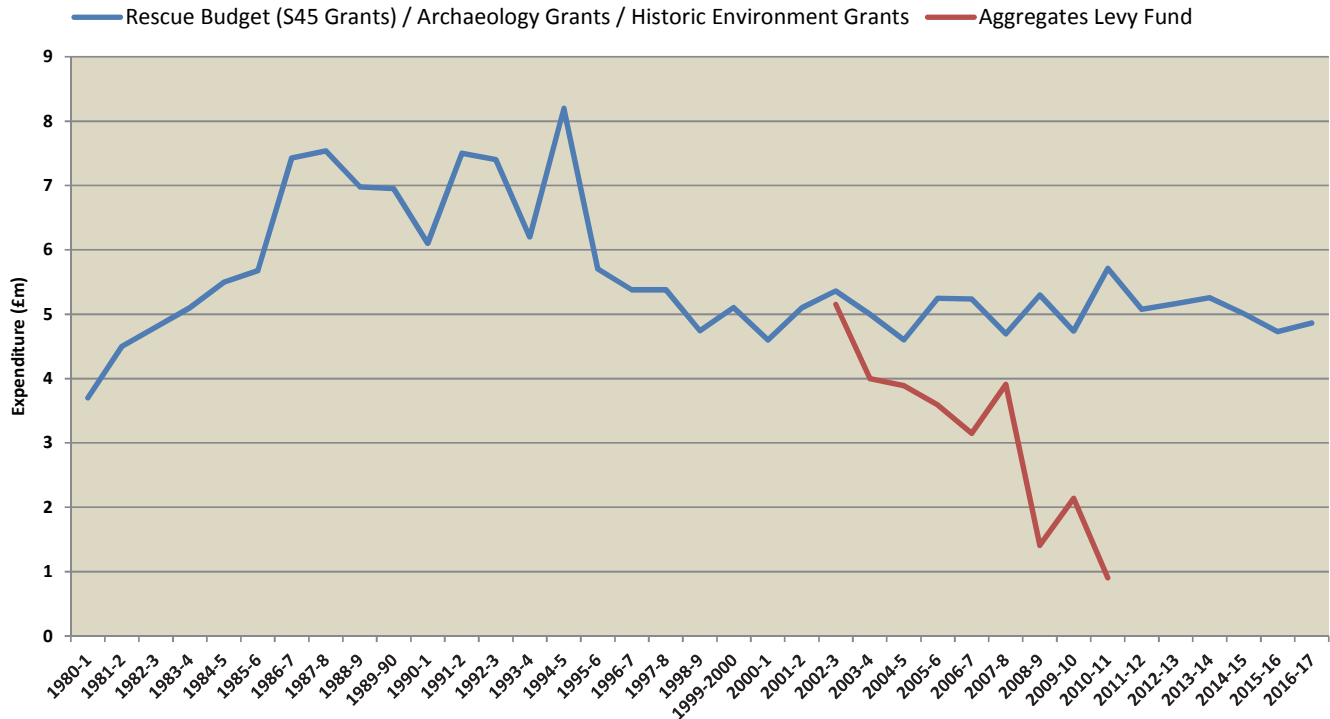


Figure 1.8 Graph showing funding for archaeology administered by English Heritage between 1989 and 2014. (Data: EH 1986a; Historic Buildings and Monuments Commission for England Annual Report and Accounts 1983–2015; Historic England Annual Report and Accounts 2016–2017)

Over the course of the PPG16 Era, archaeological fieldwork has variously been supported by a range of initiatives and funding streams that have stimulated work in particular spheres (Aitchison 2001 for a review of the first decade of the PPG16 Era). Research organisations and charities such as the Arts and Humanities Research Council (AHRC), the British Academy, the Society of Antiquaries, and numerous local societies have funded archaeological investigations across the country (*see* Chapter 6) while Community Archaeology has benefitted greatly from the Heritage Lottery Fund (HLF) set up in 1994. In some cases it has been possible to track and monitor some of these projects, but full systematic coverage proved difficult.

Government funding of archaeological research, especially that channelled through English Heritage, also changed dramatically over the PPG16 Era and is fairly well-documented: a series of published analyses for the period 1982 to 1988 reveal the situation immediately preceding the PPG16 Era (Wainwright 1985a; 1985b; 1986; 1987); English Heritage's annual *Archaeological Review* edited by Geoff Wainwright between 1988 and 1994 and Adrian Olivier between 1995 and 1998 show what was happening as PPG16 came into force; and spanning the whole period are the published *Annual Report and Accounts of the Historic Buildings and Monuments Commission for England*, which offer breakdowns and analysis well beyond the statutory minimum. The so-called 'Rescue Budget' established in

the late 1950s and from 1984 administered by English Heritage as Archaeology Grants/Historic Environment Grants decreased in value from £6.95m in 1990 to £4.7m in 2010 (Figure 1.8) while also being directed towards a much wider range of research initiatives. Since 2010 the level of support through Historic Environment Grants administered by English Heritage, and more recently Historic England, has remained fairly stable at around £5m per year; taking inflation into account this represents a slow decline in real terms.

Funding for archaeology through the Manpower Services Commission for the Community Programme and the Youth Training Scheme set up as a means of reducing unemployment while re-skilling the workforce in 1982 had largely come to an end by 1990 (Ashford 1989; Crump 1987; Drake & Fahy 1987), although its legacy was felt into the early years of the PPG16 Era. The Aggregates Levy Sustainability Fund (ALSF) created by the Department for Environment, Food and Rural Affairs in order to reduce environmental impacts arising from the extraction of aggregates, and to deliver benefits to areas subject to these impacts, directed more than £17m into archaeological projects between 2002 and 2011 (Figure 1.8; *see also* Chapter 6).

The biggest change to patterns of funding lies with the reapportionment of costs for archaeological work from the public purse to the developer in line with a principle of sustainable development in which the 'polluter pays'. In

retrospect, a key step in the process was the Department of the Environment's termination in 1980 of a funding system that had supported virtually indefinite annual subsidies for some 80 organisations across England (Wainwright 1985a: 1). The reasons given were that the wording of Section 45 of the new *Ancient Monuments and Archaeological Areas Act 1979* was aimed at targeted funding for specific initiatives and that too much funding was going on recurrent establishment costs. It was not a popular move in some quarters (Anon 1980), but opened the way for wider debates about the process, ethics, and professional practices of competitive tendering (Chadwick 1991; Cooper-Reade 1998; Cranstone 1995; Lambrick 1991; Swain 1991). By 1990 it was widely accepted within the development industry that the costs of pre-determination information-gathering investigations as well as post-determination mitigation works would fall to the developer, with a variety of industry-based agreements, codes of conduct, and guidance in place (e.g. ALGAO 1999; BADLG 1989; CIFA 2015; Darvill & Atkins 1991; IFA 2013). An ambitious programme of road-building was announced by the UK Government in 1990 (DTp 1990), and in April 1993 the Department of Transport (DTp) accepted direct responsibility for funding all connected archaeological work: over £2.2m on 12 schemes in 1993–94 (DTp 1994: 2) and £7.9m on 15 schemes in 1994–95 (DTp 1995: 14–15). It was an important precedent that emphasised the fact that 'developers' come from many backgrounds, both public and private; the DTp and its successors have continued to be major contributors to archaeological investigation (Alexander 2011; *see also* Chapter 9).

Terminology and classifications

Few rigid parameters were placed on the definition of individual items of data collected. The completion date of a project is taken to be the date (usually the year) printed on documents and reports as the date of issue. The area covered by the investigation had to be wholly or substantially within England as territorially defined at the time the work took place. It should be remembered, however, that between 1990 and 1999 there were numerous changes to local government areas and administrative responsibilities, some with archaeological implications (Baker 1994; Morris 1994b), although this has been less marked through the period from 1999 to 2010. During the PPG16 Era various new archaeological organisations came into existence while others went out of business or were closed down for various reasons. Many changed their name between 1990 and 2010, and some archaeological investigations in England were carried out by organisations whose operating base or registered address lies outside England.

Inevitably, the data-set is limited by what individual sources were prepared to reveal. In a few cases confidentiality clauses were properly applied, although most of these investigations were later recorded and included on the system.

The number of events per year should therefore be regarded as 'the number of events completed to the report stage and made available to the survey for a particular year'. As previously noted, the AIP database was a dynamic resource during the project, and retrospective additions and deletions were made as new information became available. The archive copy of the database preserved by the Archaeology Data Service is, however, a closed resource; its content is that reflected in the analysis presented in this report.

Wherever possible, use was made of existing wordlists and classifications, although like the AIP itself these evolved and changed over the PPG16 Era. Throughout, MIDAS Heritage and INSCRIPTION co-ordinated through the Forum on Information Standards in Heritage (FISH) provided the standard wordlists used. Use was made of the LUSAG classification of land-use that allows groupings to be built up at several different levels (Darvill & Fulton 1998: 146).

In bringing together the results of data collected over a period of twenty years in this report some concatenation of data categories has been necessary. These are discussed with reference to the interpretation of patterns and trends where relevant. The availability of a geographic information system (GIS) during later phases of the project meant that locational data could be checked against Ordnance Survey mapping, and positional characteristics such as rural or urban setting could be determined against layers showing settlement density.

Regional analysis in this report is based on the nine operating areas established by English Heritage in 1999 (Alexander 1999). These correspond very closely with the thirteen Government Office Regions in use at the same time (DETR 1997a). For the purposes of analysis and comparison these regions are back-projected onto the early part of the 1990s and forward-projected into the late 2000s. Figure 1.9 provides a geographical key to the regions and the names given to them. Some maps show the boundaries of England's counties as current at a mid-point in the PPG16 Era, around 2000. The regions are essentially administrative areas and accordingly it is recognised that they have little relevance to the distribution of activity in the ancient past. Most analyses are presented year-by-year, but in some cases the years are grouped together into four 'quarters' covering the PPG16 Era.

AIP outreach and connections with other projects

The existence of the AIP was widely promoted at archaeological meetings and conferences, and research staff attended numerous seminars and workshops to explain their work and outline preliminary results. A project website was established in 1996 to explain the background and invite unsolicited contributions and corrections, and in 2004 an on-line searchable database was created and maintained. Between 2004 and 2010 more than 10,000



Figure 1.9 Regions used in mapping AIP data. (Source: English Heritage and AIP)

'hits' were recorded from a range of domains that accessed the site directly (Figure 1.10). Nothing is known about the behaviour of users or the purpose of visits. Much higher usage would have come indirectly through various portals with links into the site and the database. A summary report on investigations between 1990 and 1999 was published (Darvill & Russell 2002).

Data-sets have been provided to numerous other projects and organisations. Geographically delimited data-sets have been provided on an ad hoc basis to more than a dozen SMRs/HERs, and substantial data-sets have been supplied

to more than 20 research inquiries from individuals working in a variety of fields. These have included: an overview of aggregate-related archaeology (Brown 2009); the study of archaeology in relation to road construction (Alexander 2011); decision-making in local planning authorities (Waller 2011); the Roman Grey Literature Project (Fulford & Holbrook 2011a; 2014; Hodgson 2011; 2012; Holbrook 2010a; 2010b); an overview of commercial work in Roman towns (Fulford & Holbrook 2015); studies of prehistoric Britain (Bradley 2006a; 2007; Phillips & Bradley 2004); Anglo-Saxon England (Blair 2014); archaeological activity

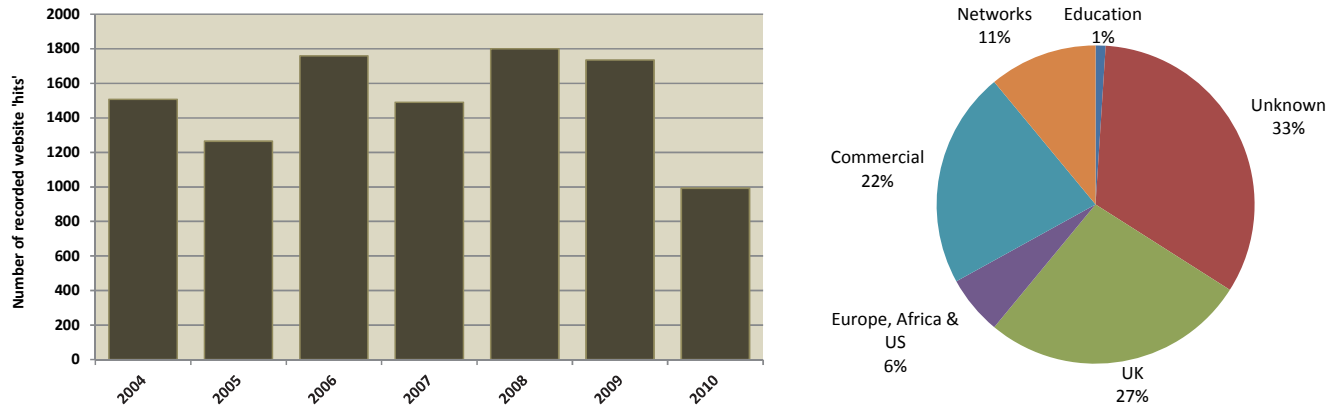


Figure 1.10 Analysis of the AIP website usage 2004–10. A. Annual usage. B. Breakdown of the main domains accessing the website. (Data: AIP. Sample = 10,548 'hits')

and professional practice (Aitchison 2010a; 2012); changing patterns in the investigation of British prehistory (Cooper 2012; 2013); EU-funded English Landscape and Identity Project based in Oxford (Cooper & Green 2017; Gosden 2014; Green *et al.* 2017); and a review of how multiple investigations can be combined to develop overviews of changing landscapes (Morrison *et al.* 2014; Thomas *et al.* 2015). Some of these are discussed further in Chapter 9. In 2000–01 AIP data contributed to *Heritage Monitor* and from 2002 to *Heritage Counts*. Regular exchanges took place with English Heritage (Archives and Monuments Information England (AMIE) database used to hold the National Record of the Historic Environment that supports, for example, the Excavations Index, and PastScape), the British and Irish Archaeological Bibliography, and OASIS hosted by the Archaeology Data Service.

The revitalised *British and Irish Archaeological Bibliography* (BIAB), started to include 'examples of grey literature which are rarely taken by academic or public libraries' from the first issue in April 1992 (Heyworth & Holroyd 1992a; 1992b: 7) and expanded coverage in later years. From spring 2005 it has been an on-line only resource giving bibliographic details and short abstracts for documents and reports recorded by its bibliographers or supplied to it.

OASIS opened for the submission of information about archaeological investigations on 1 April 2004 after two years of development and testing (Hardman 2002; 2006; 2009; Smith *et al.* 2012). The aim of OASIS was to provide an on-line index to the mass of archaeological grey literature that has been produced as a result of large-scale developer funded fieldwork, and a similar increase in fieldwork undertaken by volunteers. This later expanded through the creation of a library of grey-literature (the Library of Unpublished Fieldwork Reports). On-line data capture used a form designed to help in the flow of information from data producers, such as contracting units and community groups, through to local and national data managers, such as HERs and the NMRs. A relatively complicated data-validation

system involving local and national curators formed part of the data-path, although it is uncertain exactly what was being validated: the documentation itself, or its content and conclusions. Methodologically, OASIS was quite different from the AIP. OASIS relied on the self-creation of records by individuals or organisations, starting when fieldwork commences and then completed when the work is finished and the report attached and submitted for 'sign-off'. By contrast, the AIP actively sought out data using a small team of dedicated researchers who visited or made contact with contractors and others involved with carrying out or recording archaeological work.

The range of investigations logged by the AIP was broad, and the project made its suite of forms available to individuals and groups involved in archaeological investigations. The AIP overcame some copyright exclusions relating to the reports themselves by summarising the data they contained, especially important for pre-determination investigations where client confidentiality was sometimes an issue. Thus, while OASIS focused on assembling a metadata flow line that could have reports attached (and archived in the Library of Unpublished Fieldwork Reports), the AIP focused on documenting the nature, scale, and extent of archaeological investigations and the circumstances under which they were undertaken. Figure 1.11 shows in map-form a snap-shot of the spatial pattern of investigations recorded by the two projects in 2010, and serves to emphasise the strengths and weaknesses of the two different approaches. However, both projects were linked together in terms of data-flow as summarised in an idealised form on Figure 1.12; as already noted, the AIP also connected with other relevant databases such as the BIAB and the Excavations Index.

AIP data compared

Some of the projects that have drawn on AIP data have also examined specific sectors of the record and compared it with other available information. This is helpful in assessing the coverage and completeness of the AIP record. Tim Evans

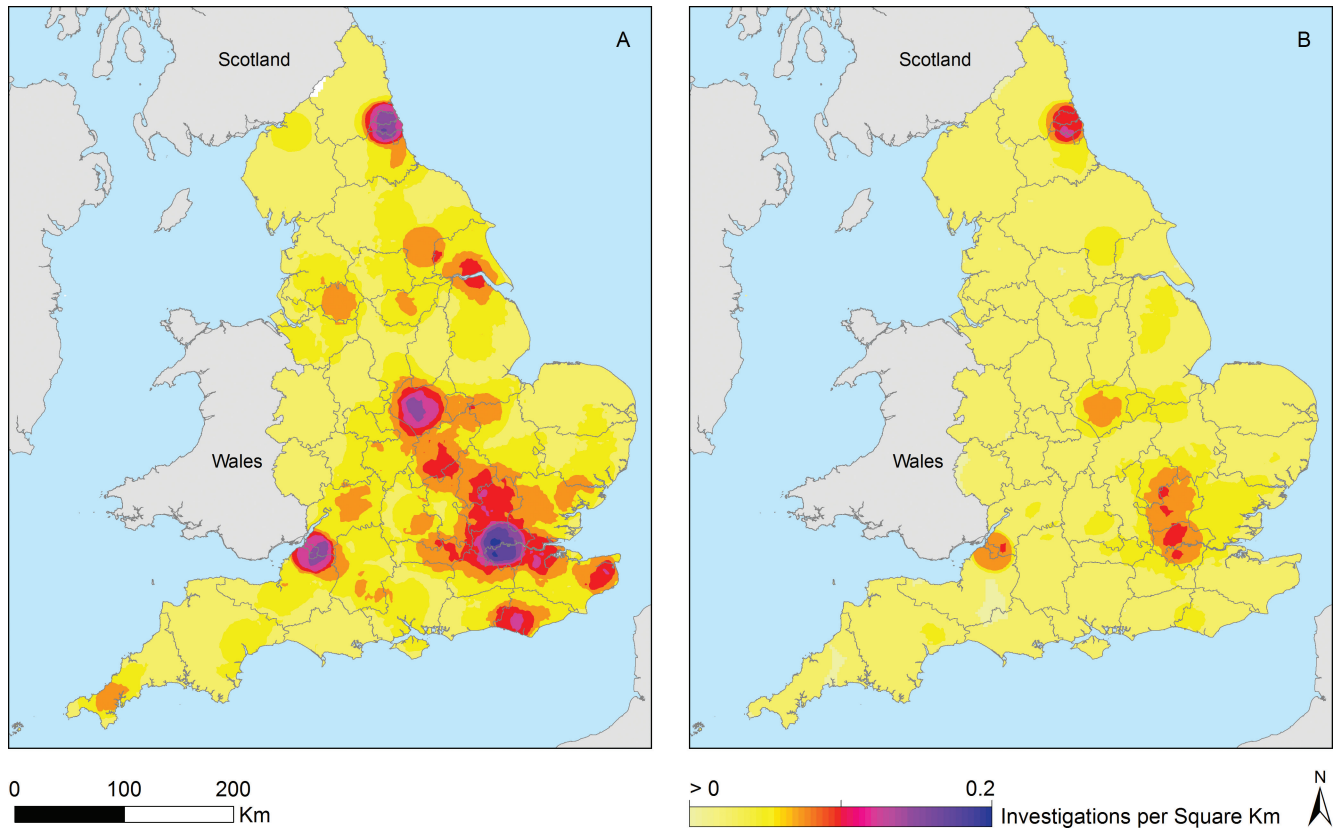


Figure 1.11 Recording archaeological investigations carried out in England in 2010. *A.* Distribution of events recorded by the AIP. *B.* Distribution of OASIS records. County boundaries shown. (Data: AIP (Sample = 5129 investigation type records) and OASIS (Sample = 2459 records))

(2013) compared three principal sources for recording archaeological fieldwork in England between 1990 and 2007 – the National Monuments Record (NMR), Archaeological Investigations Project (AIP), and the Online Access to the Index of Archaeological Investigations (OASIS) showing that all had lacunae. Although the study failed to recognise both the degree of inter-relationship between the records as a result of data-transfers and the different sources feeding into the records, it did acknowledge the strength of the AIP in tracking down records of field evaluations and pre-determination events through hands-on research. Developing a case-study based on records for Staffordshire, Evans revealed the well-known difficulty of logging events undertaken by very small commercial organisations and individuals that might well be recorded in local HERs through personal contacts but are otherwise very hard to identify (Evans 2013: 30).

The same problems arising from how events are evidenced can be seen in several other studies. Referencing the specific needs of research into the Roman period in England, Mike Fulford and Neil Holbrook examined the relationships between the AIP records, the AMIE database maintained by English Heritage, information from the annual round-ups published in *Britannia*, and information contained in

HERs. This found that the main gaps in the AIP's coverage were in relation to 'work by universities and local groups outside the planning system' (Fulford & Holbrook 2011a: 328). Careful cleaning of the data-sets and cross-referencing to other local sources in four case-study areas showed the AIP was consistently recording around 70 per cent of events yielding archaeology classified by the study as 'Roman' (Fulford & Holbrook 2011a: Table 4); the remaining 30 per cent mostly seem to have been events documented only by brief statements in annual round-ups and casual references rather than formal reports that were the focus of the AIP recording.

AIP in relation to other parts of the UK and beyond

The systematic recording of archaeological investigations on a year-by-year basis is fairly common in many parts of the world. Because there is no formal licensing of archaeological work in Britain such records have to be compiled retrospectively. Complementing the AIP, note may be made of the annual listings for Scotland in *Discovery and Excavation in Scotland* published between 1955 and 1999 by CBA Scotland (formerly CBA Group 1) and since 2000 by Archaeology Scotland, and for Wales as *Archaeology in Wales* published since 1961 by CBA Wales (formerly CBA

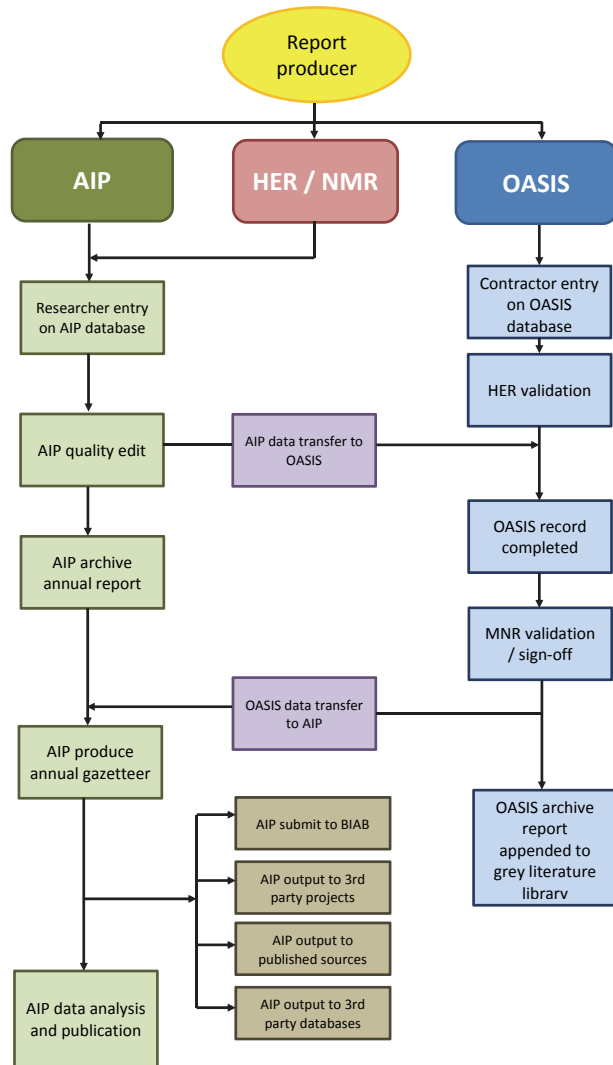


Figure 1.12 Idealised data-flow model showing the relationship between AIP and OASIS, and the transfers between, for the period 2002 to 2010.

Group 2). Ireland and Northern Ireland both have licensing systems for archaeological work, activities being summarised annually between 1986 and 2003 as the *Excavations Bulletin: Summary accounts of archaeological excavations in Ireland* and more recently as the on-line resource <https://excavations.ie/>. Across the Channel in France detailed summaries of archaeological investigations were published in *Gallia Préhistoire* and *Gallia* up until the mid-1980s, after which summary volumes of work by region have been issued periodically, and, more recently, investigations are reported through the on-line source *Archéozoom* (Inrap 2018). Further afield in Europe annual summaries include, for example, *Археологические Открытия* published annually by the Russian Academy of Sciences (Institute of Archaeology) in Moscow, the annual 'Fundbericht' listings in *Jahrbuch Archäologie, Schweiz* published by the member-association

Archäologie Schweiz, and *Arkæologiske udgravninger I Danmark* published by the National Museum in Copenhagen. In north America the Digital Index of North American Archaeology (DINAA) compiles, cleans, and publishes on-line site file data aggregated from state and other agencies that enforce US historical protection laws; by 2018 it had data from nearly 500,000 sites from more than a dozen states (Kansa *et al.* 2018: 493).

Data analysis and presentation

In the following chapters a detailed analysis of data from the AIP is presented in a way that reflects current archaeological practice for each of the main investigation groups, types, and investigatory events noted above. This is a retrospective analysis of records created under changing circumstances, although some recasting has been done over the years to make the database as consistent as possible. Most of these analyses are based on simple counts, in some cases standardised as percentages or densities. Throughout, the AIP database has been used in the assembly of the statistics, tables, and graphs set out below. As already noted, this has developed over a period of 20 years. During that time the archaeological process has altered, terminology has shifted, and a range of researchers have contributed to the record. The database itself was migrated from Paradox (V5) to Access in 1997 with consequential changes to record structure, and new tables and fields added. The fact that there is no simple correlation between investigatory events and investigation types means that quantifications vary slightly according to how queries of the tables in the AIP master database were constructed and which parameters are selected when constructing queries. Sample sizes in terms of the number of records revealed by a particular search pattern are noted on the maps, charts, and graphs where appropriate. The number of records used in a particular analysis may be higher or lower than the overall number of investigations recorded by investigation type (see Table 1.4. 81,922 records). Lower numbers generally result from that fact that the source documents (*i.e.* reports) consulted and interrogated during the survey did not all contain the same range of information and meaning that the database inevitably contains gaps caused by 'missing data'. Thus, the total number of instances identified (records in the sample = s) will usually be less than the total number of records (n) relating to a defined investigation group or investigation type, so $s \leq n$. Higher sample numbers arise for a number of reasons, but principally where multiple investigatory events have been identified with a single investigation type record, as for example where several methods each constituting discrete investigatory events are tied together within a record for discrete investigation type such as a field evaluation. Investigatory event records can also be used to provide data

for years before an investigation type was recorded within its own table (e.g. Building Recording before 1997; Estate Management before 1995; Geophysical Surveys before 2001; and Maritime Investigations before 2005). Thus, the total number of instances identified (records in the sample = s) will be greater than the total number of records (n) relating to a defined investigation group or investigation type, so $s \geq n$.

Overall, although the AIP data-set discussed in the following chapters may not be perfect in every detail, and certainly has a number of recognisable shortcomings and hard-to-explain lacuna, it is nonetheless a substantial body of classified and categorised information that fairly reflects the main trends in archaeological activity over the twenty years of the PPG16 Era.