

Historic Environment Division

Development and Archaeology

Guidance on Archaeological Works in the Planning Process

April 2019



Historic Environment Division's Aim

“Helping communities to enjoy and realise the value of our historic environment”

We do this by:

- Recording, protecting, conserving, advising, promoting and enhancing its value
- Utilising and growing our specialist knowledge and expertise in collaboration with a wide range of groups and individuals
- Contributing to the Executive's objectives as laid out in the Programme for Government

Our historic environment provides authentic and attractive places which increase our pride, character and identity, lead to improved wellbeing and community engagement, and to prosperity through tourism, investment, skills, regeneration and creativity. It is a precious and finite resource available to present generations, and with appropriate management, to future generations.

This guidance document aims to assist planning authorities and applicants, heritage consultants and other stakeholders achieve a consistent approach when considering archaeological works in the planning process in Northern Ireland. This guide does not attempt to provide a detailed account of the legislation and policy that underpin planning matters in Northern Ireland, and is not intended to be a source of definitive legal advice. Responsibility for planning

matters rests with local councils and DfI. Reference should be made to the actual legislation referred to in this document and if any discrepancy or conflict exists between this guide and legislation, the provisions of the legislation will prevail.

Further information can be obtained from the Department for Communities website: www.communities-ni.gov.uk

Contents

1. Introduction	4
2. Archaeological Information to Inform a Planning Decision.....	6
3. Planning Conditions for Archaeological Works	12
4. Contact Details and Further Information	18
Appendix 1. Glossary of Terms Encountered in Archaeology & the Planning Process	19
Appendix 2. Contents of an Archaeological Programme of Works	22
Appendix 3. Wording of Standard Archaeological Planning Condition	25

Cover Image:

Archaeological investigation of a prehistoric palisaded enclosure in advance of development at Ballynagalliagh, Co. Londonderry.

This edition published by DfC Historic Environment Division
April 2019
All images © Crown Copyright, unless otherwise stated.

1. Introduction

Development projects can often involve archaeological requirements in the planning process, including the need to undertake various types of archaeological assessments and investigation works.

Historic Environment Division (HED) is a statutory planning consultee and provides advice to local council planning authorities on the archaeological implications of planning applications and development management activities. Current planning policies for the protection and treatment of archaeological sites and monuments are contained in Planning Policy Statement 6: Planning, Archaeology and the Built Heritage (PPS 6)¹, the Strategic Planning Policy Statement (SPPS) and in local development plans. Planning authorities may require applicants or developers to undertake various forms of archaeological works associated with development projects as a result of HED advice and the requirements of planning policy.

This guidance document is aimed at applicants, agents, developers and archaeological consultants who may be responsible for archaeological works associated with development projects. It is intended to guide processes around archaeological works consistently throughout Northern Ireland. The guidance falls into two main themes:

- Archaeological information required to inform planning decisions

- Planning conditions for archaeological works after a planning decision is made

Planning Proposals & Early Engagement

In all cases the desirability of preserving an archaeological site and its setting is a material consideration in determining a planning proposal. If archaeology will be affected by a development then archaeological mitigation works will normally be required. These issues are much easier to deal with if they are considered at an early stage. Archaeological impact assessments and site evaluations can be useful tools in identifying archaeological constraints. Early engagement with HED's Planning Response Team archaeologists may help to provide advance warning of the archaeological sensitivity of a potential site and to design appropriate mitigation strategies.

Please note that any pre-planning archaeological assessment and evaluation work should not conflict with or prejudice the planning process. Therefore it may be appropriate to seek advice from the relevant planning authority before proceeding. The full excavation and resolution of archaeological remains within any development site will normally only take place as part of the discharge of archaeological planning conditions.

Where an application is approved with conditions requiring archaeological work, it is essential that this is recognised and acted upon at an early stage and factored into the overall development programme.

¹ Local Development Plans are currently being prepared by Councils, in line with the Strategic Planning Policy Statement for Northern Ireland (SPPS), which will replace PPS 6 once adopted.

It is therefore in a developer's own interests to find out whether a site is known or is likely to contain archaeological remains before submitting a planning application.

Sources of Information

The Historic Environment Record of Northern Ireland (HERoNI) is a publicly accessible archive of information on archaeological sites, listed and other historic buildings, historic parks and gardens, defence heritage structures, maritime and industrial heritage features. This archive is maintained by Historic Environment Division and can be accessed on-line using the **Historic Environment Map Viewer**. Local development plans may contain site-specific designations or information, for example Areas of Significant Archaeological Interest (ASAs), and Areas of Archaeological Potential (AAPs) within historic settlements. They also contain maps of registered parks, gardens and demesnes of special historical interest. Other potential sources of information include the Public Record Office of Northern Ireland, the Ordnance Survey of Northern Ireland and the Ulster Museum. Local museums and historical societies will often have further relevant information.

Archaeological Excavation Licenses

A licence is required under the Historic Monuments and Archaeological Objects (NI) Order 1995 to search for archaeological objects or to carry out an archaeological excavation in Northern Ireland. All archaeological excavation or investigation works described in this document involving ground disturbance must be undertaken by an appropriately qualified archaeologist/consultant licensed by HED. The agreed **Archaeological Programme of Works** (POW) for the

development should form the basis of any licence application. It is important to allow sufficient time for a licence application in your development programme. HED recommends submission of a licence application at least four weeks in advance of the commencement of site works. Further details are available on our **website**.

Scheduled Monument Consent

Scheduled monuments and their settings are protected by planning policy and may represent a major constraint to the proposed development of a site. Scheduled Monument Consent is required from HED for any works in a scheduled area. **Please note that there is no presumption in favour of granting Scheduled Monument Consent and physical impacts upon a scheduled monument will normally be considered as contrary to planning policy.** If a proposed development site contains a scheduled monument it is strongly advised to contact HED at an early stage. HED has produced the guidance document **Scheduled Monument Consents. Advice for Planning Officers and Applicants Seeking Planning Permission within the Scheduled Area of a Monument**. This document sets out guidance on what planning applicants should do if their site contains a scheduled monument, and is relevant in cases where the principle of development is acceptable to policy. HED will advise planning authorities that any related Scheduled Monument Consent must be obtained in advance of planning approval.



2. Archaeological Information to Inform a Planning Decision

In cases where the potential archaeological impacts of a development proposal are unclear, HED can request further information to inform our advice to the planning authority before a planning decision is made.

Archaeological assessments and evaluations assist the planning authority in reaching a planning decision. Such information is normally required to assess if a proposal is acceptable to planning policy, and may influence development layouts and the scope of planning conditions. They also inform prospective developers of any archaeological 'risks' on their sites, and can help establish

options early in the planning process that will minimise both impacts on archaeology and also delays or expense for the developer.

You should refer to the HED planning consultation response for details of what information is required, or contact HED directly should you need any further advice or clarification. Archaeological information requests normally fall within one or more of the following categories:

Archaeological Impact Assessment

An Archaeological Impact Assessment (AIA) may be sought to identify the potential impacts of a proposed

development on a range of archaeological and historic environment assets and their settings in advance of a planning decision, or to establish their relative importance.

It will include assessing the potential of a site for new archaeological discoveries. An AIA may often form part of an Environmental Statement for large-scale developments and can be a useful tool for identifying archaeological constraints in the early stages of project design.

An AIA normally entails a desk-based assessment of existing information, including a review of the HERoNI, records of previous discoveries and surveys, historic maps, and other relevant documentary sources (see [Appendix 2](#) for contents of a desk-based assessment). It must also include the results of a detailed site inspection by the contracted archaeologist. Specialist assessment, for example focussing on Industrial Archaeology or Defence Heritage, may be necessary depending on the nature of the site.

Other forms of specialist assessment which may form part of an AIA include:

- **Visual Impact Assessment**

A visual impact assessment may be required to assess the visual effects of a development upon the setting of an archaeological site or monument, particularly in the case of regionally important Scheduled and State Care monuments. It will normally entail photomontages from one or multiple viewpoint locations. HED may identify specific viewpoint locations for assessment. See [Guidance on Setting and the Historic Environment](#) for details on how development can have a visual impact on the settings of archaeological sites.

- **Historic Building Survey/ Fabric Assessment**

This may be requested to identify the potential impacts of development upon historic built fabric and to assess the archaeological significance of historic structures. HED currently refers to the levels of building survey described in the Historic England document [Understanding Historic Buildings: a Guide to Good Recording Practice](#).

Satisfying a Request for an Archaeological Impact Assessment:

1. Review requirements set out in HED consultation response
2. Engage archaeologist/specialist consultant to undertake assessment
3. Consultant undertakes assessment and prepares report
4. Assessment report is submitted to the planning authority. This may form part of an Environmental Statement if required
5. The planning authority consults HED
6. HED provides a final definitive response to the planning authority
7. This informs the planning decision

Drawing on the results of the above, an AIA should present an archaeological mitigation strategy to avoid, minimise or offset the identified impacts in line with planning policy. It should address any specific issues raised in the HED planning consultation response. Once completed, the AIA should be submitted to the planning authority who will then consult HED.

How do you hire an archaeological consultant?

There is a range of archaeological consultancies operating in Northern Ireland who are familiar with undertaking archaeological assessments and works required in the planning process and in obtaining the necessary excavation licences from HED. Contact details can be found online or in the business section of the telephone directory. It is best to contact several companies or consultants in order to estimate the potential costs and timescales for archaeological works.

Archaeological Site Evaluation

An archaeological evaluation may be sought to inform a planning decision when the impact of a development proposal on archaeological remains is unclear, or when the relative importance of such remains is uncertain.

An archaeological evaluation usually involves a targeted archaeological excavation, of limited scope, carried out by a licensed archaeologist. It is quite distinct from a full archaeological excavation. It aims to clarify the nature and extent of below-ground archaeological remains within a proposed development site. Evaluations may also be carried out to inform an AIA for a site, particularly where areas of heightened archaeological potential have been identified.

Evaluations can clarify the potential archaeological risks and constraints of a development site early in the planning process, including identifying areas where development may not be acceptable to

planning policy. Evaluations may also influence the design and layout of a development in order to avoid or minimise archaeological impacts.

Evaluations will normally employ one or several of the following methodologies, and a specific methodology may be outlined in the HED consultation response. Methodologies will balance gaining the maximum amount of archaeological information with minimising the amount of site disturbance and associated costs:

- **Test trenching:** this is the most common technique used in evaluations and involves mechanically excavated trenches across the proposed development area. Trenches are normally 1.5 to 2 metres in width and are excavated no deeper than the surface of archaeological remains or the natural subsoil. The spacing and overall layout of trenches will depend on the specific nature, topography and archaeological potential of the site; however they should normally be spaced no more than 10-15m apart.
- **Topsoil stripping:** normally used at small-scale development sites with considerable archaeological potential where trenching may be inappropriate or impractical. The topsoil is removed from the development footprint under archaeological supervision.

- **Hand-dug trenches:** for highly sensitive sites, for example where human burials may be anticipated, mechanical excavation may be inappropriate and hand-excavated trenches will be required. These will normally be small-scale investigations and mechanical techniques can often be adopted once the archaeological potential is clarified.
- **Non-intrusive surveys:** non-intrusive methods such as geophysical surveys and LiDAR surveys may be used in the initial stages of site evaluation, and may be a more practical and cost-effective solution for large-scale development sites. Areas of heightened archaeological potential or 'hotspots' may be identified for further targeted test-trench evaluation.

The archaeological consultant should prepare an **Archaeological Programme of Works** (POW) for the site evaluation, based upon the requirements set out in the HED consultation response ([Appendix 2](#)). The POW should be submitted to the planning authority for approval. Once approved, the archaeologist should obtain an archaeological excavation licence to undertake the work. It is important to set aside sufficient time to allow for this approval and licensing process.

Should archaeological remains be encountered during the evaluation, a site meeting with HED may be necessary to agree if further investigation or extension of trenches is required to fully inform the planning decision. Once the evaluation

is completed, a report must be prepared by the archaeological consultant and submitted to the planning authority to allow HED to give their final definitive advice on the proposal.

Satisfying a request for an archaeological site evaluation:

1. Review requirements set out in HED consultation response
2. Engage archaeological consultant to prepare POW for evaluation
3. Submit the POW to the planning authority
4. HED is consulted on the POW and advises if it is agreed or if changes are needed
5. The archaeological consultant uses POW agreed with the planning authority & HED as part of their excavation licence application.
6. The licensed archaeologist undertakes the archaeological evaluation.
7. Inform HED of discoveries/arrange site meeting if necessary
8. The archaeological consultant prepares an evaluation report & submits to the planning authority
9. HED is consulted on the results of the evaluation and provides definitive advice to the planning authority
10. This informs the planning decision



Can HED recommend planning conditions instead of requesting an evaluation?

HED will normally only request site evaluations in advance of a planning decision if it is considered essential to clarify if a proposal or aspects of it are acceptable to planning policy. Such information cannot be provided after a planning decision through planning conditions.

In some cases where the principle of development is not in question, HED will recommend an archaeological evaluation

in advance of a planning decision in order to best manage the archaeological risks of developing a site. This approach allows flexibility early in the planning process (particularly for large greenfield sites) to amend site layouts to avoid archaeological remains, or to plan ahead for substantial archaeological mitigation works. If an applicant/developer is prepared to accept the risks of undertaking archaeological works following the grant of planning permission in such cases, they may contact the local planning authority to discuss the possibility of dealing with archaeology through negative conditions instead.

3. Planning Conditions for Archaeological Works

Where a planning authority grants planning permission for development which will affect sites known or likely to contain archaeological remains, it will normally attach planning conditions to ensure that appropriate measures are taken for the identification and mitigation of the archaeological impacts of the development.

Developers should note that it is their responsibility to discharge archaeological planning conditions. Developers will normally need to commission the specialist services of an archaeologist or archaeological consultancy to plan and carry out the mitigation on the developer's behalf. An archaeologist involved in any works that require reductions or excavations of ground levels, even temporary reductions, will need to obtain an archaeological excavation licence before starting those works.

The physical preservation of archaeological remains is always the preferred option. In the course of site works it may still be possible to achieve preservation, for example by the use of foundations which avoid or minimise potential damage, or the careful siting of landscaping and open space. Preservation of remains means that future generations will have a resource to explore and enjoy; it can also enhance the character and sense of place of a development, while potentially saving the developer time and money. Therefore, mitigation strategies should always include options for the preservation of remains in-situ where possible. Where remains cannot be preserved, mitigation will normally involve full excavation and recording before development can proceed.



Consultation between the planning authority and HED

HED normally have a target of 21 calendar days to respond to consultations from planning authorities on planning applications and on consultations relating to the discharge of planning conditions. HED always aims to respond to consultations as quickly as possible. It is important to allow sufficient time in the development programme to allow for the agreement of POWs, in addition to archaeological licence applications.

Discharging Standard Archaeological Planning Conditions

The discharge of archaeological planning conditions is overseen by the planning authority in consultation with and advised by HED. It is essential that archaeological conditions are acted upon at an early stage. Development can only start in accordance with an **Archaeological Programme of Works** (POW) which has been agreed with the planning authority and HED, so sufficient time must be allowed in the development programme to agree, plan for, and undertake the required works. See **Appendix 2** for guidance on the contents of a POW.

For multi-phase developments that may take place over several years, it is essential that the POW describes how the archaeological works and the discharge of the planning conditions will align with the proposed development programme.

Depending on the archaeological potential of a site a POW may involve a range of specialist surveys and analyses in addition to, or instead of, archaeological excavation. These may include geophysical survey, photographic survey, historic building survey, or specialist environmental analysis. Please refer to the HED consultation response which will identify any specific requirements for a site. These may also be recommended by the archaeological consultant. **The archaeological consultant can discuss the proposed contents of a POW with the HED Planning Response Team in advance of formal submission to the planning authority.**

The discharge of archaeological planning conditions involves a three-stage process which is reflected in the three parts of the standard archaeological planning conditions now recommended by HED (**Appendix 3**). The three parts should be discharged as follows:

<p>Condition L15a</p> <p>AGREE POW</p>	<p>Key Actions</p> <ul style="list-style-type: none"> • Engage archaeological consultant • Prepare POW & submit to planning authority • POW agreed by HED & planning authority
<p>1. The developer should engage an archaeological consultant to prepare the POW. It should be submitted to the planning authority to begin the discharge of condition process</p>	
<p>2. The planning authority will consult HED on the submitted POW. HED will either agree the POW or note changes to be made before it can be agreed</p>	
<p>3. Condition (a) will be discharged once the planning authority confirms the POW has been agreed</p>	
<p>4. The agreed POW can then be used by the archaeological consultant to apply for an excavation licence. Sufficient time should be allowed for the licence application before site works commence (up to 4 weeks)</p>	
<p>Condition L15b</p> <p>IMPLEMENT POW</p>	<p>Key Actions</p> <ul style="list-style-type: none"> • Start site works in accordance with agreed POW • Carry out archaeological mitigation • Agree release of areas for development with HED & planning authority • Submit Preliminary Report
<p>1. Site works commence in accordance with the agreed POW & archaeological works take place. Inform HED of the commencement of works.</p>	
<p>2. HED should be informed of any archaeological discoveries. A site meeting may be necessary to agree an updated mitigation strategy for resolution of archaeological remains - the archaeological consultant will produce an updated POW.</p>	
<p>3. HED will update the planning office on progress and of any amendments to the mitigation strategy described in the POW.</p>	
<p>4. Following completion of archaeological site works areas may be released for development in agreement with HED & the planning authority. This may be done in phases to facilitate a phased development and mitigation strategy</p>	
<p>5. Condition (b) will be discharged once all archaeological site works are complete and a Preliminary Report has been submitted to HED & the planning authority.</p>	
<p>6. The Preliminary Report should be submitted within 4 weeks of the completion of archaeological works. It may be classified as a Final Report for sites where no archaeological remains are found. This will discharge both conditions (b) and (c).</p>	

Condition L15c POST-EXCAVATION, REPORT & ARCHIVE	Key Actions <ul style="list-style-type: none"> • Undertake post-excavation analysis • Prepare Final Report & archive • Submit Final Report to HED & planning authority
1. Sites involving the excavation of archaeological remains will require appropriate post-excavation analysis and the preparation of a Final Report. Recommendations for post-excavation analysis and the proposed timescale should be included in the Preliminary Report and agreed with HED and the planning authority.	
2. For complex sites requiring extensive post-excavation analysis, any extension to the normal 12-month reporting period should be agreed with the planning authority & HED. Significant archaeological discoveries may require publication.	
3. The excavation archive should be prepared to a sufficient standard for deposition.	
4. The completed archaeological report should be submitted to HED for classification.	
5. Once classified as final by HED, the report should be submitted to the planning authority.	
6. Condition (c) will be discharged once the Final Report is agreed by the planning authority in consultation with HED.	

Some existing planning approvals may include an older version of the standard archaeological condition (a single condition). Discharge of this condition follows a similar process to that outlined above, only being discharged in full once a Final Report is agreed.

Other Archaeological Planning Conditions

Occasionally other types of planning conditions may be attached to a planning approval to safeguard archaeological remains during development, to clarify the archaeological potential of a site, or to provide access for minor recording or survey works:

A Fencing Condition requires the erection of a fence, normally for the duration of site works only, to safeguard archaeological remains within or adjacent to the development area. The type and location of the fence must be agreed with HED and the planning authority in advance of development. Developers should contact the planning authority in the first instance, who will normally then recommend contacting HED to agree details.

A Surveillance Condition requires the developer to contact HED to arrange for the archaeological surveillance of the initial ground reduction and site preparation works for the development. This condition

will normally only be used for small-scale developments with a low archaeological potential and the surveillance will be undertaken by an HED archaeologist. Unless in exceptional circumstances, no full-scale archaeological excavation takes place, and there are usually no delays to development. Please allow at least four weeks before the commencement of development to make arrangements. Once complete, HED will inform the local planning authority that the condition can be discharged.

Miscellaneous Conditions may occasionally be recommended by HED in response to specific archaeological considerations at a site. These can include conditions requiring a stand-alone photographic survey or historic building survey to record a historic building or structure prior to development, or to require specific design solutions for a development to avoid adverse archaeological effects. Developers should refer to the wording of the condition, related informatives and the HED consultation response for details of what is required, or contact HED or the planning authority for clarification.



Unexpected Discoveries of Archaeological Remains

There may be occasions when the presence of archaeological remains only becomes apparent once an approved development has actually commenced. Developers should note that, even if archaeological mitigation is not specified in their planning conditions, they

are obliged under the Historic Monuments and Archaeological Objects (NI) Order 1995 to report any archaeological objects which are revealed on site. A Departmental archaeologist has a right of entry to investigate a site if there is good reason to believe that it contains archaeological remains, whether or not they were previously known or have been reported.

Human Remains

If development activities lead to the unexpected discovery of human remains, the developer is responsible for informing the PSNI and the coroner. If the remains prove to be archaeological in nature, the developer's contracted archaeologist (or, if there was no archaeological requirement, a

Departmental archaeologist) will usually be prepared to inform the relevant authorities on the developer's behalf, and their professional statement will usually be sufficient to forestall a police investigation and coroner's inquest. This can be done only after a licensed archaeological investigation of the remains has been carried out.

Treasure

On occasion certain types of archaeological objects are uncovered in Northern Ireland which are classified as treasure. Such objects fall under special legislation called The Treasure Act 1996, which replaces the common law of treasure trove in England, Wales and Northern Ireland. Objects classified as treasure have to be dealt with under

special procedures separate to that for other types of archaeological objects. HED have produced a leaflet, **The Treasure Act: Information for Finders of Treasure in Northern Ireland** which provides further details. If you suspect you have discovered treasure, or any other archaeological object, you should contact HED, the Ulster Museum or your local PSNI station as soon as possible.

4. Contact Details and Further Information

Archaeological Planning and Development Management Queries

For advice on archaeological assessments or archaeological mitigation which may be required in the planning process, or if you need advice on the potential archaeological constraints for a site which is being considered for development, contact HED's **Planning Response Team**. Please review HED's planning consultation response (if available) and have any relevant planning application reference to hand prior to contacting us:

HED Planning Response Team:

- General enquiries: **028 9082 3100**
- Email: **HEDPlanning.General@communities-ni.gov.uk**

Archaeological Excavation Licences

For any queries relating to an archaeological excavation licence application or an existing excavation licence, please contact HED's **Archaeological Licensing Team**. Please have any relevant excavation licence reference numbers available prior to contacting us:

HED Archaeological Licensing Team:

- General enquiries: **028 9081 9204**
- Email: **ExcavationsandReports@communities-ni.gov.uk**

Further Information

- HED's **Services and Standards Framework** aims to assist planning authorities and applicants by clarifying our planning role and the service standards we aim to meet. The service we provide is guided by legislative requirements and our responsibility to protect, regulate and provide advice on the historic environment.
- Our **Consultation Guide** aims to assist planning authorities and applicants achieve a consistent approach when considering development management impacts on the historic environment.
- We have published guidance on how we develop advice on planning applications and land-use change that may have an impact upon the settings of heritage assets in **HED Guidance on Setting and the Historic Environment**.
- The **Chartered Institute for Archaeologists** and the **Institute of Archaeologists of Ireland** have produced various standards and guidance documents which may be of use when preparing archaeological assessments and POW documents.

Appendix 1: Glossary of Terms Encountered in Archaeology and The Planning Process

Archaeological Evaluation is a limited archaeological investigation to understand the nature and extent of below-ground archaeological remains within a site. It does not normally involve full archaeological excavation.

Archaeological Impact Assessment identifies the potential impacts of a development proposal upon archaeological assets, and upon potential new archaeological sites and features. It assesses the significance of assets, the magnitude of impact of development, and recommends mitigation. It is largely a desk-based exercise, incorporating the results of a site walkover survey and other specialist surveys as required. May also be referred to as **Heritage Impact Assessment**.

Archaeological Monitoring involves a licensed archaeologist being present during the initial phases of development, for example topsoil stripping or site preparation works, to undertake a formal programme of observation, investigation and recording of any archaeological remains which may be encountered. Also known as a **Watching Brief**.

Archaeological Programme of Works (POW) is a written document prepared by an archaeological consultant which describes archaeological works to be undertaken at a site. For planning conditions it must set out a detailed

archaeological mitigation strategy specific to the archaeological potential of the site and to the nature of the development. It is also used for associated excavation licence applications. Also referred to as a **Written Scheme, Written Scheme of Investigation (WSI), or Method Statement**. See **Appendix 2** for further details.

Archive refers to the material artefacts and samples, as well as the documentary and digital records and reports arising from an archaeological excavation. It is the full record of an archaeological excavation.

Below-ground Remains are archaeological remains found beneath the current ground surface.

BH3 is a policy within PPS 6 concerning the request of archaeological information.

BH4 is a policy within PPS 6 concerning archaeological mitigation in advance of development.

Discharge of Archaeological Planning Condition is the process overseen by the planning authority to satisfy the requirements of an archaeological planning condition.

Environmental Impact Assessment is a comprehensive multi-discipline study to identify the full range of potential environmental effects of a development proposal. Also known as an **Environmental Statement (ES) or EIA**.

Excavation refers to the process of archaeological investigation of remains involving a programme of controlled, intrusive fieldwork with defined research objectives which examines, records and interprets archaeological deposits, features and structures.

Geophysical Survey is a non-intrusive method of assessing below-ground archaeological potential using a number of methodologies including ground penetrating radar (GPR), resistivity, and magnetometry. Results can vary depending on prevailing site conditions.

Historic Building Survey involves the recording and analysis of upstanding buildings and structures. See **Understanding Historic Buildings: a Guide to Good Recording Practice** issued by Historic England.

Historic Environment Record of Northern Ireland (HERoNI) is the public record maintained by HED of all recorded historic environment assets in Northern Ireland. It includes archaeological sites and monuments, historic buildings, industrial heritage, historic parks, gardens and demesnes, defence heritage and maritime heritage sites. Formerly known as the Northern Ireland Monuments and Buildings Record (NIMBR).

Impact may refer to **Visual Impact**, an impact upon visual aspects of the setting of a heritage asset, or to **Physical Impact**, a direct impact upon the physical remains of the asset.

LiDAR is a surveying method that measures distance to a target using pulsed laser light. The results can be

used to make digital terrain models and identify archaeological features.

Metal Detecting uses a detecting device to search for metal objects. An excavation licence is required to excavate in search of archaeological objects in Northern Ireland.

Mitigation is the process whereby the impacts of development upon archaeology can be avoided, minimised or offset. It may include preservation in-situ of remains or full archaeological excavation. Also referred to as **Mitigation Strategy**.

Northern Ireland Sites and Monuments Record (NISMR) is the part of the HERoNI containing information on over 16,000 recorded archaeological sites and monuments in Northern Ireland. The NISMR can be accessed in person, **online** and via the **Historic Environment Map Viewer**.

Non-intrusive survey does not disturb the ground or adversely impact on archaeological remains.

Planning Authorities have responsibility for determining planning applications, planning enforcement, local development plans and planning policy. The 11 local councils and the Department for Infrastructure are the planning authorities in Northern Ireland.

Planning Portal is the **website** where users can access information on planning applications in Northern Ireland.

PPS 6 is Planning Policy Statement 6: Planning, Archaeology and the Built Heritage (1999).

Post-excavation can refer to anything which happens after excavation, including specialist analysis, archive preparation, report production and publication.

Preservation in-situ is the retention of an archaeological site in its original location.

Report refers to the written account of an archaeological investigation. A **Preliminary Report** will summarise the main findings and set out what further post-excavation analysis is necessary to produce a **Final Report** - which is the full description and analysis of the findings of an archaeological excavation classified as 'Final' by HED. Preliminary Report can also be referred to as a **Data Structure Report** (DSR).

Scheduled Monument is an archaeological site which has been scheduled for protection under Article 3 of The Historic Monuments and Archaeological Objects (Northern Ireland) Order 1995.

Scheduled Monument Consent (SMC) must be granted by HED for any works within the scheduled area of a scheduled monument (see HED [guidance document](#)). It is an offence to undertake works within a scheduled area without SMC.

Setting applies to the physical space that is part of – and contributes to – the significance and distinctive character of a heritage asset, and through which the asset may be seen, experienced, understood and enjoyed.

Significance (archaeological significance) is the expression of the cultural value afforded to a place, site, or item. Significance may change over time and with use, or as the result of new information.

SPPS stands for the Strategic Planning Policy Statement for Northern Ireland (2015).

Surveillance involves the initial ground reduction/site preparation of the development being supervised by an archaeologist. Normally used on small-scale sites/developments, and unless there are exceptional circumstances no full-scale archaeological excavation takes place.

Test Trenching involves a series of trenches being excavated to determine the archaeological potential of a development site.

Watching Brief see **Archaeological Monitoring**.

Appendix 2: Contents of an Archaeological Programme of Works (POW)

Archaeological Programme of Works documents must be prepared by a suitably qualified and experienced archaeologist or archaeological consultancy. In the planning process the agreement of a POW is the first step in undertaking a site evaluation to inform a planning decision or in the discharge of archaeological planning conditions.

The purpose of a POW is to identify the potential archaeological impacts of a development and to devise a methodology to clarify archaeological survival within a site and, if required, describe a mitigation strategy to avoid or offset impacts upon archaeological remains, through full archaeological excavation if necessary, and to provide for the production of a final archaeological report.

For archaeological planning conditions the POW document will be used as the agreed basis against which the discharge of the conditions will be measured by the planning authority and HED. It is essential, therefore, that it accurately describes how the archaeological works will align with the development programme and how the conditions will be discharged in full for any particular scheme.

The POW should be presented as a comprehensive written report, properly citing all sources referenced, along with appropriate maps and illustrations. The level of detail and scope of contents will vary depending on the nature of a site and project; however, HED would expect the following contents as a **minimum requirement** when assessing POW documents:

1. The **front cover** must clearly identify the planning reference, development name/ location and the author of the report.
2. A **non-technical summary**.
3. The **introduction** should include:
 - a. Details of the professional competency of the POW author
 - b. The reasons for the POW, noting the relevant HED planning consultation response and related archaeological planning conditions if applicable. Any specific requirements set out in the HED response as well as any general or specific research aims for the project should be noted
 - c. A detailed site description including site address, coordinates, size, townland name, topography, current site conditions and prevailing geology
4. A **description of the proposed development** including scaled plans accurately identifying the development site location, site layout plans for the development and any other drawings which may be relevant to identifying the archaeological impacts of the development.
5. A **desk-based assessment** to identify the known archaeological and related historic environment assets within the development site and within an appropriate study area. The study area and the identified historic environment assets should be clearly mapped and illustrated within the report.

The **study area** can vary in extent depending on the scale and nature of the development. It must be sufficiently large to fully assess the archaeological potential of a site and the potential archaeological impacts of the development- HED recommend a minimum 500m radius from the site boundary for small-scale development, whereas a 2km radius or more may be appropriate for larger schemes. The study area must be clearly identified in the POW.

The desk-based assessment should include a review of the following records as a minimum requirement:

- a. The Historic Environment Record of Northern Ireland, including:
 - i. The Northern Ireland Sites and Monuments Record
 - ii. Industrial Heritage Record
 - iii. Register of Historic Parks, Gardens and Demesnes
 - iv. Defence Heritage Record
 - v. Maritime Heritage Record
 - vi. Listed Buildings
 - vii. Battle Sites
 - b. Any **statutory designations** - such as State Care and Scheduled monuments - should be clearly identified.
 - c. Relevant designations and zonings in local development plans - such as **Areas of Significant Archaeological Interest** (ASAs), **Areas of Archaeological Potential** (AAPs).
 - d. The results of **previous archaeological investigations** and surveys, including HED's excavations database and the Excavations Bulletin, LIDAR or geophysical surveys where available.
 - e. A **cartographic review** of historic maps, including early OS map editions and earlier maps which may be available and relevant to the site. Maps should be illustrated within the report to highlight particular aspects of archaeological potential.
 - f. A review of available historic and modern **aerial photographs** of the site.
 - g. **Ulster Museum** records of archaeological findspots.
 - h. Historic records held in **PRONI**.
 - i. A **bibliographic review** of relevant published sources, for example plantation records, OS Memoirs, Gazetteers, Street Directories (for Urban Areas), Griffith's Valuation, as well as modern academic publications.
6. The results of a detailed **site walkover survey** undertaken by a suitably qualified archaeologist to assess the archaeological potential of the site, identify recorded assets and identify previously unrecorded features of archaeological interest. This should be illustrated as necessary with photographs and site plans.
 7. An assessment of the **archaeological potential** of the site based upon points 5 and 6 above.
 8. An assessment of the **archaeological impacts** of the proposed development, including identifying the significance of the remains in question, the magnitude of the impacts and the significance of the effects.

9. An **archaeological mitigation strategy** tailored to the specific details of the development and designed to avoid, minimise or offset the identified impacts. The mitigation strategy should address any specific requirements highlighted in the HED response and should include:

- a. A methodology to evaluate and identify the extent of archaeological survival within the development site. A plan must be provided showing proposed areas and layout of trenching, topsoil stripping or other investigation.
- b. Options to preserve identified remains in-situ.
- c. If preservation is not possible, a detailed methodology for the archaeological excavation and recording of affected remains, including a sampling strategy.
- d. If required the mitigation strategy may include the survey of upstanding buildings/structures. Include details of survey equipment and accuracy.
- e. Arrangements for undertaking conservation of remains which may arise as a result of excavation.
- f. Methodology for treatment of human remains and of treasure.
- g. A proposed post-excavation strategy providing for specialist analysis as required and the production of a Final Report, to publication standard if necessary.

h. Details of archiving arrangements including preparing the digital, documentary and material archive for deposition.

i. Contingency arrangements.

For works to discharge archaeological planning conditions the mitigation strategy should carefully describe how the archaeological works will align with the commencement of development works and the overall development programme. This should include describing the phased discharge of archaeological site works for large-scale phased developments. Refer to the process described in Section 3 above.

10. Monitoring arrangements and updating the POW - details should be included for informing HED of the commencement of works, archaeological discoveries and arrangements for site meetings to agree updates or revisions to the POW when required. Provisions for amending the scope of the POW in light of archaeological discoveries should be included.

11. The POW should provide for the production of a Preliminary Report within 4 weeks of the completion of archaeological site works, which should indicate necessary measures and timescales for the production of the Final Report, to publication standard if necessary.

Appendix 3: Standard Archaeological Planning Conditions

Please note that the numbers may be different on your own decision notice:

Condition L15a

- No site works of any nature or development shall take place until a programme of archaeological work (POW) has been prepared by a qualified archaeologist, submitted by the applicant and approved in writing by [THE COUNCIL] in consultation with Historic Environment Division, Department for Communities.

The POW shall provide for:

- The identification and evaluation of archaeological remains within the site
 - Mitigation of the impacts of development through licensed excavation recording or by preservation of remains in-situ
 - Post-excavation analysis sufficient to prepare an archaeological report, to publication standard if necessary
 - Preparation of the digital, documentary and material archive for deposition
- **Reason:** to ensure that archaeological remains within the application site are properly identified, and protected or appropriately recorded

Condition L15b

- No site works of any nature or development shall take place other than in accordance with the programme of archaeological work approved under condition L15a
- **Reason:** to ensure that archaeological remains within the application site are properly identified, and protected or appropriately recorded.

Condition L15c

- A programme of post-excavation analysis, preparation of an archaeological report, dissemination of results and preparation of the excavation archive shall be undertaken in accordance with the programme of archaeological work approved under condition L15a. These measures shall be implemented and a final archaeological report shall be submitted to [THE COUNCIL] within 12 months of the completion of archaeological site works, or as otherwise agreed in writing with [THE COUNCIL].
- **Reason:** To ensure that the results of archaeological works are appropriately analysed and disseminated and the excavation archive is prepared to a suitable standard for deposition.





“Helping communities to enjoy and realise the value of our historic environment”

Historic Environment Division

Ground Floor
9 Lanyon Place
Belfast
BT1 3LP

Tel: 028 9082 3100

Email: historicenvironmentenquiries@communities-ni.gov.uk

Web: www.communities-ni.gov.uk/topics/historic-environment