Understanding Models for the Delivery of Local Authority Archaeology Services

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UNLOCKING CULTURAL VALUE

This report was commissioned by The Association of Local Government Archaeological Officers (ALGAO:UK), which provides a forum for archaeologists working for local authorities and national parks throughout the UK. Members include metropolitan authorities, shire counties, unitary authorities, London boroughs, national parks and historic cities, towns and boroughs across England, Wales and Scotland as well as representatives from Northern Ireland and the Isle of Man.

Working within local government, archaeological services have four key functions in order to encourage the identification, recording, protection, management, interpretation and promotion of archaeological sites and monuments:

- To develop and maintain a comprehensive public information resources (Historic Environment Records / Sites and Monuments Records) for the understanding and enjoyment of the historic environment.
- To ensure that all development and other land use takes into account the need properly to conserve the archaeological heritage.
- To conserve the historic environment by improved management, through (for example) agri-environment schemes which can protect archaeological sites from the damaging effects of ploughing.
- To promote awareness, understanding and enjoyment of the historic environment through education and outreach programmes.

(https://www.algao.org.uk/localgov)

Disclaimer: where individual authorities are identified in this report, any discussion relates to past, and not necessarily current, policies and decisions.

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Executive Summary

Landward Research Ltd were commissioned by ALGAO: England in December 2020 to carry out the project **Understanding models for local authority delivery of archaeological services**.

Local authority archaeology services are delivered via a variety of mechanisms and structures, often ones that have evolved according to local circumstances. This research has sought to understand how these structures have evolved and what contributes to their success or failure. This understanding will assist local authorities to support services that are effective for their own unique needs.

Archaeological services to local planning authorities in England are constituted under a range of legal provisions, which are not universally directly linked to their service delivery models.

An ontology of service delivery models has been developed, and the project has identified services being delivered using the following models:

by Local Planning Authorities	County, Unitary, Tier Two, Shared, Joint, National Park Authorities
by External Agencies	Charitable Trust, University, Private Company, non-departmental public body

A key success factor is that all the service delivery models examined currently ensure maintenance or access to Historic Environment Records (HERs), in line with *National Planning Policy Framework* (MHCLG, 2021) requirements, with 67 of 71 respondents maintaining an HER.

In order to understand what changes and adaptations have been made to services in response to differing pressures and constraints between 2010 and 2020, a series of case studies are presented where changes and adaptations were made in that period.

Alternative models of delivery that have been considered in the decade to 2020 are examined, and examples are presented of delivery model innovation between 2010 and 2020 and their associated drivers of change.

The key conclusion of this report is that there is no universal 'best-fit model'.

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Many of the models that are currently being used might be able to be improved, but they have developed to fit their particular circumstances, and without external shocks, are fit for purpose whether they are delivered as services embedded within local planning authorities at County, Unitary, Tier Two levels or services within National Park Authorities, or as Joint or Shared services that are hosted within LPAs, or as services delivered by external providers.

Different models are in use because of the evolutionary nature of the ways these services have developed over the last fifty years. There was not a uniform 'start date' for such services, nor was a top-down model ever imposed on local planning authorities at any given time. It can be seen that the kinds of services provided are influenced by (and on occasion constrained by) the type of authority an archaeological service is advising – county councils often have synergies with natural environment services, but not with the (historic) built environment, as those services are delivered at district level. Unitary authorities are more likely to be able to combine expertise that bring archaeology together with both built and natural environment advisers.

External provision – whether from the private sector, universities or charitable trusts – remains susceptible to the same potential shocks as local planning authorities. On occasion, advice provided by external providers can be given precedence because of its external origins, but there is also a risk that can result in loss of contact and effectiveness if other stakeholders perceive the service as being 'outside' or even unrelated to the authority.

It is possible that commercialisation, in the form of local authority trading, may be an approach that could bridge these two basic models (of LPA or external provision); depending on the precise governance details used, this activity can remain within the host authority, or can be 'spun out' as a body that is wholly owned by the LPA, as joint ventures with other public or private bodies, or as social enterprises. The key issue is the degree of control that the owning authority exercises and is perceived to exercise.

There is a sense, gathered from respondents, that greater benefits are accrued from combined Historic Environment services where archaeologists and conservation officers are working within the same team. This may be worthy of further investigation, but quantifying this is beyond the remit of this current project.

Methodology

The project has focussed on local authority archaeology services across England whether they are ALGAO (Association of Local Government Archaeology Officers) members or not, although almost all local authority areas do receive services provided by ALGAO members.

An element of cross-border referencing is made to models in Scotland and Wales by using colleagues in ALGAO: Scotland and ALGAO: Cymru, focussing on looking at models that are not in use in England to see whether there are lessons that can be learned for application by English authorities.

The project made use of information previously gathered by ALGAO through the *ALGAO Local Authority Staffing Survey 2020* and the *Historic England and ALGAO HER Survey 2020*.

Primary quantitative data for this project were first gathered through an online survey of local authority archaeology services in England (ALGAO: England members and other authorities). This received 74 responses, all from ALGAO: England members, from 87 invitees (85%).

This was followed up by a further survey to gather metric data to measure productivity, which was also sent to the same target population as the initial survey and received 19 responses (18 from ALGAO: England members), a 22% response rate.

The quantitative data gathered were then supplemented through a series of sixteen structured interviews with the lead professionals at selected local authority archaeology services. Fourteen of these interviews were with ALGAO: England members, with one interview with an ALGAO: Scotland member and one with an ALGAO: Cymru member. These interviews were transcribed, and the text analysed to produce comparable benchmarks and illustrative quotes.

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1 Service Delivery Models

In some parts of England, there is a just one (unitary) tier of local government, providing all local services, which can be designated under three main types: unitary authorities, London boroughs, or metropolitan boroughs. In the other parts of England, there are two tiers of local government – county councils, together with a second tier of district, borough or city councils.

Parish Councils (sometimes called Town Councils) form a further, lower, tier of civil local authority in some areas of England and have the right to be consulted by the relevant district, county council or unitary authority on all planning applications in their areas. No archaeological services are provided at Parish council level.

Since 1997, National Parks have each been managed by their own National Park Authorities which are special purpose local authorities. National Parks overlap geographically with other local planning authorities, and generally take precedence over those overlapped LPAs in the management of the historic environment.

The overwhelming majority of archaeological advisory services are embedded within local government. Archaeological services advising English local planning authorities are normally hosted directly at or within tier one county councils or unitary authorities, rather than within tier two authorities (although some city and district councils with particularly important archaeological heritage retain their own specialist advisors in-house). However, other models include services that are shared by two adjacent tier one authorities, and there are eight providers of joint services for multiple unitary authorities (six of which are within former metropolitan county areas). This contrasts with the advice provided by conservation officers (on the built historic environment), which is normally hosted at district (tier two) level.

A range of service delivery models were identified by this survey, models which differed according to the types of local planning authorities receiving advice from individual archaeological services and by the kinds of bodies providing those services.

In the following report, service delivery models are categorised by recipient organisations and delivery organisations' governance models.

Respondents to the 2021 survey were asked to specify the:

Number of local authorities that your service advises (including your own authority) [*n.b.* this survey was asking specifically about archaeological advisory services]

		number of LPAs advised	number of respondents
		1	28
n=	66	2	11
mean	4.41	3	0
median	2	4	3
mode	1	5	4
		6	5
range	1 to 31	7	2
		8	3
		9	2
std dev	5.241777	10	2
		12	1
		14	3
		18	1
		31	1

Table 1: number of services advised

The majority of services advised more than one local planning authority, although the most commonly reported model was of a service advising just one local planning authority (which might be a unitary authority, a tier two authority or a national park).

In terms of their relationships with the local planning authorities that they advise, archaeological services in England can be categorised using the following ontology:

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Classification	Description	Details
1. County with districts	A service advising a tier one authority (county council) and advising tier two authorities (district, borough or city councils) within or outside that county's footprint. In two cases, the county service also advised adjacent unitary authorities that were within the county's historical footprint.	This supercategory can be further subdivided (as discussed below).
1.1 County with all districts	A service advising a tier one authority (county council) and advising <u>all</u> the tier two authorities (district, borough or city councils) within that county's footprint.	In this study, nine services were identified that provided *county with all districts* services, including one that also advised a National Park Authority that lies completely within the footprint of the county.
Examples	• Archaeological Information and Advice, Warwickshire County Council • Cambridgeshire County Council Historic Environment Team • Cumbria County Council Historic Environment Service • Derbyshire County Council • East Sussex County Council • North Yorkshire County Council • Northamptonshire County Council • Staffordshire County Council • Suffolk County Council Archaeological Service	
1.2 County with all districts **plus** some external tier two	A service advising a tier one authority and advising <u>all</u> the tier two authorities within that county's footprint together with advising one or more additional tier two authorities that are not within the tier one authority's footprint.	In this study, one service was identified that provided *county with all districts plus services to some external tier two* authorities.
Example	• Surrey County Council	
1.3 County with some districts	A service advising a tier one authority and advising <u>some but not all</u> of the tier two authorities within that county's footprint.	In this study, six services were identified that provided *county with some districts*.

Examples	- Devon County Council Historic Environment Service - Gloucestershire County Council Heritage Team - Hampshire County Council - Hertfordshire County Council - Oxfordshire County Archaeology Service - Worcestershire Archive and Archaeology Service (Worcestershire County Council)	
1.4 County with some districts **plus** some external tier two	A service advising a tier one authority and advising <u>some but not all</u> of the tier two authorities within that county's footprint <u>together with</u> advising one or more tier two authorities that are not within the tier one authority's footprint.	In this study, two services were identified that provided *county with some districts plus services to some external tier two* authorities
Examples	- Place Services - Lincolnshire County Council	
1.5 County with all districts **plus unitary** authorities.	A service advising a tier one authority and advising <u>all</u> the tier two authorities within that county's footprint <u>together with</u> advice to one or more <u>unitary authorities</u> within the tier one county's historical footprint.	In this study, two services were identified that provided *county with all districts plus services to unitary* authorities.
Examples	- Lancashire County Council Historic Environment Team - Kent County Council Heritage Conservation	
2. Unitary	A service advising a single <u>unitary authority</u>.	In this study, twenty-two services were identified that provided services to *unitary authorities*. In one case, a unitary service also provides advice for an off-shore, *sui generis* unitary local government authority.
Examples	- Bedford Borough Council Historic Environment Service - Birmingham City Council - Buckinghamshire Council - City of Stoke-on-Trent - City of York Council - Cornwall Council - Coventry City Council - Herefordshire Archaeology	

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	- Isle of Wight County Archaeology & Historic Environment Service - Leicester City Council - Milton Keynes Council, Conservation & Archaeology - North Lincolnshire - North Somerset Council - Northumberland County Council - Nottingham City council - Peterborough City Council - Plymouth City Council - South Gloucestershire Council - Southampton City Council Planning Archaeology / HER - Southend Borough Council - Southwark Council - West Berkshire Archaeology Service

3. Shared	A service providing <u>shared</u> advice to two unitary authorities	In this study, seven services provided *shared* advice to pairs of two authorities. This is normally delivered through one lead authority
Examples	- Archaeology Section, Environment & Design, Durham County Council - Central Bedfordshire Council & Luton Borough Council - Dorset Council Historic Environment Service - Humber Archaeology Partnership - Natural & Historic Environment Team, Shropshire Council - Planning - City of Wolverhampton Council - Tees Archaeology	
4. Joint	A service <u>jointly</u> advising more than two unitary authorities	In this study, seven services were identified that provided *joint* services to more than two authorities. Some of these services report to one lead authority, others to a joint authority – such as a city region, and others are provided by external providers that are not within any local planning authority.
Examples	- Berkshire Archaeology - Cheshire Archaeology Advisory Planning Service (APAS), a shared service of Cheshire West and Chester Council and Cheshire East Council	

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	• Greater London Archaeological Advisory Service (GLAAS) • Greater Manchester Archaeological Advisory Service • Merseyside Archaeological Advisory Service • South Yorkshire Archaeology Service • West Yorkshire Archaeology Advisory Service	
5. Tier Two	A district, borough or city council service advising a single tier two authority.	In this study, five services were identified that provided advice to *tier two* authorities. In each case, these services were advising city councils that did not receive advice from their respective tier one county councils.
Examples	• Exeter City Council • Gloucester City Council • Historic Environment Team, Winchester City Council • Oxford City Council Urban Design and Heritage Team • Worcester City Council	
6. NPA	A National Park Authority.	In this study, seven services were identified that provided advice to *National Park Authorities*. In one case, the service also advised a tier two authority where the boundaries overlapped.
Examples	• Dartmoor National Park Archaeology Team • Lake District National Park Authority • New Forest National Park Authority • North York Moors National Park Authority • Northumberland National Park • Peak District National Park Authority • Yorkshire Dales NPA Historic Environment Service	

Table 2: Ontology of Local Authority Archaeology Service Delivery Models

There is a degree of flexibility and overlap within this ontology, and the relationships between service providers and authorities are not identical within each of these groups. The political and practical frameworks of delivery may vary, and this is discussed in *Table 6: comments on outsourced services* and in *Legal Provisions for Service Delivery Models* below.

Respondents were asked whether any of their services were provided by other local authorities or if any were provided by private sector partners.

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Are any of your historic environment/archaeology services provided by other local authorities?

n=	66	
no	61	92%
yes	5	8%

Table 3: provision by other authorities

The county's local planning authorities have their own conservation advisors (either in house or bought in). The County Council provides archaeological advice
Some of them share conservation officers (have not included those figures here)
Our six constituent local authorities all have an HER/SMR - we mirror their data sets, and hold other data, but anyone who needs to consult the HER in the National Park must also consult the relevant HER for data. We provide all the advice.
County Council - Building Conservation and Historic Environment Record
N.B Conservation Officers are based within each Council
County Council provide Archaeological Planning advice to two districts in an adjacent county.
All except one district provide their own Conservation Officer service

Table 4: comments on provision by other authorities

Are any of your historic environment/archaeology services outsourced to the private sector (*i.e.* long-term contractual arrangements)?

n=	65	
no	60	92%
yes	5	8%

Table 5: outsourced services

Additional archaeology advice
Aerial photographic support
All ten Authorities have a service level agreement with service provider (hosted by external body)
Archive storage
This answer is for lead authority. Authority to which shared service is provided have external private sector conservation advisors
We have a local archaeological consultant assisting with DM work on a couple of hours a week basis.

Table 6: comments on outsourced services

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2 Legal Provisions for Service Delivery Models

Archaeological services to local planning authorities in England are constituted under a range of legal provisions, which are not universally directly linked to their service delivery models.

This project has identified Services being delivered on the following models:

by Local Planning Authorities	County, Unitary, Tier Two, Shared, Joint, National Park Authority
by External Agencies	Charitable Trust, University, Private Company, non-departmental public body

Where advice is being provided to multiple local planning authorities by a single advisory service, this will normally be at **County** level and may then include services to all or some of the tier two authorities under that county's footprint and possibly to other, external (unitary or tier two) authorities.

For example, *Oxfordshire County Council*: "We protect and conserve Oxfordshire's archaeological resource by advising on planning applications and policies.

We provide detailed archaeological advice and information to other departments within Oxfordshire County Council, as well as to district councils, property owners and other national and regional bodies and utility companies." https://www.oxfordshire.gov.uk/residents/environment-and-planning/archaeology/planning-guidance

Within and advising a single local planning authority, these might be at unitary or tier two district or city level.

Unitary. For example, "Herefordshire Archaeology is the county archaeological service maintained by Herefordshire Council. It is part of the Built and Natural Environment team in the Council's Economy, Communities and Corporate Directorate." https://htt.herefordshire.gov.uk/herefordshire-archaeology/

Tier Two. For example, *Gloucester City Council -* "The City Archaeologist has a number of responsibilities" https://www.gloucester.gov.uk/planning-development/conservation-regeneration/archaeology-monuments/

Shared Services with one lead authority providing a service to that authority plus one other. For example, "Tees Archaeology is a shared service of the two unitary authorities of Hartlepool and Stockton-on-Tees. Hartlepool is the lead authority, and the service is based in the Regeneration & Neighbourhoods Service"

http://www.teesarchaeology.com/about/documents/TABackgroundInformation2016_7.pdf

Joint Services can be delivered using a variety of models – such as one lead authority providing a service to that authority and to other authorities, for example *Berkshire Archaeology*, which was established within Reading Borough Council's Museum Service https://www.readingtownhall.co.uk/explore-reading-history/berkshire-archaeology.

An alternative model is delivery through a Joint Services body, such as is the case where *West Yorkshire Archaeological Advisory Service* is part of West Yorkshire Joint Services https://www.wyjs.org.uk/archaeology-advisory/, a Joint Service body providing archaeological advice, archives and trading standards services to five unitary authorities that had, prior to 1986, made up the area of West Yorkshire Metropolitan Council. This Joint Service is funded through a Joint Committee representing those five unitary authorities.

Similarly, *Cheshire Archaeology Planning Advisory Service* is provided as a Cheshire Shared Service (in the ontology of this project, a joint service to four local planning authorities) hosted by Cheshire West and Chester Council. http://www.cheshirearchaeology.org.uk/?page_id=288

Charitable Trust funded directly, but not exclusively, by local planning authorities. For example, *Heritage Trust of Lincolnshire* https://www.heritagelincolnshire.org/ or *South West Heritage Trust*: "... founded in 2014 as an independent charity for Somerset, Devon and the South West. We want to celebrate and protect our rich heritage, helping everyone to enjoy it now and in the future. We bring together services previously provided by Somerset and Devon County Councils, who remain our main funders" https://swheritage.org.uk/about-us/ (*n.b. South West Heritage Trust* does not provide all heritage services across the footprints of Somerset and Devon County Councils, as Devon maintains its own HER and in-house archaeological advisory service).

Some services are provided through external partners, which may include **private companies**, **universities** or **non-departmental public bodies**.

Historically, Berkshire County Council received archaeological advice between 1993 and 1998 through the Babtie Group, an environmental consultancy **private company**.

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Greater Manchester Archaeological Advisory Service (GMAAS) is hosted within Salford Archaeology, Centre for Applied Archaeology, part of Salford **University** and undertakes "planning work on behalf of AGMA (the Association of Greater Manchester Authorities)" https://archaeology.salford.ac.uk/greater-manchester-archaeology-advisory-service/. Previously, this service was hosted within the University of Manchester.

Since 1990, Historic England – the government's expert adviser on England's heritage and a **non-departmental public body** - has provided advice for 31 London Boroughs (the whole of Greater London, with the exception of the City of London, and the London Borough of Southwark, who have their own archaeological planning advisers) through the *Greater London Archaeology Advisory Service* (GLAAS) https://historicengland.org.uk/services-skills/our-planning-services/greater-london-archaeology-advisory-service/

Providers advising more than one local planning authority, through either a Shared or Joint service, will normally have service level agreements in place between the lead authority (or external body) and the (other) authorities where a service is being provide.

Eleven services advise two LPAs – Shared Services. It is normal (eight of eleven) for there to be one SLA in place, between the lead and other authority. But in one case there are two SLAs – one with each LPA, and in two cases no SLAs are in place.

Delivery to multiple authorities, whether that is achieved through a Joint service or the model of a county service also providing advice to tier two or unitary authorities, is structured differently, ranging from no SLAs in place (this is the case for GLAAS, the provider advising the most [31] LPAs), to SLAs being in place with all the LPAs being advised.

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With how many authorities (if any) do you have a Service Level Agreement (SLA)?

		# of SLAs														
		0	1	2	3	4	5	6	7	8	9	10	11	12	14	18
# services advised	1	17	1													
	2	1	8	2												
	3															
	4				1	2										
	5	2					2									
	6	1	1				3									
	7	1						1								
	8	1	1						1							
	9	1									1					
	10											2				
	12												1			
	14			1											2	1
	18															
	31	1														

Table 7: number of service level agreements (SLAs) in place

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3 Governance for Service Delivery Models

Many tier one local planning authorities have their own archaeological advisory services, but this is not universal; several authorities are part of a Joint Service (particularly in the areas of the former metropolitan county councils) or Shared Services. A small number of authorities receive services from outsourced suppliers; Historic England provides this service for most of the greater London boroughs. In two areas of England, LPAs receive archaeological advisory services from Charitable Trusts.

Several unitary LPAs receive advice, normally under a Service Level Agreement, from an adjacent authority

Archaeological advisory services across England are provided under the following governance models of service being provided by:

- Local Planning Authority

  o Service from within that LPA; in areas where there are two tiers of local authorities, this includes providing services to tier two authorities that are within or outside the footprint of the lead body tier one authority.
  o Shared service with one other, normally geographically adjacent LPA
  o Joint services across several unitary authorities, either with one of the participating LPAs in the lead or through a shared service body. One such service is provided by an external body, within a university.

- Non-departmental Public Body

- Charitable Trust

- University

- Private body

How is your local authority service structured politically (if providing services, but not a part of a local authority, answer for the local authority you provide the services for)?

Cabinet	40	59%
Committee	12	18%
National Park	7	10%
Providing joint or shared services to multiple authorities as an external provider (*e.g.* GLAAS)	9	13%
	68	

Table 8: Local Authority Political Structures

Please describe the historic environment team's structure within the local authority's hierarchy (*e.g.* Place > Planning > Historic Environment).

Every respondent described a different hierarchy; frequently the archaeology service sits under Environment or Planning. A rapid search for keywords across all the hierarchy descriptions provided produced the following results (in terms of number of times each keyword was used)	
Environment	68
(including 'Historic Environment')	26
Planning	44
Place	27
Heritage	18
Archaeology	17
Growth	10
Museum	4
Culture *or* Cultural	3

Table 9: Structure Keywords

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4 Geographic Distribution

Owing to the small survey population size (the responses), examining the results by geographical region and by service ontology reveals relatively little.

93 useable responses were received, together with one blank response. These 93 responses represent a response rate of 89.4%.

Joint Services are more frequently found in Yorkshire & the Humber and the North-West of England as the legacy of historic local government structures in West Yorkshire, South Yorkshire, Greater Manchester and Merseyside – and also Cheshire. The two other Joint Services are GLAAS, across all of London, and Berkshire Archaeology, which is unusual as it provides services jointly to six of the seven unitary authorities in the ceremonial county of Berkshire.

The small number of Tier Two services (providing services to tier two LPAs where the tier one County has a separate service) are distributed in the South East, South West and West Midlands only, in each case to city councils with particularly significant archaeological cores. Under part 2 of 1979 *Ancient Monuments and Archaeological Act*, Areas of Archaeological Importance were designated for Canterbury, Chester, Exeter, Hereford, York. Of these, the Cities of Exeter and Canterbury (which did not reply to this survey) provide Tier Two services. The City of York is a Unitary; Hereford is within Herefordshire unitary authority, and the City of Chester (now within Cheshire West and Chester unitary authority) receives advice from a Joint Service.

No immediate correlations can be made between types of service and the relative populations, population density or average earnings across the regions of England.

English Regions

	responses	population	area	density	avg earning
East Midlands	7	4,835,928	15,625	309	28,000
East of England	8	6,236,072	19,116	326	30,345
London	3	8,961,989	1,572	5,701	38,992
North East	4	2,669,941	8,579	311	27,187
North West	6	7,341,196	14,108	520	28,137
South East	14	9,180,135	19,072	481	32,120
South West	10	5,624,696	23,836	236	28,654
West Midlands	10	5,934,037	12,998	457	28,536
Yorkshire and Humber	7	5,502,967	15,405	357	27,835
England	*n=69*	**56,286,961**	**130,311**	**432**	**30,667**

(earnings = median gross annual earnings £ 2019; source
https://en.wikipedia.org/wiki/Regions_of_England#NUTS_1_statistical_regions)

Table 10: English Regions

Distribution of types of service by English Region

	County+	Unitary	Joint	Shared	Tier Two	NPA
East Midlands	3	3				1
East of England	4	3		1		
London		2	1			
North East		1		2		1
North West	2		3			1
South East	5	5	1		2	1
South West	2	4		1	2	1
West Midlands	3	4		2	1	
Yorkshire and Humber	1	1	2	1		2

Table 11: Distribution of Services by Region

	County+	Unitary	Joint	Shared	Tier Two	NPA
East Midlands	43%	43%	0%	0%	0%	14%
East of England	50%	38%	0%	13%	0%	0%
London	0%	67%	33%	0%	0%	0%
North East	0%	25%	0%	50%	0%	25%
North West	33%	0%	50%	0%	0%	17%
South East	36%	36%	7%	0%	14%	7%
South West	20%	40%	0%	10%	20%	10%
West Midlands	30%	40%	0%	20%	10%	0%
Yorkshire and Humber	14%	14%	29%	14%	0%	29%

Table 12: Distribution of Service by Region (%)

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5 Critical Success Factors

In order to identify what is key to the success or failure of differing delivery models, respondents were asked for information on the services they provide to local planning authorities; these are aspects of managing the historic environment that can be considered to be critical success factors for archaeological advisory services.

71 respondents were able to provide this information.

The **National Planning Policy Framework** (MHCLG, 2021) sets out that LPAs should maintain or have access to an HER (para 192) in order to be able to assess the significance of heritage assets and to predict the likelihood of discovery of currently unidentified heritage assets.

192. Local planning authorities should maintain or have access to a historic environment record. This should contain up-to-date evidence about the historic environment in their area and be used to: a) assess the significance of heritage assets and the contribution they make to their environment; and b) predict the likelihood that currently unidentified heritage assets, particularly sites of historic and archaeological interest, will be discovered in the future.

All the delivery models examined currently ensure maintenance or access to HERs, with 67 of 71 respondents maintaining an HER

Maintaining a Historic Environment Record	67	94%

Paragraph 195 of the NPPF sets out that LPAs should identify and assess the significance of assets that may be affected by proposals.

195. Local planning authorities should identify and assess the particular significance of any heritage asset that may be affected by a proposal (including by development affecting the setting of a heritage asset) taking account of the available evidence and any necessary expertise. They should take this into account when considering the impact of a proposal on a heritage asset, to avoid or minimise any conflict between the heritage asset's conservation and any aspect of the proposal.

99% of respondents provide development management advice.

Providing archaeological planning/conservation advice (development management: monitoring and advising on planning applications for archaeological impact).	70	99%

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96% of respondents provide policy advice and 93% provide input to agri-environment and / or woodland or monument management.

Providing archaeological planning/conservation policy advice (Local Plans, Neighbourhood Plans etc.)	68	96%
Providing archaeological planning/conservation advice (input on: agri-environment schemes, such as countryside stewardship; woodland planting/management; monument management)	66	93%

Each of these can be considered to be a critical success factor, and each is being met by practically all archaeological advisory services, regardless of their service delivery model, governance or geographical location.

The majority of local authority archaeological services also undertake characterisation projects and delivery education, outreach or community engagement services. These can be considered successes but should not be considered to be critical success factors.

Undertaking characterisation projects/area-based assessments (Historic Landscape Characterisation, Extensive Urban Survey, Conservation Area Appraisals, etc.)	55	77%
Delivering education, outreach or community engagement services	48	68%

Most archaeological advisory services provide historic building planning / conservation advice and conservation policy advice, meaning that they are either integrated with / working alongside conservation officers or are providing a complementary historic buildings service in addition to that provided by conservation officers.

Providing historic building planning/conservation advice (development management: monitoring and advising on planning applications for listed building consent and/or conservation areas)	39	55%
Providing historic building planning/conservation policy advice (Local Plans, Neighbourhood Plans, etc.)	38	54%

These are aspects of managing the historic environment that should be considered to be critical success factors for the local planning authorities but are not necessarily critical success factors for archaeological advisory services, as

some of these may be operating separately from the teams that are providing historic building advice to the LPAs.

It was also identified that some archaeological advisory services provide advice under the Portable Antiquities Scheme and undertake other activities, none of which would be considered to be critical success factors.

Providing advice under the Portable Antiquities Scheme	17	24%
Other	18	25%

Other services provided:

Archaeological Archives Repository for [County]
Collecting all archaeological archives form the county and management of externally funded community archaeology and research projects
Developing archaeological research frameworks
[service] acts as principal advisor to the government on the archaeological, historical and architectural value of sites and recommends sites for listing.
Managing heritage assets (8 windmills and some archaeological archives). Advising on county own development
Notes: [1] Advice on Local Plans, etc. was limited to providing assessments of proposed land allocations. This was undertaken for a small number of Local Planning Authorities at an extra cost. [2] HER maintenance/updating (outside of adding 'planning-related' consultations and archaeological events) was only undertaken as/when DC advice allowed time. Reporting from the HER for contractors, etc. was however maintained as a separate commercial activity.
Operating the visitor centre at [archaeological site]
Providing management advice on a project involving a Council owned Scheduled Monument. Presently involved in a project involving this.
Research and publication, Historic Building Recording, Desk Based Assessment, Heritage Impact Assessment, Heritage Interpretation, Aerial Photographic Survey and Assessment
Storing archaeological collections on behalf of the partner authorities
Supporting the management of County Council run country parks with heritage elements, supporting AONB [within County], supporting heritage projects run by external organisations
The Archaeologists also provide advice in relation to historic building recording but are not responsible for standard conservation area or listed building advice.
Undertaking and facilitating research. Please note that Historic buildings advice is part of the Planning team at [LPA], not the Archaeology team which my input to this survey focusses on.

We don't undertake characterisation projects routinely ourselves but have had externally funded projects and are involved in providing advice and information to consultants *e.g.* doing Conservation Area Appraisals
We have guardianship and or management agreements for some scheduled monuments with English Heritage and others.
We have 'raise awareness of and interest in [area covered]'s archaeology' in our remit but I wouldn't say we are currently delivering on this, as a result of the impact of austerity measures on resources
Will provide advice to PAS if necessary, but not responsible for. May contribute funding to PAS officer hosted elsewhere.

In the fourteen structured interviews with respondents in England, the interviewees (each of whom headed a service advising one or more LPAs on archaeological matters) were asked a series of specific questions:

How broad do you feel your remit is?

Their answers were categorised on a scale from 'much too limited' to 'broad enough'. Of the 14 respondents from authorities in England, 12 felt that their remit was broad enough – so this was the experience from all models of delivery. Of the two who felt that their remit wasn't broad enough, one was answering from a Charitable Trust providing a service to Districts and felt their client Districts did not expect them to have a policy role, and the other from the perspective of when a Private Company had been delivering on behalf of a County plus Districts – and in doing so their remit had been limited to discussing development control applications that were sent to them or which they had identified and picked up from weekly planning lists.

Do you think you are influencing what you could be influencing?

Eleven thought that they were influencing what they could, but three thought not – one from a Joint service, and the others from a Charitable Trust providing a service to district councils, and the other from the perspective of when a Private Company had been delivering on behalf of a county plus district councils.

The additional influence that these respondents desired, but did not have, was fundamentally about being able to contribute to policy, which they felt unable to do – in one case because of lack of staff capacity meaning other work had to be

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prioritised (at the Joint Service), and in the other two because they felt that their roles with their client authorities were proscribed to exclude policy contributions.

How close is your working relationship as part of Historic Environment with conservation officers and the historic built environment?

Ten thought their working relationships were good, one felt neutral, but there were no problems and three felt that relationships were minimal or that there were some problems. This was the same set of three respondents that felt they were not influencing what they could be influencing.

Beyond responding to planning applications and updating your HER, how much interaction does your team have with other parts of the planning authority regarding planning / development and internal heritage advice to any part of the authority?

Two felt that they had none or very little interaction, and they were both from the perspective of external providers (a private company and a charitable trust). One had mixed views – they had a little bit of interaction and were providing a Joint service, while the remaining eleven felt that they had as much interaction as was needed with other parts of the LPA.

Thinking about input to development management rather than development control, do you feed into your own and other public sector strategic plans,

Two respondents felt that they did not have any input – and again, both were from the perspective of external providers. Two more felt that they had a some, but limited input – a County service and a Joint service provider. The remaining ten felt that they did feed into other plans.

If so – which? Is this just to the local plan, or is it more *e.g.* economic growth, transport, tourism etc?

Three felt that their contributions were limited to heritage or just the local plan (one joint service, one county and one NPA), two felt that they contributed to some other areas but not all (one NPA and one county), while the remaining

seven that did feed into other strategic plans felt that they were contributing to most or all areas of the plans.

Do you find this (organisation structure/governance) helps or hinders your influence on local authority strategy and policy?

	hinders	no influence	helps
Unitary		1	
Joint		1	1
Shared			2
County			2
NPA		1	1
Charitable Trust	1	1	
Private company		1	
Council service operating traded account			1
Joint (university)			1

Table 13: Influence and Structure

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6 Critical Constraints

Each service delivery model is constrained by the degree of **influence** that the service lead professional feels that they are able to exercise over wider LPA policy. Typically, services feel that they do have a good level of influence, but this can be much less where the service has been externalised, and the service provider – and the decision makers at the LPA – feels that they are outside decision-making circles and so their input is either not required or is less valued because of this. This can include joint or shared services, where the level of influence that services feel they have may be greater for the LPA that hosts the service and less for the other partner authorities.

On a scale of 0 to 5, where 0 = No influence and 5 = Considerable influence, how able are you to influence the planning authorities' (that you advise) decision-making on the historic environment?

mean	3.8
median	4
mode	4
range	0 to 5
n=	71

Table 14: Influence

Typically, respondents felt that they had a great deal of influence in the decision-making process.

The degree of organisational distance (number of **reporting levels**) between the service's senior professional and the chief executive of the local authority (or authorities) they are advising can also affect the level of influence that the service has, and this is attenuated for external services.

How many reporting levels are there between your senior professional and the chief executive of the local authority (or authorities) you advise?

mean	3.7
median	4
mode	4
range	1 to 6
n=	69

Table 15: Reporting to LPA

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Typically, there were four reporting levels separating the service's senior professional and the chief executive, a representing a considerable organisational 'distance'.

The **degree of hierarchy** within organisations can potentially be a constraint on the delivery model. As archaeological advisory services are typically very small teams, on average of only 3.3 individuals, there is typically only one level of reporting within each service and so this does not act as a constraint.

How many levels of reporting do you have within your service? (*e.g.* archaeological officers > senior archaeologists > county archaeologist = two reporting levels).

mean	1.3
median	1
mode	1
range	0 to 6
n=	70

Table 16: Hierarchy

Scope – for most archaeological advisory services, which are established within the LPAs that they advise, expansion in terms of the kinds of service provided or the geographical range of provision is not possible.

All service providers, regardless of the service delivery model, need to show that their service is delivering **public benefit and value for money**. This constraint remains in place regardless of whether the senior professional in the service is a budget-holder or not, but having decision-making authority over expenditure allows the service to have some degree of control over this particular constraint.

Is the senior historic environment figure a budget holder – do you have decision-making authority over expenditure?

no	28	41%
yes	41	59%
n=	69	

Table 17: Budget Holder

The majority of senior professionals in archaeological advisory services are not budget holders.

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Some archaeological advisory services operate alongside teams or departments within the same authorities that provide archaeological fieldwork services. This means that these services continue to face **potential conflicts of interest**. Relatively few local authorities (but at least six in England) continue to deliver fieldwork services for external clients, and those that do have ensured these are separate departments, with procedural barriers in place to block the exchange of information between the advisory and fieldwork departments that could provide the fieldwork teams with financial advantage over competitors. However, there is still scope for external perceptions of conflicts of interest persisting where there is seen as a lack of separation between the specifiers of requirements (the advisory services) and the deliverers of such services (the fieldwork teams).

This potential conflict of interest may persist when archaeological advisory services are outsourced, as the body delivering that outsourced service may also have fieldwork capacity. Historically, and in some cases outside England, this has been managed (to a degree) by contractually ensuring that the fieldwork department cannot operate in the same LPA that the advisory service is supporting.

7 Productivity Measurement

Data were gathered for the following metrics to allow for measurement of the different service delivery models.

All ALGAO: England members who had been contacted with the initial survey for this project were approached again and asked to provide details of:

- how many HER records did your service create in financial year 2019-20?
  by 'HER records' we mean all Monument-Event-Source records
- how many development management cases did your service process in financial year 2019-20?
  we are taking 'Development Management Cases' to mean planning matters that have involved further assessment. For example, if on a weekly list of 100 items you choose to look more closely into 10, then the answer would be 10. Please include pre-application enquiries and scoping enquiries (where known)
- how much income did your service generate / how much external funding did it secure in financial year 2019-20?
- how many project days did your service deliver in financial year 2019-20?
  (person-days spent working on externally funded projects)

Data were received from 19 archaeological advisory services.

		totals				FTE	per FTE				
	n =	HER records	DM cases	Ext funding	project days		HER reco	DM cases	Ext fundir	project days	
County	8	8206	8664	786710	489	40.5	203	214	19425	12	
Unitary	3	1135	1056	6330	728	5.2	218	203	1217	140	
Shared	2	632	1020	36591	0	6.1	104	167	5999	0	
Tier Two	2	366	1142	18163	230	2.0	183	571	9081	115	
Joint	2	204	751	9880	0	5.8	35	129	1703	0	
External	1	12296	2207	266100	0	10.4	1182	212	25587	0	
NPA	1	2	300	15566	0	2.6	1	115	5987	0	
	19	22841	15140	1139340	1447	72.6	315	209	15693	20	

Table 18: productivity measurement data

Five respondents were unable to provide data on *project days*, and one could not provide a figure for the number of *development management cases* they had processed.

Figures were then aggregated by service delivery models used.

There were two clear outlier datasets – firstly, the single *Externally* provided service that provided answers to these questions; the number of HER records they generated per person in the year 2019-20 was more than five times greater than the figure for the second highest service delivery model examined.

Secondly, the sole *National Park Authority* service that answered these questions created a level of HER records that was less than 3% of the figure for the second lowest service delivery model examined.

Overall, the sample sizes are too small to draw firm conclusions from.

County, *Unitary*, *Shared* and *Tier Two* services all create comparable (within the same order of magnitude) numbers of HER records per person per year. The overall mean figure is skewed by the *External* service outlier data, and to a lesser effect by the *NPA* outlier data.

The average figures for the numbers of Development Management cases processed per person under each of the five service delivery models are comparable, distributed around the mean for all services of 209 per FTE per annum.

The levels of External Funding generated are again skewed by the *External* service provider outlier data. Disregarding that data set, the only indication that can be drawn from these data is that *County* services are, on average, securing a greater level of funding than services using other service delivery models.

Because so many respondents did not provide figures for the numbers of externally funded Project Days they had delivered, no conclusions should be drawn from the limited data presented under this heading.

8 Detailed SWOT Analysis

This detailed analysis of internal factors (strengths and weaknesses) and external factors (opportunities and threats) has been extracted from the in-depth interviews, supplemented by suggestions from the project steering committee.

The strengths, weaknesses, opportunities and threats presented are as described by the interviewees or steering committee members and are aggregated by delivery model. There are richer and more detailed data for some delivery models than others, as the interviewers did not ask directly about strengths, weaknesses, opportunities and threats; these have been identified and selectively extracted by the research team from the interview transcripts.

A special case has been made for the one provider that, while a *County* service, operates on a different funding model – operating a traded account with the county council, as this model has a SWOT model that differs significantly from that which applies to more orthodox *County* provision.

This analysis has not been able to capture all the strengths, weaknesses, opportunities and threats of each delivery model. Where there is information missing from sections, this is not a comment on the effectiveness of the delivery model – it is simply a reflection of missing data.

Strengths, weaknesses, opportunities and threats have been categorised under the heading of General / Individual if they are not derived specifically from the delivery model, and so could potentially apply to any service delivery model.

8.1 County Services

8.1.1 Strengths

- Being embedded within the county council the makes it easier for the council to consult the archaeology service early in decision making.
- Upper tier authorities are generally better resourced.
- Economies of scale for provision such as HR, IT *etc.*
- Closer integration into other environment functions of the LPA.
- Access to a wide range other specialisms, *e.g.* ecology, landscape, lawyers, flood teams, museum staff, highways, educational specialists, planners as necessary.
- Better critical mass of staffing.
- Still seen as 'public sector' and perceived positively as such.

- Access to elected members – not seen as 'just a contractor'.
- More realistic areas in terms of HER provision.
- Better able to deal with larger schemes and NSIPs.
- Larger areas can have closer links to national agencies (*e.g.* Historic England).
- More future proof – if local government moves to a county unitaries model, this will be an easier model to adopt.
- May have more resilience to (potentially temporary) budget pressures than would be if part of a smaller enterprise.

8.1.2 Weaknesses

- Separated from routine planning work covered by LPAs.
- Can be confusion between the county as a statutory consultee and the county service working for the LPA.
- Potential for questions over liabilities/responsibilities in relationships with LPA.
- Separation from conservation officers is more likely.
- Possible confusion over areas of responsibility.
- Need to balance requirements of a number of clients.
- If majority of work undertaken under SLA (*e.g.* with districts) and if an LPA withdraws from service, this can have knock on impact on others.
- Can be difficult to engage temporary staff to cover particularly busy periods of work (this is perhaps a reflection of availability of appropriately experienced and qualified staff available to 'step in', rather than difficulties in recruitment due to CC policies etc).
- Conservation Officers are at district level so slightly harder to form working relationships.
- Decisions made by County Council in respect of historic environment team can have impact on service provision available to LPAs once existing contractual arrangements come to an end.
- Limited opportunity to raise funds, which could be used to fund other public benefits, due to cap on charges that can be passed on to main clients (other Local Authorities).

8.1.3 Opportunities

- More likely to have the capacity to bid for project work and to operate semi-commercially.
- County unitaries may create combined services.

- County council involvement in proposals which can impact the Historic Environment and are outside planning. Being part of same wider council increases ability to provide input on these, helping to protect the historic environment.
- County council responsibility for bringing forward large proposals which may (and sometimes may not) require planning; being part of same body can help ensure early consultation with the Archaeology team, for example highways schemes, regeneration projects.
- Long term provision of advice can help to build up relationships with case officers and confidence in advice. Being based 'locally' increases opportunities to liaise with case officers in person, including working out of their offices periodically and showing them around sites, improving working relationships.
- Can have good links with County Council Museum service (including archaeological archives) and County Record Office (CRO). In addition to increasing opportunities to collaborate on projects together, can also increase visibility of service (mutual publicity), and access to outside parties such as volunteers.

8.1.4 Threats
- Lack of buy in from LPAs.
- Resource issues at upper tier can impact lower tier authorities disproportionately.
- County unitaries may not necessarily create combined services.
- Unless provision to increase funding if workload increases within the time period covered by SLA, may be insufficient resources to cover a significant increase in casework within that time period whilst still required to complete work in timescales set out in SLA.
- Pressures on Local Government budgets can impact resources available.

8.2   County Service Operating a Traded Account
8.2.1 Strengths
- Able to retain historical remit to provide advice to the majority of the local districts and boroughs.
- As a commercial practice can grow their influence and client base of local planning authorities to provide flexible levels of historic environment advice and flexible types of historical environment advice.
- Perceived as providing external advice, which is consciously or subconsciously valued more by some authorities.

- Ability to 'Manage the organisation's destiny'
- Ability to grow size of the team, bringing in new talent to supplement existing skills and expertise
- Interdisciplinary working
- The need to operate commercially helps drive the service forward.
- Recent strategic review concluded that the success of the service is in part because they remain part of a local authority, as opposed to being an arm's length company or something else.
- Budgetary flexibility and service reserve

8.2.2 Weaknesses
- Commercial imperative means a reduced focus on outreach activities.

8.2.3 Opportunities
- Ability to 'cross-sell'. When an existing client identifies a need for another specialism or service that they provide, then they can make that available to them. They can expand their offer of advice, adding historic buildings onto archaeology, for example
- Agreed budgets, with any surplus above targets going into service's own reserve.
- High level of development and growth in the region.
- Operating outside county base means there is the opportunity to 'average out' shocks and cycles across area of operation.
- Ability to better manage peaks and troughs in demand/workload.

8.2.4 Threats
- Continuing pressures on Government budgets.

8.3   Joint Services
8.3.1 Strengths
- The managing authorities must work together to set the budget. This offers some protection from budget cuts.
- Having multiple managing authorities can drive increased quality of scrutiny and need to show value for money.
- Potential to cross-refer things. For example, if an initiative works well with one managing authority, then it can be suggested to others and adapted to meet their needs.
- Can smooth out peaks and troughs in demand/workload. A busy time in one borough vs a quiet time in another.

8.3.2 Weaknesses

- Access to colleague, officers, and members can be less easy and frequent with the authorities the service isn't hosted by than with the host authority.

8.3.3 Opportunities

- No specific opportunities were mentioned in the interviews.

8.3.4 Threats

- Continuing pressures on Local Government budgets.

8.4 Shared Services

8.4.1 Strengths

- Close, formal and informal, working relationships with diverse range of Historic Environment colleagues and other LA colleagues. Including through joint project work.

8.4.2 Weaknesses

- Potential to lose funding if an authority choses to leave the shared service.
- Access to colleagues, officers, and members can be less easy and frequent with the authority the service isn't hosted by.

8.4.3 Opportunities

- Input into diverse range of LA plans and strategies.
- Partnership Board limits the opportunity for decisions/actions to be imposed/implemented that negatively impact on the service.

8.4.4 Threats

- Continuing pressure on Local Government budgets.

8.5 National Park Authorities

8.5.1 Strengths

- Remit for engagement, enjoyment and understanding (outreach) provided by Statutory Purposes of National Parks under the Environment Act 1995 - to conserve and enhance the natural beauty, wildlife and cultural heritage of the National Parks; to promote opportunities for the public understanding and enjoyment of the special qualities of the Parks.
- Integrated team with Conservation Officers, archaeologists, archaeological data, and historic built environment drives close working relationship.

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- National Park team consulted on plans for i.e. economic growth, transport, and tourism as they are the planning authority.
- Involvement in the development of future land management schemes. Including through location within Park hierarchy e.g. Landscape Service, whose remit includes land management and providing advice to farmers.

8.5.2 Weaknesses

- LA control some things (such as highways) that impact on the national park.

8.5.3 Opportunities

- 25-year environment plan (Landscapes review: National Parks and AONBs/ Glover Review) generated opportunities for services to have additional input to policy work.
- Using review of Landscape Strategy to embed a cultural heritage policy

8.5.4 Threats

- National Parks lost over a third of their budgets over the period of 10-11 years, creating uncertainty over funding and delivery expectations.

8.6 Private Sector

8.6.1 Strengths

- Perceived as providing external advice, which is consciously or subconsciously valued more by some authorities.

8.6.2 Weaknesses

- Little influence and impact beyond planning
- Working relationship with conservation officers varies enormously depending on the individual.

8.6.3 Opportunities

- No specific opportunities were mentioned in the interviews.

8.6.4 Threats

- Continuing pressures on Local Government budgets.

8.7 Charitable Trusts

8.7.1 Strengths

- Greater budgetary freedom and flexibility.
- Grant agreements with principal funders (in one service interview, a five-year contract) can provide financial security

8.7.2 Weaknesses

- Reliance on grant agreements, with term limits, opens this model to the risk that a grant agreement with a shorter term could be imposed, reducing financial sustainability.

8.7.3 Opportunities

- Ability to recruit a board of trustees with real expertise and enthusiasm in archaeology.

8.7.4 Threats

- Continuing pressures on Local Government budgets.

8.8 Joint Externally Provided Service (Hosted in University)

8.8.1 Strengths

- Service level agreement to provide advice whenever it is required to support and facilitate planning applications and planning matters. Providing they fulfil that remit they have the scope to do other activity.
- Remit that includes outreach to get people to engage and really appreciate the heritage in their area.
- Having the resources and remit to do outreach enables the service to give better support to clients to implement planning application requirements that they set, making them more likely to be implemented and implemented well.
- The University plays a major role in the in the city itself, it is the largest employer and has major influence in how the city runs. Meaning that the local planning authority and the city planners will come to the university for other reasons, helping to maintain contact and relationships.
- Able to use the University's really good PR/Communications machine. They can use this to help their stories hit the national press.
- Greater budgetary freedom and flexibility.
- Ability/resources to bid for and deliver strategic projects that benefit the historic environment and help them deliver a better service (for example speedier decision making for planning applications).

8.8.2 Weaknesses

- No specific weaknesses were mentioned in the interviews.

8.8.3 Opportunities

- Having the resources to dedicate to outreach, allows the opportunity to invite planning officers, the mayor of the city, senior members of the

council executive, and other decision makers to see interesting excavations, this method of keeping them informed helps them to engage positively with archaeology.

- Outreach helps the local planning authorities appreciate that their constituents acknowledge that heritage is important and there is a great interest in it. They then are more likely to embed heritage at an early formulative stage in any strategy.
- Many local decision makers understand that heritage is a powerful tool in place making and giving an area unique local brands; and see the value in this.

8.8.4 Threats

- Continuing pressures on Local Government budgets, as Local Planning Authorities are the main funders and sponsors of the service.
- As the service is housed in the Centre for Applied Archaeology at the University of Salford, it could be threatened if the University chose to close their archaeology department.

8.9 General / Individual

These are items that were reported by individual respondents, but that could potentially apply to all providers regardless of service delivery model.

8.9.1 Strengths

Effective relationships
- Leveraging effective personal relationships and a strong brand result in a high level of influence.
- Working closely with the planning team and being proactively consulted on planning applications.
- Working closely with Conservation Officers. Including through covering buildings which they can't cover because they're overstretched, or through conservation officer group, joint CPD, and joint away days. Helping them to understand and value archaeology.
- Working closely with other parts of the authority (ecology and floods team, council property services) including when they want to do work in conservation areas or on listed buildings
- 'Rapport' has been built over time with decision makers/clients, so they trust the service. They know the advice is founded on facts and knowledge.

- Relationships with decision makers give the service the chance explain things on a person-to-person basis. Even if they don't always get the decision they want, they get a greater understanding of why.

Outreach
- Using external funding for outreach projects creates soft power and increases ability to influence.
- Outreach projects/projects with local communities, through external funding (*i.e.* lottery), to make the public/community aware of archaeology and gets them interested - 'eyes light up' moments – so they see the value in archaeology.
- Outreach projects help politicians to understand archaeology and help politicians to connect to voters. Politicians care about the local community.
- Value of outreach. Politicians care about what the people who are going to vote for them care about. Inviting the public to see some archaeology being done helps them to care. Show the politicians the public benefit.
- Relationships with local politicians. Outreach – if they cause politicians/clients 'angst' with planning recommendations that cost them money, they can smooth things over by inviting them along to the site 'the politicians and the portfolio holders can come along and get their picture in the paper'. This gives influence and allows the service to shape policy.
- Using outreach to link people back to their place, their heritage, their archaeology, their own historic environment. Including through making films on YouTube about their work.

Financial
- Use of project funding to retain posts.
- Use of project funding for outreach.
- Financially secure: have a grant agreement with their principal funder (the county council). Agree a five-year deal, into the second five-year. Predictable budget, with the ability to bring in more income to be proactive and security of funding for core services.

Leadership
- Knowledge of governance, systems, and council priorities enables the service to find ways to get permission/encouragement to do the things they want/need to do.
- Taking a holistic attitude. Understanding the priorities of the authorities/politicians/community (economic development, social care, flood

management) and the need to make yourself relevant be prepared to help your colleagues.

Commercialisation

- Benefits of that commercialisation more enterprising, more 'fleet of foot'. Widen fundraising work, both philanthropy and commercial income generation
- Increased use of freelance and agency archaeologists, so depending on demand, for example projects, there is the flexibility for the team to grow and then collapse back as needed. Keeping them 'flexible and fleet of foot'.
- An understanding that for the team to remain commercial and competitive it needs to invest in itself meaning that any surplus generated by the archaeological unit is retained, rather than returned to the council.
- Ability to do proactive projects as well reactive planning work.
- Ability to bid for commercial projects.
- New contracts with other authorities.
- Increase budget available by doing things bring in income, such as introducing charges for services, reflecting a general commercialisation of LA services, including archaeology

Context

- As the whole city council is relatively small, so it's not difficult to exercise influence.
- Small area to cover means one person can provide the archaeological service and the conservation officer service.
- Having a single point of contact makes it easier for other departments like the highways department or school services to consult with them on decisions.
- Combining the archaeologists' role to record historic buildings before they move into a new life with the conservation officer's focus on making sure the building gets to its new life. It makes it less likely that things will fall through the gaps.
- Lots of support from the local community and decision makers, linked to the strong sense of local/regional identity.
- Combined historic environment service, museum service and archive service. Enables links to lots of other 'pies'.
- High degree of integration across the city council because it it's a small authority and it's an urban authority

- HER for county held by team providing advice therefore live access to database rather than a 'point in time' copy.

8.9.2 Weaknesses

Remit that is too broad
- The vast remit can make it hard to deliver everything and to prioritise.
- A very broad remit, ability to deliver everything within that remit limited by resources available.

Remit that is too narrow
- Role as consultant rather than policy limits influence. Limited input beyond reviews of local planning applications, for example housing allocation sites.
- Planning advice service doesn't have any influence on local authority strategy and policy.

Under-resourced
- Staffing levels have reduced in archaeology service and in the teams they work with.
- Relationship with conservation officer colleagues deteriorated as staff levels reducing. Less time to meet and collaborate.
- Reduced resources since becoming a unitary authority
- Service is at capacity due to high planning volume (which got bigger over the lockdown).
- Not having the resources to share the knowledge gained through archaeology.

Silos
- Silos and culture block ability to have influence is areas like economic growth, transport or tourism because tourism is in a different part of the local authority.
- Silos within the council. Pre-application planning is separate, sitting within the planning department, in a different directorate of the council. Economic growth service, where culture and creative industries sit, in a different directorate.

8.9.3 Opportunities

- Positive attitudes of the councils to heritage and how it's used. Be that to use it as much as possible for economic development and engaging hard-to-reach communities or using / seeing it a precious thing to protect (rather than as a dynamic thing).

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- Taking part in pilot MCHLG project as part of planning reforms. 20 case studies to create local lists of historic (unlisted buildings) – based on agreed criteria and justifications – that can inform planning decisions.

8.9.4 Threats

- Lack of national or regional method to let the public know about archaeological findings. Having this would help more people to care about archaeology so that they push politicians to care.
- Uncertainty around the future of local government archaeology. Need to be able to move and evolve. Set something up that is robust. Ensure politicians/council leaders don't see it just as a money-saving exercise.
- Authorities that have no formal archaeology service miss a lot of instances when development impacts on the archaeological heritage.
- Lack of support that the archaeology community have in making sure archaeology is protected. Big loss when the bid to get HER legislation to put HER on a statutory footing failed.
- Lack of guidance on what local authorities should be doing - what does a good heritage service or a good archaeology service look like
- Lack of interest from universities 'in having anything to do with development-led archaeology'. Tried to work closely with local universities over a fair few years and had nothing back
- Archaeology students who want to work in archaeology will mostly end up working in most commercial/development archaeology, Universities don't prepare them well for this.

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9 Service Sustainability

A series of questions were asked in the survey and interviews to gather information relating to costs, revenue streams, key resources, activities and financial perceptions, categorised here by service delivery models.

What level of financial control do you feel you have over your team's activities?

not enough   one charity, one private enterprise, one county, one NPA
ok amount   two joint, one NPA
enough   one unitary, one charity, one county, one council owned, one joint, one shared

Do financial concerns hold you back?

yes   one charity, one private enterprise, two NPA, one joint, one unitary
no   two county, one charity, one council owned, one joint, two shared
can bid if needed*   one joint

*(if need extra funding, find it through projects / bidding for funds)

Have you been put under any pressure to commercialise (to generate income)?

yes   one charity, one joint
a bit   none
no*   one private enterprise, two NPA, one unitary, two joint, two county, one charity, one council owned, two shared

*(no includes - and/or we already do it / it's part of our model)

9.1   Revenue Streams

61 respondents provided information on their revenue streams, breaking income down into percentages received through:

- Core funding from parent/host organisations
- SLAs with parent / host organisation
- SLAs with other local authorities
- Other SLAs
- Other forms of contract
- Agri-environment
- Charging
- External grant funding

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For each of these, comparable data are presented, showing what percentages of respondent organisations received 100% of their funding from that particular source, and what percentage of organisations received at least two-thirds of their funding from that source – so highlighting which sources are particularly significant.

To allow comparison between funding sources, where respondents received funding from any particular source, the median amount received across the group is presented. The higher this figure is, the greater the level of impact that funding source is typically having.

Core funding from parent/host organisations
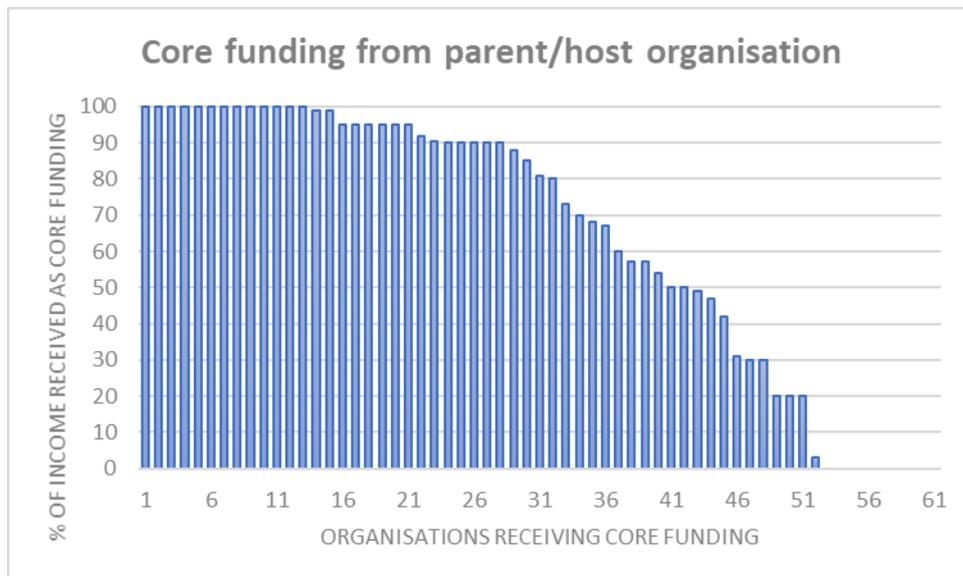
Figure 1: Core Funding

52 respondents of 61 (85%) received core funding from parent / host organisations; hence, nine reported receiving no core funding from their parent / host organisations.

13 of 61 respondents [21%] received 100% of their income as core funding, and 36 of 61 [59%] received at least 67% of their income via this route.

Of those that received it, the median amount received was 90% (half of respondents received more than this, half less) and the mean (average) was 76%

This is the most frequently received, and overall most significant source of income for archaeological advisory services.

SLAs with parent / host organisation
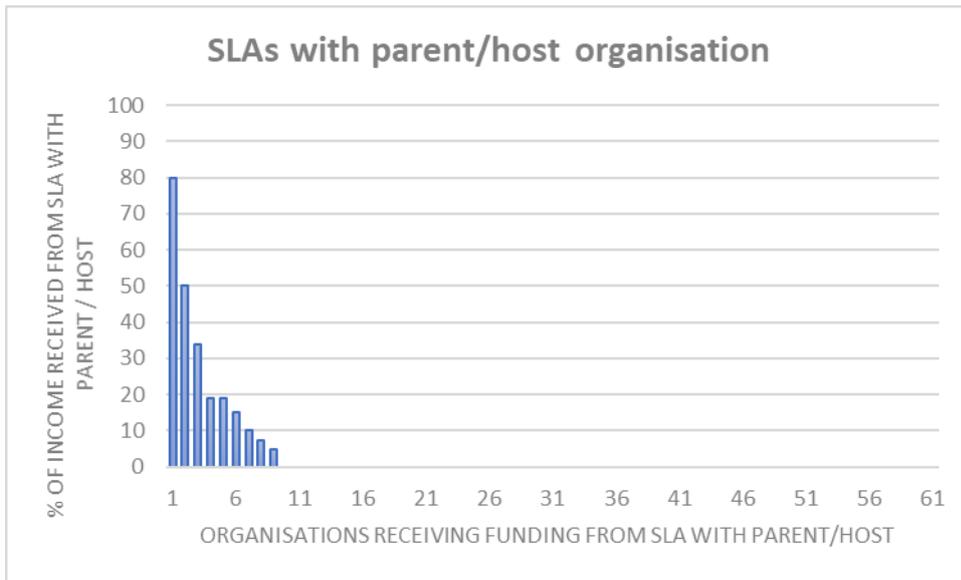
Figure 2: SLAs with Hosts

Nine respondents of 61 (15%) received some funding through SLAs with their parent / host organisation.

No respondents received 100% of their income through SLAs with their parent / host organisation, and one received at least 67% of their income via this route.

Of those that received it, the median amount received was 19% (half of respondents received more than this, half less) and the mean (average) was 27%.

There is a direct correlation between those organisations that receive funding through SLAs with hosts and those that do not receive core funding from hosts. Of the nine that do not receive core funding from their hosts, seven then receive some funding through SLAs with those hosts.

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SLAs with other local authorities
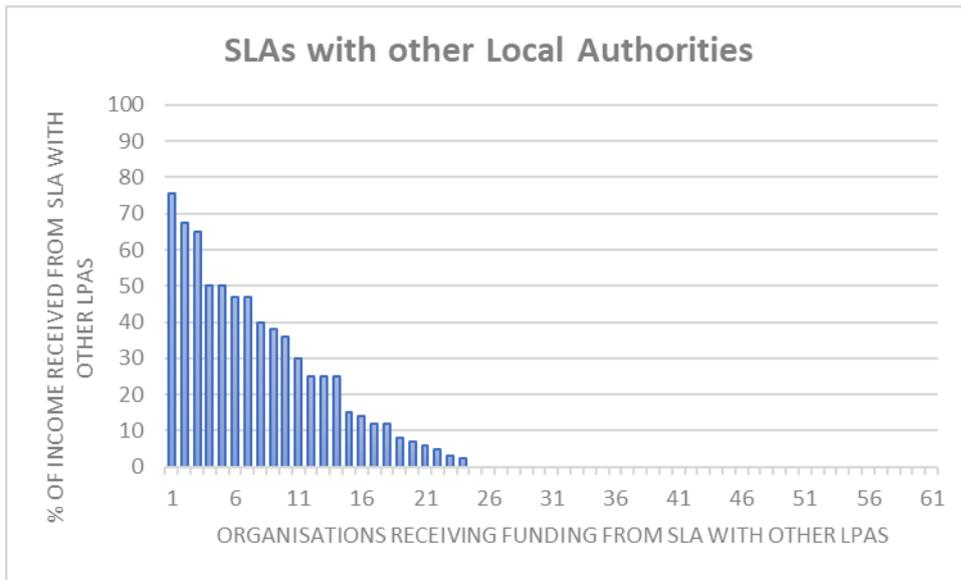
Figure 3: SLAs with other local authorities

24 respondents of 61 (39%) received some funding through SLAs with other local authorities.

No respondents received 100% of their income through SLAs with other local authorities, and two (3%) received at least 66% of their income via this route.

Of those that received it, the median amount received was 25% (half of respondents received more than this, half less) and the mean (average) was 29%.

This is the standard model where shared or joint services are being provided.

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Other SLAs

Figure 4: Other SLAs

5 respondents of 61 (8%) received some funding through other SLAs.

No respondents received 100% of their income through other SLAs, and none received at least 66% of their income via this route.

Of those that received it, the median amount received was 5% (half of respondents received more than this, half less) and the mean (average) was 5%.

Funding though other SLAs is relatively insignificant in comparison with other sources of income for archaeological advisory services.

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Other Forms of Contract
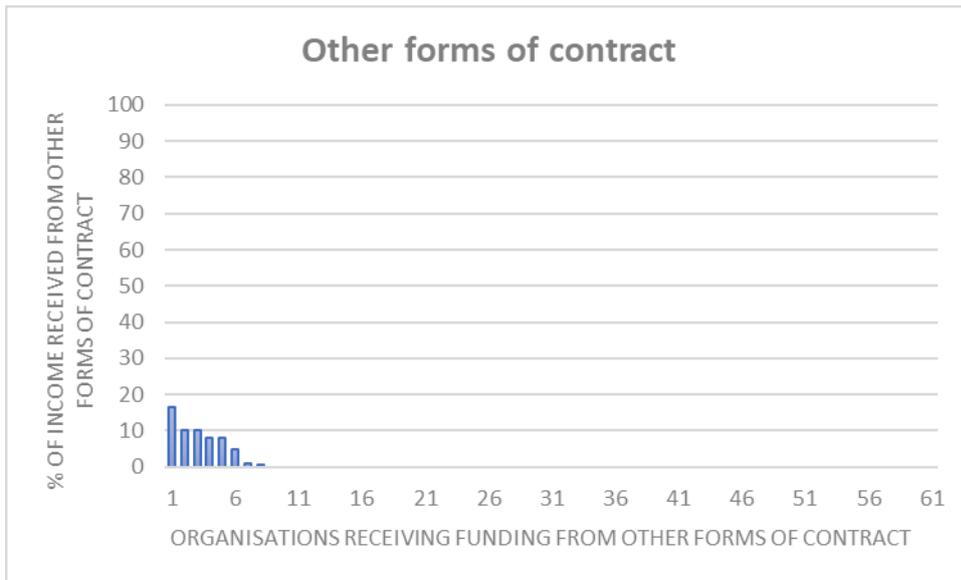
Figure 5: Other Forms of Contract

8 respondents of 61 (13%) received some funding through other forms of contract.

No respondents received 100% of their income through other forms of contract, and none received at least 66% of their income via this route.

Of those that received it, the median amount received was 8% (half of respondents received more than this, half less) and the mean (average) was 7%.

Like funding through other SLAs, funding through other forms of contract is a relatively insignificant component of funding for archaeological advisory services.

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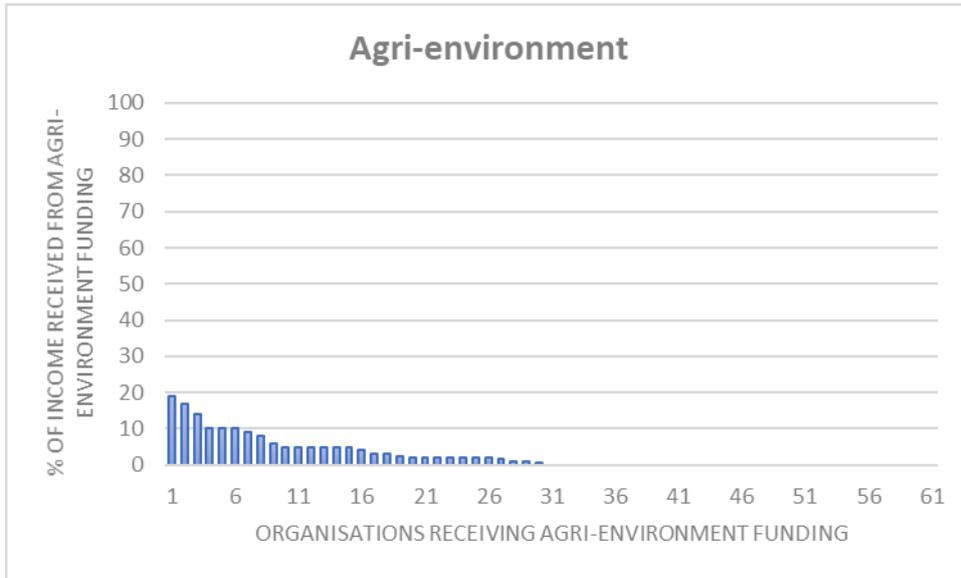
Agri-environment

Figure 6: Agri-Environment

30 respondents of 61 (49%) received some funding through agri-environment funding.

No respondents received 100% of their income through agri-environment funding, and none received at least 66% of their income via this route.

Of those that received it, the median amount received was 5% (half of respondents received more than this, half less) and the mean (average) was 5%.

With very nearly half of respondents identifying this as a source of income, this is significant as the third most frequently reported income stream.

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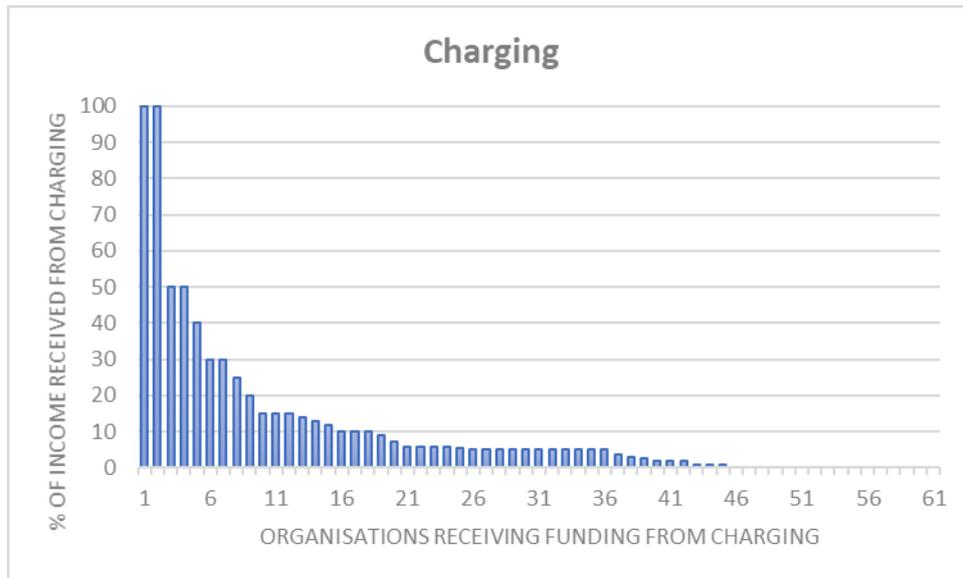
Charging

Figure 7: Charging

45 respondents of 61 (74%) received some funding through charging (for services).

Two respondents (3%) received 100% of their income through charging for services; a total of two received at least 66% of their income via this route.

Of those that received it, the median amount received was 6% (half of respondents received more than this, half less) and the mean (average) was 15%.

Charging for services is the second most reported source of income, and the figures clearly show a wide range of approaches to engagement with it; this is the only source of income for two services, both of which are unitary authorities.

External Grant Funding
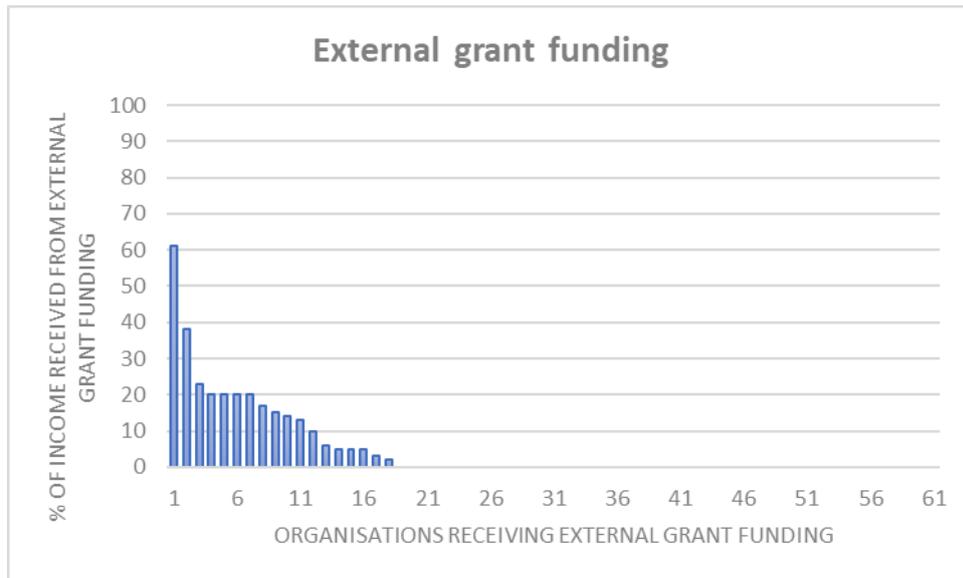
Figure 8: External Grant Funding

18 respondents of 61 (30%) received some funding through external grant funding.

No respondents received 100% of their income from external grant funding, and no respondents received at least 66% of their income via this route.

Of those that received it, the median amount received was 16% (half of respondents received more than this, half less) and the mean (average) was 17%.

This is a significant source of income for many respondents (and represents an absolute majority of the income for one – a National Park Authority).

9.2 Expenditure

38 respondents provided information on their expenditure, broken down under the following headings:

- Fixed costs (*e.g.* technical software, hardware and equipment such as HBSMR)
- Fixed costs - Personnel costs (salaries, NIC, pension, recruitment, training of permanent staff)
- Variable costs - Personnel costs (salaries, NIC, pension, recruitment, training of fixed term appointments *e.g.* internal staff hired to work on grant funded projects)
- Variable costs - Expenses (*e.g.* travel and subsistence)
- Variable costs - Other project costs (*e.g.* external services, sub-contractors, consultants, fees and charges, technical equipment, etc.)
- Indirect Costs (*e.g.* overheads (rent/facilities management, utilities, insurance, legal, HR), general purpose hardware and software, telephony, general purpose office equipment, membership subscriptions etc.)

Fixed Costs

Figure 9: Fixed Costs

38 (79%) reported expenditure on fixed costs.

1 of 38 (3%) committed at least 67% of their expenditure under this heading.

Of those that reported expenditure on fixed costs, the median amount spent was 5% (half of respondents received more than this, half less) and the mean (average) was 9%
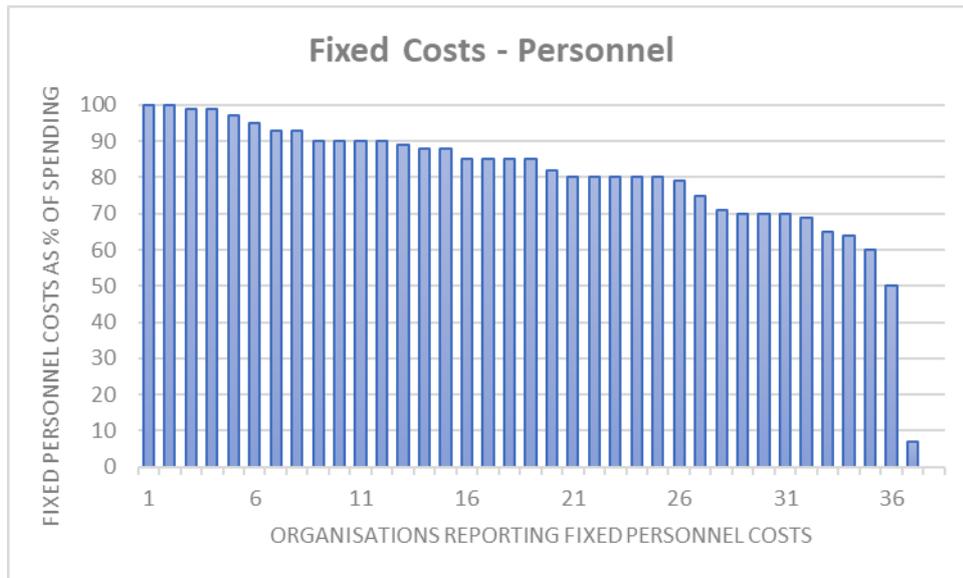
Fixed Costs - Personnel

Figure 10: Fixed Costs - Personnel

37 respondents of 38 (97%) reported expenditure on fixed costs - personnel.

2 of 38 reported spending 100% of their expenditure on fixed costs – personnel (5%) and overall 32 of 38 (84%) committed at least 67% of their expenditure to this heading.

Of those that reported expenditure on fixed costs, the median amount spent was 85% (half of respondents received more than this, half less) and the mean (average) was 80%

This is overwhelmingly the most significant cost heading reported as expenditure by archaeological advisory services.
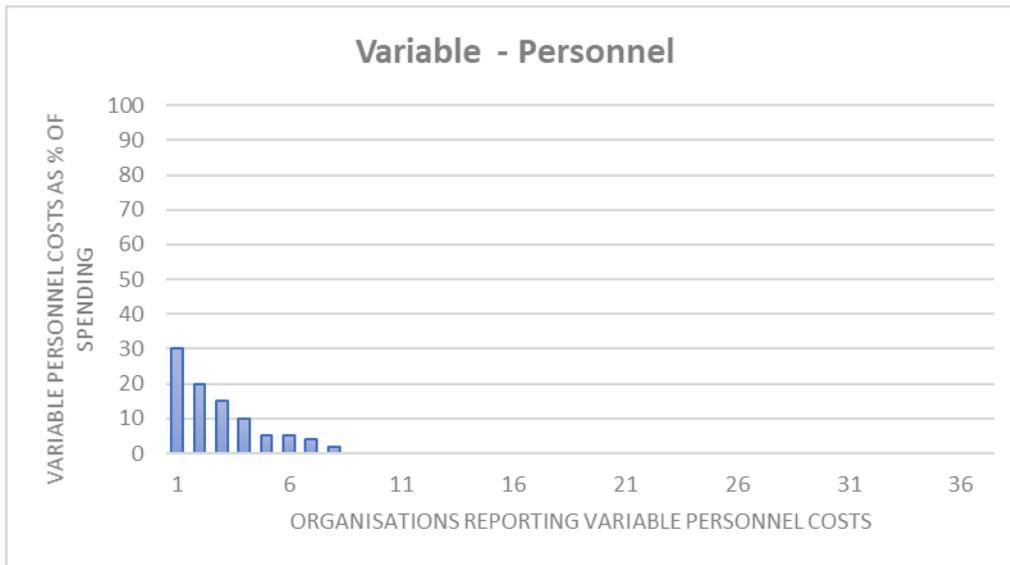
Variable Costs - Personnel

Figure 11: Variable Costs - Personnel

8 respondents of 38 (21%) reported expenditure on variable costs - personnel.

No respondents reported spending at least 67% of their expenditure under this heading.

Of those that reported expenditure on variable personnel costs, the median amount spent was 12% (half of respondents received more than this, half less) and the mean (average) was 11%

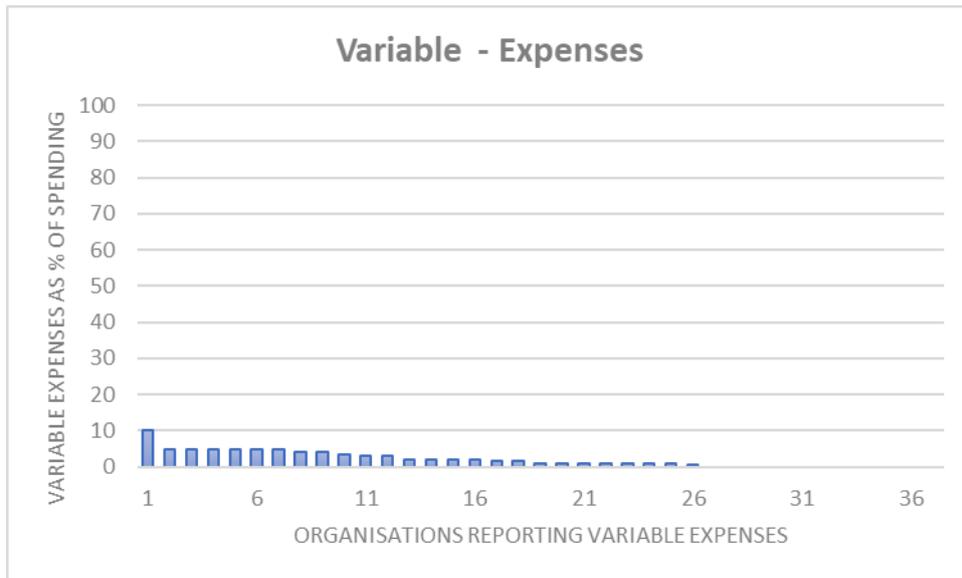**Variable Costs – Expenses (*e.g.* travel & subsistence)**

Figure 12: Variable Costs - Expenses

26 respondents of 38 (68%) reported expenditure on variable costs - expenses.

No respondents reported spending at least 67% of their expenditure under this heading.

Of those that reported expenditure on variable expenses, the median amount spent was 2% (half of respondents received more than this, half less) and the mean (average) was 3%.

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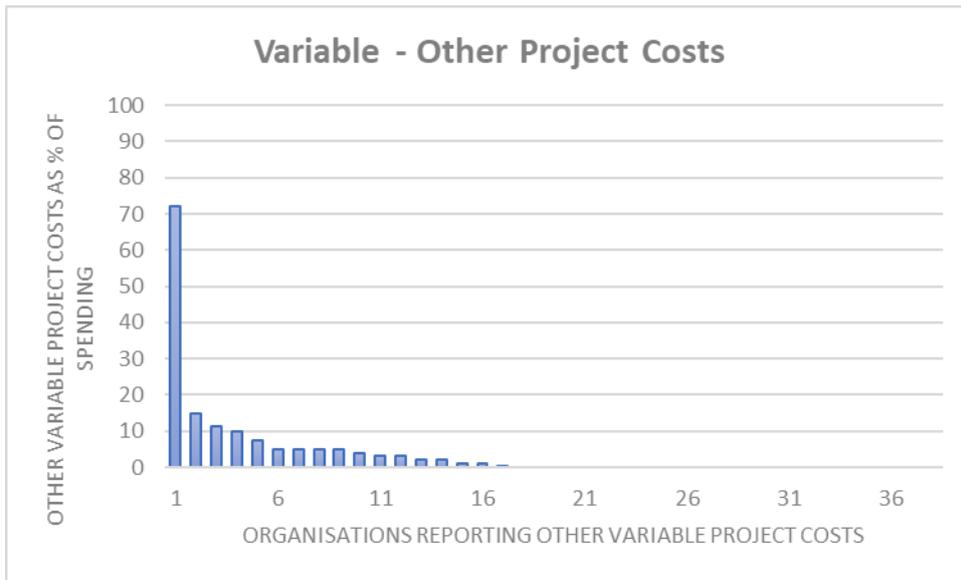**Variable Costs – Other project costs**

Figure 13: Variable Costs - Other

17 respondents of 38 (45%) reported expenditure on variable costs – other project costs.

One respondent [3%] reported spending at least 67% of their expenditure under this heading.

Of those that reported expenditure on variable expenses, the median amount spent was 5% (half of respondents received more than this, half less) and the mean (average) was 9%.
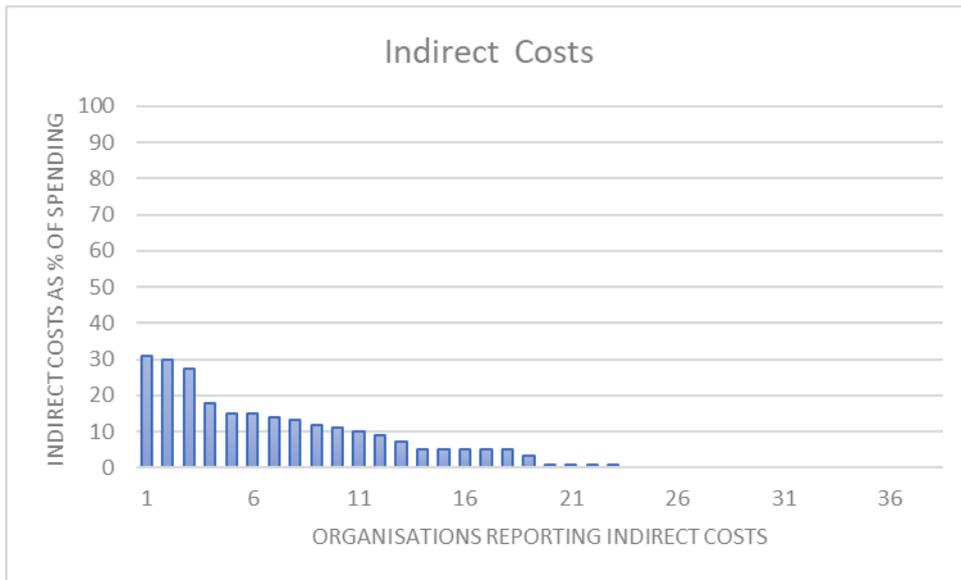
Indirect Costs

Figure 14: Indirect Costs

23 respondents of 38 (61%) reported expenditure on indirect costs.

No respondents reported spending at least 67% of their expenditure under this heading.

Of those that reported expenditure on indirect costs, the median amount spent was 10% (half of respondents received more than this, half less) and the mean (average) was 11%.

Data were also gathered on the position of the senior professionals within each service on the NJC Payscale, in order to identify the relative seniority (within authorities) of the senior professionals within the archaeology services.

63 respondents provided answers to this question. In the table below, information that did not align with NJC SCP has been adjusted to fit, and where ranges were provided the lowest point on the scale has been used.

What is the NJC Spinal Column Point of the senior professional in your service? We recognise that some organisations may not or may only partially follow NJC. Where that is the case, please equate the senior professional's salary to the publicly available NJC pay spines.

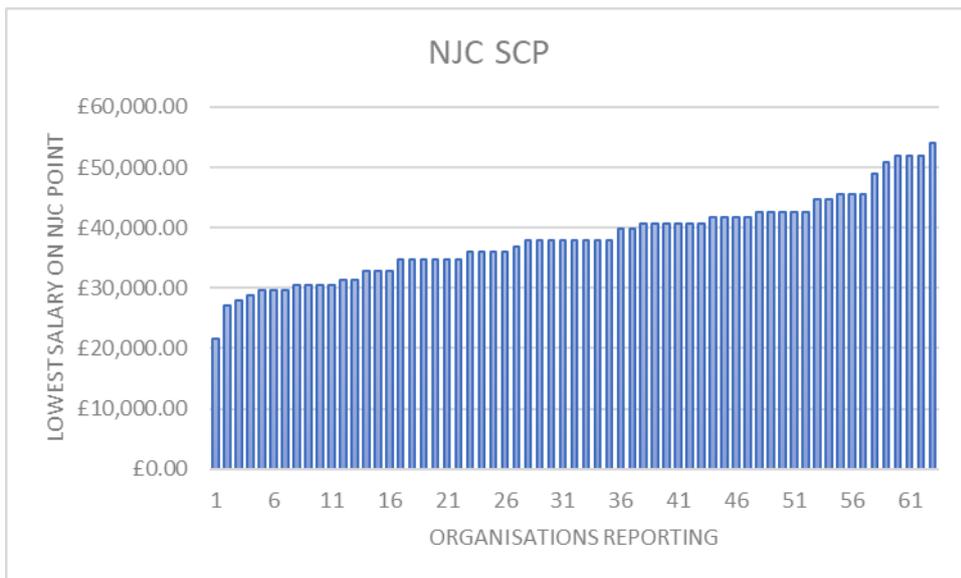| median	35	(£37,849)
mean	35.1	
range	12-50	
n=	63	

Figure 15: NJC SCP

10   Changes and Adaptability

To understand what changes and adaptations have been made to services in response to differing pressures and constraints between 2010 and 2020, including the scope of activities undertaken, those that have been reduced or stopped, alternative governance, a series of case studies are presented where changes and adaptations were made between 2010 and 2020.

Case Study 1: **Lancashire County Council** service, also advising all districts within Lancashire. Following budget cuts, from 2016 to 2019 this service was outsourced and delivered by two individuals, one of whom had previously been the county archaeologist, as a private enterprise.

The system did not work well, as working relationships with conservation officers and other council officers became weaker and more distant. The providers found that the agreed fees were too low to make delivery sustainable, and one district council decided to take the opportunity to withdraw from funding the arrangement (and indeed other comparable services, such as ecology, that had previously been delivered by the county council on behalf of the boroughs and districts). That borough council continues to not fund the service, and so has not been receiving any archaeological advisory service since withdrawing in 2016.

From 2019 onwards, the service returned to being based within the county council, with a return to effective and sustainable working practices – but the one tier two authority that had withdrawn in 2016 continues to neither have access to an HER not to receive archaeological planning advice.

Case Study 2: **South West Heritage Trust** was founded as a charity by Devon and Somerset County Councils in 2014 in order to divest the councils of a range of heritage services, including archaeological advice to Somerset County Council and districts within that council's area. While technically separate from the councils in question, the charity continued to be very closely aligned to council objectives (the councils remain their principal funders) and work very closely with planning department staff. In part, this has been facilitated by continuity of staff service, with many of the same individuals who were formerly Somerset County Council staff members continuing to deliver very similar advisory roles for the Trust. While a close relationship has been maintained, a degree of

financial and operational freedom has allowed the Trust to both venture into providing services on commercial bases to external bodies, and to explore the potential to provide advisory services to other, neighbouring local planning authorities.

Case Study 3: **Tees Archaeology** provides a Shared Service to the two unitary authorities of Hartlepool and Stockton-on-Tees, led by Hartlepool. Historically, in 1996, the former Cleveland County Council local planning authority was divided into four unitary authorities, with a joint archaeological service funded by the four authorities on a per capita basis. In 2012, two unitary authorities (Middlesbrough and Redcar & Cleveland) withdrew from funding the service and *Tees Archaeology* provided HER data to them, but not the data structure. *Tees Archaeology* continues to maintain an HER and to provide advice to Hartlepool and Stockton-on-Tees, while the two authorities that withdrew from the joint service subsequently used freelance consultants to provide archaeology advice as needed, but without screening of applications as standard practice.

Case Study 4: following the *Localism Act* 2011 giving local authorities new powers to trade, Essex County Council transferred responsibility for archaeological advice in Essex County and districts (together with other heritage and environmental services) to **Place Services** in 2012, a new multi-disciplinary environmental consultancy that has operated a traded account within Essex County Council since 2014. Services have continued undisrupted under this new governance model.

Case Study 5: **Merseyside Archaeological Advisory Service** was hosted by National Museums Liverpool on behalf of five unitary authorities in Merseyside. It closed on 31 March 2011 following the removal of all funding from the partner authorities. The Merseyside Historic Environment Record was transferred to the *Merseyside Environmental Advisory Service* (MEAS), a pre-exiting specialist body which provides advice on specific environmental matters to the six local planning authorities making up the Liverpool City Region (the five unitaries in Merseyside plus Halton, a unitary authority in Cheshire) – and the HER was

adopted by MEAS in April 2014; from June 2016 a full service of archaeological advice has been provided to the Councils for planning purposes.

There was not a seamless transition from MAAS to MEAS, and between 2011 and when the full service became available in 2016, archaeological planning advice was bought in by Liverpool City Council (but not the other authorities formerly advised by MAAS) on an *ad hoc* basis through the private sector from Mott MacDonald, a major multidisciplinary architecture, engineering and construction company.

11 Historical Development

A summary of the historic development of local authority archaeological services over the last 50 years, identifying the drivers of change [extracted in part and updated from Aitchison, 2012].

The archaeological services that support local planning authorities typically have two distinct but related roles, of providing advice and of maintaining records: "The history of protecting the heritage has been bound up with, and indeed cannot be separated from, the process of creating inventories" (Clark, 2001: 67).

The first archaeologists in local government in England often worked for town or county museums (Biddle, 1974: 108), starting in 1948 at the Guildhall Museum in the City of London, and until the 1960s, the few local government archaeological officers that were in post did not have defined roles in the planning process. This meant that they often had responsive roles, coordinating and often undertaking considerable amounts of rescue or 'salvage' fieldwork. In contemporary terms, these archaeologists also had significant outreach responsibilities – even pursuing funding from private sources to pay for fieldwork.

From the 1960s onwards, posts became established in what would now be recognised as curatorial roles, and the 1969 *Walsh Committee of Enquiry into the Arrangements for the Protection of Field Monuments by County Planning Authorities* recommended that planning authorities (at county level) in England should hold records of all known field monuments within that county, and that they should appoint archaeological officers.

The first County Archaeologist appointed was Ben Edwards, in Lancashire in 1963 (Edwards, 2009), the first City archaeologist was appointed by Gloucester City Council in 1968 and the first Sites and Monuments Record (and the introduction of this term to describe a centralised repository for information about archaeological finds and sites within a defined geographical area) followed the 1965 establishment of the Oxford City and County Museum (Benson, 1973). This was fundamentally an index to sources, a repository for metadata rather than data itself.

In many cases, these were maintained by individuals were based in museum services, or services other than planning. New Towns in England benefited from having archaeologists in planning departments from their establishment (*e.g.* Northampton) (Jones, 1984: 76). From the mid-1970s onwards, increasing numbers of local planning authorities combined archaeological development

control with having a role in undertaking archaeological fieldwork; at that time, the conflict of interest between the specifier and the deliverer was not yet apparent, and in any case it would have been considered to be offset by the benefits of local expertise.

By 1975 nearly half of English counties had direct access to a Sites and Monuments Record (Darvill and Fulton, 1998: 62). While the first SMR in England was established in Oxfordshire in 1965, the last was in Kent in 1989 and at that point all English counties had a record with full-time staff to maintain it (Baker, Smith and Shepherd, 2006: 135; CBA, 1989).

Over time, statutory provisions moved from notification of intent to a formal procedure that ensures that permission is granted in advance of works affecting the historic environment. These were introduced for listed buildings in 1968, conservation areas (partially) in 1974 and Scheduled Ancient Monuments in 1981 (Baker, 1999: 4). For much of the 1970s and 80s, most local authorities were hesitant to interpret their planning powers (in relation to archaeology) independently of central government until the publication of *PPG 16* in 1990 (Griffiths, 1999: 84).

Through the 1980s, English Heritage pump-primed the appointment of county archaeologists, and in 1989 complete curatorial coverage for England was achieved with the appointment of John Williams as Kent County Archaeologist and the establishment of the Kent SMR (CBA, 1989).

Part two of the *Ancient Monuments and Archaeological Areas Act* 1979 allows for the designation of Areas of Archaeological Importance (AAI) and five of these were immediately created within the historic cores of Canterbury, Chester, Colchester, Exeter and York. Within a designated AAI, developers must give notice of any groundworks to the investigating authority, a body determined by the Secretary of State which can be the local planning authority or an independent organisation. Any ground disturbance within an AAI requires an operations notice to be served at least six weeks before work begins in order to give the investigating authority the opportunity to intervene, which is followed by a statutory delay of 4½ months during which archaeological investigations may be carried out without compensation to owners or developers.

This mechanism – introducing delay rather than funding - became rather a dead letter in the 1990s as it was fundamentally superseded by planning guidance, but the one area where it is still applied is regarding works that take place

without planning permission under *General Permitted Development Orders* – in these instances, notice still has to be served and the investigating authorities can choose to take advantage of these opportunities.

Of longer lasting effect was the passage of the *Local Government Act* 1988, which separated local government services in terms of provision and enabling, and introduced the requirement upon local government to invite tenders to provide services. While this led to more secure retention of the in-house curatorial / planning advice role for the local authorities, it also led to a marked decline in the number of local authorities carrying our archaeological fieldwork, and a rise in the competition between other service providers for this work.

While the 1988 *Local Government Act* had introduced the concept of tendering for contracts to provide services to local authorities, this was already routine for private companies.

In the mid-1980s, some local authorities (particularly those with county archaeologists in planning authorities [Fairclough, 1990: 1]) recognised how the threat to the archaeological record from development could best be accommodated through the planning process. Key amongst these was Berkshire County Council, and draft policies prepared by the council in the late 1980s focused on predetermination evaluation of the potential impact of proposed development or extraction works on archaeological material, and this was to be undertaken by or on behalf of the applicant. The Berkshire County Archaeologist liaised with English Heritage during the development of the Structure Plan that contained these policies, and several other county councils, particularly but not uniquely in south-central England, began to adopt these ideas several years before their formalisation within *PPG 16* in 1990.

The significance of *Planning Policy Guidance note 16* (DoE, 1990) was in its acceptance that responsibilities for undesignated sites affected by development lay with local authorities and thus the planning process (Sheldon, 1990).

PPG 16 introduced the concept of evaluation to provide information in support of a planning application, and made it clear that the applicant for planning permission's is responsible for obtaining this, not the local planning authority

It gave new impetus to the scope of as well as the need for archaeological advice to planning services and for proper record-keeping (Clark, 2001).

The document had been drafted but not yet released by English Heritage until controversy over the Rose Theatre site in Southwark brought political attention

to the decision-making and funding responsibilities in development-led archaeology in 1989.

By recognising that archaeology could be identified as a matter to be considered in the planning procedure, then its treatment would be secured through the weight of the Planning Acts, the implementation of *PPG 16* immediately increased the workload of archaeologists advising local planning authorities. Although the total number of planning applications fell by 20% in 1990-91, County Archaeologist workloads rose by 25-50% (Lane and Vaughan, 1992: 18).

It also led to the standardisation of processes across England, resulting in the publication of the Association of County Archaeological Officers' (the predecessor body of the Association of Local Government Archaeological Officers) set of model briefs for archaeological work (ACAO, 1993). This period saw the first use of the phrase 'curator' to describe archaeological advisors to local planning authorities, following the definition initially set out in the IFA *Code of Approved Practice for the Regulation of Contractual Arrangements in Field Archaeology* "... a person or organisation responsible for the conservation and management of archaeological evidence by virtue of official or statutory duties" (IfA, 1990).

One additional consequence of the introduction of PPG 16 (and the aftermath of the Rose Theatre) was the transfer of advisory responsibilities away from the Museum of London to English Heritage, resulting in the creation of the Greater London Archaeological Advisory Service (GLAAS) which subsequently provided advice to all London Boroughs except for Southwark (ironically, the Borough where the Rose Theatre is located) and the City of London, each of which maintained their own services.

The increased workload on archaeological advisory services that PPG16's implementation brought was not matched by increased resources to accommodate this.

In 2001, Kate Clark wrote that "resources for conservation are static or falling, while public expectations of conservation are rising and staff are being asked to deal with a growing range of activities" (2001: 61). Heritage under Pressure (Baker and Chitty, 2002), identified that heritage services were low on local authorities' agenda, that heritage potential was being neglected and that heritage was regarded as being an obstacle to be overcome rather than a positive asset.

This had consequences, including the temporary loss of services and the adoption of new delivery models. For a time at the start of the twenty-first century, Northamptonshire had no advisory service, a situation that was seen as 'toxic' (ALGAO, FAME & IFA, 2009), but by 2010 this had been resolved and in-house advice was being provided to the planners at that County Council.

The first large-scale externalisation of archaeological advisory services in England was in Berkshire, where Babtie provided an out-sourced planning service – covering more than just archaeology – from 1993. When the county council was abolished in 1998 it was replaced by six unitary authorities, each with their own SMR held centrally by Babtie Group who continued to provide the archaeological advisory services (anonymous, 1998). West Berkshire took their service in-house in 2000, and *Berkshire Archaeology* (established in 2004 as part of Reading Borough Council) became responsible for providing this service to the other five unitary authorities in the area of the former county council.

By 2008, Membership of the Association of Local Government Archaeology Officers included all local authorities in England at county or unitary level, except for Southend-on-Sea unitary authority and Walsall Metropolitan Borough Council (Ingle, 2008).

The databases that local authority services were maintaining increasingly included historic buildings and historic landscape characterisation data. As SMRs formed a base that could be expanded, they began to include the built environment and so become Historic Environment Records (HERs) (Pickering, 2002: 67, quoting Dave Batchelor). Others became parts of wider environmental databases (Baker, Smith and Shepherd, 2006: 135).

PPG 16 ultimately became the longest standing unmodified Planning Policy Guidance note, until it was replaced by *Planning Policy Statement 5, Planning for the Historic Environment* (DCLG, 2010), a document that updated and continued *PPG 16*'s principles, briefly becoming the document upon which planning policy relating to archaeology was based. All Policy Planning Statements were then replaced by a single document, the *National Planning Policy Framework* (NPPF), the final version of which was published on 27 March 2012 (DCLG, 2012). It became a material consideration in planning matters upon its publication. The document has subsequently been revised and the current version of this document was published on 20 July 2021 (MCHLG, 2021).

By the start of 2010, every local planning authority in England had access to archaeological advice in the development control process, founded upon maintained Historic Environment Records, and these archaeological advisory services were almost universally in-house, with the exception of four services which were, or were based within, organisations external to the local authority - National Museums and Galleries, Liverpool; GLAAS (English Heritage London Region); Greater Manchester Archaeological Unit, University of Manchester; and the Heritage Trust of Lincolnshire which had delivered planning advice to three districts within Lincolnshire since 1988 (Start, 1999: 53). The other three districts within Lincolnshire received archaeological planning advice from Lincolnshire County Council, and Lincoln City Council had its own in-house service.

The University of Manchester hosted the *Greater Manchester Archaeological Unit*, a joint service funded by the ten local planning authorities within the area of former Greater Manchester from 1980 until 2011, when this service transferred to the University of Salford and was re-established as the *Greater Manchester Archaeological Advisory Service*.

A joint service based within the Museum of Liverpool, part of the National Museums Liverpool Group, provided archaeological advice to Liverpool and the four other metropolitan boroughs of Merseyside until 2011, and this then continued as a joint service to six authorities within the Liverpool City Region hosted within Sefton, which was fully operational by 2016.

The *Localism Act* 2011 gave planning authorities the authority to trade, and in result some have used this to form local authority trading companies as an alternative delivery model for services that could also more easily generate revenue. To date, no local authority trading companies (LATC) have provided archaeological advisory services. Norse Group, an LATC owned by and providing services to Norfolk County Council did include a commercial archaeological field team (NPS Archaeology) until 2021, but the council's archaeological advisory service has remained fully within the county council.

Other alternative models used since 2010 have been the development of a new Charitable Trust to deliver advisory services in Somerset and districts in 2011, and a small number of authorities elsewhere have ceased to use internal advisors but instead receive advice on a commercial basis from outsourced suppliers.

12 Alternative Models

Between 2010 and 2020, a range of alternative models of service delivery have been considered in different locales. Some of these have been implemented, leading to specific services changing delivery models over that time.

(1) From 2016 to 2019, the archaeological advisory services to Lancashire County Council, together with the districts of that county and the unitary authorities within the county's ceremonial boundaries were provided by an external consultancy, engaged on 12-month service level agreements. From 2019, service provision returned to being provided from within the county council.

(2) *Place Services* became a traded service of Essex County Council in 2014 and provides archaeological advice to the county council, and districts, borough and city councils both within and outside Essex, together with a range of other heritage and environmental services. While still part of Essex County Council, it has expanded its remit over time to provide services to authorities outside the boundaries of Essex, in the East of England, East Midlands, London, South East England and Wales, and in 2021 is working with over 35 local planning authorities in the UK.

(3) In 2014, *South West Heritage Trust* was established as a charity to deliver historic environment advisory, archive and museum services that had previously been provided by Somerset and Devon County Councils. These include providing archaeological advisory services for Somerset County Council, four non-unitary districts and one adjacent unitary authority, together with maintenance of the Somerset HER. Somerset and Devon County Councils have been the charity's main funders.

In addition to these substantive alternative models, additional changes have taken place without requiring changes to the overall models being used – for example, the transfer of provision for services to particular authorities moving between local authority providers.

In one case, responsibility for the joint provision of service to the local planning authorities within Greater Manchester was transferred from one University (of Manchester) to another (of Salford), and in another case a service that had been provided by a national museum transferred to become a Joint Service providing advice to six unitary authorities.

13   Delivery Model Innovation

Examples of delivery model innovation between 2010 and 2020 and their associated drivers of change.

Example 1.   **South West Heritage Trust**.

Description. Transfer of service from within a county council (providing advice to county and districts) to newly established Charitable Trust in 2014.

Drivers of Change. Desire from LPA side to maintain service while retaining degree of influence if not control.

Example 2.   **Greater Manchester Archaeological Advisory Service.**

Description. Transfer of joint service to ten unitary authorities from one external university provider to another (University of Manchester to University of Salford) in 2011.

Drivers of Change. University of Manchester (original provider) desire to rationalise teaching and research resource; internally – within the service - there was a desire (which was also driven in part by personality and drive of the individual managers involved) to maintain both a commercial fieldwork unit and an advisory service working alongside each other.

Example 3.   **Tees Archaeology.**

Description. Reduction in scale from a joint service to four authorities becoming a service shared by two in 2012.

Drivers of change. Simultaneous decision by two authorities to withdraw from funding the service

Example 4.   **Lancashire County Council Historic Environment Team.**

Description. Outsourcing of provision from county council in 2016, with service subsequently returning to within the council in 2019.

Drivers of Change. Two stage process – initially, from within council to private provider (2016) and then to return the service to within the council (2019). Firstly

driven by desire to outsource to deliver efficiencies, then recognition of need to return to provision from the centre as the outsourced service had become unsustainable and one authority withdrew from receiving any advisory service.

Example 5. **Merseyside Environmental Advisory Service.**

Description. Transfer of joint service from provision by an external body (National Museums Liverpool) to a pre-existing joint service body in 2011.

Drivers of Change. Desire from the perspective of LPAs to provide a more efficient service that could be more closely managed by the funding authorities.

Example 6. **Place Services.**

Description. Establishment of a new multi-disciplinary environmental consultancy within Essex County Council, to which Essex County Council archaeological advisory (and other) services were transferred in 2012. *Place Services* has operated a traded account since 2014.

Drivers of Change. The financial crash of 2008 and subsequent Essex County Council transformation programme. The power to trade in the way that *Place Services* does derives from the *Local Authorities (Goods and Services) Act* 1970, but the *Localism Act* 2011 was considered to be an enabler, ensuring the council could retain control over the provider (and potentially for it to become an income source) while allowing it to become more agile, better able to respond to changes in demand and to take advantage of opportunities to win contracts elsewhere.

14 Thematic Review

A series of themes emerged from participants' views, whether responding to the questionnaires or in interview. These are presented below, together with accompanying quotes from respondents.

Any structure can work well, it depends on the people delivering it and the context

> "The models have evolved; it is rare that they have been designed"

> "If I was starting from scratch, [the service] wouldn't exist like it does today"

Under the *Local Government Act* 1988 (and as subsequently amended) LPAs can deliver services under any format that they see as fit for purpose. And over more than fifty years, different service models have been developed, adapted and adjusted for the delivery of archaeological advisory services across England.

These have evolved to be best fits for local circumstances. These have been shaped by considering local political, economic, social, technological, legal and environmental (PESTLE) factors, by taking advantage of opportunities and by being necessarily shaped by specific constraints to result in particular services that represent equilibria within authorities.

External shocks – of any kind of the range of key factors that can influence an organisation from the outside can result in changes to those states of equilibria, leading to a recalibration of service delivery models or governance. A change to one variable leads to a reshuffling that can then have consequences in another of these areas, resulting in further adjustments being made until the state of equilibrium is reached again.

And because the PESTLE factors are different – often similar, but always actually different – in each one of the local planning authorities receiving archaeological advice, this means that there cannot be considered to be a single, 'best model' that can be universally applied.

Across England, different models have developed to fit particular circumstances.

As there is no 'best model', many of the models that are currently being used might be able to be improved, but they have developed to fit their particular circumstances, and without external shocks, they are fit for purpose whether they are delivered as services embedded within local planning authorities at

county, *unitary* or *tier two* levels, or whether they are *joint* or *shared* services that are hosted within LPAs.

External provision – whether from the private sector, universities or charitable trusts – remains susceptible to the same potential shocks to local systems. On occasion, advice provided by external providers can be given precedence because of its external origins, but there is also a risk that can result in loss of contact and effectiveness if other stakeholders perceive the service as being 'outside' or even unrelated to the authority.

It is possible that commercialisation, in the form of local authority trading, may be an approach that could bridge these two basic models; depending on the precise governance details used, this activity can remain within the host authority, or can be 'spun out' as a body that is wholly owned by the LPA, as a joint venture with other public or private bodies, or as a social enterprise. The key issue is the degree of control that the owning authority exercises and is perceived to exercise.

The officers delivering these services are more aware of the constraints and opportunities that they are presented with than anyone.

Importance of contacts/networks

"you've got to be politically astute/ have contact with politically important people"

A recognition of the value of contacting and influencing the right people (often local political decision-makers) in order to ensure service continuity and connection with local communities recurred throughout the interviews, and this is directly reflected in a call for allocating more resources to outreach in order to influence the decision-makers and the people the decision-makers care about – the local electorate.

There is importance in the awareness of heritage and its value, necessitating outreach [activities showcasing the archaeology in a local planning authority's area, and its successful management through the development-led system mediated by the authority's archaeological advisers]

More ability / resources for/to develop an outreach system

Need for more resources for outreach

Importance of sense of place/local identity to give archaeology services clout

Awareness of historic environment and cultural heritage among decision makers

You have to be relevant to deliver value for money

Call for legislation and strong leadership

Need for legislation to require HERs

An act of parliament to create a law covering undesignated archaeology

Respondents were also acutely aware of the need for political decisions to be made and implemented at a national level, and repeated appeals were made to remove one widely perceived threat to their services – the absence of a legal obligation on local planning authorities to have access to and /or to maintain a Historic Environment Record. Currently, *National Planning Policy Framework* (MHCLG, 2021) paragraph 192 states that "Local planning authorities should maintain or have access to a historic environment record", but respondents are paying particular attention to the perceived difference between 'should maintain or have' and a potential statutory 'shall maintain or have'.

And strong sectoral leadership is needed to prompt and deliver these desired changes.

The archaeology sector needs strong leadership and strong national support to show commitment to archaeologic services.

It should also be noted that, during the course of this project, political devolution within England has risen up the political agenda as part of broader plans for economic 'levelling up' (Prime Minister's Office, 15 July 2021). This is likely to mean that a number of archaeology services may need to accommodate changes to their host organisations, status or governance in due course as a result.

Appendix – Statistical Analysis

Using the *R* software environment, all of the data received as the results of the survey undertaken for this project, together with those from the *ALGAO Local Authority Staffing Survey 2020* and the *Historic England and ALGAO HER Survey 2020* surveys were compared as columns of data to derive p-values, which were used to evaluate possible patterns between responses.

All of the data were combined, and respondents' answers were matched between local authority advisory service organisations providing responses, so that each row contained specific respondents' answers to both surveys (or only one survey if they only responded to one); columns contained the questions asked.

Then each answer to the questions in this combined worksheet were given their own column and coded 1 for having that response and 0 for not. Where required these results were also coded as categories *e.g.* for the question 'How many reporting levels are there between your senior professional and the chief executive of the local authority (or authorities) you advise?' categories were created for the answers – 0, 1, 2, 3, 4, 5, 6 – which meant there was a column for responses with one level, two levels, *etc*. For each question, where appropriate, a column with 'did not respond' was also created to capture those respondents who skipped a question or who only responded to one of the two surveys. For financial questions the results were converted to binary outcomes *e.g.* either received or spent some funding in that category or did not, as the percentages were too variable to create categories from.

These data sheet was then analysis using an *R* script to obtain chi-squared test results of each column compared to every other column to obtain the *p*-values. First developed by Ronald Fisher in the 1920s, the *p*-value provides an index of the evidence against the null hypothesis (that two variables are not related). Originally, Fisher only intended for the *p*-value to determine if further research into a phenomenon could be justified (Fisher, 1925). This is how *p*-values are used in this report, as an indication of the need for further investigation.

Results with an r^2 <.001 were then examined to see if they provided any additional insights, there were 86 such results. In almost all of the cases, the results are not worth discussing further in this report. An example of one such result – those organisations that undertake work for the Portable Antiquity

Scheme also have that as a budget heading – was neither unexpected nor worthy of further investigation and discussion.

There were only a couple of results that did not lead to these sort of expected outcomes, but they too were not very insightful.

Joint or Shared services were much more likely to have a senior figure who is a budget holder.

Is the senior historic environment figure a budget holder	Cabinet	Committee	National Park	Providing joint or shared services to multiple authorities as an external provider (e.g. GLAAS)	not answered
yes	18	7	6	9	2
	45%	64%	75%	90%	67%
no	22	4	2	1	1
	55%	36%	25%	10%	33%

Table 19: budget holders and political forms of service

Those with fewer reporting levels were also more likely to have budget-holding senior figures too:

Is the senior historic environment figure a budget holder	reporting levels - 0	reporting levels - 1	reporting levels - 2	reporting levels - 3	reporting levels - 4	reporting levels - 5	reporting levels - 6	reporting levels - Not Answered
yes	0	1	7	15	12	5	1	1
	0%	100%	58%	83%	46%	56%	17%	6%
no	1	0	4	3	13	4	5	0
not answered	0	0	1	0	1	0	0	15
total	1	1	12	18	26	9	6	16

Table 20: budget holders and reporting levels to Chief Executive

Services that only covered a single local authority area were less likely to have conservation officers; only two-thirds did and to not be CIfA Registered Organisations. There were several results that intersected this final result – single authority services were not likely to have their services provided by

outside organisation – and those organisations (that provide services to several councils), were more likely to be CIfA ROs.

Overall, the results of the analysis did not provide any particularly valuable insights into the results of the surveys.

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