

**Holes in the Archaeological Record: investigating unpublished sites
from modern excavations in England and identifying the factors that
contribute to the potential loss of archaeological knowledge**

Timothy Nicholas Lanceley Evans

PhD

University of York

Archaeology

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Abstract

Since the birth of rescue archaeology in the wake of the Second World War through to the embedding of archaeological consideration in the planning process, the number of investigations being undertaken each year in England has increased. With this increase has been a high profile crisis in ensuring that information from excavations is adequately published. In addition, the archaeological discipline has often struggled to collate information on the number of excavations taking place and their associated outputs.

This research provides an insight into the nature of modern archaeological publication never before attempted in England, presenting quantitative evidence from an assessment of excavations and their sources from Staffordshire and North Yorkshire 1938-2007. This data presents detailed insight into familiar problems affecting publication such as time and money, but also the unexpected pitfalls and human factors that can affect the post-excavation process. It also highlights the large levels of significant sites either unpublished, or restricted to so-called grey literature.

Through data gathering, and attempts to compile an accurate list of excavations for England and the study areas, the research also highlights the extent to which historic and modern recording systems have led to disparity in the databases and inventories of various organisations. However, when collated this data has the capacity to provide country and regional analyses of excavation and publication trends that facilitate the analysis of long-held, but seldom quantified, biases in the excavated record.

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List of accompanying material

The thesis is accompanied by a DVD containing Appendix 2 (records from Staffordshire) and Appendix 4 (records from North Yorkshire) as Microsoft Excel worksheets.

Preface

There were many reasons for me embarking on a PhD, closely woven into my own biography. My first experience of archaeology was to be defining; in 1996 whilst studying for A-levels I became interested in the subject and the perceived glamour of excavation. Eager to get involved I scoured the Council for British Archaeology (CBA) excavation listings in a copy of *British Archaeology*; the cheapest to attend were those of the Surrey Heath Archaeology and Heritage Trust (SHAHT) under the direction of Geoffrey Cole. Using my savings from my daily paper round I eagerly signed up for a fortnight of excavation and tuition in the village of Bagshot in northwest Surrey. I was hooked and stayed for six weeks, with Geoff kindly waiving any additional fee as I served as a nominal finds assistant. Due to lack of funds the excavations were a rag-tag affair and attracted people from all walks of life; from the grizzled circuit digger looking for a relaxed summer supervising job, to the rather naive sixteen-year-old eager to get to grips with the past. In the words of the late Philip Rahtz, I was perhaps something of an “amateur ‘Sunday’ archaeologist doing appalling damage to local sites” (1974), the kindness and expertise of many on site undoubtedly saving many a catastrophe.

The archaeology was not always glamorous; a Victorian cess pit and the exhumation of a recently deceased and evidently much-loved pet cat were among the lowlights; counterbalanced by a number of important discoveries. Notable amongst these were Mesolithic/Neolithic lithic scatters and potential habitation sites, a jet chi-rho monogram ring from a Romano-British grave, and medieval fishponds associated with a mooted but much debated religious site (Robertson 2005). However, even after embarking on an undergraduate degree at the University of Exeter I returned every summer in ever-increasing levels of responsibility, up to and including 2001. Sadly, Geoff Cole died on the 14th December 2003 following a long illness. The majority of Geoff’s and SHAHT’s important work remains unpublished.

Following graduation I followed a career in field archaeology, working in the UK, Europe and Near East for several organisations but primarily for Birmingham University Field Archaeology Unit (BUFAU), later to become Birmingham Archaeology. Whilst at Birmingham I also completed a MA in what was then known as Practical Archaeology. This incorporated a module on archaeological archives and post-excavation, to which end I was shown a box in a dusty room marked ‘Crossgates’. The box contained the paper archive of a 1989 BUFAU excavation in advance of a housing development at Crossgates in North Yorkshire and my task was to undertake a post-excavation assessment based on the paper archive. Due to lack of funding there had been no time to produce anything but a small interim statement and most key post-excavation tasks had not been undertaken. The site provided fascinating evidence for continuity of settlement through the Romano-British/early medieval

transition, and I was more than a little proud of the resulting post-excavation assessment. The report and digital files including phased plans and stratigraphic matrix were ‘archived’ on a CD-ROM and placed back in the old cardboard box to be delivered to the appropriate museum at a later date. My ground-breaking, if undoubtedly flawed conclusions await future generations of archaeologists, if they can still read CD’s.

My MA thesis assessed the later prehistoric ritual landscape of the Trent-Tame confluence in Staffordshire, centred on the late Neolithic/early Bronze Age monuments at Catholme; an area where I had worked on research and development-control projects. However the study was often frustrated in attempts to access the results of previous rescue and PPG16 investigations. Two sites in particular, excavated in the 1980s prior to aggregates extraction, promised much but proved difficult to incorporate within the synthesis. The site at Fatholme had unearthed a potentially unparalleled (for the area) sequence of prehistoric deposits and artefacts spanning the Mesolithic/Bronze Age; whilst Catholme/Wychnor Bridges had revealed an extensive early medieval cemetery and settlement overlying sequence of late prehistoric ring-ditches. However, Fatholme was only ever published as small notes, primarily in the *Proceedings of the Prehistoric Society* (Losco-Bradley 1984). Catholme was more fortunate, with a Historic England¹ grant saw the retrospective publication of a monograph detailing the early medieval phases of the site, but for financial reasons not the prehistoric phases (Losco-Bradley and Kinsley 2002).

A reanalysis of these prehistoric sites by revisiting the archives was tempting, but far outside the remit of an MA thesis. I thus ploughed on with my original synthesis, nevertheless fully aware that there were two gaping holes in the small area I was studying; significant holes that could well contradict the careful landscape narrative I was creating. There was then, inside the thesis, a larger, more significant question that was at the time eclipsed by an obsession with ring-ditch diameters and mortuary rites: did I actually have all the information? And if not, was my research essentially undermined by these gaps?

My thesis formed part of a wider Aggregates Levy Sustainability Fund (ALSF) project *Where Rivers Meet* (Buteux and Chapman 2009). After that project ended, the experience gained through working within aggregates-based archaeology meant that my next major employment was at the Archaeology Data Service (ADS) working as the ALSF Curatorial Officer and looking to archive the digital outputs of nearly 200 projects, including *Where Rivers Meet*. Through the post, and as my own understanding of the wider archaeological discipline grew,

¹ Over the course of writing this thesis the public body responsible for the protecting the historical environment of England changed from English Heritage to Historic England. For simplicity Historic England will be used when referring to that body, except where specific terms such as Ministry of Works are needed for clarity and historical accuracy.

the depth of the historic publication crisis in UK archaeology became apparent. My experiences of Bagshot, Fatholme and Crossgates were not, as it transpired singular examples, but part of a wider issue within archaeology in England and the UK in general (Butcher and Garwood 1994; Jones *et al* 2001).

My work at the ADS latterly focussed on responsibility for maintenance of the OASIS system hosted on behalf of Historic England and RCAHMS. Through this system, and a number of backlog scanning projects the scale of what may be termed the “grey literature” problem soon became apparent. During my time at BUFAU I was responsible for the production of several such reports but these were often produced in isolation and I was unaware of the scale of information being produced elsewhere in the country. Of course, the problems and potential of grey literature had long been identified by others within the discipline (Bradley 2006; Holbrook and Morton 2008). Indeed it seemed from reviewing the literature at the time that the archaeological community was entering one of its periodic episodes of introspection and reconsideration of the nature and value of information being produced, perhaps best typified at the time of writing by the large-scale works being undertaken by the English Landscapes and Identities (EngLaId) and Rural Settlement of Roman Britain projects of the Universities of Oxford and Reading respectively.

These and other such projects have focussed on identifying what the excavated resource tells us about specific archaeological time periods, but perhaps with less emphasis on what is not recorded in traditional publications or grey literature and the contrast between available and hidden data. Thus the idea of a doctoral thesis was born, to establish the extent of the publication crisis and the significance of all the material that has been excavated, but which has not been fully reported to the wider community. It may be argued that to re-visit the failures of British archaeology is to take a pessimistic, somewhat backwards approach to information that is becoming, if it is not already, redundant. Nonetheless, as a discipline we are fond of stressing the importance of understanding the past if, as a society, we are to face the future. It is a lesson we could well do to adopt ourselves if our strategies for publication and dissemination are to evolve.

I originally used the following quote in my Master thesis, taken as a literal (if overly poetic) description of the plough-damaged landscape of the Trent-Tame valley. It is only recently that I have looked again at the final refrain and realised its pertinence to the archaeological record:

“His imagination would then people the spot with its ancient inhabitants: forgotten tribes trod their tracks around him, and he could almost live among them, look in their faces, and see them standing besides the barrows which swelled around, untouched and perfect as at the time of their creation. Those of the dyed barbarians who had

chosen the cultivable tracts were by comparison with those who had left their marks here, as writers on paper beside writers on parchment. Their records had perished long ago by the plough, while the works of these remained. Yet they had all lived and died unconscious of the different fates awaiting their relics. It reminded him that unforeseen factors operate in the evolution of immortality.” (Hardy 1878, 247).

The purpose of this thesis is to examine the extent to which archaeological records have either perished or survived, and how to ensure that future works resist the factors that dictate the nature of publication.

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This thesis is dedicated to three men who in various ways have inspired me to start and finish this work: my father Harry Evans, my friend Geoff Cole and my son Owen Evans.

Authors declaration

This work has not previously been presented for an award at this, or any other, University. All sources are acknowledged as References. This thesis is based upon original research by the author who takes responsibility for any errors or omissions. Elements of Chapter 3.2 formed the basis of a paper exploring inconsistencies in event recording (Evans 2013), whilst insights gained from writing the whole thesis were developed into a paper examining grey literature (Evans 2015). Findings from Chapter 3.3 were presented to the 2012 Digital Humanities Congress, Sheffield and latterly published in the conference proceedings (Evans 2014). In addition, some of the trends identified in Chapter 3.3 have been expanded into an article exploring the nature of excavation during the Second World War (Evans forthcoming).

Evans, T.N.L. (2013). Holes in the Archaeological Record? A Comparison of National Event Databases for the Historic Environment in England. *The Historic Environment* 4(1), pp. 19-34.

Evans, T.N.L. (2014). An Undiscovered Country? A History of Archaeological Investigation in Post-War England. Insights provided by Digital Resources. In: C. Mills, M. Pidd and E. Ward. (Eds.) *Proceedings of the Digital Humanities Congress 2012. Studies in the Digital Humanities. Sheffield*. Available at: <http://www.hrionline.ac.uk/openbook/chapter/dhc2012-evans> [Accessed 27th November 2015].

Evans, T.N.L. (2015). A Reassessment of Archaeological Grey Literature: semantics and paradoxes. *Internet Archaeology* 40 (doi:10.11141/ia.40.6).

Evans, T.N.L. [forthcoming]. Twilight over England? Archaeological Excavation in England 1938–1945. *European Journal of Archaeology*.

Chapter 1: Introduction, objectives and scope of the study

“He had not applied to archaeology the famous advice of Lord Acton, ‘study problems, not periods’” (Collingwood 1939, 137).

“There are known knowns; there are things we know that we know. There are known unknowns; that is to say, there are things that we now know we don’t know. But there are also unknown unknowns; there are things we do not know we don’t know.” (Rumsfeld 2002, no pagination).



Plate 1: *Getting started.* Topsoil and subsoil stripping at Larkhill, Wiltshire monitored by staff of Wessex Archaeology (Wessex Archaeology 2014a)

1.1 Introduction

The publication of fieldwork has long been recognised as a fundamental tenet of the archaeological discipline. Since the publication of Cranborne Chase by Pitt-Rivers in the nineteenth century the expectation that an excavation should result in a written record has been sacrosanct (Jones *et al* 2001, Section 2.3). A requirement to publish is often seen as a mandatory duty for those that undertake such a destructive exercise as excavation, and failure to do so a personal and professional stigma (*ibid*). This traditional duty is perhaps best articulated by R.G. Collingwood:

“Every man who is engaged in scientific work of any kind knows that it is the fundamental obligation of scientific morality to publish your results. When the work is archaeological excavation the duty is a peculiarly urgent one, because the site once thoroughly excavated is a site from which no future archaeologist would ever be able to find out anything... a fundamental crime against their own science” (1946, 83-84).

However, the path of publication has not always run smoothly. The pressure of increasing volumes of work undertaken under rescue archaeology and latterly development control conditions has led to consternation as sites fail to reach publication, or languish in the often maligned grey literature (Jones *et al* 2001, Section 3). Despite responses to these problems through the formulation of guidelines and stipulations regarding the format of publication, alongside the recognition of the importance of the archive, problems and backlogs remain (*ibid*). The discipline often seems haunted by the spectre of failed publications, and the sense of epistemological uncertainty weighs heavily on a profession that is founded on the assimilation and understanding of an archaeological record (Bradley 2006; Hills 1993).

In recent years this has been offset by an increased determination by academia to tackle the large numbers of grey literature produced through development-led investigations and incorporate them into the research paradigm (Bradley 2006; Fulford and Holbrook 2011). Although often perceived as unpublished and inferior to more traditional outputs such as journal articles, the research value of grey literature has been made clear (Aitchison 2010a; Fulford 2011). Within this movement to embrace the grey corpus the focus to date has been to assess how much exists, and what it can tell us about a particular period. What is rarely studied is the changing nature of dissemination and quite why so much grey literature exists, or even if levels and quality can vary geographically and temporally. Although the levels of fieldwork produced only as grey literature may be perceived as a problem, how does this compare to research and pre-PPG16 projects. Furthermore, what are the historic, cultural, economic or personal factors that have led to the nature of the written record?

At the time of writing archaeology in England is in a period of flux. The move from PPG16 to the National Planning Policy Framework (via PPS5); a re-evaluation of the role of national and local historic environment records, the re-engagement of the academic sector in commercial archaeology, and the advent of digital online dissemination all point towards innovative practice (Bradley *et al* 2015; Historic England 2015; Oikarinen 2014; Southport Group 2011). However the increased pressure on archaeology in local authorities, and the closure of many archaeological units in the wake of the recent financial crisis reflect a discipline under pressure from the familiar spectres of time and money (ALGAO 2013). Within this challenging environment it is imperative that we not only know the limitations of our knowledge base, but also learn from the mistakes of the past to ensure that information produced from excavation is reported as quickly and efficiently as possible.

1.2 Objectives

The primary objective of this thesis is to provide a study of the publication record from archaeological excavations in England from 1938 to 2007 (see 1.3 for rationale). Using existing national sources it will provide an overview of the historic milestones in dissemination, and attempt to provide an assessment of the nature of publication towards the end of the PPG16 era. Using regional case studies the thesis will provide a detailed assessment of every excavation undertaken and the type of written output produced. This will provide a detailed overview of the exact publication record and the respective levels of published and unpublished sites; a level of detail that is often guessed at but seldom quantified (cf. Tilley 1989). Furthermore, the thesis will also use the regional case studies to assess the extent to which there are common contributing thematic or methodological factors that have led to a lack of adequate publication.

The second objective of this thesis will also be to study the reality of the national and local archaeological records of events and sources that are designed to provide a knowledge base and unite the published record to the record of events. Sources such as the National Record for the Historic Environment (NRHE), Historic Environment Records (HER), OASIS and the Archaeological Investigations Project (AIP) have historically been fundamental in compiling an archaeological record, a method of establishing who did what, where and when, but rarely studied themselves as material culture or assessed for their respective strengths and weaknesses. In attempting to collate and use these sources to establish the published record of a country or region, this thesis will also ask if such a task is possible, and report the accuracy and expediency of such an undertaking.

The thesis will also use these inventories and other sources to provide an overview of the changing nature of excavation and publication over this period. Although we may speak of an

archaeological record, the realities have rarely been mapped or analysed outside of the PPG16 era (cf. Darvill and Russell 2002). Behind such a study is a desire to examine if a neutral and objective *national* record can ever be created from modern archaeological practice. As excavation has largely switched in impetus from research to salvage and mitigation prompted by development, it is pertinent to inquire as to the extent financial and political contexts have impacted on where and when we excavate. Thus even before consulting the published record, is the picture we are presented with truly representative of the archaeological landscape and resource?

A final objective of this thesis will also be to discuss what it is to be *published* and will consider the growing role of grey literature within publication and dissemination strategies. The thesis will discuss the future of publication and, based on the lessons learned from over half a century of success and failure, explore possible changes to the concept of what constitutes an appropriate output. In essence, the thesis will provide a *meta-analysis* of how much we know, as well as how much we *should* know. Are there holes in the published archaeological record, and if so how big are they, what has caused them, and how can we avoid them in future?

1.3 Geographical and temporal scope

The thesis focuses on archaeological excavations in England undertaken between 1938 and 2007. The year 1938 has been chosen as the starting point as it represents the first use of government funds to pay for the excavation of sites threatened by imminent construction works, and marks a paradigm shift away from the excavations typical of Petrie and others in the late nineteenth and early twentieth centuries (Butcher and Garwood 1994, 9; Jones *et al* 2001). This is not to say that such large-scale excavations suddenly stopped (the reality is far more complex, and examined in more detail below), but that the social and economic landscape in which archaeology was conceived, funded and practised had fundamentally changed (Evans 1989, 487). The study ends at 2007, primarily as a pragmatic cut-off to allow the thesis to identify and encompass publications produced well after the termination of works.² It encompasses nearly all of the period when archaeology and development control was guided by PPG16, and thus stands as a reflection of the success of the implementation of PPG16 in the study areas.

The decision to limit the study to England rather than all of the United Kingdom is a pragmatic, as well as cultural one, reflecting a history of archaeological practice that is similar to, but distinct from other countries within the United Kingdom and Northern Ireland

² A recent survey estimated that the average time of publication for development-led projects was almost 10 years (Holbrook and Morton 2008, 58).

(Thomas 2002, 238). This distinction is primarily based on scale, for although Wales and Scotland have followed the same general trends in rescue and planning-led excavations, this has been on a smaller scale (Barclay and Olwen 1995, 2; Jones *et al* 2001). Other distinctions are more cultural and administrative; for example the annual reporting of excavations in *Discovery and Excavation in Scotland* has no direct overarching counterpart in England. Likewise; the establishment, retention and dominance of the four regional units in Wales although similar to England, is significantly at odds to the competitive tendering model now prevalent in England (Aitchison 2011a; Hunter *et al* 1993, 37).

This is not a parochial study however, as the practice of archaeology in England takes place within the wider context of European and international archaeological activity. The former is most apparent in the ratification of the Valletta convention in the mid-1990s and the burgeoning notion of European Archaeology in terms of common objectives and the rationale behind legislation, as well as in practice and outlook (Kristiansen 2009, 642; Schlanger and Aitchison 2010, 11). The recent work of the Archaeology in Contemporary Europe (ACE) project has shown that despite apparent differences in practice, common problems such as economic recession are evident throughout all Europe (Schlanger and Aitchison 2010). These are not just European issues; even a preliminary glance at the mass of literature from further afield highlights that these are common global themes. Throughout the developed and developing world archaeology has witnessed a growth in the number of excavations taking place and the level of data being created in the wake of the world-wide rescue boom (Bradley *et al* 2015; Demoule 2002; Habu 2004; Smyth 2014).

In order to provide detailed case studies, analysis will focus on the modern (post-1974) counties of Staffordshire and North Yorkshire. The case studies have been chosen primarily for pragmatic reasons including proximity of HERs and familiarity with the areas based on personal experience. They also provide diverse case studies of fieldwork and publication from particular periods and environments. The upland zones of North Yorkshire have been intensively excavated by local societies and university-based academics; whereas in Staffordshire there are areas of rescue and planning-led works in the Trent Valley and the heavily industrialised and urbanised zone in Stoke-on-Trent. The two counties also contain elements that are directly comparable, and are reflective of practice elsewhere in the country, including large-scale works in advance of road construction, and intensive excavation in medieval centres such as Tamworth, Stafford and Scarborough.

1.4 Definition of terminologies

1.4.1 Definition of Publication

Within archaeology, the term publication is often synonymous with an article within a national or local journal, or the release of a monograph or book. These are formal, nearly always peer-reviewed outputs that carry academic and professional cachet. The definitive review of archaeological publication in the UK, *The Publication of Archaeological Projects: a user needs survey* (PUNS hereafter) is wide ranging in its use of the term, and argues that publication equates to the completion and issue of a substantive report, regardless of medium (Jones *et al* 2001, Section 1.2). For the purposes of this thesis the following definition for archaeological publication follows that set out by PUNS:

“Fieldwork publication is defined as any work that serves to record and disseminate information derived from a fieldwork... Such publications range from monographs, through papers in national, regional and local society journals, to summary reports in annual gazetteers. By definition, they are publicly available; reports that are not issued for public sale or widespread distribution, so-called 'grey literature', are also considered.” (*ibid*).

This definition highlights that publication is the communication of information, and not an indication of status or perceived quality. It therefore and perhaps somewhat controversially includes the mysterious corpus of grey literature; the simultaneous *bête noire* yet *cause célèbre* of modern synthesis-based projects (cf. Bradley 2006). The decision to include this material, and the notion that grey literature should be considered a publication would perhaps be anathema, or at least a source of argument, to more traditionally minded archaeologists (Hills 1993, 218). Particularly since grey literature is the bi-product of the seismic shift in modern times from *preservation by publication* to *preservation by record*. The debate covering this subject is vast (Evans and Hardman 2010, Appendix 1), and some of the key arguments and levels of suitability as a publication medium are addressed in more detail in later chapters. Nevertheless, while some may doubt the quality of its content, as well as its accessibility, to omit it would be to ignore one of the greatest potential research *corpora* in English archaeology. (Evans and Moore 2014; Hardman 2010).

1.4.2 Definition of Excavation

The decision to limit this study to excavation is initially a pragmatic one; to incorporate other important methods of terrestrial and marine data collection would require a separate thesis. Moreover, it is widely acknowledged that excavations produce the raw material from which fundamental understandings and interpretations of the past are based (Biddle 1994, 16; Darvill and Hunt 1999). Having decided on a conceptual limit, there is still the problem of what actually counts as an excavation. The literature concerning the planning, execution and interpretation of archaeological excavations is vast and rich in terminologies and vocabularies

(Carver 2009, 27). To Wheeler it was an “unrepeatable experiment” (1955, 15) and to Barker the empirical process that could recover “evidence obtainable in no other way” (1993, 13). Yet to others it can be a two-way process or even a performance, a production or dialogue between excavator and material remains (Tilley 1989, 278).

The nomenclature and varying definition, of *excavation* over the study period provides an interesting meta-analysis. Although this may appear straightforward enough, there are social and practical differences between someone referring to an excavation in 1938, and one in 2007. For example, in recent years, the word has almost become synonymous with the term *intervention* and it is common for modern reports and studies to veer between the two (for example see Williams 2013). The history of the term intervention is somewhat difficult to trace, although it could well have its roots in the campaigns of the Sutton Hoo Research Trust in the early 1980s (Carver 1983). The term becomes prominent in the English Heritage *Assessment of Assessments* (English Heritage 1991a), and the Society of Antiquaries report *Archaeological publication, archives and collections: towards a national policy* (Carver *et al* 1992). It then becomes inexorably linked with the embedding of archaeology within the planning process, although notably the term does not appear within PPG16. In practice, *intervention* is a catch-all term for the myriad of forms of archaeological investigations, not all of them *excavations*.

Nevertheless, a study that is based on a quantitative analysis and description must still have foundations, and the terms that are used must be consistent. Thus, in projects designed to manage and interpret the large number of archaeological events in England - and the UK as a whole - the trend has been to move towards a defined terminology based on the concept of an “event” (Darvill and Russell 2002, 7). The idea, or rather the theoretical establishment of an event is a relatively modern development (Catney 1999; Foard 1996), and one intrinsically tied to the evolution of Sites and Monuments to Historic Environment Records (Robinson 2007). According to the most recent definition, an event can be classed as a “single episode of primary data collection over a discrete area of land. This single recording event can only consist of one recording technique and is therefore a unique entity in space and time” (Adams 2009, 1).

For the sake of simplicity, the thesaurus of archaeological events compiled by Historic England will be followed by this thesis, and the types of event considered as excavations will be limited to the following defined terms:

- Excavation
 - Box trenching
 - Open area excavation
 - Rescue excavation

- Research excavation
- Strip map and sample
- Evaluation
 - Test Pit
 - Trial Trench

It should be noted that throughout the main text, the terms investigation, event, intervention, excavation and project will be used as overarching descriptions. Where appropriate the terms *excavation* and *evaluation* (with emphasis) will be used to denote the term as used in the Historic England thesaurus defined above. The decision to include evaluations in this study was not taken lightly, as there is a distinct difference in purpose when employed within the planning process and thus the methodologies employed (Biddle 1994, 15; Hey and Lacey 2001, 59). By ignoring such events, the study would be omitting a significant corpus of data; historic analysis of planning-led interventions has shown that evaluations have become the most common form of methodology (Darvill and Russell 2002, 28). Previous research has highlighted that despite being designed as an event to inform the planning decision, an evaluation can often uncover substantial archaeological information that, due to subsequent decisions regarding the planning application and archaeological mitigation, is sometimes not followed up with further excavation (Holbrook and Morton 2008).

1.5 Structure of the thesis

The thesis consists of the following chapters:

- Chapter 2 introduces the first phase of data analysis providing an overview of the history of modern archaeological excavation and publication in England. Rather than simply reiterate a familiar history, it looks at specific themes pertinent to information flow and archaeological knowledge. This includes the increase in archaeological excavations and the move from research to rescue; a brief history of the issues surrounding archaeological publication; current views on grey literature; recent initiatives to quantify the archaeological resource; as well as attempts to revisit old sites, or so-called backlog projects.
- Chapter 3 presents a national survey, using extant data sources including the Historic England Excavation Index, AIP and OASIS, of changes in excavation and publication rates over the study period. It discusses the data processing employed, before identifying trends within the data. It concludes with an analysis of these trends, and limitations within the national record, establishing the background to the county-based studies.

- Chapter 4 introduces the methodology and data sources used in compiling the data for the two case studies (Chapter 5 and 6), and examines the relative difficulties in building an accurate and comprehensive list of written outputs for an area.
- Chapters 5 and 6 introduce the case studies: an analysis of the publication trends for Staffordshire and North Yorkshire. Each chapter begins with a brief overview of the archaeological history of each county as well as recent research themes. Analysis of publication trends is presented, and key factors and trends identified. Unpublished sites within the counties are identified and any geographical or cultural concentrations are discussed. A series of site-specific case studies for each county are identified, and subjected to more detailed qualitative analysis.
- Chapter 7 provides a discussion of common themes in publication across both counties. The chapter identifies any geographical or cultural concentrations within the case studies; this includes publication rates for urban and rural investigations, issues with publishing specific site types and problems with specific organisations or types of excavator. The chapter considers the role and importance of a publication within the planning process.
- Chapter 8 presents the main conclusions of the research as a series of themes for discussion. It concludes with a reassessment of the nature of publication, lessons learned and proposals for future methods of publication and dissemination of archaeological excavations.

Chapter 2: A brief history of excavation and publication 1938–2007

“The Committee wishes to record its gratitude to All Souls, Christ Church, Jesus, Magdalen, New, Oriel, Queen's, St. John's and Trinity Colleges, the Berkshire Archaeological Society, the Ashmolean Museum, and numerous private donors for generous contributions to the excavation fund, which totalled £117 7s ... Particular thanks and congratulations are due to some 25 unemployed miners from South Wales and their undergraduate hosts, members of the Oxford University Summer Camp for Unemployed at Eynsham, who came over daily for a fortnight, worked with great energy, cheerfulness and success.” Acknowledgments of the interim publication from the excavations at Seacourt, Oxfordshire (Bruce-Mitford 1940, 33).

“The excavation supervisors were drawn from Birmingham University Field Archaeology Unit ... who were given a temporary residence in abandoned property in St Mary's Grove. The workforce was largely composed of young persons on job creation schemes, the Manpower Services Commission (MSC) and Youth Opportunities Programme (YOP), both of which provided untrained local labour (16–20 years old) with some cash support.” A description of the composition of the excavation team from works undertaken in Stafford between 1980 and 1985 (Carver 2010, 2).

“The archaeological mitigation works for the proposed development were designed and overseen by Nansi Rosenberg for Prospect Archaeology Ltd on behalf of Arla Foods. Management for Northamptonshire Archaeology was undertaken by Anthony Maull and Adam Yates. The fieldwork for Northamptonshire Archaeology was led by Jim Burke and Carol Simmonds. Monitoring of the programme of fieldwork was carried out by Sandy Kidd and Eliza Alqassar of Buckinghamshire County Archaeology service on behalf of Aylesbury Vale District Council. All works were conducted in accordance with the Institute for Archaeologists (IfA) Standard and guidance for archaeological excavation (and the Code of Conduct of the Institute for Archaeologists). All works were carried out in accordance with a Brief and a Written Scheme of Investigation”. Methodology statement from excavations on land at College Road, Aston Clinton, Buckinghamshire (Simmonds and Walker 2014, 8).



Plate 2: *The changing face of excavation.* Rescue excavations at Wellington Quarry, Herefordshire in 1986 (top) and a programme of assessment at Heslington East by YAT in 2007 (Worcestershire Historic Environment and Archaeology Service 2011; York Archaeological Trust 2013)

2.1 Introduction

To place this study in context this thesis must cover the history of post-war archaeology in England. This is a vast topic for which numerous reviews already exist (Jones *et al* 2001; Hunter *et al* 1993), and it is not the purpose of this thesis to replicate a well-known narrative. Thus, while the chapter will briefly highlight familiar points such as the growth of commercial archaeology and the publications backlog, it will do so in order to highlight key themes and questions that have direct bearing on the main objectives of this thesis. The chapter will therefore provide a brief discussion of the period 1938-2007, focussing specifically on the following issues:

- The evolution of archaeological fieldwork:
 - The increase in the number of archaeological excavations.
 - The move from research to rescue and the implementation of PPG16.
- Publication versus archive:
 - The high profile crises in publication and efforts to resolve.
 - The switch from preservation by publication to preservation through record.
- Collating the archaeological resource:
 - Efforts to collate the archaeological resource.
 - Discrepancy between resources and gaps in archaeological records.

2.2 The evolution of archaeological fieldwork

The archaeological community has always been somewhat prone to introspection; perhaps more than any other group it is one which revels in its antecedents; all that happens or has happened is in direct reference to the past (Schofield 2011, 11). Part of this introspection is perhaps due to the growth of a once small antiquarian pastime to a multi-faceted study that simultaneously engages with classroom-based theoretical debate and large-scale modern excavation in an unforgiving commercial environment (Aitchison 2011a). Between these dichotomies, lies a history of practical development in excavation methodologies, the onset of rescue or salvage archaeology and the move towards archaeological investigation as a response to development and the notion of preservation by record (Evans 1989; Flatman and Perring 2013; Rahtz 2001)

It is this conceptual and numerical growth which presents an interesting backdrop to the study of archaeological publication: namely the problems in achieving efficient dissemination of information publication amidst changes in practice and outlook. Despite the aforementioned dangers of historical narrative, a discussion of a distinct chronological period must to some extent veer towards a history; quite simply one cannot measure or discuss growth without a

corresponding scale. This section will therefore deal with the study period in a linear manner; splitting it into three phases:

- 1938-1972 - The Heroic Age;
- 1973-1989 - The Rescue Age;
- 1990-2007 - The Professional Age.

It is acknowledged that in some respects dealing with the period in a historical fashion introduces an element of bias, as if growth is somehow inexorable. However, by examining particular issues to do with publication at particular points in time, it is hoped to be able to question this concept of growth and tie these questions into concepts of how archaeological knowledge is created and reused. Is the discipline maturing, or simply standing still?

2.2.1 *The Heroic Age 1938-1972*

In the build-up to the outbreak of the Second World War the requisition of land by Government departments for defence works was a cause of concern for those within the Office of Works (Fry 2014, 46).³ In 1938, it was established that the Office of Works would receive notification when the Admiralty, War Office, or Air Ministry proposed acquisition of a site (O'Neil 1948). Where possible, the Office of Works, through its Ancient Monuments Department, sought to ensure that, if the site contained an archaeological site, it would be respected or excavated before destruction (*ibid*). The challenges of this undertaking are related in a fascinating appraisal by one of this team, Bryan St. John O'Neil, written after the war when he had succeeded Bushe-Fox as Chief Inspector (O'Neil 1948). In total over 16,000 appraisals from requisition schemes were scrutinised, usually against existing Ordnance Survey maps (*ibid*, 20–21). The challenges were many and varied, primarily the high workload and lack of resources, but also the negotiation with military personnel, which after 1943 included US forces (Fry 2014, 60).

In his summary, O'Neil recorded over 50 sites excavated in this manner: a large proportion of which fell upon the shoulders of William Grimes, a Welshman who at the outbreak of war was assistant archaeologist to O.G.S. Crawford at the Ordnance Survey (Gill 2000, 3). Due to his skill as a field archaeologist, which extended to aiding the Sutton Hoo excavations of 1939, Grimes was seconded to the Ministry of Works as its first full-time excavator (*ibid*). Grimes was later joined by others who were employed on a full or part-time basis to excavate particular sites; these included Audrey Williams, Peggy Piggott (later Peggy Guido), and K.S. Hodgson. These individuals formed an increasingly professional cadre of archaeologists, often from outside academia, that looked to balance the needs of 'rescue' work with the ideal of

³ The government body responsible for the protection of ancient monuments, over the course of the war this became the Ministry of Works and Buildings (see Thurley 2013).

modern scientific excavation as advocated pre-war, particularly the meticulous recording of remains (Cardy and Sabine 2002, 67). Indeed this view is espoused in the literature produced at the time, a view that often draws a contrast between the competent ‘professional’ and the leisurely excavator of the Antiquarian tradition, and berates the damaging investigations of many untrained individuals and local societies (Grimes 1943).

Towards the end of the war increased attention was focussed on the threat and opportunity posed by the clearance and re-development of bomb damaged urban centres such as London and Canterbury (O’Neil 1948). In an attempt to co-ordinate the archaeological response, the CBA was established out of the existing Congress of Archaeological Societies (CAS) in 1943/1944 (Morris 2007, 344). The inaugural meeting of the CBA outlined a national archaeological system, split into the traditional regions comprised of existing Societies, museums and excavation committees (*ibid*, 345). However, whilst some welcomed increasing State-directed fieldwork, with the Societies focusing on education, others were more sceptical about the need to merge into larger regional groupings (Grimes 1944; Morris 2007, 345). Ultimately attempts at forging the CBA into a ‘Central Council for Archaeology’ with fieldwork and publication coordinated and funded through the Ministry of Works never grew to fruition, owing to a combination of austerity economics and a clash of the personalities involved (Morris 2007, 346–47).

Following the end of the war, and in-line with the Keynesian boosting of the economy, government funds continued to be directed (via the Inspectorate) to excavations in advance of widespread re-building and reconstruction projects (Butcher and Garwood 1994, 9; Crump 1987, 41). By 1972 — the year that professional units were eventually introduced — the impetus and funding of the majority of archaeological excavation been radically altered (Rahtz 1974). Rescue, or salvage, archaeology was commonplace, and the levels of work being undertaken had risen to unprecedented levels (Everill 2009; Fowler 1977; Roskams 2001). These excavations were nearly always undertaken on an ad-hoc basis, with directors and staff hired on a short term basis and especially for those undertaken outside of centralised funding, with little money available for payment, and with little capacity for post-excavation and publication (Rahtz 2001). Thus the years 1938-1972 have retrospectively been labelled as the “Heroic Age” of archaeology in England (Cunliffe 1994, 7). It was an age that was simultaneously one of hardship but also one that presented opportunities for a scale of excavation never before attempted and one that ultimately made the reputations of its leading practitioners (Wainright 2000, 911-914).

It is the cultural shift from a discipline concerned with research to one undertaking larger levels of salvage work that defines the Heroic Age. Writing in the 1950s, Wheeler could observe that:

“At the present time field-archaeology is still dominated in Britain by special conditions arising out of a hard war and a harder peace. It is conditioned, too often by the incidence of a bomb-hole or a housing scheme or an aerodrome, or by sheer economic duress, rather than long-term planning” (1954, 135).

In this remark Wheeler notes a distinct sea-change that had occurred between pre and post-war archaeology, as well as rather presciently noting one of the key themes to haunt archaeology in the forthcoming years; a lack of strategic planning and structure. This concern over the increase in excavations but the perceived lack of a research culture can be seen echoed in many statements from academic/establishment figures such as Piggott (1963) who were becoming less involved in the ever increasing levels of salvage fieldwork.

The extent to which rescue had overtaken research is difficult to ascertain, in the overview of government-funded works 1938-1972 it has been estimated that up to over 1100 such excavations took place (Butcher and Garwood 1994, 10). Writing nearer the time, Fowler (1977, 170) put this number at 1433 excavations (including non-governmental works) undertaken 1961-1972. The truth may well be that despite best efforts at data collation such as the Excavations: Annual Report (Darvill and Russell 2002, 5) the destruction of records and the ambiguity of Inspectorate records (Butcher and Garwood 1994, 10) means that the exact number of all works will perhaps remain unknown. Similarly, although the literature describes a rapid development of excavations in urban areas such as York, Winchester and London, the extent to which the quantity of excavation works was consistent between all historic urban centres is rarely analysed (Heighway 1972; Rahtz 1974; Thomas 1974).

2.2.2 *The Rescue Age 1973-1989*

The end of Cunliffe's Heroic Age is signalled by the appearance of the regional and urban archaeological units, increased levels of government funding, the creation of designated Sites and Monuments Records and the development of archaeological posts within local government (Barker 1987; Everill 2009; Robinson 2000; Wainwright 2000). It is in this period that the term and concept *rescue archaeology* is cemented within the archaeological (and wider) community with the inauguration of the *Rescue* group and the publications of *Rescue News* respectively (Hudson 1981; Hunter *et al* 1993, 35-36; Rahtz 1973; Thomas 1974, 14). At the beginning of this period, although Inspectorate funding continued for individual projects, central government grants for rescue archaeology were channelled by means of block grants to archaeological units (HBMCE 1986, 4). This was changed in 1981/82 with the introduction of selective funding policy, whereby grants for projects had to be justified according to a framework of academic priorities (*ibid*). Prior to the establishment of PPG16, this effectively

splits the *Rescue Age* into two; the idealistic unit model on one hand, and the return to rescue grants, albeit on a restricted scale, on the other.

A notable development is the significant contribution made to archaeological funding from 1973-1987 by the Manpower Services Commission (MSC), a non-governmental body established co-ordinate employment and training services in the UK (Crump 1987). The MSC became a major source of archaeological funding, for example in 1986 it provided £4.8 million for archaeology, compared to £5.9 million from the Historic Buildings and Monuments Commission (*ibid*). A recent review of one such MSC excavation at La Grava, Bedfordshire, has highlighted some of the pitfalls but also the unexpected benefits (such as encouraging hitherto uninterested people to pursue a career in archaeology) of such undertakings (Baker 2011). Indeed, many view the MSC and YOP schemes as introducing people to archaeology that would not otherwise have participated, and that when supervised and motivated were capable of undertaking extremely skilled work (Carver 2010).

To this day the term rescue archaeology evokes emotive images of archaeologists reacting to imminent destruction of remains, often under-funded and working beneath the shadow of heavy plant and construction materials. Likewise the rich social and economic histories of the Rescue Age document the frenetic rate of change and sense of optimism of the period (Barker 1987). However, these histories also record themes of threats, failures and schisms within the discipline. Originally writing in 1977, Philip Barker, one of the founders of *Rescue*, compares the merits of research and rescue-based investigations thus: “If sampling excavations ... can be misleading, how much more so will be those whose course is dictated by the progress of a building schedule or the availability of a bull-dozer” (1993, 13). This quotation reflects the moral quandary of *Rescue* - that good excavations were undoubtedly needed, but also that the situation had perhaps gone too far towards salvage at the expense of forward-planning. This sentiment also illustrates what would become a growing divide between the desired and the real situation. This difference has developed over the following years, with *real* excavations becoming more and more detached from the world of research and academia. Thus Hodder (1989, 263) is able to distinguish two types of archaeological resource; that used for academic hypothesis testing and that belonging to the world of the utilitarian rescue, a divide encapsulated in Carver’s, perhaps light-hearted, distinction of “archaeologists who also dig” (1989, 666).

With the increase in the number of organisations and excavations the Rescue Age also becomes the cradle of the first professional full-time archaeological excavators. Excavations in the preceding Heroic Age (especially pre-1960s) were undertaken ad-hoc by university staff, local societies, and volunteers (Rahtz 1974, 54) with those of the 1960s and early 1970s perhaps dominated by ‘big names’ such as Biddle and Cunliffe. Although the Rescue Age still

contained a fair proportion of volunteers and unskilled labour (*ibid*), there was an increasing professional class based within the big excavations and the emergent units (Berggren and Hodder 2003, 423). A case in point would be the history of archaeological work in York, where in the 1950s and 1960s, nearly all observations and excavations were undertaken by local experts (Hall 1996, 23). This changed in 1972 with the formation of the York Archaeological Trust (YAT), which henceforth has undertaken the vast majority of work in the area (*ibid*).

This increasing professionalization is represented by the foundation of the Institute of Field Archaeologists (IFA)⁴ in 1982 (Everill 2009, 28). The emerging gap between professional and non-professional can also be illustrated by the founding of another publication, *Current Archaeology* that aimed to bridge the gap between the amateur and the professional (Selkirk 2010). The fact that an independent movement had begun indicates that archaeology was now split again into, if not a hierarchy, then into different sectors or cultures. In his summary of the period, Wainwright (2000, 916) paints an emotive picture of a dynamic, political period; one charged with an underlying sense (from the increasingly professional archaeologists) that the structure of archaeology had to change, and was changing for the better. This is at odds with the more sceptical musings of Fowler who notes the state of connectional and organisational flux (1977, 25) as well as the “disenfranchisement” of the non-professional (*ibid*, 169).

2.2.3 Professional Age 1990–present

The culmination of the preceding decades of rescue archaeology, and the limitations of state funding to cover the large numbers of sites threatened by development, was Planning Policy Guidance Note No 16 on Archaeology and Planning, more commonly known as PPG16. The note was published by the Department of the Environment in November 1990, spurred on by high profile cases in York and London and a growing sense within society at large of the principle of the polluter pays (Hudson 1981; Hunter *et al* 1993). The document and its recommendations are well known to all UK archaeologists, with the result that, since 1990, governmental planning advice has switched the financial burden of recording archaeological remains from the state to private sources (Aitchison 2000, 1; Chadwick 2000; Darvill and Russell 2002). In the aftermath of PPG16, analytical studies have shown that not only has the number of investigations continued to rise, but that the majority of excavations in England are now engendered by development (Darvill and Russell 2002, 56). The most recent estimates have put the number of planning-led excavations at over 93% of the annual total number of interventions undertaken in England (Ford 2010, 1).

⁴ During the writing of this thesis the IFA gained Chartered Status, and is now the CIFA. For simplicity CIFA will be used throughout.

This would, outwardly, seem to indicate a success for archaeology; fewer burdens on the state, more excavations, funding for all projects through the developer, more data for researchers, and nourishment of the discipline which in turn feeds into the knowledge base that influences future mitigations. However, ten years after the implementation of PPG16 Baker and Morris could reflect:

“PPG-16 is not a strategic blueprint for a knowledge-based activity, and nor should it be; in those terms it is tactical, an environmental land-use planning document for managing threats to the material inheritance. It is not designed to provide wider access to results through the social purposes of research, education, tourism or community interest. In the absence of parallel provision for such access, economic forces to which archaeology is secondary have sapped the discipline’s primary strength as a knowledge-based activity” (2001, 609).

Case studies on the failings of PPG16 are myriad, particularly the discrepancies amongst local authorities in their implementation of the guidelines (Chadwick 2000; Mellor 1997; Pagoda Projects 1992; Tym 1995). Chadwick (2000) in a ten-year review of PPG16 cites situations in Sheffield and Doncaster, where the lack of resources available to local authorities was intrinsically linked to the failure to implement the recommendations of PPG16, and the subsequent loss of archaeological sites. Further anecdotal examples from sources as *Rescue News* add to the picture of a system that varies in its success from region to region (Kidd 1997). Variations in stipulations for planning-led excavations (or evaluations) must therefore have a knock-on effect for the quality and quantity of the work undertaken. With the current economic crisis affecting all sectors of archaeology, but notably local government funding (Aitchison 1999; 2010b; Aitchison and Edwards 2008; ALGAO 2013), this uneven situation looks set to continue.

Given the attention given to rescue and development-led excavation, it is interesting to note that the large numbers of works undertaken outside of the planning process. Analysis by the AIP identified of all investigations recorded between 1990 and 1999, 11% were undertaken outside of the planning process, or the English Heritage rescue budget (Darvill and Russell 2002, 54). Of these, just under half were research projects carried out by professional contractors and universities, and 28% undertaken by those that were classified as voluntary or self-interest (*ibid*, 45). The analysis by the AIP showed that university excavations were generally on the decline, explained as a consequence of the relative expense of undertaking extensive fieldwork within the UK (*ibid*, 54-55). A similar decline is also noted in the annual figures of investigations by the voluntary sector; though this trend may be balanced against the increase in such groups since the 1990s. Writing in 1993 Thomas (1993, 39) could identify over 150 small local voluntary groups; recent work has shown this to have grown to 2030,

representing over 200,000 individuals (Thomas 2010). Considering the extent to which commercial investigation is thought to dominate this is a significant number, and indicates that a healthy culture of private excavation still exists in the country (*ibid*).

The statistical divide between commercial and research investigations has been reflected in a growing schism between the “two cultures” of contractors and academics (Bradley 2006). The divide is manifest in the philosophical and practical approach adopted by these two groups as well as in the manner of reporting and the style of prose used (Carver 1989, 667; Hodder 1989). The rift creates distinct spheres of knowledge, and the potential for knowledge not to be transmitted or communicated. Indeed, Bradley warns of the dangers to academics: “it is doubtful whether anyone ... really knows what has come out of fieldwork in the last 20 years” (Bradley 2006, 2) and the professional working with PPG16 and its successors: “that work is supposed to inform strategic planning and decision-making but, cut off from access to much of the relevant information” (*ibid*). This seems somewhat pessimistic as the two cultures are not mutually exclusive, for example there have been archaeological units started by and attached to academic departments at London, Birmingham and, Sheffield amongst others. There is also precedent for crossover of staff, normally from the field to the academy: for example, Philip Rahtz and Martin Carver (Carver 1989, 667). Historic England has also reacted to the criticisms of PPG16 and preservation by record with the implementation of PPS5 and latterly the National Planning Policy Framework (NPPF), with the idea that the emphasis should shift from ‘creating records’ to offsetting any destruction of the archaeological resource with advances in research (Thomas 2009).

Furthermore, in recent years a number of projects based within the planning process have aimed to bring research back to the heart of the process. Some such as Heslington East do so by establishing an academic research design and by setting the results within research themes as well as involving an academic department in fieldwork (Ottaway 2010, 17; Roskams *et al* 2013). Others are more ambitious, such as the Framework project at Stansted and Heathrow, which aimed to combine interpretation within the excavation process (Andrews *et al* 2000, 525-526). The two examples cited are interesting, as the similar approaches - to move away from the much-maligned recording exercises – towards a concerted effort to build a project design on existing research priorities. The Framework project encapsulated the ethos within its very name, to set a standard for co-operation between leading field practitioners and academics to achieve a more holistic archaeology (*ibid*).

2.3 Publication versus archive

A recurrent theme in the previous section and indeed almost any archaeological treatise is the issue of publication, “the ghost that haunts all archaeology” (Scott 1990, 954). Any study of the

diverse subject of archaeological publication must automatically defer to the work undertaken as part of the PUNS project (Jones *et al* 2001). The PUNS report was commissioned in 1998 partly in reaction to a perceived under-use of archaeological project publications and archives, and partly because of uncertainty about what archaeologists and lay readers wish to derive from them.

2.3.1 Beginnings of the publication crisis

From the beginnings of modern archaeological practice in England, the concept of preservation by publication was generally accepted as the requirement of any excavation (Richards 2004). However, this model was latterly rocked by the rapidly increasing number of excavations engendered by rescue and salvage that due to time and financial restrictions could never be written as a single volume (Jones *et al* 2001, Section 2). The exciting yet uneven backdrop to many salvage excavations often meant that staff and archive were often scattered after the end of a campaign. As Addyman writes of one site: “the results from one side of the fence languish in a cellar in York, while those from the other are incarcerated, unpublished and inaccessible in Fortress House” (1974, 1). The extent of the backlog was so severe that in the early 1970s some of the leading practitioners in British field archaeology reviewed and redefined recording and publication. The findings and recommendations, the so-called *Frere Report*, advocated a rationalisation of recording and publication. Four levels of recording were held to characterise the successful completion of an excavation, specifically a complete archive (Level III) and a synthetic description (Level IV) (AMB 1975, 3). In essence, the Frere Report responded to the publication crisis by advising a reduction in the amount of material that would go into print in monographs and journals, coupled with an improvement in the organisation and curation of archives.

2.3.2 Post-Frere

An increased emphasis on the archive brought about theoretical challenges from those who debated the reliability of a *preservation by record* approach (Jones *et al* 2001, Section 2). In addition the challenge of compiling a comprehensive archive was often more time consuming than preparing a publication (Richards 2004) The *Cunliffe report* (*ibid*) undertaken by the CBA and the Department the Environment under the chairmanship of Barry Cunliffe thus provided a redefined notion of publication and archive. This model advocated discrimination on what to include in a publication, with an emphasis on synthesis, as well as reliance on archival records in microfiche (Cunliffe 1983). As Richards notes:

“The report had considerable impact but its implementation was problematic and was rejected by the CBA's own Council. With the benefit of hindsight it seems that one of

the main problems was practical and stemmed from difficulties with the technology of the 1980s. At that time no archive could truly be accessible, and the use of microfiche was universally loathed.” (2004).

However, the key aims of these two reports — to make publication an explicitly selective process — were enshrined in the publication of MAP2 in the early 1990s (English Heritage 1991b). In this model publication and archive strategies would be dictated by a post-excavation assessment and updated project design, essentially allowing such processes to become more reflective and reactive (*ibid*).

Following MAP2, a further report by the Society of Antiquaries (SoA) built on these recommendations by urging further selectivity in what and how to publish (Carver *et al* 1992). To quote verbatim from the PUNS report:

“The SoA Report used these arguments to press a policy of selective publication. It recommended that appropriate dissemination be achieved through the creation of an ‘accessible site archive’ and the publication of a summary report, the definition for which was derived from the minimum requirements for publication outlined in Appendix 7.1.1 of MAP2 ... The basic requirement for a project publication was thus reduced to an outline of the research objectives and circumstances of the work along with a summary of the results and the contents of the archive ... Beyond this, the SoA Report recognised that, following post-excavation assessment, ‘it may be agreed that, in addition [to the summary report], the project or some aspects of it, deserve analysis leading to full publication’ dealing with data from one or several sites synthetically. Alongside these steps, the Report advocated the production of a new annual publication which would contain the summary reports of completed projects, the locations of archives, a list of all archaeological fieldwork undertaken within the year, and commissioned papers providing an overview of selected themes” (Jones *et al* 2001, Section 2.3.5).

However, despite the advocacy of a brave new world in publication practice, the SoA report was widely criticised, mainly due to a contemporary reaction to the perceived simplicity of a summary report, but also as with the Cunliffe report the reliance on archives that were not truly accessible to all (Hills and Richards 2006). Although it is the most recent, and in some respects most radical of approaches to the publication crisis suggested by the archaeological community, it has remained unimplemented.

The publication debate has been complicated by the advent of PPG16 and the ensuing rise in investigations (Darvill and Russell 2002). For, although PPG16 suggests that developers

carry the cost of the publication of results, a definition of publication is not provided (DoE 1990, para 25). Indeed the next paragraph states that “agreements covering excavation, recording and publication may take different forms” (*ibid*, para 26). Recent studies have shown that this has led to a lack of consensus (at a national and local level) on what should be published, as well as publication requirements themselves (Holbrook and Morton 2008, 56). This ambiguity in the desired outcomes of excavation has been exacerbated by a perceived lack of funding from developers for *research* as opposed to dutifully reporting what was found (Biddle 1994, 16). The notion that developers should pay for high quality publication is demonstrated by the current policy of the *Proceedings of the Prehistoric Society*, which will not accept papers for publication derived from developer-funded excavations unless they are covered by a grant of at least 75% of printing and binding costs (Thorpe 2004). Thus the most common published output from planning-led investigations is the ubiquitous and so-called grey literature: a report produced by a contracted organisation and not issued by a commercial publisher.

The content of a typical grey literature report produced through development control can vary significantly according to the requirements of the curatorial archaeologist acting as archaeological advisor to a Local Planning Authority, as well as the role within the planning process (Falkingham 2005). In recent years it is commonplace to compile a post-excavation assessment report following the guidelines of MAP2, which seeks to summarise what has been found, assess the potential of these data to address specific research questions and propose an appropriate level of further analysis to be contained in the final published report (Fulford and Holbrook 2011, 324). The common perception of grey literature is that whilst it may provide an assessment, or a technical report of what was found, it often lacks context and understanding of the site (Evans and Hardman 2010). Most organisations have developed their own house style in the presentation and format of their reports, using a particular layout or template, company branding and unique reference number. Due to this variance in production and content, these reports have often been labelled as indicative of poor quality, and thus the epithet grey is not only used to denote its liminal status but also implies the value of the information within (Aitchison 2010a, 237; Chadwick 1998; Champion *et al* 1995). The perception of greyness as a negative connotation has also been dictated by the perceived problems in accessibility. Traditionally, paper copies of each report produced through development control were sent to the relevant HER, client, NRHE, and Museum. The problem with a largely paper-based approach is that any consultation of the grey literature for an area required a physical visit to an HER, which on occasion would have gaps in their records where reports had not been submitted, or on rare occasions misplaced (Brookes 2003; Evans and Hardman 2010).

In recent years and primarily via the advent of online dissemination via the OASIS system, the realities and perceptions of grey literature have begun to change. A cursory search of the ADS Library of Unpublished Fieldwork Reports shows the extent to which online documents have become a valid route for the dissemination of results from both smaller evaluative and larger post-determination excavations. Increasingly, it seems that for smaller excavations with results that do not require an Updated Project Design or a larger publication format, online assessment, archive or data structure reports appear to have become a de facto publication outlet across the country, for example:

- Cornwall (Goacher and Mossop 2011)
- Cumbria (Hunter Blair 2009)
- Worcestershire (Rogers 2010)
- Leicestershire (Morris 2012)
- Suffolk (Sommers 2013)
- Greater London (Barrowman 2012)
- Northumberland (Amat and Cockburn 2009)

All of these examples are produced electronically and specifically for wider online dissemination (via the OASIS system) as part of the reporting/archive strategy, effectively bypassing the old accessibility issues and are altogether a different phenomenon to their typescript predecessors. Indeed, it can be argued that the digital reports produced today have little in common with their counterparts of the early 1990s. As documents have been produced and disseminated digitally, presentation and content have evolved accordingly. For example, consider three excavation reports from the county of Lincolnshire and three reports by one organisation (Wessex Archaeology) produced over nearly a quarter of a century (Figure 2.1):

- A report written 1990 by the Trust for Lincolnshire Archaeology on excavations at Corporation Yard, Boston Lincolnshire (Trimble and Brown 1990);
- A report written in 1994 by Wessex Archaeology on excavations at Montefiore Halls of Residence, Southampton (Crockett 1994);
- A report written in 2000 by Pre-Construct Archaeology on excavations at Nelson Road, Fiskerton, Lincolnshire (Anon 2000);
- A report written in 2004 by Wessex Archaeology on work at Addington Street, Waterloo, London (Wessex Archaeology 2004);
- A report written in 2010 by Cambridge Archaeological Unit on excavations at Langtoft, Lincolnshire (Hutton and Dickens 2010);
- A report written in 2014 by Wessex Archaeology on investigations at Seven Stars Public House, Marsh Baldon, Oxfordshire (Good 2014).

Comparing these reports it is clear that, leaving aside the thorny and subjective concepts of quality of interpretation, as time progresses reports become relatively standardised, with very clear and detailed information on the site location, project codes (including museum accession numbers), methodologies, site plans, specialist finds reports, abstract of results and so forth.

The improvement in the quality of fieldwork reporting is corroborated by the results of an Historic England funded survey into the attitudes of the (UK) archaeological profession to grey literature (GLADE), which in 2010 found that the majority of correspondents thought that the quality of information within fieldwork reports was satisfactory (Evans and Hardman 2010, section 4). The most common criticisms related to signposting the location of the archive and the interpretation of results, especially in respect of the wider archaeological context, although those correspondents who felt that the interpretation was poor were balanced by an equal number who thought that it was good (Figure 2.2). The same survey also identified an interesting dichotomy in attitudes to the grey literature corpus, to highlight some representative quotes in brief:

- “There is a problem of access and awareness of its existence.”
- “Knowing it exists and getting hold of it can be difficult”
- “...it is the fulfilment of an obligation. It seems to be mainly academics who are having a problem in coping with too much primary data.”
- “...unavoidable as long as most work is aimed at the planning process: very little of it deserves/needs to be other than grey lit. It is a problem when a site that deserves to be published languishes as grey literature, but there probably aren't as many of those as people might imagine/fear.”
- “Providing they are made accessible then there is no problem as it is unfeasible to publish everything” (Evans and Hardman 2010, appendix 1).

These findings demonstrate a fascinating polarisation of views on access, undoubtedly dictated by regional experiences and sectorial perspectives (see Aitchison 2010a). What they do suggest is that – at the time the GLADE report was written – a grey report had become a valid method of publication in the literal sense of the term and through online access had achieved a sense of immediacy in the dissemination of results. Yet this cautious optimism should also be balanced by the increased pressure on local government archaeologists in recent years (ALGAO 2013). This not only affects their involvement in the planning process itself, but also their capacity to check and comment upon reports (Rescue 2013). The ramifications for this on the outputs produced through commercial archaeology are serious; although there may always have been a difference in reporting strategies according to the requirements of local authorities, the quality may be affected by the lack of this peer review. Indeed, from a point where increased use of web technologies has potentially created a new and interesting

life for grey literature, lack of finance, and the options of local authorities in their choice of funding and structure, is potentially restrictive.

2.3.3 Preservation through record

The publication crisis and shift away from preservation through publication has placed increased pressure on the importance of a secure and available archive. However, historic reviews have consistently highlighted the issues and threats faced by the curatorial sector (Condrón *et al* 1999; Perrin 2002; Swain 1998). Among these are practical issues such as lack of space, the lack of museum coverage for certain areas, and archives still held by contracting units (Perrin 2002, 6). At the time of writing the capacity of museums to take additional archives is also severely threatened by cuts to local authorities and the resulting loss of funding to respective museum facilities (Edwards 2013). The notion of a crisis in archives is perhaps more imminent than a crisis in publication. The pessimism over archives can also be extended to digital records created through fieldwork. Since an initial survey of digital data holdings by the ADS in 1999 drew attention to the lack of resources dedicated to the digital record the situation has arguably not improved. A more recent survey of local authority museums has highlighted the lack of capability of many of these organisations to adequately curate digital files in addition to the physical counterpart (Edwards 2013, 8.18). To some extent this has begun to be mitigated by partnerships between museums (such as Southampton and Exeter) and the ADS, with the latter acting as a specialist digital repository (Hardman *pers comm*).

Another issue for archives is one of accessibility, with the 2002 Archaeological Archives: Documentation, Access and Deposition report highlighting the lack of documentation within archives prohibiting effective reuse (Perrin 2002, 18). This is corroborated by Swain who notes:

“It is noteworthy that although the archive should represent a vital resource in terms of planning for the in-situ archaeological resource, it is largely unused in terms of providing reference collections, supporting the SMR and as a resource for contracting archaeologists.” (1998, 43).

As some have highlighted the written outputs of commercial excavations have been hidden from public view (Lock 2008), but it is also important to note that the record by archive is also relatively untouched. It is thus interesting to note that, while availability of reports is becoming more widespread through digital technologies (Hardman 2010), the raw materials on which these are based remain untapped. In many ways the pessimistic view expressed by

Carver that, “our past was to be transmogrified into immense unpublishable archives of factual importance” (1989, 672) is still familiar over twenty years on.

A very current threat to ‘preservation through record’ is presented by the global economic crisis with the resulting increasing financial pressure on all archaeological organisations (Aitchison 2011b, 79). At the time of writing the UK is emerging from the grip of its deepest recession since statistics were first published in 1955 (Meaning and Portes 2014). In a situation with parallels across the globe the archaeological sector has been adversely affected by this crisis, resulting in a decrease in development-led work, cuts to national and local services, and a drop in employment levels (Schlanger and Aitchison 2010; Rescue 2013). As a report by the Association of Local Government Archaeological Officers (ALGAO) notes, the numbers of archaeological advisors, including Historic Environment Records officers, has fallen by 28% since 2006, with indications that heritage services are amongst the first to be reduced or eliminated by local authorities when cuts are required to meet central government spending targets (ALGAO 2013; Lloyd-James 2014). Furthermore, the breakdown of statistics shows that whilst most regions have seen decreases in the levels of full-time historic environment specialists, the Northwest and West Midlands have been worst affected. To quote *Rescue*:

“These findings confirm the anecdotal information collected by RESCUE over the same period which indicates that heritage services are amongst the first to be reduced or eliminated by local authorities when cuts are required to meet central government spending targets. Specific examples include the closure of the Merseyside HER and the withdrawal of advice to five local authorities (Knowsley, Liverpool, Sefton, St Helens and Wirral) in a region that includes the Liverpool waterfront World Heritage Site. Other areas affected by severe cuts include the West Midlands where Sandwell and Dudley no longer have HERs, Walsall has no archaeological officer and where the whole of Birmingham is the responsibility of one individual.” (2013, no pagination).

Concordant with the recession and downturn in the number of planning-led investigations being undertaken has been the closure of the field units at the Universities of Birmingham and Sheffield. In these cases there have been signs that due to the costs of University overheads in tenders, these units were becoming less successful, and that these were increasingly seen as a weak link in coordinated efforts to maximise income potential at a larger faculty level (Aitchison 2011b). In a recent review, Cumberpatch (2009) identifies several sites from ARCUS projects that have not reached archive due to the closure of that organisation. If we consider that there are numerous physical and digital archives not deposited with museums (Swain 1998, 8; Edwards 2013) the potential for massive loss of data is clear. Although efforts — with funding from Historic England — are being made to transfer physical and digital

archives still lodged with institution such as BUFAU to repositories (Buxton *pers comm*), the threat of data loss still remains.

2.4 Collation of the archaeological record: Event recording in England

A consequence of the growth of archaeology and the large number of investigations taking place in England has been the difficulty in accurately and comprehensively recording them at a national level. The situation reached a critical point in the early years following PPG16, as the discipline at large struggled to cope with providing any overview of investigations taking place (Carver *et al* 1992). The sense of epistemological unease was only confirmed with Richard Bradley's (2006) realisation that his research and teaching, was potentially undermined by his lack of knowledge of recent and pertinent discoveries to his field. Against this background and the concerns of academia, there has been a significant history of what may be loosely termed event-level recording which provides a fascinating insight into the travails of archaeological information management.

Historically, attempts to collate and disseminate information on recent discoveries have been via notes, gazetteers or abstracts. Prior to the Second World War discoveries and excavations had been listed in the annual report of Earthworks Committee of the CAS (Darvill and Russell 2002). From the late 1940s the CBA produced an annual gazetteer of sites known as *the Archaeological Bulletin for the British Isles*, later to be renamed the *Archaeological Bibliography of Great Britain and Ireland* (Robinson 2007, 25). From the late 1960s the CBA also issued *British Archaeological Abstracts* (BAA) which, alongside the Bibliography, provided an abstracts service covering the published material being produced by all investigations (Heyworth 1992). However the inclusion of a project was dependent on it being published, which with the frequent lack of publication, or delay, in projects often led to gaps in coverage (Robinson 2007, 25). In 1991 the CBA replaced the abstracts service with the British Archaeological Bibliography, latterly the British and Irish Archaeological Bibliography or BIAB (Heyworth 1992). Again, inclusion was based on the location of a published article, although latterly this has included consultation of regional gazetteers as well as the records of the AIP project to include grey literature (Heyworth *pers comm*). However, updating of BIAB has become problematic, with no new grey literature records added since 2008, as well as issues with securing continued funding for freelance abstractors to collate new records (Gilham *pers comm*). At the time of writing the fate of BIAB is uncertain, with a proposal to host via the ADS, alignment with the Excavation Index and update through OASIS being considered by Historic England (*ibid*).

The beginnings of the recording of events can be traced back to 1920, and the appointment of an Archaeological Officer (OGS Crawford) within the Ordnance Survey (OS) to compile a list of all archaeological sites (Cleere 1984, 60). Although primarily an inventory of sites as opposed to events, this was the first formal attempt to create any national inventory of antiquities in England. Unfortunately, most records were destroyed as a result of bombing in 1940, and the records were created afresh thereafter (*ibid*). Subsequently, site records - with details of any corresponding event such as a survey or excavation - were created and monitored by the OS as a “quick basic record” (Robinson 2000, 92). The majority of these records were copied by hand to the nascent SMRs in the late 1960s/early 1970s, and have latterly formed part of the collation of event records that has been a facet of the evolution of Sites and Monuments Records towards Historic Environment Records since the late 1990s (Catney 1999; Robinson 2000). When the OS Archaeology Division was dissolved in 1983 all records were transferred to the National Monuments Record (NMR) of the Royal Commission on the Historic Monuments of England (RCHME). These records were added to an existing, if somewhat newer, dataset: the Excavation Index of the RCHME, created in 1978 as an attempt to separately record archaeological events being undertaken by the organisation, as opposed to the monuments (RCHME 1998). With the development of the event-monument-source data model by RCHME in the early 1990s, the Excavation Index was incorporated into the MONARCH database alongside monument and archive records (Informing the Future of the Past 2015). As RCHME merged with English Heritage this system was replaced by NewHIS and latterly AMIE, with the responsibility for updating the record has been with staff of the NMR, latterly the NRHE (*ibid*).

The Excavation Index has traditionally been updated with information from a wide range of published and non-published sources. Trawling of relevant journals, reports and monographs is augmented by direct data exchange with a number of contractors and curators across the country (Barratt *pers comm*). In addition, for the PPG16 period (post-1990), the record combines data collected by two projects: AIP and OASIS. The genesis of the AIP was the Assessment of Assessments Project commissioned by English Heritage and prompted by the problems and challenges in planning-led archaeology in the 1980s and 1990s (Darvill and Russell 2002, 4). The results and conclusions from that work were published as three volumes under the title *Planning for the Past*. One of the main problems highlighted was the inaccessibility of information about exactly what kind of archaeological work was taking place, when, and where (*ibid*). Thus in 1995 the AIP, funded by English Heritage, was created to document on-going archaeological practice and achievement within England as a contribution to monitoring the state of the historic environment. The methodology of the AIP was based around project personnel visiting archaeological organisations and record offices to consult the grey literature produced during a specific chronological period (*ibid*).

The aims and scope of the AIP were originally separate to the Excavation Index, being focussed on compiling data to report to English Heritage on investigative and reporting trends. However the similarity yet disparity of these records was obviously a cause for concern, and in the late 1990s the OASIS project (phase I) was developed in response to the need to provide a single unified index to archaeological investigations, a means of accessing the associated grey literature, and an online method by which the index could be maintained (Smith *et al* 2012, 12). A major achievement of the project was to integrate the AIP records with the Excavation Index to provide a single combined list: a fully unified record for archaeological interventions 1700 to 1998. The enhanced Excavation Index was then incorporated within the Archsearch database held online by the ADS. It is interesting to note however that in the 2002 published review of AIP data, the introductory chapter gives a potted review of previous attempts to publish annual (or periodic) gazetteers of archaeological investigation. Although the Excavation Index is mentioned briefly it is critiqued as “Its coverage, however, relies heavily upon the completeness of earlier records and the availability of information sent to it” (Darvill and Russell 2002, 5). Thus the AIP is brought forward as the best point of access for records of *all archaeological work* in England (*ibid*).

Following the success of OASIS I, a new online form to provide a method of continuously updating this index was proposed. The proposed form was intended to compile all the information needed to populate the AIP database, and information would be entered by the contractor, and then submitted to the local HER, and also to the NMR for validation and inclusion in the Excavation Index (Hardman 2003). Following an initial pilot (OASIS II), national form (OASIS III) was introduced in 2004, with an emphasis on enabling a consistent and reliable method of data transfer between systems (Smith *et al* 2012, 10-12). Since that point, an OASIS record has been used as the basis of new Excavation Index records. In addition, data collected through OASIS has intended to be incorporated within the AIP dataset, to inform their records but also to provide a continuing concordance between these systems. Since 2006, OASIS has also facilitated the upload of reports (grey literature) to a record, thus allowing access for the AIP, and where necessary permissions have been produced, disseminated online via the ADS (Hardman 2010).

The success of this attempt to provide a co-ordinated approach to the recording of archaeological events and sources via OASIS has been the subject of two reviews (Smith *et al* 2012; Gilham and Hardman 2015). From consultation with all interested parties it is evident that there are strengths and weaknesses in the system, or at least how the system is perceived, which has led to an inconsistent uptake across the country (Smith *et al* 2012). That being said the capacity for a centralised portal for data entry, sharing and dissemination, particularly of grey literature, is clearly valued (Gilham and Hardman 2015). Indeed, any future version of OASIS would appear to be directed towards not only simplifying the process of data entry, and

alignment with HERs, but placing increased emphasis on the importance on access to grey literature (*ibid*). However, it is also clear that the main purpose of OASIS as a co-ordinating force via the online version of the Excavation Index has either been forgotten, or never understood by sections of the archaeological community. The Index seems to have a relatively low profile in research and practice as opposed to the AIP (cf. Bradley 2007; Fulford 2011, 38).

Despite the aims of the AIP to create a one-stop-shop, recent projects seeking to collate a record of archaeological excavations have only highlighted the difficulty of ascertaining what was done, by whom, when and where. For example, a bibliographic survey of the Trent Valley identified an apparent shortfall manifest in the disparity of records between the AIP and the holdings or records of an SMR/HER or contracting unit (Brookes 2003). In addition a review of archaeological excavations on aggregates bearing lands showed that interventions recorded in the AIP only represent between 80-90% of the total number undertaken each year (Brown 2004, 7). In a separate project, analysis of AIP data by Cotswold Archaeology and Reading University confirmed this shortfall (Holbrook and Morton 2008, 7). Further in-depth analysis for the counties of Essex, Somerset, Warwickshire and South and West Yorkshire by the same project team showed the potential shortfall of all investigations (i.e. not just excavations) in the AIP to be as high as 56% (Fulford and Holbrook 2011, Table 2). These studies have attributed the shortfall to the thoroughness of records kept by units and HERS as well as difficulties of the AIP in gaining physical access to reports, especially if no report is ever produced. From this review the AIP does not, therefore, appear to provide the level of coverage originally intended.

Aside from the gaps in AIP coverage, and the inconsistency in use of OASIS, very little work has been done to establish the levels of consistency between these national and local records since the concordance exercise and rollout of the various OASIS projects. Those that have been undertaken have highlighted the continuing inconsistency that can be found when attempting to reconcile records from numerous sources. For example, a collation of bibliographic sources in the Trent Valley not only found inconsistent coverage levels between HERs, but that the proportion of grey literature reports not present within the HER or AIP and NRHE also varied (Brookes 2003). In most cases it was possible to identify c.90-95% of these reports either in HERs, via AIP references or directly from source contractual units. However, on average a shortfall of around 30% was recognised between reports produced, and cited independently via either the AIP, the Excavation Index for England, or by fieldwork practitioners, and actually archived in the relevant SMRs. “Significant difficulties were encountered in collating those electronic references received from different sources, such as SMRs, AIP or English Heritage Excavation Index for England. It is clear from information received that data standards have not been adopted multi-laterally across these organisations” (*ibid*, 18).

Of course, this was precisely the type of inconsistency that OASIS (III) was introduced to alleviate. A more recent survey in North Yorkshire has provided interesting comparative results. A study of concordance between the recording of events in North Yorkshire HER, OASIS and AIP identified a significant level of discrepancy between the three sources (Turner 2010). It seems this discrepancy was not only created by methodological differences in recording events as opposed to sites, but also in using the existence of a report to represent a single event (*ibid*). The report goes further and also identifies duplicates and missing records in all sources, thus omitting excavations by academic institutions, contracting units and local groups (*ibid*). It must be stated that this is only one case study, but the existence of disparity as well as overlap between local and national sources is a consistent issue (Boldrini *et al* 2015; Kamash *et al* 2013). At the time of writing Historic England's Heritage Information Access Strategy (HIAS) is looking to formulate a single, logical, digital and shared national heritage record, with HERs as the primary point of contact for information such as events (Historic England 2015).

2.5 Conclusions

This brief overview has introduced some areas for further enquiry. Although a number of literary reviews and data sources exist for the study period, there is no authoritative overview. Thus the researcher is presented with excellent, if piecemeal, sources and a sense of uncertainty over what is recorded, and where it may be found. The lack of a definitive summary leaves some interesting questions which have a direct bearing on the study of archaeological publication. For example, it is no use identifying unpublished excavations if we have no idea what proportion of the resource they represent, both for a point in time and a geographical location. Given the number of digital resources for compiling events discussed above, we may ask if it is possible to remedy this situation, and begin to create a more data-driven history of archaeological excavation to dovetail with the literary evidence. A contributing factor to this somewhat fractured reality is the divergence in the recording of events at a national and local record. Is there a reliable source for compiling events for national or local analysis? Furthermore, is there any way to quantify the publication rates 1938-2007? What efforts have been made to assess the backlog situation? These issues will be addressed in the next chapter.

Chapter 3: Excavation and publication trends in England 1938–2007

“If we had dug this road in Wessex or the South-East or East Anglia, there is no doubt we’d have found a heck of a lot more archaeology”. Excerpt from ‘Dig in West Midlands reveals empty landscape’ (British Archaeology 2002a, 5).

“In an archaeologically dense country like England, ‘finding nothing’ has a lot to do with not looking hard enough”. (Carver 2011, 230).



Image deposited with ADS by Martin Carver and supplied under licence from HEA Archaeology Image Bank

Plate 3: *Changing of the guard?*. Charles Phillips, W F Grimes and Stuart Piggott recording at Sutton Hoo in 1939. Image from the Sutton Hoo Research project digital archive (Carver 2004)

3.1 Introduction

In order to provide a background to the main thrust of the thesis, the previous chapter revisited existing literary sources to provide a necessary, if familiar, overview of the time period studied. During this overview it became apparent that many of the trends discussed were difficult to quantify. Whilst we know that the implementation of rescue funding and PPG16 led to more archaeological fieldwork, how drastic was this change? Likewise, whilst the publication backlog is well attested, is there any way to establish the scale of the problem, especially for more modern projects that may have data compiled by AIP and OASIS? This chapter utilises existing data sources to begin to answer these questions, so as to set a more detailed backdrop to the main analyses to follow, but also as an analytical exercise itself. As Chapter 2.4 highlighted the varied efforts to collate a national archaeological record of events and sources, it is thus interesting to see if these sources can actually provide the insights they were designed for.

3.2 Measuring numbers of excavations

3.2.1 Introduction

The most basic of all the questions to ask before embarking on an assessment of publication rates is simply, how many excavations have there been? The answer is more complex than may be expected. The primary source for many recent research projects has been the data from the AIP. However, because of the noted gaps in AIP coverage (Chapter 2.4), this study also consulted the Excavation Index of the NRHE. Considering the Excavation Index was historically aligned with AIP and incorporated other sources such as journals, it was expected that this would provide the most reliable record of national events currently available. For a *national* study, these two sources represented the main accessible database of event records. At the time of writing HER event data is split between over 80 organisations, a mixture of HBSMR and bespoke systems (MacLean 2014), and although over 60 are online via the Heritage Gateway it is not currently possible to search this system for events or sources. The capacity to obtain and combine the individual HER datasets lies outside the immediate aims of this work; indeed a comparison of the holdings of local and national systems would make an interesting study for those interested in the epistemological and methodological connotations for the archaeological knowledge base (see Cooper and Green 2015).

Whilst compiling data from the Excavation Index it was decided to test its coverage against AIP in order to establish if there was significant disparity between these sources. It soon became apparent that, although there was significant overlap in the records for the PPG16 period, comparisons of year-on-year results were providing markedly different numbers. At

first the discrepancy was thought to relate to information from excavations undertaken outside the planning process, but subsequent checks on AIP confirmed that this source also collated data from the non-planning sector (Darvill and Russell 2002). Another cause was the potential for the Index to include information that was recorded via the OASIS system, but not logged in AIP. Although in theory the AIP have had access to all events recorded through OASIS as part of the attempt to ensure concordance, the extent to which this has been used is debatable (Gilham *pers comm*). An additional cause was the potential for respective databases to classify the same event in a different manner. For example what is recorded in the Excavation Index simply as an *Excavation* is recorded in the AIP as one of several options, such as *Open Area Excavation* or *Trial Trench*. Similarly, records of the AIP often cover more multiple events included in one report; conversely the Index would split these into unique entries. Thus even before the thesis had begun there was a mini-crisis in the reliability of information on a national level; which data source to trust? It was thus decided to undertake a brief comparison of these two main datasets, as well as records from OASIS in order to ascertain not only which source was the most reliable for a national overview, but also to examine some of the more interesting methodological problems faced by event recording using these systems.

3.2.2 Comparing the Excavation Index and the AIP

The AIP data used here was supplied by the project team as an exported subset (Microsoft Access) of their latest database on 13th September 2011. The version of the Excavation Index for this study was accessed from the ADS on 30th September 2011. At the time of writing no substantial work has been undertaken to combine or analyse these two datasets since the initial concordance (Chapter 2.4). The only exception is a graph produced by the AIP providing an overview of national statistics using Excavation Index data up to 1989, but thereafter AIP data only (see Darvill and Russell 2002, Illustration 35). However, when these two datasets are examined together over a ten year period the results are illuminating. Even factoring in possible discrepancies in the classification of events, the Excavation Index records significantly more events for every year except 1991 (Figures 3.1 and 3.2).

The two databases generally mirror the same trends, but with a shortfall in the AIP of between 21-22% of records as a whole (Figure 3.3). However, for most years 1990-2000 the AIP is recording more *Evaluations* but fewer *Excavations* than the Index, perhaps illustrating the discrepancies caused by differing terminologies and subjective classification. By extending this comparative analysis to 2000-2007 (Figure 3.3), we can see a distinct change in this overall pattern, with the number of AIP *Evaluations* falling well below the level recorded in the Index, and the overall proportion of recording of all events dropping by as much as 30%. It may be surmised that this shortfall – in general increasing the closer we get to the present day – reflects the AIP methodology, which is based on accessing/or being notified of a physical

report. In contrast, the Excavation Index is based on a compilation of various data sources, and despite misgivings regarding accuracy and completeness it appears to provide a more comprehensive index of events than AIP.

The extended coverage of the Excavation Index is further demonstrated by localised analysis of subsets of the national statistics (Table 3.1). In these small randomly selected test cases, the Excavation Index consistently records more events than the AIP. Whilst this can partly be attributed to recording inconsistencies this is unlikely to be the complete explanation considering the disparity in all events highlighted in Figure 3.3; it is more likely to be attributable to simple lacuna in AIP coverage. A direct comparison of Excavation Index and HER event data at a national level is currently not achievable, primarily due to the relative inaccessibility of *all* HER data online. However, a similar analysis of statistics for the Index and OASIS records for Suffolk provides an insightful case study. Suffolk is one of the counties in which OASIS was piloted and subsequently the recording of events in the HER is primarily performed through OASIS (Rolfe *pers comm*). A comparison reveals that OASIS contained 226 Evaluations and Excavations, the Index 210, the AIP 143 (Table 3.1). The OASIS records show that of the 226 events, 2 were maritime-based events and 2 were cross-country (pipeline) records; neither of which are categorised as ‘Suffolk’ in the Excavation Index. The remaining 12 events were, at the time of writing, incomplete in OASIS so had not yet been incorporated in the Excavation Index.

From these brief comparisons it may be suggested that for the purposes of this study, the Excavation Index is a robust, if basic national index that of all extant systems most accurately reflects the number of events occurring in England. The extent to which it overlaps with HERs needs to be studied in more detail and despite clear synchronicity in cases such as Suffolk, there is undoubtedly the potential for local and national systems to diverge. This disparity is not only based on respective knowledge, but also timescales and weaknesses of recording systems. Although the AIP is a good resource for the location of historic grey literature, it is not reliable for quantification of work that falls outside of its collection parameters. Although several sources have also recognised this shortfall, this is not universally recognised within the academic discipline (cf. Gardiner and Rippon 2009, 67; Yates 2007). This disparity between, and misunderstanding of, data sources is a potentially major problem to any project that seeks to synthesise the past. Even before discussing the written outputs, and despite recent efforts, it is still difficult to quickly and simply establish comprehensively who has done what, and where.

County	Year	Excavation Index	AIP	OASIS
City of Sheffield	2005	12	5	N/A
Staffordshire	1990	10	8	N/A
Surrey	2000	79	68	N/A
Surrey	2001	79	44	N/A
Surrey	2007	70	71	N/A
Norfolk	2005	116	96	97
Cornwall	1995	50	33	N/A
Dorset	2000	52	25	N/A
Suffolk	2007	210	143	226

Table 3.1: Sample of Evaluation and Excavation events recorded in Excavation Index, AIP and OASIS.

3.2.3 Working with the data: methodology for the Excavation Index

The dataset used for the analysis of national excavation trends, supplied by the ADS as delimited text files on the 30th September 2011, comprised 123,996 records. Although the focus of the study was 1938-2007, it was decided to include records as far back as 1900 to enable the impact of government-funded works to be assessed in the context of the twentieth century. Thus, 5,382 records with a start date prior to 1900 and later than 2007, and 5,338 records with no dates were removed. The dataset was then filtered by the type of record, retaining events identified as *Excavation*, *Evaluation*, *Test Pit* and *Salvage* leaving a final 55,297 records. It should be noted that of this number 411 had no grid reference, and very little spatial data such as County-District-Parish to establish a rudimentary grid reference using spatial queries against administrative terms. These were therefore only recorded in the production of graphs and subsequent statistical analysis, but do not appear in the GIS and spatial analysis. As this number represents 0.75% of the total records, it is not thought that this invalidates any of the observations drawn from this dataset (see De Smith *et al* 2009).

The grid co-ordinates held in the Excavation Index are in the Landranger format (e.g. SU400899), which had to be translated into a fully numeric grid reference to be imported into a GIS. This was achieved using Visual Basic in Microsoft Excel. During processing and analysis of the data it became evident that there was a serious error with the grid co-ordinates for c.4500 records located on the south coast. The data was checked with the original data deposited with the ADS by the NRHE, and they were also apparent in that dataset (Barratt

pers comm). For the sake of this thesis it was desirable not to lose so many records, therefore new co-ordinates were created. This was achieved by extracting the ID-County-District-Parish fields from the original data, saving them as an XML file and then running the records through the EDINA Unlock API to produce a coordinate.⁵ In all cases, it was only possible to resolve an OSGB grid reference to a centroid for a parish, but for a national survey, this was deemed an acceptable loss of detail.

The maps presented below were created using the datasets described above, with data imported into ESRI ArcMAP (10.1) as comma-separated values (ascii). Individual feature classes based on queries of these tables were created within the ArcMap. Additional processing for the production of images used within this thesis was also undertaken in Quantum GIS 1.8. Other data sources were also incorporated to provide appropriate context. Most of these, such as Ordnance Survey (OS) and British Geological Survey (BGS) are familiar to archaeologists; however a number of historical and socio-economic were also included to provide further insight into the contemporary landscape of archaeological investigation:

- Indices of Deprivation for Super Output Areas (SOA) produced by Department for Communities and Local Government (DCLG), distributed by the Office for National Statistics (ONS) under the National Archives Open Government Licence OGL). SOAs are a geography used for the collection and publication of small area statistics by the ONS.
- Land Cover Map 2007 (LCM2007), produced by the Centre for Ecology and Hydrology (CEH) courtesy of EDINA Digimap Ordnance Survey Service. This map was also used to determine areas falling within urban areas classed as *Built-up areas and gardens - urban* in LCM2007 (see CEH 2011). It is noted that this land use is only accurate for the later period of the study, and thus is only used for analyses from the Rescue Age onwards, and as a broad indication of the level of works occurring in major towns and cities.

In certain cases, density maps have been produced in order to analyse specific patterns in concentrations (or lack) of events in the dataset for specific time periods. These maps were created with the Spatial Analyst tool in ArcMap, using the following settings:

- Density type: kernel.
- Search radius: produced at 20km.
- Output cell-size: 2000.
- Classifications method: Equal interval with 10 classes (to 3 decimal places).

⁵ <http://unlock.edina.ac.uk/> [Accessed 30/04/2013]

In addition, a number of maps were created using sampling (Thiessen) polygons based on a Geoprocessing tool available for ArcMap 10.⁶ Polygons were created based on an outline of the OS boundary map for England, with a sampling interval of 10km.

Aside from the issues with grid references, the Excavation Index has inherent limitations which prevent its use for anything but very broad scale analyses. Primarily this is the relative simplicity of the database itself; the Index records only the broad type of event (for example Excavation or Watching Brief), where it was, what was found, and who undertook the work. There is no further quantifiable detail as to the context of the work, for example research or rescue, the scale of the work or details of the individuals involved. Furthermore the quality of records is variable, with later records generally more accurate and detailed than earlier examples, undoubtedly reflecting the history and working practices of those compiling the Index. Although it is tempting to revisit each event to record extra detail, to do so would be a lengthy, and considering the brevity of some of the records, thankless task. However, in order to provide some measure of the divergence of investigation by prompt, events 1990-2007 were enhanced by the author with an additional facet recording whether the record was either development-led, university research, or local society research. Primarily this was based on a concordance with the AIP data previously used (see 3.2.2), which does record the prompt and nature of the record. In cases where this did not exist, a brief appraisal of the record was undertaken.

Given the limitations in the raw data, the subjective filters and additions undertaken by the author, and the probability of lacuna in the coverage in the Index, the following analyses must be treated with some caution. Quite simply, there is no single comprehensive yet detailed source for this kind of exercise. Nevertheless, it is hoped that even with weaknesses, the following trends permit a greater level of insight into the basis of the archaeological record of England hitherto rarely studied.

3.3 Analysis of the Heroic Age

In a broad overview of the Index data, the impact of government funding (Chapter 2.2.1) can be seen in the dramatic rise in works 1938 to 1972 (Figure 3.4). However a breakdown by region shows that the majority of excavation was in the south of the country (Figure 3.5). A fascinating anomaly is provided by the impact of the Second World War, wherein the levels of work drops significantly after 1939. This is of course hardly surprising, and the period has been noted as a near interregnum in excavation practice (Everill 2009; Fulford 2007). Many

⁶ <http://www.arcgis.com/home/item.html?id=03388990d3274160afe240ac54763e57> [Accessed 31/07/2015].

practitioners were employed in the war effort, or even in the case of Bersu detained (Evans 1989). Campaigns of fieldwork were frequently put on hold; for instance work at the Roman temple at Farley Heath, Surrey, ceased when both excavators were called up for military service (Lowther and Goodchild 1943, 31).

The data also shows that, contrary to any idea of a post-World War Two increase in rescue work, a perceptible growth of investigations can be traced to the years immediately before World War One (Figure 3.4). Indeed, over the course of the early twentieth century the number of excavations gradually increases to a culmination in 1938. Much of this work can be attributed to excavation committees founded before the Second World War in order to coordinate research in specific areas such as the Norfolk Research Committee in 1934 (Clark 1949, 55). It seems that even before 1938 these committees were also undertaking what we would consider salvage or rescue operations. For example, the amphitheatre at Chester and a “native settlement” at Colchester were uncovered in 1931 by committees working ahead of urban and rural developments (Collingwood and Taylor 1932, 205–10). Thus, while the figures may suggest a growth in excavation committees caused by the war, in truth they were often already in existence and alive to regional rescue responsibilities well before the conflict.

Looking at 1938 and the war years more closely it is apparent that, when compared with excavations from the previous seven years, there is no immediate difference in the location of these investigations (Figures 3.6 and 3.7). There are certainly less events, but they are concentrated in the same regions – notably the Southeast (except Greater London, Surrey and Kent), Southwest (notably Dorset and Wiltshire) and East of England (primarily Norfolk), as well as a concentration along Hadrian’s Wall. One anomaly is a distinct drop in excavations in East and West Sussex during the war, undoubtedly a reflection of its role in the national front-line (see O’Neil 1948). This exception aside, one can hypothesise about the reason for the continuation of a predominantly southern archaeology; for example that the threat of invasion necessitated works such as airfields in the central southern interior that required archaeological work (*ibid*). An alternative view could also be that excavation continued in the same areas as before the war, as it was the same individuals and/or societies, effectively working in the same areas and where archaeology was known to exist.

After the relatively quiet years of the Second World War, the new impetus given by Inspectorate funding had a significant impact on the amount of work undertaken. After 1948 the number of excavations never fell below the 1938 level and within a decade levels had almost doubled. However, despite numerically more excavations their distribution is markedly similar to the pre-war years, with dense concentrations in the central zone around the Southeast, Southwest and East of England (Figure 3.8). Although areas of the central Midlands have clusters of work, some regions, such as the Northeast and Northwest, contain

relatively few investigations. It is prudent to reiterate the fact that such basic distribution maps take no consideration of scale, and thus caution must be exercised before drawing too many sweeping conclusions. However, such considerations do not invalidate the main trends evident in the data, that not only had the number of excavations increased dramatically, but also they were becoming increasingly focussed on certain areas.

3.4 Analysis of the Rescue Age

With the advent of rescue funding and newly formed regional units in the early 1970s it might be expected that excavation levels would continue to rise. However the data shows that rather than an inexorable increase, the number of investigations fluctuated significantly, and by the end of the period the national level of *excavations* (as opposed to all investigations) is lower than in 1973 (Figure 3.9). Indeed, the data in the Excavation Index records the steady rise in evaluation commencing in 1973 (Figure 3.9). The conceptual differences between *excavation* and *evaluation* have already been briefly discussed (Chapter 1.4.2), but it is pertinent to question whether these were contemporary designations, or more recent classifications in the Excavation Index. If they are correct, this may indicate a conceptual switch towards evaluative methodologies somewhat earlier than previously thought (cf. Darvill *et al* 1995). Furthermore, and considering the notable rise in *evaluations* over the course of the 1980s, the figures highlight the sheer scale of *excavation* in England during the mid-1970s. Even considering the variable quality of some of the records within these figures, the suggestion that over 600 operations were being undertaken each year only goes to emphasise the breadth of rescue and research works undertaken.

Further analysis shows that the marked regional bias continued from the preceding period (Figure 3.10). Of interest are the anomalies in these statistics; for example after 1976 there is a sudden drop in the number of events nationwide, which is replicated in the general figures for all regions (Figure 3.10). Following this drop there is a rise in all regions, followed by another dip in 1981 in all areas except the West Midlands. This seems to correlate with the documented change in government funding post-1980/81 (HBCME 1986), and would seem to suggest that this impacted on the number of rescue investigations that were able to be undertaken. The high levels in the West Midlands could be due to significant levels of work in medieval towns such as Worcester, Shrewsbury and Stafford undertaken with MSC funding (Baker 2010; Carver 1978; 1980; 2010). However, this mini-golden age of excavation in the region soon comes to an end in the mid-1980s, as the relative numbers of works being carried out in returns to earlier levels (Figure 3.10).

These periodic drops in excavations and the noted regional disparities are worthy of further study. Given that the majority of works were presumably rescue (i.e. government) funded, one

possible factor behind these trends may have been the contemporary economic situation. A comparison of archaeological and economic data appears to confirm this link, for example a period of recession in 1976/77 is followed immediately by a drop in archaeological work (Figure 3.11). Likewise, the recession of the early 1980s appears to signal another drop in the levels of investigation; conversely a sharp rise in economic fortune heralds a corresponding increase in archaeological work (Figure 3.11). Of further interest is the variation between excavation and economics at a regional level. A comparison of rates for four regions shows that the impact of the 1980-81 recessions is felt sharply in most areas (Figure 3.12). When viewed in this context, the mini-golden age in the West Midlands excavations is even more of a statistical and economic anomaly. However, the Southeast and Eastern regions recover in-line with economic growth, whereas the West Midlands and Northwest either remain at pre-recession/funding switch levels for most of the decade, or in the case of the latter continue to decrease (Figure 3.12).

These broad statistics are constrained somewhat by the nature of administrative regional boundaries, so a geographical distribution of the same events adds detail to these trends. Distribution maps highlight the extent to which investigations become concentrated in a core southern zone, and northern regions clustered around specific urban centres such as Lincoln, York and Chester (Figures 3.13 and 3.14). From these patterns it is tempting to identify a tentative north-south division in the archaeological landscape in terms of excavation density and the urban/rural nature of investigation. Further comparisons with contemporary economics would seem to confirm that this divide has some basis in the relative prosperity and levels of development in the county (Figures 3.15 and 3.16). Although considering the nuances such as the relative paucity of events and high economic deprivation in the Southwest peninsula, a north-south divide could be redefined as a more generic split between rich and poor regions. The disparity in these statistics poses an important question: are these regional trends an accurate indication of contemporary development or simply a reflection of the allocation of limited funds towards projects that were designated as being of greater importance? Given the disparity identified in numbers of planning applications the former should not be discounted (see Green 1988; Town and Country Planning Association 1989). However, it could well be that these trends are also attributable to a predominantly 'southern' culture of excavation that had arisen in previous decades.

Considering that a significant level of investigation in the Midlands and north of the country appears to be urban based, it is informative to study the impact of recession on this type of record. Prior to rescue funding the amount of work being undertaken in urban areas gradually increases, and although this trend continues into the early 1970s the numbers soon drop in-line with the overall dip previously noted (Figures 3.17 and 3.18). However, it is evident that the magnitude of the drop is far greater in urban zones than the rural landscape. We can

compare the fall by examining the difference between 1974 (the peak of the excavation boom) and 1982 (the end of rescue funding for organisations). In 1974 there were 619 excavations, 324 of which were in urban areas. By 1982 the figures had dropped to 410 and 172 respectively; the proportion of urban excavations had fallen from 52% to 42% (Figure 3.19).

As noted in the literature review, investigations in urban zones seem to be focussed on a select group of high-profile historic cities and towns such as London, York, Southampton, Winchester and Canterbury. However, as a contemporary source notes, *all* historic centres across the country were continually under threat through urban development (Heighway 1972). A broad analysis of the levels of excavation across these towns and cities shows the extent to which the scale of works varied considerably (Figure 3.20). Aside from areas such as Chester, Lincoln, Exeter, York and the vicinity of Newcastle-upon-Tyne and Gateshead, the larger levels of work appear to be carried out in what the Town and Country Planning Association classified as the south of the country (TCPA 1989). Indeed, as Carver (1981a) noted at the time, the level of excavation in urban centres often varied considerably, and was dictated as much by availability of resources as by the perceived importance of an area; with sites with Roman antecedents often deemed of greater significance. It is thus no surprise that the areas of intense excavation in the north highlighted above are all Roman towns.

These urban trends add weight to the notion that the archaeological response was dictated both by levels of threat that were themselves influenced by where development was taking place, as well as the distribution of resources available. It may be argued that the latter was often a consequence of the contemporary priorities of archaeologists and town planners, culminating in an unwitting pecking order in England's towns and cities, but also the uneven development of regional units and SMRs able to react to, or predict threat. Thus as the archaeological discipline emerges from the Rescue Age it is already in thrall to the uneven distributions of funds and the cultures of excavation created by its own history.

3.5 Analysis of the Professional Age

The switch from rescue to PPG16 is reflected in two main trends in the data within the Excavation Index; there are more events taking place than in previous years, but increasingly these are *evaluations* (Figure 3.21). From 1990 the number of *excavations* gradually falls albeit with a brief resurgence in the late 1990s. This respective rise and fall could in part be due to discrepancies in the classification of events over the previous decades; although given the *evaluations* recorded in the data for the 1980s any misidentification may well be minimal in respect to overarching national trends. In this respect, the Excavation Index confirms the AIP analysis of the period 1990-99; there are more interventions than ever before but most are part of evaluation schemes (Darvill and Russell 2002).

Whilst the nature of events has perhaps changed, their location is remarkably consistent with the preceding periods (Figure 3.22). It is possible to discern a distinctive core region of investigation in the southern and central lowlands of the country. This concentration is also reflected in the urban environment, with a familiar north-south split, apart from anomalies such as York and Lincoln (Figure 3.22). As with preceding decades it is interesting to examine the extent to which these patterns are a consequence of disparities in the levels of threat across the country, or a disparity in the nature of the archaeological response. Initially it seems that the former is more likely; a subset of the available data relating to planning applications received by Local Authorities shows that southern regions are more intensively developed (Figure 3.23). However it is also evident that there are discrepancies in the number of applications received compared to the levels of archaeological response in, for example, the Northwest. In addition, a comparison of the numbers of intervention and desk-based assessments also shows that although there is more development in the south, there are still substantial levels in the north (Figure 3.24). It seems however that planning applications are more likely to be met with an intervention (*evaluation* or *excavation*) in the south than in the north. Is this a discrepancy in the recommendation for preservation in-situ, or are sites simply not being identified, do not exist, or being investigated via different types of intervention?

Analysis by the AIP suggests that this discrepancy could be due to regional variations in curatorial response based on financial factors:

“...both archaeologists and developers alike have greater faith in the results of field evaluation, even though gaining that information is both more expensive and more time consuming... qualitative evidence suggests that many field evaluation reports include background studies of the sort that, if they stood alone, would be considered desk-based assessments” (Darvill and Russell 2002, 56-57).

Thus data gathering exercises in the south seem to be more intrusive (and thus more expensive) but arguably have a greater chance of locating buried remains than a desk-based exercise (Figure 3.24). Due to this it may be argued that patterns of investigation are self-perpetuating, and thus create a clustering effect in the archaeological landscape that is, perhaps, as much a reflection of contemporary wealth than of past settlement. Overall, these figures indicate the degree to which data produced through planning-led investigations is geographically skewed towards a core zone, and perhaps discredit the notion that the randomizing factor of such works redresses existing monument-based interests of previous generations (Darvill and Russell 2003, 53; Last 2012, 130; Yates 2007, 108).

Given the unevenness of distribution of planning-led investigations, it is interesting to examine those events that have been undertaken under the auspices of university research projects and local societies (Figure 3.25). The data from the Excavation Index suggests that the quantity of research excavations follows the north-south split. University excavations are often clustered around the counties of Gloucestershire, Wiltshire and Dorset, albeit with concentrations in the northern upland zones of the North York Moors and Yorkshire Dales. Local societies present a slightly different picture though they too focus on the south of the country, with concentrations in the counties of Surrey, Hampshire, Sussex and Kent. Local society excavations are often in rural areas that do not see high levels of development-related work, and potentially provide an interesting contrast to the bulk of sites being investigated in the aforementioned core zone. However, when taken into consideration with the planning-led records the overall picture is one of a significant geographic bias in the levels of intrusive investigation in England (Figures 3.26 and 3.27).

Regional disparities in archaeological investigations have previously been noted by other studies, although without any detailed attempt to quantify or analyse the extent of the issue (cf. Aitchison 2011a; ALGAO 2013; Darvill *et al* 1995; Darvill and Russell 2002). However the data presented here would indicate that the extent of the imbalance, especially in *excavation*, is greater than many imagine. Of course, the nature of the distribution of development-led works is heavily influenced by the nature of the contemporary landscape. Geographical factors such as land type or land use undoubtedly dictate where developments such as infrastructure or housing will occur; and many of the 'empty' zones in the distribution of investigations correlates with upland areas, as well as extensive areas of pasture or woodland and greenbelt (Figure 3.28). Likewise, the evident imbalance in the distribution of the modern population of England towards the central-southern commuter zone around Greater London obviously impacts upon the scale of development (Figure 3.29), especially the recent increase in the construction of new houses in this area (House of Commons South East Regional Committee 2010).

Despite the importance of these geographical factors, it is still tempting to look at the existence of a potential divide based on economics suggested previously. The north-south divide in England has long been a topic of debate for historians, sociologists, economists and geographers (Baker and Billinge 2011). At the time of writing the subject has surfaced again as disparities in the cuts to Local Authority funding allocations between the 'ex industrial impoverished north' and the 'affluent south' are fiercely debated in the national media (The Guardian 2013). Indeed, since Benjamin Disraeli coined the phrase Two Nations in the nineteenth century to describe the social chasm between rich and poor (Green 1988, 180) this divide has taken residence in the national consciousness. In recent years, with the collection of detailed socio-economic statistics it has been possible to highlight the relative wealth of northern cities such as York, as well as the presence of significant levels of poverty in urban and rural parts of the south (Dorling 2001). However, some authors have argued convincingly that an overarching economic divide not only exists, but as a consequence of the financial crisis of 2006/2007 is actually deepening to an extent where it can be accurately plotted on a map (Dorling 2010; Figure 3.30).

As with physical geographic factors such as terrain, it is hard to look at these economic maps and not see a correlation between a richer south with higher levels of infrastructure development, and a relatively impoverished north. Indeed, a direct comparison shows the extent to which wealth and excavation are concentrated around the Greater London area, extending into the East and parts of the East Midlands (Figure 3.31). However, this is clearly not a straightforward correlation between wealth and investigation, with significant hotspots of work in relatively more deprived parts of Kent and Northumbria, for example, presumably reflecting the impact of the Channel Tunnel Rail Link scheme and continued research along Hadrian's Wall respectively. In particular, there are large parts of the rural Southeast with high affluence/low investigation (Figure 3.31). This would appear to represent greenbelt, where the contentious balance between development and protection is well attested, particularly in the Southeast (House of Commons South East Regional Committee 2010).

Instead of a simplified and amorphous area of intensive investigation in the Southeast, patterns are more localised, and both positively and negatively influenced by the socio-economic influence of London. Indeed, it will be interesting to see how, given the Government's intention for renewed construction of homes and infrastructure in the region (DCLG 2012a) and the aforementioned greenbelt status, this picture changes in coming years. Will development spill into these gaps or simply continue to cluster in particular locales? Compared with the Southeast, the low-levels of work and higher levels of economic deprivation in the Southwest peninsula provide a stark contrast. In this case it may be suggested that economic factors are reflected in a lack of development and thus a statistically significant dearth of

investigation. Indeed, if one were to identify a divide between over- and under-investigated rural parts of the country it would not be north-south, but rather (broadly) east-west.

To the north excavation follows a different pattern, primarily based around the large urban areas of the Northeast, West Midlands, South Yorkshire and Greater Manchester. Here, there are marked concentrations of investigation in the centre of some large, economically deprived, cities; arguably the consequence of renewal of historic urban centres such as Birmingham (see Patrick and Ratkai 2008). It is also noticeable that these focal points are surrounded by large areas which combine significant deprivation and low excavation: notably the hinterlands in the Northwest and West Midlands in counties such as Herefordshire, Shropshire, Staffordshire and parts of Cheshire. Investigation in these regions is focussed on specific urban centres: presumably where the bulk of (re)development is occurring. For example levels of investigation and deprivation are markedly different either side of the city of Birmingham, with investigation to the west limited to the environs of historic towns such as Hereford and Chester (Figure 3.31). Thus one is presented with this unusual blocking effect in the density of rural excavation (Figure 3.31). Exceptions to these patterns can be seen in the pattern of high investigation/low deprivation in and around the City of York, and more rural and prosperous parts of North Yorkshire.

Considering that investigation in the north is generally urban focussed, it is pertinent to examine this data in more detail. Comparing the levels of economic deprivation and investigation for historic centres (i.e. cities and towns with Roman or Post-Roman origins) shows that the trend is generally for wealthier settlements to have higher densities of investigation (Figure 3.32). However, when broken down by region there are noticeable patterns within this data. The Northeast, West Midlands and Yorkshire and Humberside regions are polarised between high deprivation and lower rates of investigation in towns such as Gateshead, Doncaster and Coventry, and low deprivation and high investigation at examples such as Durham, York and Worcester. In contrast, the Southeast and Southwest are characterised by settlements with much lower levels of deprivation and generally higher excavation. The East is somewhat mixed, with areas of higher deprivation and high investigation in sites such as Norwich and Peterborough, and less deprived areas such as Chelmsford have lower levels of work. That being said two of the least deprived areas in the region, Cambridge and Colchester, have the highest concentrations of work. The most prominent pattern of all these is in the Northwest, which is characterised by settlements such as Preston and Blackburn with high deprivation and low investigation – the outlier of Chester representing the highest density of investigation and also the lowest deprivation.

There are of course other factors at work here, notably the large size of some of the metropolitan areas of the Northwest perhaps reducing their statistical significance. There also

seems to be a general nationwide bias towards sites with Roman origins – increasingly so in the northern regions. However, with the geographic size of the sample reduced and filtered to remove all settlements with Roman origins (including forts); the northern distribution pattern is still unchanged. There are subtle differences elsewhere, with the general trend in the East and Southeast being higher levels of investigation in towns such as Great Yarmouth and Hastings with greater deprivation. In the Southwest and East Midlands there is the opposite trend, with poorer areas such as St. Austell and Grimsby tending to be the least excavated. What this suggests is that with the distorting effects of Roman archaeology removed, and with some notable exceptions, medieval and post-medieval centres in poorer modern towns in the rest of the country are less studied than their counterparts in the East and Southeast. As with the rural areas discussed above, proximity to London appears to be paramount.

This analysis suggests that socio-economic factors have long had an influence on where we excavate. As Glyn Daniel stated: “the present state of archaeology cannot be divorced from its past state” (1975, 5); it is tempting to add that neither can it be divorced from its contemporary context. Over the course of the Rescue Age and into the post-PPG16 era the trend has been for extensive investigation of the wealthier lowlands of southern England, latterly extending into the East Midlands and parts of Yorkshire. The major cities of England are often characterised by dense concentrations of work within city centres, but with markedly less in the more deprived urban and rural hinterlands. There are also marked differences in the levels of work undertaken in historic towns, often with more deprived areas without Roman antecedents having relatively low levels of excavation. Thus as Bradley (2006) identified the Two Cultures, it may also be suggested that there are potentially Two Nations within our archaeological landscape, based as much on contemporary economy and associated levels of development and funding as the dichotomy between rescue and research.

However, it would be a mistake to fall back on an overly simplistic view of north and south, or even rich and poor. This research does not mean that the areas identified as being less intensively excavated have less of an archaeological resource, or even a less celebrated history of investigation. As assessments show, there are rich traditions of research and practice (Brennand *et al* 2007; Garwood 2007a). It is also not in doubt that post-1945 and into the modern age most parts of the country have witnessed a rise in the number of investigations taking place. This being said, clearly the levels of data being created by intrusive events is clearly skewed towards certain areas, with statistically less information coming from economically poorer parts of the Northwest, Midlands and Southwest peninsula.

At the time of writing there is a trend for these under-investigated areas to bear the brunt of the recession; a recent report notes that the number of archaeological advisors in Local Government has fallen significantly since the 2006 recession (ALGAO 2013). Commentary on

these events shows that whilst most regions have seen decreases in the levels of full-time historic environment the Northwest, Northeast and West Midlands have been worst affected (Rescue 2013). Whilst it is a truism that the archaeological resource of any area with diminished HER coverage is threatened, it does seem that this is especially crucial for those that have been traditionally under investigated. It is perhaps an irony that the opportunity for exploring new areas presented by PPG16 and its successors is potentially undermined by the economic basis on which it is built. Furthermore, as Moore (2006) has previously highlighted, there is in “following the digger” the danger of creating new academic and public misconceptions of our landscapes, leading to skewed notions of value and significance. Thus it is paramount that the academic sector continues to act as a balance to this divide, initially by highlighting gaps in new Research Frameworks (see Last 2012), but also by ensuring that the archaeological potential of under-investigated regions is still studied, and perhaps not limited to the same tried and tested areas. This being said, other significant casualties of the recession have been the loss of field units based within academic departments in the north of England (Cumberpatch 2009; Aitchison 2011b). Although unit closure is not a specifically northern phenomenon, these examples were large centres that combined commercial excavation and research in their respective regions, often highlighting the richness of the archaeological resource in previously overlooked areas (Carver 2006). Without them, the archaeological landscapes of these areas are undoubtedly poorer.

On a final note, it may be suggested that this is not just an insular concern for English or indeed UK archaeology. As consistently demonstrated, many countries have witnessed a rise in the number of commercially-funded archaeological investigations, but often based on contrasting principles and organization (Kristiansen 2009). Would for example, patterns of economy and investigation in the primarily state-directed France or the federal states of Germany differ from those of England? In addition, ‘north-south’ divides can be found in many countries, and indeed often sit within continental and global hierarchies of wealth (Arrighi *et al* 2003; Landesmann 2013); how are these influencing when, what and where we excavate? Furthermore, as the technological capacity for cross-border data sharing intensifies (Oikarinen 2014), it is paramount to understand the data’s original context, and the limitations this entails. As part of that process it is essential that the role of the economic environment producing this data is understood, lest we inadvertently reflect the modern landscapes of wealth and politics that dictate its production.

3.6 Measuring publication rates in England

The previous section quantified the explosion in the number of archaeological investigations taking place in England, an increase that has been intrinsically linked with a publication crisis. The archaeological profession has responded to the publication backlog through initiatives to retrospectively revisit important sites. Most notable has been the Backlog Programme of Historic England established in 1974, which to the present day continues to re-visit primarily Government funded pre-PPG16 rescue works (Butcher and Garwood 1994, 9; Buxton *pers comm*). The success of the initial Backlog project was measured in the 1994 Programme report, wherein it was concluded that the majority of projects had reached a suitable level of publication (Butcher and Garwood 1994). Even so, Historic England continues to re-visit nationally significant sites, irrespective of original prompt, to attempt to provide assistance for archive and publication programmes (Buxton *pers comm*). Another notable regional endeavour has been the Greater London Publication Programme, a Historic England funded initiative designed to support the analysis and publication of important backlog excavation findings through the MoLA monograph series. Since the conception of the programme in the early 1990s over 30 monographs have been produced to date with more in preparation (Watson 1998; MoLAS 2003).

These initiatives have been focussed on specific rescue sites or in the case of MoLA limited to a particular area. At the time of writing there is a lack of an empirical or quantitative study which presents a national overview of the extent of the publication problem. This is no doubt a consequence of the well documented lack of an overarching resource which accurately records the outputs of all events *and* the nature of their written outputs. However this grey area leaves any study of the publication record of archaeological work in England reliant on anecdotal evidence, and without any real measure of the extent of the problem. As the previous section revealed, the history of archaeological work in England can be seen to follow distinct patterns such as a prevalence and intensity of work in several core areas, and a significant urban/rural split. But is this bias also manifest in the written record? And is it possible to identify geographic areas most affected?

3.6.1 Insights from current projects

At the time of writing there is no simple definitive national list of excavations and their written outputs in England. Although the Excavation Index contains bibliographic references these are not comprehensive, do not classify outputs by type, and are seldom updated to reflect outputs written after the recording of the initial event (Barratt *pers comm*). As has been discussed previously, AIP, BIAB and OASIS, have tried to create detailed inventories of sources. However these too have weaknesses as bibliographic reference sources. The AIP is

based on the identification of a report at the time of data collection, with resulting gaps that have been identified in Chapter 2. In addition, although the AIP records a written output there is little capacity to link this record to other sources such as the NRHE or relevant HER. Similarly, BIAB is a purely bibliographic schema and does not link to any other national or local source of events. An attempt to do so by the author based on grid reference or site name proved well beyond the scope and time-frame of this thesis. Although AIP data has historically been incorporated in BIAB, this has not been undertaken consistently and links back to original AIP sources are not always possible (Gilham *pers comm*). In addition, BIAB currently lacks widespread recording of spatial extents (including regions or county), which means that mapping records retrospectively is not easily achievable.

Introducing a measure of consistency and interoperability between data sources was one of the original aims of the later OASIS projects (Hardman 2003). Furthermore the detail used in the recording of investigations and their outputs in OASIS offers the potential for a level of analysis beyond the Excavation Index, AIP and BIAB. However, the uptake of OASIS across England has varied; although a number of HERs actively engage with the system and include it in briefs for work in their areas, a significant proportion do not (Gilham *pers comm*; Smith *et al* 2012). A breakdown of records shows the extent to which the use of OASIS varies across the country (Figure 3.33). Although there are clear correlations between levels of OASIS records and what may be considered the core areas of investigation identified above (Chapter 3.5), other densely investigated areas such as Gloucestershire or Oxfordshire are less well represented than may be expected (Figure 3.33). As an aside, there is an interesting trend in the comparative levels of *excavation* and other types of event recorded by OASIS; with some areas such as East Yorkshire and Lancashire containing relatively few records, the majority of which relate to investigation by *excavation*. The number of records is perhaps too small to infer any overarching explanation of why this happens, but it may be reasonable to attribute it to the varying perceptions of OASIS, notably why and when it should be used.

Despite the geographical variance of the levels of data from OASIS, a short analysis of the types of written output recorded may at least provide a very broad overview of publication patterns from excavations recorded during its lifespan, (between 1999 and the present day). A comparison of the numbers of projects only reaching grey literature and those with outputs in journals or monographs shows some interesting trends, primarily that the majority of excavations recorded only reach grey literature (Figure 3.34). This should be viewed with caution, as it is clear from reviews and anecdotal evidence that information recorded in OASIS can be of varying quality (Barratt *pers comm*; Gilham *pers comm*). Furthermore it has also been noted that the frequent perception of OASIS is simply for the recording and uploading of grey literature and, unless required by the local curator, records without grey literature are not created (Smith *et al* 2012). The workflow and timescale of projects may also be a factor. Often

records are completed by the unit on completion of the fieldwork, and the acceptance of the grey literature by the relevant curator. At this point the record is closed and cannot be re-opened by either the unit or HER (Gilham *pers comm*). Thus it may be that a journal article or monograph produced at a later date is not retrospectively added to the record. Given all these factors, it is perhaps inevitable that such a system is dominated by grey literature.

These caveats aside, there are still areas of the country where it seems that more *excavations* end in a traditional published format, notably the central southern counties and Greater London (Figure 3.34). These areas of comparatively successful publication coincide with dense areas of investigation. This contrasts with counties such as Suffolk, Cambridgeshire and North Yorkshire that have similar levels of investigation (Chapter 3.5), but comparatively few published outputs. The cases of Suffolk and Cambridgeshire are particularly surprising, with these counties in the top three areas for numbers of records from the OASIS database (246 and 301) respectively. Is this an indication of publication strategy, or simply of the use of OASIS as a grey literature recording tool? Conversely, there is a relatively high level of publications from Staffordshire, with a third of all *excavations* producing a traditional published output. This may well be a consequence of the small sample set (12 records) for this county, but it is interesting to ask why more are being recorded in this area.

These statistics, however cautiously they must be treated, can be compared to a recent appraisal of written sources from two projects undertaken by Cotswold Archaeology and the University of Reading investigating the research potential of grey literature from PPG16 fieldwork and its impact on the knowledge of the urban and rural landscapes of Roman Britain. The initial project, *Assessing the Research Potential of Grey literature in the Study of Roman England*, was based on a selection of AIP data 1990–2004 and found that nearly 90% of all investigations (in this case including events such as watching briefs and geophysics) classified as Roman were published as grey literature only (Holbrook and Morton 2008). A subsequent phase of the project based on four pilot areas (Essex, Somerset, South and West Yorkshire combined, and Warwickshire) refined this statistic based on a comparison of AIP, HER and BIAB data for excavations only:

“In the four pilot areas, out of a total of 228 excavations, 142 (62 per cent) were unpublished at the end of 2008. Even allowing for those of limited research value not deserving of publication, it is clear that the results of a number of potentially significant investigations have not been widely disseminated. While seventy-three (51 per cent) of unpublished excavations were carried out between 2000 and the end of 2004, and thus it might be argued are still within a reasonable preparation time, the other sixty-nine were completed seven or more years previously and it is unlikely that a significant proportion of these reports are still being actively worked on. In fifty four

cases, including a number of apparently significant excavations, no report at all seems ever to have been produced” (Fulford and Holbrook 2011, 333).

A breakdown of the original project dataset, deposited as an archive with the ADS sheds more light on the disparity of publication rates amongst the case studies:

- South Yorkshire: 15% of records classed as published.
- Essex: 31% of records classed as published.
- Somerset: 29% of records classed as published.
- Warwickshire: 50% of records classed as published.
- West Yorkshire: 47% of records classed as published (Holbrook and Morton 2011).

The follow-up project, *The Rural Settlement of Roman Britain*, incorporated both published and grey literature sources, as part of a wide-ranging study attempting to produce an up-to-date overview of the nature of the excavated evidence for this period. The data compiled by project has reiterated the regional variance in the comparative levels of grey literature and traditional published sources. For example, over 50% of sites identified for Yorkshire were recorded in grey literature only, compared to only 18% for the Southwest (Figure 3.35). Clearly, dissemination strategies vary considerably in different parts of the country.

A final insight into historic trends in publication can be provided by a series of ALSF-funded projects investigating backlogs on aggregates bearing sites from Cambridgeshire, Oxfordshire, Derbyshire, Nottinghamshire, Greater London and the Isle of Wight (ARCUS 2007; Molina-Burguera and Chandler 2011; Pethen 2011; Phillips 2010). In a departure from the methodology of the two Roman projects discussed above, the ALSF projects established a method to grade levels of dissemination; for example an appropriately completed and disseminated project will have, as a minimum a “publicly accessible report written to the appropriate level in digital and/or hard copy format” (Phillips 2010, 8). The lists of events were compiled from a combination of the respective HER, local journals and consultations (ARCUS 2007; Phillips 2010; Molina-Burguera and Chandler 2011). The results of these surveys indicate that a significant percentage of projects are not adequately disseminated, with the majority of these projects undertaken post-PPG16 (Figure 3.36). However when examined on a county-by-county basis the trends vary between regions. When all data from these ALSF studies are combined the final figures shows the extent to which the ‘publication crisis’ has fluctuated over the decades. Although the number of sites remaining unpublished has always been a significant number, it is only post-PPG16 that the level of incomplete projects has risen above that of conventional publication *and* grey literature (Figure 3.37). However, this statistic is somewhat mitigated by an appraisal of the significance of these incomplete projects, whereby just under half have been classified by the ALSF projects to be of regional or national

significance (Figure 3.37). That being said the numbers of significant yet poorly disseminated sites recorded by these projects are still at unprecedented levels.

3.7 Conclusions

The overview of excavations and publication 1938-2007 has clearly shown that the number of works undertaken over that period has increased considerably, reaching unprecedented levels by the late 1990s. That being said *excavations* are perhaps less widespread than sometimes thought. The spread of interventions is not uniform; the central southern area continually having the highest proportion in any year. Although this clear bias has been raised in some recent documents, it is arguable as to whether the scale of the imbalance in modern, primarily planning-led fieldwork has been appreciated at this broad scale. Even before examining the publication record, it is clear that the excavated archaeological record is already distorted by a myriad of geographical and economic factors.

As well as an uneven distribution in the levels of excavation, the analyses presented have shown that there are clear temporal and geographical biases in the written record. The studies of publication rates also show the extent to which publication/adequate dissemination has dropped since the advent of PPG16. With more investigations being carried out, it seems that less is reaching a stage where it may be considered completely disseminated. However, the separate studies of data from the ALSF, Roman and OASIS projects have shown that in the PPG16 period the relative success of publication can vary significantly across the country. To quote Fulford and Holbrook:

“There seems to be a lack of consensus within the curatorial and contracting communities on what should be published, and opinions and requirements clearly vary considerably across the country. Another important factor is the differing level of resource and expertise within local authorities to ensure that reports of an appropriate quality are published, where this has been specified as a condition of planning consent. It is also hard to escape the conclusion that the identity of the contracting organization responsible for the fieldwork is frequently a significant factor in determining whether or not an investigation is published. Some contractors devote considerable resources to bring their projects to publication; others seemingly have less success.” (2011, 333-334).

The findings of the two Roman projects provide two interesting strands for further discussion. The first is the possibility that success of publication (in the sense of traditional outputs such as a monograph) is dependent on the capabilities of local authorities and contracting organisations. A key factor here is the potential disparity of resources available; given the link

between excavation and economics especially in those local authorities previously identified, is the failure to publish a reflection of funding and staffing? Similarly, are developers in economically poorer parts of the country less inclined to provide extra funds for journal or monograph publication unless specifically required to by the planning conditions? Likewise, are bigger units more successful at publication than smaller ones? Or, are these trends more subtle, and dependent on factors that are hard to quantify, such as personal relationships and perceptions on the importance of heritage between those employed within local authorities. Finally, none of these factors include the capacity of disaster, failure of a unit, developer or even illness, departure or death of key individuals: how often do these impair publication, and does this tell us more about the failings of such traditional strategies?

The second strand of discussion from the Roman projects is the persistence of the entrenched dichotomy between grey and published outputs. The Roman projects considered all grey literature as unpublished by default, by contrast the methodologies of the ALSF studies — and this thesis — considered it an adequate medium, dependent on quality and accessibility. In this light, the high proportion of grey literature recorded by OASIS may, as well as indicating a skewed use of OASIS, be indicative of curatorial policies that consider this medium sufficient for many excavations, and not just for smaller works such as evaluations. If this is the case, what does this tell us about the content of grey literature, and its advantages over more traditional forms, or is it even possible to talk about grey literature produced over nearly two decades as a homogenous corpus?

Chapter 4: Methodology for case studies

"The number of archaeological interventions undertaken each year runs into many hundreds and no complete and consolidated record is kept of them. This is a situation that archaeology as a mature discipline should no longer be prepared to accept." (Carver *et al* 1992, 1).

"Are we comfortable with archaeological information being treated as a commodity to which developers control access? Even when it is "published", how easy is it to get hold of? Excerpt from 'A Professional Mockery' (Lock 2008).



Plate 4: *Order from chaos?* The scholar, Periander in his library with printed text. Reproduction after a woodcut, 1488-89. Image courtesy of the Wellcome Library, London, Copyrighted work available under Creative Commons Attribution only licence CC BY 4.0

4.1 Introduction

The compilation and analysis of excavation and publication records for Staffordshire and North Yorkshire has represented a large-scale accumulation of data from a variety of sources. To facilitate data collection and cross-regional analysis a single database has been created to record the details of each excavation and its written outputs. Although primarily based on NRHE and HER records, it has also incorporated a wide range of written sources, datasets and personal anecdote. The difficulties in data collection, reconciling disparate sources, and gathering enough information to being to build a detailed record about an event has been an informative exercise in itself. The following chapter lists and discusses these sources and project methodology, as well as the issues in data collection that were encountered.

4.2 Compiling the database: Staffordshire

In order to create a dataset that gave an accurate appraisal of the outputs of excavations, it was decided to start with the record of excavation first. The first stage of data collection was to compile the disparate event records that exist for the study areas:

- The NRHE Excavation Index (data supplied 01/11/2010).
- The database of the AIP (data supplied 01/11/2010).
- Staffordshire HER (event data supplied on 14/12/2012).
- Stoke-on-Trent HER (event data supplied on 18/09/2013).
- OASIS (data supplied courtesy of ADS 10/08/2013).

The Excavation Index was used as the basis of compiling a definitive list. The same dataset used for the national analysis (Chapter 3.2.3) was filtered for all events with the county of Staffordshire or Stoke-on-Trent. The county classification of Staffordshire had been retrospectively applied to those districts moved from West Midlands to Staffordshire in the reforms of 1974 (Barratt *pers comm*). The Excavation Index was then compared to the HER Event records. Equivalent events were concatenated into a single record, and unrecorded events (in either record) noted. At the time of writing the event records for both HERs are considered incomplete by those organisations, especially for events pre-1990 (Blake *pers comm*; Goodwin *pers comm*). This is primarily due to the lack of resources available in creating event records for historic excavations, although where possible HER officers have attempted to do so for major works (*ibid*).

There were 44 events (all post-1990) recorded in the Staffordshire HER, and four events (all pre-1990) from Stoke-on-Trent HER that were not in the Excavation Index. Conversely there were 46 events and 12 events in the Excavation Index that were not identified in the

Staffordshire and Stoke-on-Trent HERs respectively. For the missing events in the HER, it seems likely that the event is known about but simply not recorded as a formal event in the HER list (Blake *pers comm*). The lack of events in the Excavation Index is perhaps a reflection of the superior local knowledge of the HER, but also to discrepancies in the recording of events. For example the separate fieldwork excavations on the A5 Weeford to Fazeley were recorded once in the Index, colourfully described as “clumping” (Barratt *pers comm*), but three times in the HER. In addition, the majority (36) of HER events not present in the Index were of a more recent date (all after 2003), perhaps suggesting a delay in adding events to the Index manifest in its reliance on supply of information from AIP and OASIS.

Another example of discrepancy is for multiple events in the same area and undertaken over the same period. The early 1970s witnessed a concentration of work in Tamworth, and while both datasets record work at the castle 1972-4 (629188 and EST2162) and Orchard Street (629204 and EST55), only the HER records ‘A section through the North Defences at Bell Inn Corner’ (EST2149). That particular record seems to have been collated by the HER staff from a note in a small journal article (Sheridan 1975, 55), a degree of accuracy unavailable to those without access to the periodical. It is also possible that the NRHE staff thought that this work at the Northern Defences of Tamworth was in fact the same as (629198) excavation of the Northern Defences 1971-1973 at Albert Road. As a case in point, this perhaps goes some way to highlighting the potential for confusion in any discussion of archaeological events!

The refined and expanded database was then compared against the record of events recorded through grey literature in the AIP database. As with the HER data, a brief comparison was run between the enhanced Excavation Index/HER and the AIP data. In total 123 events, post-dating 1990, in the enhanced Index/HER were not represented in the AIP database; conversely there were nine new events recorded in the AIP. The lack of representation in AIP is commonly from smaller units such as AAA Archaeological Advisors, units that have closed such as Marches Archaeology, community groups, consultants that undertake fieldwork such as Gifford and Partners; as well as research projects that have not created grey literature. On further investigation the 9 events in the AIP were watching briefs misidentified as excavations, and were thus not included in this study.

OASIS was searched for all projects from Staffordshire (including Stoke-on-Trent) where the start date was earlier than 31-12-2007, which produced a total of 217 results. The records were filtered for all records where Project Type was ‘Recording project’, ‘Field Evaluation’ or ‘Research Project’. Field evaluations were filtered for all records where method was ‘Targeted Trenches’, ‘Sample Trenches’ or ‘Test Pits’. Recording and Research projects were filtered for all records where investigation was ‘Full excavation’, ‘Open area excavation’, ‘Part Excavation’ or ‘Test Pit Survey’. This eventually filtered the number of unique records to 26. This small

number is a consequence of the fact that Staffordshire HER only started validating records in 2006, and then only on a piecemeal basis (Blake *pers comm*). All but one record located in OASIS had equivalent records in the combined database: West Coast Main Line sites 22-25. Examination of this record shows the event area to be exactly on the Staffordshire/Derbyshire border (technically in the latter county) which may explain its omission.

4.3: Compiling the database: North Yorkshire

As above, the first stage of work was to create a definitive list of events within the modern county of North Yorkshire. The following databases were consulted:

- The NRHE Excavation Index (data supplied 01/11/2010)
- The database of the AIP (data supplied 01/11/2010)
- North Yorkshire HER: (event data supplied on 08/04/2013)
- North Yorkshire Moors (event data supplied on 06/08/2013)
- Yorkshire Dales HER: (event data supplied on 02/08/2013)
- OASIS (data supplied by ADS 10/08/2013)

The Excavation Index was filtered for all events with the county of North Yorkshire. As with Staffordshire, the classification of North Yorkshire in the Excavation Index had been retrospectively applied by the compilers to those areas covered by the 1974 administrative unit, but at the time referred to by another name (Barratt *pers comm*). Prior to further processing all records (565) within the City of York were removed.⁷ The Index was then compared to the event records of all three HERs. Equivalent events were concatenated into a single record, and unrecorded events (in either record) noted. As with Staffordshire, the event registers of all three HERs were incomplete, especially for events pre-1990 and reflecting the backlog of recording at all three records (Matthews *pers comm*; Waughmann *pers comm*; Watts *pers comm*). The datasets from North Yorkshire and Yorkshire Dales HERs included an extra table of concordance exercises in mapping HER event records the Excavation Index, AIP and OASIS (see also Turner 2010). In each case the HER acknowledged that this was very much work in progress (Matthews *pers comm*; Waughmann *pers comm*); however the concordance work was used as a convenient starting-off point for this study. All HER records were then filtered by the author to only the events recorded as:

- Arch intervention/excavation;
- Arch intervention/excavation/test pit;
- Arch intervention/excavation/trial trench.

⁷ The study area omitted City of York for practical and methodological reasons, see Chapter 6 for rationale.

There were originally 1235 relevant events found in the Excavation Index, these were supplemented by 164 records from the North York Moors HER, 104 records from Yorkshire Dales HER and 810 records from North Yorkshire HER. The matching exercise between these datasets had the following results:

- 52 of the 164 records from North York Moors were not located in the Excavation Index.
- 25 of the 104 records from Yorkshire Dales were not located in the Excavation Index.
- 156 of the 810 records from North Yorkshire were not located in the Excavation Index.

The missing records from North York Moors were predominantly undertaken prior to 1990, and seem to be very small-scale investigations of monuments such as cairns by small groups or individuals that were not recorded in local periodicals. By contrast, the majority of the missing records from Yorkshire Dales were post-1990, and are split between small investigations undertaken by local groups such as the *Sedbergh and District Historical Society* and small planning-led investigations. In the case of the former, these small-scale archaeological works are only reported in proceedings such as *Sedburgh Historian* which not only lie outside North Yorkshire but have limited circulation, or PDF reports hosted on local society websites. The missing planning-led events are often combinations of concurrent watching briefs, geophysics and evaluation trenches. The Excavation Index schema is hindered somewhat by the one-to-one nature of recording events, such that events comprising more than one investigative technique are often only classified under one term. Thus if the higher-level event was deemed to be a 'geophysical survey' it would have been omitted from the search parameters used for this study.

Combining the Excavation Index and the North Yorkshire HER was a more complex process. As identified in the Staffordshire survey with the M6 Toll Road, concentrated sequences of investigations such as the A1(M) works were recorded differently in each schema. So for example the HER recorded trial trenches of the 'A1 Dishforth to Barton, Catterick Bridge' in individual fields as 31 events; the Excavation Index grouped the whole under one record. It seems that in the case of the Index this was often the consequence of recording the event details from the fieldwork report as recorded in the AIP. Other factors hindering concordance were incorrect dates, locations and the aforementioned recording of multiple investigative techniques under one heading. Although every effort was made to remove duplicates, there is a possibility that some replication has crept into the final database, especially as naming conventions for excavations has often been frustratingly inconsistent.

For the sake of this study, where possible ‘split’ events such as the A1(M) trenches were combined into overarching records. However where large-scale schemes comprised discrete groups of events, these were kept as separate records. For example ‘A1 Dishforth to Barton Phase 2 Evaluation Trenching: Baldersby’ and ‘A1 Dishforth to Barton Phase 2 Evaluation Trenching: Killerby’ were similar events under the same scheme, with the same final unpublished report and subsequent publication (see Brown *et al* 2008), but with slightly different scales of work and archaeology encountered. Although this has introduced a small level of duplication to the results, it was felt important to record the individual nature (and practices) of component parts of larger schemes, especially where work was undertaken by more than one unit.

Following the HER matching exercise, a final check was made against the AIP database. Given the concordance exercises undertaken by two of the HERs, unsurprisingly no new events were identified. An export was also taken from OASIS for the three HER areas. This was filtered to all projects where the start date was earlier than 31-12-2007 and Project Type was ‘Recording project’, ‘Field Evaluation’ or ‘Research Project’. Field evaluations were filtered for all records where method was ‘Targeted Trenches’, ‘Sample Trenches’ or ‘Test Pits’. Recording and Research projects were filtered for all records where investigation was ‘Full excavation’, ‘Open area excavation’, ‘Part Excavation’ or ‘Test Pit Survey’. This produced:

- 118 records (84 complete) for the North Yorkshire HER.
- 16 (5 complete) for the North York Moors HER.
- 15 (9 complete) for the Yorkshire Dales HER area.

After checking, no records were located in OASIS that were not recorded in the HER. This is mostly due to the HER concordance exercises, but the figures produced also indicate a lack of use of OASIS in these areas. As with Staffordshire, this is primarily because the obligation to complete an OASIS record is not included within briefs set within these regions; although use by contractors and researchers is encouraged it is not enforced (Falkingham *pers comm*).

After the final concordance exercise, this study located 1459 unique events; significantly, of the number recorded within the Excavation Index 557 events were not recorded in HERs. The vast majority (359) of these pre-dated 1990. However this still leaves a large number of modern events unrecorded in the HERs. This is perhaps due to backlogs in recording events within HERs, but also that a number of events have historically been unreported. Leaving aside the OASIS and AIP databases discussed above, it is clear that in order to undertake an accurate appraisal of events in the North Yorkshire area *all* data sources have to be consulted. The HERs have information for small-scale events undertaken under the radar of national

schemas, although as noted by the North Yorkshire HER survey the latter still have the capacity to contain unreported works (Turner 2010). The Excavation Index, as in Staffordshire, provides a robust baseline dataset of works across the decades, especially for investigations undertaken before the foundation of the respective HERs in the 1970s and 1980s. As this is pulled from extant schemas such as AIP and the contents of published and unpublished sources consulted by the compilers at the NRHE it is successful in documenting major works and the majority of smaller investigations. Lacunae in the Excavation Index are seemingly caused by small, often unreported events, and perhaps false gaps caused by the tendency of the Index to group events.

4.4 Compiling sources

Once the event data for each county was compiled, bibliographic sources from the Excavation Index and HERs were imported into the database. In addition to these baseline datasets, a survey was made of additional bibliographic sources and datasets to identify additional outputs that may not have been included in the event records.

4.4.1 National journal search

The following national journals were searched for specific articles, but also through the annual reports on finds and excavations usually located at the end of each volume:

- *Medieval Archaeology* doi:10.5284/1000424
- *Post-Medieval Archaeology* doi:10.5284/1010823
- *Proceedings of the Prehistoric Society* (PPS)
- *Journal of Roman Studies/Britannia*

It is anticipated that these journals cover a substantial number of notable excavations in England. The main advantage is the presence of online indices, either through academic services such as JSTOR, the ADS, or in the case of PPS through the journal website. In the case of *JRS/Britannia* a search was made easier through the full digitisation of the journal available through JSTOR, thus articles relating to Staffordshire could easily be identified. In addition each volume had a section '*Roman Britain in...*'. This could be downloaded as a PDF and searched for key terms such as Staffordshire. Searching *Medieval Archaeology* and *Post Medieval Archaeology* was aided by the online database of journal holdings (including "*Medieval Britain in...*") provided by the ADS. In these searches and cross-references could be carried out in a matter of minutes.

The streamlined searching of the 'historical' journals was in contrast to that possible for the PPS. Although an index of articles is available online through the PPS website, this does not include the contents of the 'notes' section (the equivalent of the '...in year' sections of the other journals). In this case a more traditional library-based search of each volume of PPS was undertaken. Although a means to an end, this process of searching journal contents provides an informative case study of the relative availability of information from academic journals. The three publications with substantial web-based dissemination methods (JSTOR and ADS) were much more accessible. Even if in the case of *JRS/Britannia* the individual PDF had to be downloaded and searched, the core functions could still be undertaken by computer software and not by hand. It should be noted that no events were discovered in national journals that were not already recorded in the HER or Excavation index, although a number of outputs were missing from these records.

4.4.2 Local journal search: Staffordshire

A local journal search was also undertaken to identify any additional events or sources that may have been missed. This included *West Midlands Archaeology* (formerly the *West Midlands Archaeological News Sheet*), the annual publication of the CBA West Midlands Group which contains a round-up of sites excavated in the region. The publication coverage for the modern (and historic) county of Staffordshire is, unlike some counties, rather complex. Before 1993-4 there was no single combined publication for the county, now provided by the *Staffordshire Archaeological and Historical Society Transactions* (SAHST). Up to this point the county was fragmented, ostensibly between north and south but also intra-regionally and along distinct socio-geographic lines. For example, the South of the county is covered by the following publications:

- 1959-1961 - *Lichfield Archaeological and Historical Society Transactions* (LAHST), superseded by:
- 1961/1962-1968 - *Lichfield and South Staffordshire Archaeological and Historical Society Transactions* (LSSAHST), superseded by:
- 1968/1969-1992 - *South Staffordshire Archaeological and Historical Society Transactions* (SSAHST), superseded by:
- 1993/1994-present: *Staffordshire Archaeological and Historical Society Transactions* (SAHST).
- *Transactions of the Warwickshire and Birmingham Archaeological Society* - including those areas of the West Midlands conurbation that became part of the modern county of Staffordshire after the administrative changes of 1968/1974.

The genesis of the south Staffordshire journal was in the wake of Graham Webster's excavations at Wall in 1956, where the team formed a research group under the aegis of Birmingham University, which in 1959 became the Lichfield Archaeological and Historical Society (Webster 1958). Prior to this, from the late nineteenth century to 1942, there was an organisation sometimes known as the Wolverhampton Archaeological Society and then as the South Staffordshire Archaeological Society (Whilstow 1977, 91). This carried out several excavations, most notably at Engleton (the Roman site of *Pennocrucium*) in 1937-8 under the direction of Kathleen Kenyon (*ibid*).

In the north of the county there is no such linear progression associated with a large society. The main publication output was the *Transactions of the North Staffordshire Field Club* (TNSFC), which later became *Staffordshire Studies*. This journal — somewhat confusingly — overlaps with the *North Staffordshire Journal of Field Studies* (NSJFS) produced between 1961 and 1975; “an obscure and short-lived journal” (Wardle 2002, 15). The North Staffordshire Field Club was a multi-interest group, covering diverse topics such as folklore, botany and archaeology and with a distinctly rural coverage. The region's archaeology is also covered in other ephemeral journals such as *Peakland Archaeological Society Newsletter*, *Transactions of the Old Stafford Society*, and *Keele Archaeology Group Newsletter*. In contrast, Stoke-on-Trent has a remarkably self-contained and consistent publication history. A contracting unit born out of the old Stoke-on-Trent Museum Archaeological Society,⁸ has primarily published in a monograph series called *Staffordshire Archaeological Studies* (SAS). The final SAS was produced in the mid-late 1990s; its demise came about as a result of budget cuts and council reorganisation (Goodwin *pers comm*).

At the time of writing none of the local journals have digital versions freely available online. Although the Staffordshire Archaeological and Historical Society have a PDF index of previous issues (including its previous incarnations) it does not contain details of the articles or a consistent summary of the excavations undertaken in a particular year. Only two of the journals were located in the library of the University of York — *Staffordshire Studies*, and *Staffordshire Archaeological and Historical Society Transactions* (including all volumes under different names going back to 1959). Other periodicals were located at Staffordshire and Stoke-on-Trent HERs, and could be consulted upon request. However collections of smaller journals such as *Peakland Archaeological Society Newsletter* and *Keele Archaeology Group Newsletter* were often incomplete at the HER, with some articles only available as scans of the original paper versions.

⁸ Known as Stoke-on-Trent City Museum Archaeology Section, the Potteries Museum Archaeological Unit and latterly Stoke-on-Trent Archaeology.

Only three excavations were identified within the local literatures that were not identified in any of the databases. These were:

- Excavations at *Pennocrucium* near Stretton Bridge 1953-1954. Identified from a short note in the Transactions of the Birmingham Archaeological Society (Barton 1956).
- Beacon Street, Lichfield 1938. Mentioned briefly in a review of the archaeology of Lichfield (Carver 1981b, 1).
- Excavations at *Pennocrucium* 1938. Identified from a review of local society activity in Staffordshire (Whilstow 1977, 92) and apparently excavated by Dame Kathleen Kenyon.⁹

The absence of these events from the various sources consulted can perhaps be explained by the incomplete state of the HERs. Another explanation, especially for the last two events that are fleetingly mentioned in much later reviews, is that these represent a class of event that could be categorised as an 'unknown unknown'. It is the paradoxical nature of such a phenomenon that makes it so difficult to elucidate on the significance of these events.

4.4.3 Local journal search: North Yorkshire

The following journals were consulted:

- *Yorkshire Archaeological Journal* (YAJ): annual publication of the Yorkshire Archaeological Society (YAS).
- *Transactions of the Scarborough Archaeological and Historical Society*, formerly *Transactions of the Scarborough and District Archaeological Society* (TSDAS).
- *Ryedale Historian*: the published proceedings of the Helmsley Archaeological and Historical Society.
- *Cumberland and Westmorland Antiquarian and Archaeological Society Transactions*.

At the time of writing none of the journals referenced above have digital versions freely available online. Although YAS have a PDF index of previous issues online, this does not contain specific details of the articles or a summary of the 'Excavations in year' section present in hard-copy versions. The Scarborough Society does have an innovative online catalogue of recent excavations carried out under the auspices of the group going as far back as 1986.¹⁰ Each excavation record has a site summary, scanned image of the excavations, detail of relevant reports and publications and associated museum and NRHE codes. To the author's knowledge this feature is unique amongst local societies, and has been invaluable in

⁹Although no sources have been found which corroborate this.

¹⁰ <http://www.scarborough-heritage.org/exca/search.asp> [Accessed 22/08/2015].

pinpointing events and corroborating evidence. All journals excepting the *Ryedale Historian* were located in the library of the University of York. A full run of the *Ryedale Historian* was located at North Yorkshire HER, and could be consulted upon request.

There were no events recorded in the local journals that were not recorded in either the Excavation Index or one of the HERs. This suggests that the main county journal has obviously been consulted throughout the history of the Excavation Index; hardly surprising given the prominent status of the YAS and its journal (Addyman 2003). It also demonstrates how, for a large area, the relative compactness of the county publications has led to a consolidated record for consultation by the HERs and researchers.

4.4.4 Additional sources

The enhanced database of event records and bibliographic sources was then compared and enhanced by a search of BIAB. Sources consulted included *Mesolithic Miscellany*, the *Bibliography of the Vernacular Architecture Group*, the *Study Group for Roman Pottery Bibliography*, the *Bibliography of the Trent Valley Archaeology Group*, and the reports of the CBA Groups for West Midlands and Yorkshire. In addition, comparative checks were also made with the current archaeological reviews of the region including the Research Framework and Research Assessments for Yorkshire (Manby *et al* 2003; Roskams and Whyman 2005; 2007a), and the West Midlands Research Frameworks (Watt 2011). Specific period-based assessments such as that for the Roman period (Ottaway 2013) were also consulted. Final checks of grey literature were also undertaken through a separate search of the AIP database (although AIP results are incorporated into BIAB, the former contains results yet to be transferred to the latter) and the ADS Grey Literature Library.

4.4.5 Review of bibliographic sources

In each case where an output could be identified and consulted in person (either as a physical or digital version) a brief assessment was made of the content, including presence of technical drawings, specialist reports and discussion of the site in a wider context. A note must be made of the value of the AIP database for categorising grey literature – most records list the presence (or by absence a lack of) drawn and photographic records, as well as a brief overview of the methodology and archaeology employed.

4.5 Classifications used within the database

The combined index of events was expanded into a relational database, created in Microsoft Access. The purpose of the database was to collate as much information as possible about an event, including all of its outputs. Although some of this information is already recorded in the Excavation Index, HER and AIP the purpose of the new database was to add extra information about the outputs themselves, including type of output, accessibility of information, and thus whether the excavation is adequately published. A full description of each table and field is included in Appendix 1. The final digital archive will also be deposited with the ADS, and supplied to each HER for use in their ongoing concordance and backlog exercises. Custom exports of all records are included in Appendix 2 (Staffordshire) and Appendix 4 (North Yorkshire) for reference purposes. The main database classifications are discussed briefly below, so as to clarify the methodologies employed and the terms that will be used in the main analyses.

4.5.1 Excavation prompt

Excavations were classified as one of the following, recording the prompt for the fieldwork, rather than any inherent methodology.

- Research: any excavation carried out external to planning legislation (or recommendation), rescue conditions or any other scenario where the archaeological resource was under threat.
- Rescue: any excavation carried out either prior to, or during, destruction of archaeological deposits and not directed as a planning condition. Any emergency salvage operations funded by the developer and directed by the planning authority are not included. Although primarily used to denote projects undertaken by an organisation funded through the rescue budget, it also includes MSC funded works, or investigations part-funded by a local council, museum or a developer or those with no grant. Excavations funded by Historic England as either PPG16 Assistance (where old planning permissions lacked any planning condition) or to facilitate investigation/recording of damaged monuments are included in this class.
- Planning: any excavation brought about through direction by the relevant Local Planning Authority when making a planning decision, either as a planning condition or by a legal agreement under section 106 of the Town and Country Planning Act 1990. Although mainly covering archaeology as a consideration set out in PPG16, it also includes works required by separate legislation covering energy companies (McGill 1995, 100-101). It also includes sites undertaken prior to the publication of PPG16 and that were negotiated through local government as part of a planning application and without rescue or MSC funding. It also

includes developments that fall within special regulations or statute differing from the standard planning process, for example public utilities, statutory undertakings, Crown Commissioners and Ministry of Defence. Events undertaken as part of negotiations between developer and Local Authority on sites covered by permitted development are also included.¹¹

- Unknown: any excavation that cannot be classified as one of the above.

4.5.2 Excavation methodology

Although the Historic England Event thesaurus uses similar terms, this database used a different lexicon to try to record in more detail the type of work being undertaken. For example, although an event may have a 'Rescue' prompt, it doesn't necessarily follow that it was (to use the Historic England thesaurus) a 'Rescue excavation', but could be, for example, 'Salvage Recording' as it follows that the latter collects less information than the former. Visual examples of categories used can be seen in Figures 4.1 and 4.2.

- Excavation – Open: denotes larger open and planned events, where higher sampling of features/deposits is facilitated.
- Excavation – Part: refers to those events where total excavation of features/deposits is not undertaken, either for practical or methodological reasons.
- Evaluation – Trenching: denotes narrow sampling trenches common in post-PPG16 evaluation work. This term also applies to works outside the planning process (ecclesiastical development, coastal erosion, agriculture, forestry and countryside management, works by public utilities and statutory undertakings).
- Evaluation – Test Pit.
- Evaluation – Other: denotes an evaluation not based on trenches. This can be a small area in order to ascertain the depth or survival of archaeological deposits and is most common in urban areas where trenching is impractical.
- Salvage Recording: a time-pressured recording/excavation of archaeological deposits prior to destruction.
- Small Scale Event: a limited or exploratory investigation, such as the recording of material eroded by a river bank, or uncovering of archaeological remains during renovation of a floor surface.

¹¹ Permitted development rights are a national grant of planning permission which allow certain building works and changes of use to be carried out without having to make a planning application. Permitted development rights are subject to conditions and limitations to control impact and to protect local amenity (Planning Practice Guidance 2014).

- Observation: as above, denotes a somewhat singular event, but involving only the recording (not removal of) archaeological deposits.
- Other/Unknown: in some cases, due to a lack of available information, it was impossible to categorise an event.

4.5.3 Excavation scale

An attempt was made to record the scale of the event. In this case, the criteria encompassed the surface area covered, the depth of excavation and the duration of the event in order to give an impression of the amount of information produced. Visual examples of categories used can be seen in Figures 4.1 and 4.2.

- Very small: a brief event with little or no excavation, such as recording/observation of a chance find.
- Small: limited trenching, or partial excavation of features, with no significant depth of stratigraphy, or excavated over a very short period of time.
- Medium: significant trenching, or partial/full excavation of significant number of features/significant depth of stratigraphy.
- Large: significant excavation (as opposed to evaluation) over a wide area, or over a smaller area but with significant depth of stratigraphy. Also includes excavations that span several seasons/phases.
- Very large: as above, but on a much larger scale; examples would be Mucking or Heathrow Terminal 5.

The subjective categorisation of events is an expansion of the methodology employed in the recent ALSF projects previously discussed (ARCUS 2007, 14). Other projects, such as the Roman Grey Literature project have attempted to classify excavations by surface area of the site, although anecdotal evidence has shown that this has been difficult to discern from written sources (Smith *pers comm*). Given the likelihood of similar problems in this case study, it was thought best to not attempt this level of detail.

4.5.4 Excavator class

As with the other categories, there is a certain degree of difficulty in consistently applying this classification. Excavations have been classed according to the main occupation/function of director *and* excavators, as well as the source of funds and resources available. It is important to note that this represents the people doing the work, and not the work itself. Thus a unit may undertake a research event or, especially in the early days of rescue archaeology, a local society might undertake salvage work ahead of imminent destruction.

- Local Society/Group: for example, the South Staffordshire Archaeological and Historical Society.
- Academic/University: for example, an individual employed by a university, or a project. Field units associated with a university such as ARCUS, are classed separately as units unless sub-contracted to a university project.
- County Council: used to identify the works of County and Borough Councils (primarily works and transport divisions), as opposed to units such as BUFAU or YAT.
- National Body: for example, English Heritage Central Excavation Unit or Ministry of Works.
- Private: where the excavator is unaffiliated with any organisation.
- Unknown: in some cases not only is the organisation not stated but the identity of the person(s) excavating is not clearly stated.
- Unit: for example Oxford Archaeology or BUFAU. This includes groups established primarily for the rescue of archaeological sites, and benefitting from rescue grants such as the Trent Valley Rescue Committee.
- Museum: used to denote the works of museum staff and not clearly operating as a unit.

4.5.5 Significance

An attempt was made to classify the general significance of the archaeological deposits excavated. It was decided to use the categories defined by the ALSF projects previously discussed (ARCUS 2007):

- Local: Negative or limited archaeological evidence.
- Regional: Significant archaeological evidence.
- National: A major archaeological site.

The ALSF reports do not give any detail regarding how this classification was obtained. For the purposes of this thesis, the criteria for assessing the national importance of monuments have been used as a guide to assessing a level of significance (DCMS 2013, 18). Significance is also affected by the nature of the archaeological work, for example an open area excavation of a site will give us more information than a single, small evaluation trench. In some cases, significance can easily be established: for example a small trench across a known Roman road with no finds is interesting, but has a low significance when looking at the national or regional picture. Conversely, an excavation of a hitherto little studied type of site, such as the Saxon watermill in Stafford, is clearly of national interest. As much as possible, the significance of the site was based on the written views of the excavator. In the case of planning-led events or

those undertaken to inform possible scheduling, this is often clearly stated in any final report. For those reports where detailed information or contemporary appraisal of significance was not forthcoming, a judgement was made using accessible sources such as HER and NRHE. Reference was made to existing Research Frameworks or overviews such as Extensive Urban Surveys to establish significance within local context.

In certain cases where little or no information could be established, and where the scale of works was thought to be relatively small, it was decided to class the excavation as local significance. In this manner, it was hoped not to skew the results towards a series of unknowns, and that firm evidence was required in order to establish that the results of an investigation were of wider interest. It should also be stated that scale is not always an indication of significance, for example in discussing excavations from Lichfield, Carver notes the potential evidence for Roman antecedents of the settlement, notably a “series of post-sockets and beam slots was isolated, whose importance goes far beyond their slight significance” (Carver 1981b, 3).

4.5.6 Output type

Each written output identified was recorded within the database.

- Index Record: description of event in Excavation Index, HER, AIP. Used where no other written output was available.
- Local journal note: short description in local journal. This is commonly a paragraph or page in an annual round-up of events in a calendar year.
- Local journal article: a formal article, distinct from notes (above).
- National journal note: short description in national journal such as *Britannia*, commonly found in annual round-up of excavations
- National journal article: formal article in national journal such as *Britannia*.
- Appears in edited volume: detailed description of work in edited volume.
- Interim statement: interim description. This is a separate classification to grey literature, as typically these are no longer than one or two pages, and lack context and detail.
- Grey literature: a fieldwork report not published as a monograph or in a traditional journal format. To classify as grey literature the output must in some way place the excavation in context with an overview of the results. A distinction is made between reports produced as paper versions only, and those that were disseminated online at the point of publication. Reports latterly disseminated via backlog scanning initiatives have not been classed as online, reflecting their original status as paper-only media.

- Published monograph: such as a British Archaeological Report.
- Local gazetteer: such as CBA Regional Bulletins/Newsheets.
- Serial: Used to denote an output that forms part of a distinct series, but is not a journal. Primarily used for the outputs of the Stoke-on-Trent Museum Society.

For each output record, information was collected about the content of the output/publication, including presence of drawn records (sections, plans), photographs, location of the archive and the presence of useful finds/specialists reports. A brief summary/analysis was also made of the output itself with regard to whether it adequately documented the excavation and explained the findings.

4.5.7 Status

This table was designed to summarise the current output status of the event. In most cases this was categorised according to the most detailed, accessible and high-profile output. So, for example an event could have outputs consisting of a grey report and a journal article but, assuming the journal article covers all aspects of the excavation, then it would be considered the main output. In other cases, usually for sites excavated over numerous phases, the written outputs may have been published in various years, and thus all outputs were considered to be part of a larger record of the investigation.

A simple classification, based partially on the methodology of the ALSF projects previously discussed, was devised:

- Completely published: was used for records where the excavation was fully documented, with drawn and written records (including specialist/finds reports) and an adequate discussion of the archaeology in a wider context. It should be noted that for projects covering several phases or archaeological periods, *all* results should be adequately reported. In a number of cases, such as Wharram Percy, a completely published project consisted of several outputs.
- Part published: was used where elements of the excavation were missing from the main output, but where enough results were presented to facilitate some understanding and reuse. This may be in the form of documentation of specific phases of the archaeology, or a lack of drawn record, lack of specialist finds or dating evidence, or lack of an adequate discussion in context.
- Not published: was used where no information was available other than an index record, interim statement or journal note.

The full list of status categories are as follows:

- Completely published - national journal: excavation is fully published with main written output in a national journal;
- Completely published – monograph: excavation is fully published as a monograph;
- Completely published - local journal (major): excavation is fully published in a local journal with a wide circulation such as YAJ;
- Completely published - local journal (minor): excavation is fully published in a local journal but with a more localised circulation;
- Completely published - grey report (non-digital): excavation is fully published in a paper report available for consultation at the HER;
- Completely published grey report (digital): excavation is fully published in a digital report disseminated online at the point of publication;
- Part published - local journal: most/some aspects of the excavation are published in a local journal such as SAHST;
- Part published - grey report (digital): most/some aspects of the excavation are presented in a fieldwork report, available online at the point of publication;
- Part published - grey report (non-digital): most/some aspects of the excavation are presented in a fieldwork report that is only available as a physical copy;
- Part published – monograph: most/some aspects of the excavation are included in a published monograph;
- Not published - interim report: the only available information on the excavation is an interim report;
- Not published - journal note/small article: the only information on the excavation is a short article or note in a journal;
- Not published - no information: no information except what has been identified in local/national databases;

The use of the term *published* to cover grey literature may be contentious, but as discussed in previous chapters while grey literature is undoubtedly ‘not published’ in the modern appreciation of a peer-reviewed output issued by a journal or a commercial publisher, it is a literal publication. In the cases where grey literature has been designated as being completely published, it has clearly fulfilled the role of providing an adequate overview of the results of the investigation, and with an overview of the sites significance in its local or regional context.

4.6 Working practice

Primary analysis was undertaken within the Access database (Microsoft Access 2010) through a series of SQL queries. Queries were also exported as comma separated values and then

converted ESRI Shapefiles within the ESRI ArcCatalog 10.1. Any subsequent analysis of the data was performed as queries within ESRI ArcMap 10.1 as well as GeoData 1.6.0, a free, open source, cross-platform software program for spatial data analysis.

4.7 Case studies

In order to provide detailed insight into the wider trends identified in the main dataset, a number of site-based case studies were selected from each county. These case studies were initially chosen based on key themes, such as unpublished rescue sites from the 1970s, or development-led sites only published as grey literature. Suitable and informative examples were selected from the database and then assessed for the likelihood of yielding further information, either through the identification of a consultable archive, or excavator. For the selected case studies the initial mode of query was to directly contact the excavator with a request to discuss the post-excavation and publication history of the named site, and with background to the rationale and objectives of the PhD study. If the request was accepted, follow up enquiries were conducted via a series of emails, phone conversations or personal contact. During the early stages of data gathering an attempt to direct exactly the same questions to each correspondent was soon abandoned, as communications soon became person or site specific. For a number of sites, usually where the excavator could not be traced or requests for discussion were not answered, queries were also sent to personnel, such as County Archaeologists or peers who, it was hoped, would provide additional background information.

In each enquiry the correspondent was alerted to the nature of this research and with a request that key findings or facts communicated could be referenced in the thesis as a personal communication. In certain cases, direct quotes were used with the permission of the relevant individual, and for specific use in the thesis. As an important aside, it must be noted that over the course of these enquiries a number of conversations were undertaken in confidence only. Findings from these have not been included in any way in this thesis. A full list of individuals consulted, with dates and form of communications used in the thesis, are listed in Appendix 3 (Staffordshire) and Appendix 5 (North Yorkshire).

4.8 Insight

The considerable discrepancy encountered between national and local systems in compiling comprehensive lists of excavations and publications only goes to further highlight the gaps that have emerged in archaeological recording (Chapter 2.4). The HERs consulted are of course limited in their temporal coverage, and the adoption of an event model only in more recent years. In the case of each HER the incorporation of backlog information from the NRHE or other sources is clearly intended, but with an increasingly pressurised economic

backdrop this often takes a minor role to the priorities of updating the HER with new information. It is also clear that the historic attempts to align historic environment data through OASIS have not been successful in the two areas studies. Indeed, the uptake of OASIS in both areas has been limited, with only Stoke-on-Trent fully embracing the system towards the end of the study period. In addition, no one source accurately compiles all sources for a given area. The workflow of the Excavation Index prohibits it, the AIP is primarily concerned with grey literature and the HERs suffer from incomplete archives, often the result of units not submitting reports (see Evans and Hardman 2010). Even BIAB is constrained by a lack of coverage for grey literature, and a lack of concordance with other sources such as event records.

Thus, what a researcher working in the early twenty-first century is confronted with is a myriad of recording systems, each subtly different and each recording events that are not recorded elsewhere. In this respect, the current state of information management fails to meet the vision of online publishing and communication forecast at the beginning of the current century:

“Whereas previous generations would have taken years to gather all the references to research at a given location and would have congratulated themselves on the achievement of such a laborious task, in the future (and increasingly in the present) this will be the work of a single day or less. Comprehensive referencing will not be a virtue to which scholars aspire; it will be a *sine qua non*. It will no longer be the first stage of a doctoral thesis; it is likely to be the first stop in an undergraduate paper. The days of the descriptive index submitted without interpretive scrutiny are surely numbered” (Clarke *et al* 2003, no pagination).

The data collection exercise discussed above took approximately 18 months to complete. Although not wishing to disagree with the expressed sentiment and aims, it is clear from the time it has taken this author to compile a research dataset that we have not yet reached the promised land of comprehensive, accessible, consistent and accurate information. As with the HER, this may appear unimportant as long as we know where the ‘sites’ are, as this is the bedrock on which planning decisions – and thus the majority of work undertaken – are made. The time taken to compile the sources discussed above is frustrating, furthermore the very clear gaps and inconsistencies perhaps undermine the trust we can have in our current digital record.

Chapter 5: Unpublished excavations in Staffordshire

“The heavy costs of the preparation of this report for publication (at least fifty times that of the excavations) have been met principally by generous grants from the Historic Buildings and Monuments Commission (HBMC)”. Excerpt from the acknowledgements of the final publication of the excavation of an Anglo-Saxon Watermill at Tamworth undertaken in 1971 and 1978 (Rahtz and Meeson 1992, x).

“In the editorial for last year’s West Midlands Archaeology reference was made that CBA Group 8 was willing to consider making a small grant towards the cost of publishing ... Somewhat surprisingly no such requests were received” (Darlington 1991, 1).



Plate 5: *A lost slice of time.* A trench through the Saxon defences at Tamworth, undertaken by County Planning and Development Department of Staffordshire County Council under the direction of Stephen Sherlock in 1964. The excavation remains unpublished. Image from the Phillip Rahtz Slide Collection, made available by the University of York under the terms of a Creative Commons Attribution-Non-Commercial-Share Alike Licence

5.1 Introduction

Previous chapters have highlighted the national rise in archaeological investigations, and the apparent simultaneous drop in the amount of work reaching an adequate level of publication. Insights into publication rates were limited by the extent of data available, and although general trends can be inferred from smaller subsets of data, the lack of detail prevents any firm conclusions as to the scale, and precise causes of the publication problem. This chapter focusses on the first of two county-based case studies designed to provide this level of detail.

This chapter begins with a brief introduction to the geography and archaeological history of the study area. Data compiled for the main study is also used to present an overview of excavation trends in the county. This is followed by analysis of the collected publication data, which, in order to provide an overview of major trends, is divided into the following sections:

- A general overview of publication trends, identifying major themes and an appraisal of the publication rates according to site significance.
- Analysis of the data for completely published investigations, with identification of publication media and changes in such media over time. The section also includes an analysis of the time it takes to achieve publication. Finally the section examines the publication rates of the different classes of excavator.
- Analysis of the data for unpublished investigations, examining significant factors such as scale of works, excavator and methodology to establish common measurable trends that may contribute to publication failure. The section also includes a year-by-year comparison of unpublished excavations to highlight temporal trends, and examines the types of site that lie within the unpublished corpus.
- Analysis of part published investigations, focussing on the range of media and type of record that have been classes as such. The role of the Local Planning Authority, scale of works and identity of fieldworker is also considered.

The overarching analyses are followed by a selection of case studied designed to shed more light on specific themes highlighted in the preceding sections. Examples include a level of qualitative analysis, based on interviews with key personnel (see Chapter 4.7). The chapter concludes with a discussion of key findings from both the quantitative and qualitative studies.

5.2 The study area

The definition of Staffordshire used in this study is the administrative county as established in 1974. This includes the city of Stoke-on-Trent — a separate Unitary Authority — and the southwest portion of the Peak District. It excludes the Black Country; the districts of

Wolverhampton, Walsall, West Bromwich and Smethwick that since 1974 have been part of the modern county of the West Midlands (Figure 5.1).

The highest land is found in the northeast, where the Peak District rises to over 400 metres, and Cannock Chase located towards the centre of the county, which rises to a height of 240 metres. The main river is the Trent, flowing from the vicinity of Stoke-on-Trent, and whose main tributaries are the Penk, the Tame and the Dove (Figure 5.1). The nature of recent settlement and landscape owes much to the geology of the region; there are considerable outcrops of coal in the North Staffordshire Coalfield and south of Cannock which have led to heavy mining in these areas (Figure 5.2). One of the defining features of the region is the Etruria Formation, the principal clay resource in the county and one of the most important in Britain (Bee *et al* 2006). The availability of this clay led to the extensive ceramic industries in Stoke-on-Trent, but also in the south of the county in the area near Cannock and Tamworth (*ibid*). The deep mining, open casting and clay winning have had a considerable impact on the landscape around Stoke-on-Trent and the adjacent Staffordshire Moorlands, with the region still littered with the spoil heaps and industrial buildings of the eighteenth and nineteenth centuries (Staffordshire County Council Development Services Department 2000).

In the south of the county the extraction of sand and gravel on the Trent Valley and its tributaries has long had an impact (Figure 5.3; Buteux and Chapman 2009, 16). Outside of these industrial areas the landscape is predominantly pastoral, primarily due to the poor quality of agricultural land but also the historic trend towards the production of specialised stock rearing to supply the markets of the Potteries and the Black Country (Staffordshire County Council Development Services Department 2000). In terms of archaeology and the planning process, the county contains eight separate district and borough councils as part of Staffordshire County Council, with Stoke-on-Trent as a separate Unitary Authority (Figure 5.4). Historically Stafford Borough has employed an archaeologist as part of local planning and development teams; however at the time of writing provision for Historic Environment advice is provided by a small team based within the main County Council.

5.3 Existing archaeological reviews of Staffordshire

In undertaking a review of the archaeological literature for Staffordshire, one is at first struck by the relative absence of any distinct Staffordshire identity. Although older historical and geographical overviews exist (Wheatley 1954; Palliser 1976) there is no direct archaeological counterpart. General county-wide syntheses and reviews are scarce, with only Shaw's (1798) *The History and Antiquities of Staffordshire* and later Seaby's (1949) *Archaeology of the Birmingham plateau and its margins* attempting rather localised inventories of extant monuments. The most recent, and still most cited, synthesis of the county is a pre-PPG16

gazetteer of later prehistoric finds and funerary monuments that focuses on the extant remains in the Peak District (Gunstone 1964; 1965). It seems that a lack of a local archaeological identity has much to do with the fact that for much of the twentieth century Staffordshire (and the West Midlands as a whole) has been perceived as archaeologically barren. To quote Stuart Piggott: "... the heavily wooded midland plain, where pre-Roman occupation of any kind is likely to have been scanty, transient or both" (1955, 65). Part of this marginalisation has also been the concept of what constituted archaeology for most of the twentieth century: large extant prehistoric and Roman monuments, as opposed to nineteenth-century pottery kilns or deeply stratified medieval urban centres (cf. Garwood 2007a; Gerrard 2003).

At the time of writing there are a number of projects being undertaken to assess the archaeological resource as to inform the basis of planning decisions, notably a county-wide Historic Landscape Characterisation (HLC) and a series of more localised Historic Environment Character Assessments. The latter build on the methodology and datasets of HLC by incorporating HER data and offers comments solely on the impact of potential development on the historic environment (for example see East Staffordshire Borough Council 2013). Although sections of air photographic assessment has been undertaken on a small part of the middle Trent Valley, there has been no widespread work outside of this area, except for a current project focussed on the Trent and Churnet rivers (Holgate 2013). An assessment of the archaeological resource of aggregates bearing areas is also being undertaken, although this has only just been completed (Bax *pers comm*).

The recently completed Extensive Urban Survey (EUS) of the county provides an overview of the major towns, excluding Stoke-on-Trent. These documents detail the rich heritage of the early medieval centres of Tamworth, Stafford and Lichfield, highlighting their national importance (Taylor 2014, 18). A specific focus is placed on these centres with a view to incorporating research-driven questions, such as the precise dating of the foundation of Stafford, or the nature of ecclesiastical and secular Tamworth (*ibid*). The document briefly discusses the history of excavation in these areas, and contrasts it to the relative lack of work in the smaller towns of the country, highlighting the potential for other early mediaeval ecclesiastical centres at sites such as Leek and Brewood.

Staffordshire is covered by the *West Midlands Regional Research Framework for Archaeology*, a Historic England funded initiative developing from *Frameworks for our Past* (Olivier 1996). The first stage was a Research Assessment through a series of research seminars in 2002-3, latterly published as an updated synthesis of the West Midlands (Watt 2011). In addition, detailed thematic reviews are being published as a series of six monographs entitled *The Making of the West Midlands*. The first to be published, *The Earlier Prehistory of the West Midlands* sets the tone for the whole series in its preface, by stating the aim to "resituate the

region at the centre of national research” (Garwood 2007b, vii). These documents provide an important counter to the old views of Piggott and others and have highlighted the rich cultural heritage of Staffordshire, notably the Neolithic/Bronze Age ritual landscapes of the middle Trent Valley gravels and concentrations of barrows in the Peak District (Garwood 2011); the Romano-British centres at Wall, Penkridge, Greensforge and Rocester (Esmonde Cleary 2011); the medieval urban centres of Stafford, Lichfield and Tamworth (Hunt 2011) and the industrial heartland of Stoke-on-Trent (Belford 2011).

Despite the recent attention given to specific urban centres, the lack of a comprehensive overview or synthesis of landscapes indicates a somewhat fragmented approach to the archaeology of the county. It may be that the lack of a distinct ‘Staffordshire Archaeology’ is a consequence of intra-county identities caused by geography, for example the City of Stoke-on-Trent, the rural uplands in the northeast, and the urban fringes of the Black Country to the south (see also an overview of local journals in Chapter 4.42). Occasional reviews such as Hodder (2002) have also highlighted the relative paucity of archaeological evidence by identifying this lack of research and fieldwork, alongside environmental constraints on identification of sites. It is interesting to compare this to a later perspective put forward by Garwood (2007b, 3) in a discussion of the prehistoric periods of the West Midlands, which cites AIP and the documented upsurge in post-PPG16 fieldwork as leaving “few areas untouched by fieldwork” (*ibid*).

It seems old attitudes die hard; after completion of archaeological work on the route of the M6 Toll road (the majority of which was in Staffordshire) it was announced that “If we had dug this road in Wessex or the South-East or East Anglia, there is no doubt we'd have found a heck of a lot more archaeology” (British Archaeology 2002a). This comment drew an immediate and strongly-worded response (British Archaeology 2002b), and amongst the published reviews cited above there seems to rage a very pertinent debate about bias, under-representation, perception and marginalization.

5.4 Analysis of excavations within Staffordshire 1938-2007

An overview of annual numbers of events shows that excavation in Staffordshire mirrors wider regional trends (Figure 5.5). In line with the perception of the area as being archaeologically barren, there are very few investigations prior to the 1950s. Although this changes in the mid-1950s, the increase in work is not as dramatic as in the rest of the region. Over the course of the 1960s and 1970s the number of works remains relatively small, never exceeding 15 per year. This drops significantly in the early 1980s before increasing to unprecedented levels in 1985. This seems to reflect the growth of MSC-backed excavations, including regionally important work in Stafford, Rocester and Wall (Figure 5.5). The impact of this particular strand of rescue funding, is clearly evident in the breakdown of investigations by type, and represents a distinct era of work in the area (Figure 5.6). The figures also show that investigations prompted, or negotiated, through the planning process were becoming relatively frequent in the late 1980s, pre-dating the publication of PPG16. Clearly, there were localised initiatives and relationships between fieldworkers, planning authorities and developers in operation. Post-PPG16 the numbers of investigations carried out each year continues to increase, as seen in the national and wider regional figures. Peaks and troughs indicate the variable nature of archaeological interventions, and the undoubted relationship between localised and regional development trends, and archaeology as a mitigative process.

An analysis of the geographic distribution of all excavations (Figure 5.7) shows that the history of excavation in Staffordshire is incredibly localised. The heartlands of the Heroic Age were most definitely a select group of locales; the cave sites in the Peak District and the Roman settlement at Wall. There are also concentrations of pre-1972 excavations within the three early medieval and medieval centres of Stafford, Tamworth and Lichfield, indicative of rescue works before widespread Rescue funding (Figure 5.7). The excavations continue this urban focus, with nearly all work being in the major towns and the city of Stoke-on-Trent. It is only with the advent of PPG16 that there is any real departure from this — although urban excavations are still the majority — with an increasing number of events on the sands and gravels in the Middle Trent Valley (Figure 5.7). The increased number of events in the Trent Valley is undoubtedly attributable to the increased recognition of archaeological sites from cropmarks on aerial photographs (Barber 2007; Buteux and Chapman 2009).

Deeper analysis of the records allows more insight into the localised nature of investigation. A review of the events classified by type and prompt shows a radically changing impetus over the study period (Figures 5.6, 5.8, 5.9 and 5.10). Research excavations were very much the norm in the 1950s and early 1960s. However, in the mid-1960s the situation changes drastically to rescue (Figure 5.6). Rescue then represents the majority of work being undertaken until the advent of PPG16. Despite periodic resurgence, the number of research

excavations severely declines over time, confirming the long-held views of rescue versus research highlighted previously, but perhaps to a hitherto unquantifiable extent. It is clear from the figures gathered by this thesis that in recent decades comparatively little research work is now undertaken in the county, examples such as the studies at Catholme by the University of Birmingham being rare exceptions.

The distinct sea-change in the nature of excavation in Staffordshire in the mid-1960s can also be seen in the data for those carrying out this work (Figure 5.8). The breakdown for the 1950s/1960s is relatively heterogeneous, if dominated by the work of local societies with a smattering of individuals. The late 1960s and early 1970s sees the rise of rescue-focused organisations, initially the staff of Staffordshire County Council and Stafford and Tamworth Borough Councils, and then units, notably BUFAU. There is a brief resurgence of council in the 1980s with MSC funded works at Stafford and Tamworth, before a return to an almost ubiquitous landscape of unit led work. Further examination shows that this homogenisation also occurs at an individual level, with certain individuals continuing to work in the same area, albeit for different organisations. For example, Jim Gould, a local teacher, directed excavations at Wall on behalf of the *South Staffordshire Archaeological and Historical Society* in 1963 and later in 1966 for the Department of Environment (Current Archaeology 2013; Gould 1964; 1967), at Spital Chapel Tamworth in 1968 with “senior girls of Perrycroft School ... and Philip Rahtz” (Gould 1968a, 23) and in the same year at Lichfield Street, Tamworth on behalf of Tamworth Borough Council (Gould 1968b, 33). In reviewing the index entries, notes and reports in the literature it becomes apparent that, far from representing a volte-face in archaeological work, the switch from research to rescue was less clear cut for the individuals doing the work. Numerous reports from rescue sites talk of an *opportunity* to carry out excavations, and one can clearly see the strategic campaigns of work (over several years and at key sites) undertaken by the same individuals: for example Martin Carver in Stafford and Lichfield, or Ken Sheridan and Philip Rahtz in Tamworth.

Thus although by the turn of the century nearly all the archaeological work in Staffordshire is carried out by units, most of the units are local and with a tangible history of work. Alongside Stoke-on-Trent Museum, the biggest of these was BUFAU established by Martin Carver in 1976 ostensibly as a rescue unit, but with very obvious research ambitions (Buteux 2006, 41). BUFAU goes on to dominate work in Staffordshire; for example, of the 20 *excavations* in 1993, 14 were undertaken by BUFAU and the other 6 by Stoke-on-Trent Museum. By the end of the study period the situation has changed drastically, with 24 *excavations* by units split between Birmingham Archaeology (formerly BUFAU), Stoke-on-Trent Archaeology Service, Oxford Archaeology, Wessex Archaeology, Northamptonshire Archaeology, Castlering Archaeology, Worcestershire County Council Archaeological Service, On Site Archaeology, Earthworks Archaeological Services, Archaeological Research Services, and Marches Archaeology. The

impact of this fragmentation on the published record is a key area for study later in this chapter.

In addition to the changes in prompt and excavator, the type of work undertaken over time also changes over the study period (Figures 5.9). The research and rescue excavations of the 1930s-1970s are generally small/medium partial excavations, with very few large operations and even fewer open area events. The bigger excavations are almost all rural sites such as Catholme, Rocester and Hulton Abbey, boosted by University students and MSC (Ferris *et al* 2000a; Klemperer and Boothroyd 2004; Losco-Bradley and Kinsley 2002). With the advent of PPG16 the situation changes dramatically, with a surge in small *evaluations*. Thus although more work (in terms of numbers) is being carried out it is increasingly smaller and evaluative, in-line with national figures highlighted previously. That being said, the late 1990s and early 2000s witness a significant number of medium-scale *excavations*, and clearly a sizeable corpus of work is being undertaken (Figure 5.9). In addition this apparent switch from *excavation* to *evaluation* is perhaps more in name than in pure methodology; the small partial rescue operations of the 1960s and 1970s were frequently no more than a small-scale operation comparable in size and level of deposits excavated to a modern day *evaluation*.

The change in impetus is also reflected in the geographic spread of excavations over the study period, with for example planning excavations in a rural content almost entirely restricted to the Middle Trent Valley (Figure 5.10). The overall picture of excavation in Staffordshire is not that of an area widely investigated by excavation (cf. Garwood 2007b), but of disparate cultures, prompts and types of intervention, separated temporally and geographically. The potential impact on the published record is thus significant; for example are the research excavations in the uplands better published than the PPG16 era sites on the sands and gravels of the Trent? How do the urban rescue sites compare to later planning-led interventions? Finally, due to these separate strands of investigation is it even possible to talk of a single published record?

5.5 Analysis of publication trends in Staffordshire

5.5.1 Introduction

The following section presents overarching trends in the publication status of all records. Due to the size of the database it is impractical to include a full export of data in this chapter as either a single table, or series of tables. Instead, a custom export from the database including site name, description, status and key written output is included in Appendix 2 for reference purposes.

5.5.2 General trends

The statistics for the status of all investigations identified by this study shows that well over half (65%) have reached a suitable level of reporting and can be considered fully published (Figure 5.11). However, this is skewed by the inclusion of *evaluations* and other small-scale events that are sufficiently published via grey literature. This is not to discount those events, as further analysis (see below) highlights the often significant remains uncovered by these works that are often not reported. However, if the dataset is filtered for just events recorded as *excavation*, the figure drops to just over half of all those recorded (Figure 5.12). The majority of records that are not completely published have little or no written output, although a significant number have been classed as part published. The majority of this latter group have a grey literature report, although there are a substantial number of records classified as part published with articles in local journals (Figure 5.13). These trends are explored further in Chapter 5.8.

A broad analysis of major urban areas in the county shows distinct backlogs of work in each locale, which decreases when the dataset is reduced to just *excavation*, the rate of successful publication drops significantly (Table 5.1). The publication rate varies across these areas, with Stoke-on-Trent and Stafford generally being better represented in written outputs than Tamworth and Lichfield. An interesting subset of this trend is the relatively large numbers of part published excavations from Stoke and Lichfield. Indeed, Lichfield is an especially severe case, with the majority of excavations not published or only part published. The recent EUS report's coverage of the early medieval phase of settlement highlights the fact that despite the number of interventions, the nature of the evidence and the limitations of the final reports prevent any firm conclusions (Langley 2011a). A breakdown of these figures by prompt highlights the changing nature of publication in urban areas, particularly in Lichfield where rescue works are amongst the most successfully published group across the county (Table 5.2). All these works derive from Carver's campaigns of the late 1970s and 1980s which were published in a bespoke volume of TSSAHS (Carver 1981b). In all areas except Stafford,

publication rates drop when the prompt switches from rescue to planning. Is thus PPG16 failing the urban excavation?

Outside of the urban areas, it is evident that there are two main foci for unpublished excavations in the rural areas of Staffordshire: the limestone uplands of the Peak District and the sands and gravels of the Middle Trent Valley (Figure 5.14). Of the 40 excavations undertaken on aggregates bearing land, 24 (60%) are not adequately published; further examination shows a mix of local societies, units and county council staff, with most events focussing on later prehistoric remains. Most excavations on the gravels of the county are characterised by mineral extraction works often undertaken in a pre-PPG16 context. Thus we may begin to assume that this has less to do with the type of archaeology encountered, and perhaps more to do with the brutal economics of working in the shadow of mineral extraction (Buteux and Chapman 2009, 16). In comparison, the limestone uplands contains 26 events, of which 19 (73%) are not suitably published. In this case nearly all the events are the result of research undertaken by individuals or small local societies in the decades before 1990. Thus there seem to be two strands of non-publication in these areas: one dictated by a lack of time and money, the other by the nature of the excavator themselves.

The overall publication statistics by excavator class also tells us a great deal about cultures of dissemination in the county. For example, and contrary to traditional narratives, archaeological units have a far higher publication rate than any other sector (Figure 5.15). As elsewhere, this trend can be partially explained by the large proportion of *evaluations*, and when filtered to just *excavations* the rate of successful publication by units drops significantly (Figure 5.15). However, the statistics for other sectors show that the rate of successful publication is also relatively low, even for groups such as academics with the incentive and resources to publish adequately. By far the most significant statistic is that the successful publication rate for local societies/groups: with publication rates of 50% for all records rising to nearly 60% for *excavations*. The reason for this discrepancy could be the large amount of informal, short-lived events that are often not classed as formal excavations, and which never reach a written output. The lack of publication could be attributable to the uneven coverage of local journals (and/or the publication policy of those journals); however it could also be due to a prevalent culture of unsatisfactory publication caused by human and financial factors. In addition, there also seems to be a proportionately large number of unsuccessful publications by county councils, perhaps attributable to the period (i.e. the Rescue Age) in which they operated, but arguably also to a lack of adequate destination. Both of these points will be examined in more detail in the case studies section of this chapter.

An overview of publication trends by the three main prompts in the database illustrates the changing nature, and success of publication, according to the context of work. Rescue sites

generally have a better chance of being completely published than their planning equivalents (Table 5.3). Similarly, sites of national significance excavated under rescue or research conditions are nearly always adequately published, although the significance of this trend is restricted by the relatively small sample size. It is also evident that a large proportion of sites of local interest are simply not reported when investigated under research and rescue conditions. In these cases there is a clear shift of focus towards the more important sites, but with less high-profile equivalents being ignored. In this light, one of the successes of PPG16 is the successful reporting of this less glamorous corpus, which may not be reporting big sites but are still an important part of the archaeological record. The overarching figures can be skewed by evaluative and small-scale or unorthodox events, although even when omitting evaluations the publication rate for regional records from the planning sector is consistently just over half of all sites excavated (Tables 5.3 and 5.4). However although planning records have the highest percentage of all classes considered not fully published, the vast majority have at least produced some form of useful written output. This contrasts with regional records from research and rescue, which are more likely to have no written output.

5.5.3 Significance

Analysis of the publication rates according to significance provides further context to the main findings (Figures 5.16-5.18). Excavations of local significance have relatively high publication rates, normally as grey literature (physical and digital), and local journal articles. This is perhaps a logical relationship: small events of limited significance are easier to write up, especially as a grey report required through a planning condition. A notable number also appear in monographs – on closer examination these are primarily the excavations from the M6 toll road, which have been combined into a single publication. Also of interest is the number of digital grey reports, which are in higher volume than local (major) journal articles. It may be suggested from this that online repositories are beginning to form a common endpoint for small works with limited significance, whereas in the past the majority of smaller works would have been reported straight to the relevant journal. However, considering the large number (79) of small events that have no publication output at all, this could indicate that journals in the region have never functioned as portals of archaeological work in the area. Alternatively, the culture to publish, or at least notify has never been prevalent in earlier research works, especially if the results are not deemed to be of major importance.

The statistics for investigations of regional importance are radically different, with a larger number (around half) not being completely published (Figure 5.17). The number of unpublished sites remains the same as for sites of local importance, but increases for part published. This suggests that similar factors may be causing the familiar publication backlog, but that sites of more importance are also commonly written up, if not always to an advanced

standard. An interesting trend to highlight at this stage is the differing status of grey literature within these figures. For example, 44 events of regional importance are part published and 28 adequately published as grey literature (including digital). The majority of the latter group (18) are *evaluations*, which would rarely have any other form of written output. Furthermore these *evaluations* are reported adequately to their findings which are often towards the lower end of the group of records classed as regionally significant. The reporting of evaluations warrants further study, and is dealt with in more detail later in Chapter 5.8.

The majority of excavations of national importance are completely published (Figure 5.18). The majority appear in monographs, with a surprisingly small number appearing in journals. This conclusion may be affected by the notion of 'national significance' and the small number (10) identified as such in Staffordshire. However, looking at the specific excavations it is evident that they represent singular excavations; for example the previously mentioned Anglo-Saxon/late prehistoric site at Catholme, the ceremonial complexes at Catholme, a preserved woolly rhinoceros, a medieval watermill and the first china factory in England. There are a number of sites of national interest that are not published further than a non-digital grey report; these include the excavation of the Greengates pottery factory in Stoke-on-Trent (Goodwin 2004). Thus the comparatively high percentage of part published excavations may represent a failure for nationally important sites to be dealt with as such, and for individual decisions to have far-reaching effects.

Area	Events	Not published	Part published	Percentage not fully published
Stoke-on-Trent	85 (46)	14 (11)	12 (9)	30% (43%)
Stafford	56 (23)	13 (8)	6 (4)	34% (52%)
Lichfield	36 (15)	10 (5)	8 (5)	50% (66%)
Tamworth	28 (20)	9 (8)	4 (3)	46% (55%)

Table 5.1: Publication status of all investigations undertaken in major urban centres in Staffordshire (*excavations* in brackets).

Area	Prompt	Not published	Part published	Completely published	Percentage not fully published
	Planning	0	7	7	50%
Stoke	Rescue	11	1	13	48%
	Research	0	1	6	14%
	Planning	1	4	0	100%
Lichfield	Rescue	1	1	4	33%
	Other/Unknown	3	0	1	75%
	Planning	0	3	4	42%
Stafford	Rescue	6	1	7	50%
	Research	2	0	0	100%
	Planning	1	1	1	66%
Tamworth	Rescue	6	2	7	53%
	Research	1	0	1	50%

Table 5.2: Publication status of *excavations* within major urban centres in Staffordshire, by prompt.

Prompt	Significance	Completely published	Not published	Part published	Percentage not fully published
	Local	216	11	4	<1%
Planning	National	0	0	2	100%
	Regional	40	5	37	51%
	Local	35	34	3	51%
Rescue	National	3	0	2	40%
	Regional	33	15	9	42%
	Local	16	21	5	70%
Research	National	4	1	0	20%
	Regional	30	28	16	59%

Table: 5.3: Publication status for planning, rescue and research investigations by significance of site

Prompt	Significance	Completely published	Not published	Part published	Percentage not fully published
	Local	10	3	3	37%
Planning	National	0	0	2	100%
	Regional	20	3	21	54%
	Local	29	26	3	50%
Rescue	National	3	0	2	40%
	Regional	30	15	8	43%
	Local	13	8	2	43%
Research	National	4	0	0	0%
	Regional	26	14	10	48%

Table: 5.4: Publication status for planning, rescue and research *excavations* by significance of site

5.6 Analysis of published excavations in Staffordshire

Before engaging with the unpublished data, it is interesting to examine the nature of what *has* been published in the county. Further analysis shows that the dominant media is non-digital grey literature, but with the prevalence of small *evaluations* this is to be expected (Figure 5.19). When results are filtered to *excavations* only, there are still a sizeable number of records that have been adequately published via grey literature. Closer examination shows that these records usually derive from small-scale excavations, undertaken by units but with limited results. For example:

- An excavation in advance of the Stone Town Centre bypass by BUFAU in 1994. An earlier evaluation identified medieval remains and it was thought that a larger excavation would provide the first significant sample of the medieval and archaeology in this small market town. The excavation consisted of a small area, and only a small part of which contained evidence for medieval activity. The nature of medieval evidence was however obscured by later (modern) cellars and groundwork. The final report covers the major aspects of the excavation, including drawn evidence and assessments and analysis of the environmental remains by BUFAU staff (Hughes 1994).
- An excavation at Market Square, Stafford by BUFAU in 2000. Because of the high likelihood of encountering medieval deposits, the planning condition required that an archaeological excavation should be undertaken prior to any groundworks taking place on the site. In this case, since the area of development was smaller than an average trial trench, evaluation was not deemed suitable. However, no significant archaeological deposits were encountered during the course of the excavation, presumably destroyed by modern building works (Cutler 2000).

A final note concerns the small number of reports considered fully published, and available at the *point of publication* as grey literature disseminated online. One such example is worth highlighting to illustrate the potential of this medium. The excavation at Century Street, Hanley, Stoke-on-Trent by Stoke-on-Trent Archaeology in 2006 provided a detailed investigation of the construction and use of two up-draught pottery ovens dating from around the mid-19th to mid-20th century (Forrester 2007). The resulting report was uploaded via the OASIS system and made available via the ADS library. The content of the report is detailed, and incorporates a large number of illustrations, plates, list of finds by date and a final analysis and discussion of significance in a local context. It is hard to envisage what else could have gone into this final report; indeed, it is arguable that the length and detail provided could only be afforded via a born digital report (Figure 5.20).

Aside from grey literature, the most popular medium for dissemination is major local journals; again this is not unexpected considering that for many years the two journals in question (SAHST and TNSFC) were the default outputs of the leading local societies. The use of local journals as a primary publication output is an interesting sub-topic, and a more detailed breakdown of the data shows distinct changes in usage over the study period (Figure 5.21). The heyday of the local journal is the 1960s to early 1980s, with excavations reported in this medium representing a significant proportion of all contemporary works. The use of local journals can be seen to decrease after this period with very little activity in later decades. The reasons for this are perhaps twofold: primarily the increasing move towards fit-for-purpose grey literature for small events that have only relatively little archaeological significance. The secondary reason could be more cultural; for example looking at the list of authors for the journal during the 1960s and 1970s one is struck by the limited pool of contributors. Thus we can see a series of 10 reports from Tamworth spanning 1967 to 1977 (Gould 1968a; 1968b; Meeson 1980); a series of reports of work at Roman Wall and a whole edition devoted to publication of several excavations by BUFAU in Lichfield (Carver 1981b). Thus, with a gradual generational change, coupled with a methodological metamorphosis prompted by the advent of planning-prompted events, the use of the journal markedly diminishes.

The decline of local journals can also be linked to the significant number of excavations reported in monographs (Figure 5.22). Larger monographs such as a British Archaeological Report (BAR) seem to be used relatively frequently in more recent decades. Starting with the series of rescue sites at Fisherwick reported in BAR 61 (Smith 1979). Other large rural excavations have been reported in this format, for example Rocester, Orton's Pasture (Ferris *et al* 2000a), Whitemoor Haye (Coates 2002) and Tutbury Castle (Hislop *et al* 2011). Similarly large monographs have been produced to cover Hulton Abbey (Klemperer and Boothroyd 2004) and the M6 Toll road (Powell *et al* 2008). Thus it seems that local journals are potentially deemed unsuitable for the needs of those undertaking larger schemes of archaeological work. This diminishing role of local journals, coupled with the relative inaccessibility of smaller more localised publications, is a state of affairs that challenges traditional notions of *publication*, or even the role of what a local journal should be.

However, the length of time to produce monographs can vary widely (Figure 5.22). For example the cluster of records from the late 1970's and early 1980s from the BUFAU excavations in Stafford took the best part of 30 years to publish. In this case, the delay was caused by the departure of key individuals during and immediately after the conclusion of the project, and subsequent lack of funds (and perhaps expertise) to allow publication by other BUFAU staff (Carver 2010). Only the retrospective intervention by the Director, supported by a Historic England publication grant saw this significant corpus of excavations through to

publication (*ibid*). The length of time is not only a ‘backlog’ issue; for example the excavations by Oxford Archaeology in advance of the M6 Toll road took almost 15 years to reach publication. In this case, it should be stressed that other interventions from the road scheme were undertaken for most of the 1990s in other parts of the country (see Powell *et al* 2008), and thus publication was only started in earnest when all works were completed; a trade-off between the practicality of a large scheme-wide publication, and the delay in producing such a volume. In the final few years considered by this study, the publication time of monographs and journal articles is roughly the same; on average around five years. Very few are ever published in traditional journal or monograph formats within the four years speculated by the Cunliffe (1986) report.

5.7 Analysis of unpublished excavations in Staffordshire

Classification and analysis of all the unpublished excavations can be undertaken on a number of levels, and sheds more light on the general trends in publication previously identified (Chapter 5.5). The majority of completely unpublished sites are borne out of research and rescue (Figure 5.23). Research-driven works are dominated by sites of regional importance; conversely the majority of unpublished rescue works are only of local significance (Figures 5.24 and 5.25). For example two rescue sites at Water Street and Mill Street in Stafford in 1970/71 appear to have been little more than observations of several features identified on building sites, and taking place over a single day (Carver 2010). Often these smaller rescue sites were excavated by local archaeologists with funding from local councils, or in later years by archaeologists permanently employed by these organisations as roving teams and occasionally with additional MSC funding (Dinn and Hughes 1987, v), or even with no funding at all (Meeson *pers comm*).

The largest single class of unpublished site by methodology is *part excavation*, which along with the trends in scale indicates this backlog is primarily small-scale (and sometimes ad-hoc) events rather than large set piece excavations (Figures 5.24 and 5.25). Of the 30 open area excavations recorded by this thesis, only 5 are unpublished. However, there are still notable gaps from medium and large-scale excavations, such as Fatholme, Greensforge Roman fort and the six seasons at Thomas Whieldon Pottery in Stoke-on-Trent. Although many of the unpublished records would appear to be urban rescue, as in the examples from Stafford or Thomas Whieldon cited above, the urban/rural split for unpublished events suggests a relatively large number, such as Fatholme and Greensforge, were also taking place outside of the main towns (Table 5.5).

Only a relatively small number of planning-led investigations have been classed as unpublished. On closer inspection the vast majority of these date to the late 1980s and early

1990s, and relate to small-scale evaluation trenches or partial excavations in advance of urban development or gravel quarries. As with rescue equivalents, some of these are undertaken by roving teams from local councils rather than more established units, and as such the group classed as county councils have one of the largest backlogs (Figure 5.26). It may be inferred that these gaps represent teething issues at the birth of planning-led archaeology, and perhaps the uncertainty over the precise nature of report warranted prior to the publication of MAP2. A further factor could be that as most of these works were only dealing with sites of relatively local significance, a report to a local journal would not perhaps have been deemed necessary. Conversely, perhaps the time and resources were not available to produce a full report, or maybe this was simply not required as part of the planning condition. In this regard, it is notable how most of these works are reported in the *West Midlands Archaeological Newssheet* via a brief description of the site and on occasion, illustrations of key finds or features. In this respect, and whilst the usefulness of the CBA newssheet is clear to alert people to the findings of the investigation, it also goes to show the value of a full grey report as identified in the preceding section, and how dependent commercial archaeology becomes on this medium later in the PPG16 era.

Of all classes of excavator, local societies have the largest backlog of unpublished investigations, followed by local councils and units (Figures 5.26 and 5.27). The figures for local societies are perhaps inflated by the amount of work carried out in a rescue context by these groups, especially in the 1960s. For example, the 1968 rescue work at Bolebridge Street in Tamworth¹² was undertaken by Lichfield and South Staffordshire Archaeological and Historical Society, albeit led by Charles Young of the University of Birmingham with *some* funding from the Ministry of Works. A significant number of unpublished records have been classed as unknown or private, and derive from obscure events with little or no information except a journal note or index record. These types of obscure or negligible excavation are also prevalent in the records from local societies; especially common are small trenches across suspected Roman roads or medieval moats. The figures for local societies are also a consequence of the sheer range of groups undertaking work, especially in the 1950s through to 1960s; for example, there are records from diverse groups such as the Kidderminster and District Archaeology and History Society, Biddulph Historical Society, Leek Field Club and the Rolls Royce Caving and Archaeological Club. Many of these groups appear to be small-scale, often based around the interests and drive of a single person and importantly, with no formal publication output associated with their organisation such as JNFS. Thus a lack of publication is potentially inevitable in many of these cases.

¹² Often referred to as the Brewery site in contemporary notes

The period of investigation seems to play a significant role in affecting publication, with a year-on-year analysis showing an increased rate of non-publication from the 1950s through to the mid-1980s which notably drops in the PPG16 era (Figure 5.28). In many ways this reinforces the trends previously discussed: that the gradual switch from ‘amateur’ research and rescue excavations to ‘professional’ planning-prompted work has actually had a beneficial impact on the production of an accessible written report. It may be that the post-1990 figures are boosted by successful publication of *evaluations* so is perhaps somewhat skewed. However, looking at this graph as a simple reflection of the trends in dissemination of any kind of report, this begins to turn the conventional grey literature argument on its head. The ‘problem’ is not simply the units and the grey literature, but rather the uncertainty that came before.

An analysis of the types of unpublished archaeological site indicates a significant backlog in later prehistoric funerary sites and Palaeolithic domestic sites. Furthermore these are often significant proportions of the numbers of all excavations of these types of sites (Figure 5.29). On closer examination they are nearly all cave sites and barrows from the upland zone, and despite a number of poorly excavated examples, there are still sites that would significantly inform the archaeology of the area in regard to regional research priorities (Garwood 2011). There are also significant backlogs within the numbers of early medieval and medieval domestic and defence sites, derived from urban centres such as Tamworth. As with prehistoric sites, considering the regional and national importance of these area in understanding post-Roman settlement these are potentially major gaps in the knowledge base.

Many apparent gaps in publication are not as severe as might be imagined. For example, for the Roman period, nearly all domestic sites are at least part published in some form. Admittedly this number is skewed by the large number of events from around the site of Wall, but as well as indicating the relative success of publication from this site it perhaps also indicates a general trend attached to the status of Roman remains. The number of excavated Roman sites in Staffordshire is minimal when compared to other parts of the country, and thus any excavations are likely to have some significance (Wardle 2002). However, this may also be a consequence of the situation of Roman sites when compared to the upland zones, and the cultural factors inherent in dictating who excavates them. It is perhaps no coincidence that the big Roman sites – Holditch, Wall and Penkrige - are located near to existing modern settlements that have borne the larger and more established societies. By contrast, the unpublished prehistoric sites are from geographical marginal zones outside of the main working areas of the big groups. Thus these types are investigated by small groups or individuals that may lack the facilities, expertise, or intention to publish.

Land-use type	Number of unpublished excavations	As percentage of total excavations for land-use
Urban	65	20% (329)
Rural	67	25% (271)

Table 5.5: Number of unpublished urban and rural excavations.

5.8 Analysis of part published excavations in Staffordshire

Overall, the number of part published sites as a proportion of all investigations recorded is less than 20%. However, when the data is filtered to just records of regional and national importance, this figure rises to 30% and 50% respectively. In effect, a significant level of information about the county's important sites has not been fully written up. The figures for part published investigations show that the majority of these cases come from planning-led events, but with significant numbers from research and rescue (Figure 5.30). Of this latter group nearly all are articles in local journals, the reasons for being classed as part published can vary significantly:

- Publication as a series of reports in a local journal: for example various excavations between 1978 and 1995 at the Roman site of Wall were often written up in the Staffordshire Transactions (the so-called Wall excavation reports), but often with elements of the excavations missing, and with no final concise overview or synthesis.
- Work that is poorly written up, often with drawn evidence lacking: for example the works of the Phoenix Old Mine and Cave Research Group at Mill Pot Cave, which appears to have taken place with virtually no systematic recording (see Ryder *et al* 1971).
- Interim works that were never intended to be a final publication, for example the 1965 rescue excavation at Baker's Street by Frank Lyon on behalf of the Ministry of Works. In this case an interim study was presented following the death of the excavator (Marston 1969).

Apart from indicating the disparate quality of reporting in journal articles, which is itself a consequence of capabilities as well as personal circumstance, these cases also demonstrate a perception by some that the local journal was the main reporting mechanism. Regardless of the status or quality of the product, it seems there was a distinct phase in the 1960s and 1970s to use the journal as a method of communicating, often interim findings, to one's peers.

The majority of part published cases are derived from open or partial excavations, but with significant numbers arising from various types of *evaluation* and smaller ad-hoc salvage works (Figure 5.31). Considering the scope and rationale of the *evaluation* within the planning process this may appear surprising; however a number of examples demonstrate the capacity for evaluations to recover significant evidence that is often hard to report in a limited format:

- Discovery of a late Iron Age palisaded enclosure during evaluation of land at Groundslow Hospital site, Tittensor (Michaels 2001).
- Discovery of a prehistoric pit alignment, a large enclosure ditch and post-medieval structures at a new visitor centre and car park at Shugborough Hall (Halstead 2005).

- Detailed information on the Italian Gardens designed by Charles Barry at Trentham Gardens (Weaver and Brossler 2003). In this case the final report has little information on the location of the site or the final archive, and has no drawn evidence such as a plan

In the first two examples further archaeological mitigation via excavation was not undertaken, presumably due to the nature or location of the proposed development being altered. In the last example the evaluation was designed as part of a larger scheme of garden restoration, with no plans for further work. Although each report provides a basic record of work, in-line with most of the established guidelines, key aspects such as location of the archive, drawn evidence, supporting data and a clear notion of the significance of what was found are lacking (cf. CIFA 2014a). Whilst this is a partial criticism of the authors, it is also a reflection of the nature of *evaluation* which is ultimately designed to report the significance and nature of the archaeological deposits discovered in relation to the proposed development. It is never intended as preservation by record. Furthermore, it may be suggested that the reports from Tittensor and Shugborough were produced in the expectation of further archaeological work, and thus a full explanation was deemed unnecessary. This grey area and the criticisms of the evaluation as a scoping exercise, as opposed to strip map and record,¹³ and the potential damage inflicted by evaluation are well documented (Biddle 1994; Carver 2011).

A breakdown of the part published record by excavator and significance shows that, perhaps unsurprisingly, the corpus is dominated by regionally and nationally significant sites excavated by units, although examples of research by academics and rescue by local societies are also represented (Figure 5.32). An examination of the regionally and nationally significant sites demonstrates clear trends in the type of archaeology concerned, notably an emphasis on post-Roman settlement and industrial sites (Figure 5.33). These undoubtedly reflect the urbanised nature of much of PPG16 excavation in the county, with most of the post-Roman evidence deriving from the major towns. However, there are also sizeable proportions of Roman settlement, and Bronze Age burial monuments (including those simply classed as prehistoric), reflecting the rescue and PPG16 investigations from the south of the county in the Trent Valley. It is interesting to dwell on these figures, as the high levels of part published post-Roman sites from a county with Staffordshire's prevalent archaeological focus (Chapter 5.3) appears somewhat surprising. If important medieval and post-medieval remains are being excavated through mitigation, what is preventing them being published? Is it a simple case of

¹³ Where archaeological remains are thought to be present but their type is not known. The topsoil is removed ('stripped') under archaeological supervision and the archaeology is then planned and excavated ('mapped recorded').

complexity of these, predominantly, urban sites, or are later periods under-represented due to their perceived significance?

Breaking down the results of regional or national significance from planning-led *excavations* by Local Authority shows some clear trends in the respective levels of grey literature being produced (Figure 5.34). Ignoring the small number of works from the Staffordshire Moorlands and Cannock Chase it is evident that some authorities have a bigger backlog of part published *excavations* than others, notably the city of Stoke-on-Trent and East Staffordshire. At a county-wide level these figures could be influenced by the respective levels of intervention and the nature of the sites investigated. Tamworth has relatively few examples of planning-led *excavations* compared to the rescue works of the 1970s and 1980s. Where works have taken place, they have mainly been around the castle site in the early/mid 1990s but often with ambiguous or negligible results due to modern disturbance (see Jones 1995). However, these disparities may also be a consequence of the respective requirements of the Local Authority archaeological curator(s), and their relationship with not only the relevant planning authority, but also the developers. As the former Staffordshire County Archaeologist recalled in a short interview:

“In Lichfield the Local Planning Authorities were often in a rush to discharge planning conditions before the post-excavation process was complete, allowing certain developers to stop paying for post-excavation.” (Wardle *pers comm*).

Certainly this may be a factor behind the large number of unpublished sites from the Lichfield district, the most densely investigated part of the county (Figure 3.34). However it is also notable that there are still a healthy number of publications coming from the area, so perhaps is not totally defining. Without more qualitative data at this stage, it is difficult to ascertain whether these patterns are an outcome of policy or accident.

A significant factor in these discrepancies may well be the difference in nature of development in the rural and urban environments. Of the 62 planning-led *excavations* identified by this study 34 are classed as urban; of this number 20 (58%) have been classed as part published in grey literature. The remaining 14 urban records are predominantly fully published in grey literature, but with relatively few sites reaching further publication in journal or monograph. By contrast of the 28 rural excavations only seven (25%) are part published. This disparity may be a consequence of the types and scale of development in these contexts. Urban excavations are rarely part of large-scale developments, and are often classed as medium in scale by this thesis. The examples of successful rural publication are predominantly from large-scale development projects, specifically the M6 Toll Road, or large schemes of quarrying such as Whitemoor Haye. In the case of the former, the main phase of excavation (2000-3) was

undertaken by the Framework Consortium of Oxford and Wessex Archaeology, with a scheme-wide publication planned from the outset (Powell *et al* 2008). This is, in terms of Staffordshire, a rare example of publication being established prior to excavation even beginning. It may be hypothesised that, in contrast, the nature of urban excavation and publication is thus something of a self-fulfilling prophecy: important enough to go ahead but perhaps limited in the scope of publication by the financial limitations of the developer?

Aside from context (and funding), other notable trends for grey literature are the scale and the year of fieldwork. In the case of the former it is clear that as the size of excavation increases, so does the likelihood of the results only being written up as grey literature (Figure 5.35). Even considering the role of large well-funded rural schemes, it seems that size is an issue. Presumably, the larger the levels of information being produced, especially from those urban sites classed as medium scale, the lower the likelihood of all necessary post-excavation work being accomplished and written into the grey literature. It is interesting to note that most of the part published reports come from the latter part of the PPG16 period (Figure 5.36). It may be expected that most of these have produced post-excavation assessments that have not been subsequently funded, or perhaps are still awaiting publication by another medium, or perhaps still in the publication process.

It may also be observed that the identity of the unit is a key factor in Staffordshire. A breakdown of the amount of part published records shows that larger units such as BUFAU and Oxford and Wessex (Framework) have a much higher rate of publication (Figure 5.37). By contrast many of the smaller units such as Earthworks Archaeological Services, Marches Archaeology and Foundations Archaeology rarely completely publish. This may be something of a self-fulfilling prophecy; with these larger units undertaking better-funded pieces of work identified above, but perhaps also reflects a greater capability to publish. One interesting anomaly in these figures is the case of the archaeological unit based in Stoke-on-Trent; the records for earlier incarnations such as Stoke-on-Trent Museum Field Archaeology Unit are all completely published. Conversely the later Potteries Museum unit and Stoke-on-Trent Archaeology are nearly all part published. Is this a case of falling standards, changing publication requirements from the planning authority, or even a decline in post-excavation funding in the city?

5.9 Case Studies

5.9.1 Overview of case studies

The final section examines the factors that have influenced the success of publication of excavations in Staffordshire in more detail. Case studies have been chosen to provide further qualitative evidence for particular issues highlighted in preceding sections. The following list is split into the areas of discussion, with individual case studies beneath (see also Figure 5.38 for location of sites).

There is a concentration of unpublished sites in the Middle Trent Valley; of the 24 unpublished excavations in this area 9 date to the period 1972-1989 and were undertaken in a rescue context. Two examples have been chosen: a small excavation of a round barrow typical of many excavations of the period in that area, and a larger more complex site of potentially national importance.

1. Tucklesholme Farm round barrow, Trent Valley Archaeological Rescue Committee in 1975;
2. Fatholme, excavations of multi-period prehistoric site by Trent Valley Archaeological Committee 1984.

A large number of research excavations have been carried out in this upland area, but the publication record is poor. One example of a cave excavation by a local society has been chosen to shed light on this type of event.

3. Seven Ways Cave, Peakland Archaeological Society 1952-1954.

Of all excavations in the county, 123 were rescue works in the major historic urban areas. Of these, 11 were undertaken in Tamworth, of which a large proportion has not been fully published and relate to the regionally important early medieval town. Two examples have been chosen to examine factors behind this trend.

4. Moulds Yard, Church Street, Tamworth, Tamworth Excavations Committee 1969/1970;
5. St. Editha's Church, Tamworth, excavation of a medieval Church and possible Saxon Palace by Tamworth Excavations Committee 1977-78.

One of the most interesting trends noted in the county-wide analysis was the large level of part published (via grey literature) PPG16 excavations in urban areas, often of regional importance. These excavations are recorded as being of medium- or large-scale, and all are concerned with later medieval/post-medieval industrial works. Particular concentrations are evident in Stafford and Stoke-on-Trent.

6. The Sheridan Centre, Stafford, excavation of medieval and later occupation site by Earthworks Archaeological Services 2002/3;
7. Greengates Pottery Works, Stoke-on-Trent, excavation by Potteries Museum Field Archaeology Unit 2004;
8. Excavation at 15 Sandford Street, Lichfield by Marches Archaeology 2001.

In contrast to rescue equivalents, planning-led events in rural areas have a reasonably high level of adequate publication, though some lacunae still exist. Two examples have been chosen, the first of a river gravels based excavation of a ring-ditch typical of many excavations in the area, the other of a much larger and more modern Roman excavation undertaken by a unit with a history of publication success.

9. Willowbrook Farm, Alrewas, partial excavation of ring-ditch and possible structure by Staffordshire County Council Planning Department 1990;
10. Old Shops Site, Rocester, excavations of a Roman fort and Vicus by BUFAU 2000.

5.9.2 Methodology

For each case study, the background and results of the excavation will be briefly introduced, followed by a short analysis of surviving reports, notes and archive to ascertain the factors that affected publication status. Where necessary the relevant HER was consulted for further sources of information. Efforts were also made to locate the archive for each event. Where possible, and to provide a counter-balance to the opinions of the author, this research was augmented with short interviews undertaken with personnel involved with the excavation, or those with expert knowledge of the event or area such as HER staff, researchers and present and former County Archaeologists (see Chapter 4.7). A full list of individuals consulted and dates of communication is provided in Appendix 3. In the case of these personal communications, permission to use citations and direct quotes has been provided by the relevant individual, and have thus been included where beneficial.

5.9.3 Tucklesholme: excavation by Trent Valley Archaeological Rescue Committee 1975

HER Event ID	Not found	Status	Not published
Excavation Index	629295	Context	Rural
Main output	Index record	Type/Excavator	Rescue/Unit

There is currently very little written information about this excavation; the primary source is the Trent Valley Archaeological Research Committee (TVARC) index compiled in the 1960s-70s and currently available in paper form at Staffordshire HER (SST13). TVARC was created

in 1967 following discussions between Maurice Barley and Jeffrey May, academics working at the University of Nottingham. Both were concerned about the rate of destruction of archaeological sites on the gravels of the River Trent and so TVARC was formed with Hazel Wheeler (later Salisbury) as its first director (Knight *pers comm*). The organisation later became Trent and Peak Archaeological Trust, latterly Trent and Peak Archaeology.

The note for the Tucklesholme excavations in the TVARC index lists a rescue excavation (directed by Colm O'Brien) in advance of the expansion of Tucklesholme Quarry. The excavation consisted of a number of radial sections across the main ditch; two much shallower, inner concentric ditches were also recorded. There is also mention of two parallel ditches, tentatively identified as a cursus. Later work in the vicinity records how the site of the 1975 excavations was destroyed immediately after the excavation (Hughes 1990, 1). There is no mention of finds or environmental samples; there is also no mention of the location of the archive, although two (later) photocopies of section drawings do exist in the HER. Upon enquiry, the paper archive from the excavation is still held by Trent and Peak Archaeology, although unfortunately there is no one on the present staff who was involved in the work (Knight *pers comm*). Upon inspection of the archive several pieces of correspondence were found detailing the attempts of the excavator to write up the results from this, and other small events, as a combined piece on the cropmarks of that section of the Trent Valley. Other correspondence also detailed the attempts to deposit the archive at Burton-on-Trent Museum in 1984, only to find it had recently closed (O'Brien 1984). The following letter from the director to *Victoria County History* goes into more detail about the problems of publication:

“I suspect that the paper in anything like its present form is now a non-starter. The problems are two-fold. First it has now been overtaken by events in that an interim report on prehistoric material from Catholme is no longer appropriate, and insofar as several pieces of work have been done which make part 3 out of date. The second problem is that it now seems unlikely that HBMC would make a grant towards the publication ... Unless the South Staffordshire Society can see a way of funding publication I think we have lost this paper. There remains, however, a core of material which should be published and which should get an HBMC grant; that is the excavation reports for Alrewas and Tucklesholme. (O'Brien 1985).

Thus, although the primary reasons for a lack of any publication can be attributed to the “rescue” context of the work (and the associated lack of funds), it seems that a degree of post-excavation had taken place, and plans were still afoot for a publication 10 years after the original work. The real stumbling block was in attempting to create a research-standard paper incorporating other (interim) results from the large number of events going ahead at the time.

5.9.4 Fatholme: excavation by Trent Valley Archaeological Committee 1984

HER Event ID	Not found	Status	Not published
Excavation Index	65228	Context	Rural
Main output	Journal note	Type/Excavator	Rescue/Unit

The excavation at Fatholme was undertaken in advance of aggregates quarrying by TVARC in 1984, the site was subsequently completely destroyed. The HER monument record lists the excavation of a ring ditch with at least 7 ditch circuits, intersected by later causeways, numerous pits and postholes, and the remains of a possible rectangular structure of Anglo-Saxon date were also recorded (MST209). There are short excerpts in the notes of the *Proceedings of the Prehistoric Society* listing Peterborough, Grooved Ware and Beaker Pottery and substantial levels of flint artefacts (Losco-Bradley 1984). Despite the seemingly substantial archaeological deposits uncovered, the excavations are only passingly referred to in later PPG16 projects (Richmond 1999; Hughes and Coates 1999a; 1999b), and even in the major ALSF-funded research of the area (Chapman *et al* 2010, 159). The site is acknowledged as important in the recent West Midlands Research Framework, but again is only briefly mentioned (Garwood 2011, 49). Here indeed is a major excavation that seems to have slipped to the side-lines through a lack of any substantial publication.

The circumstances that led to the lack of any publication are unfortunate; with the director, Stuart Losco-Bradley, falling seriously ill in 1985 and thus unable to work on a number of post-excavation and publication tasks (Losco-Bradley and Kinsley 2002, 6). Losco-Bradley was also responsible for the excavations at nearby Catholme 1974-1979, with the publication of the early medieval features not achieved until 2002 under the direction of Gavin Kinsley (*ibid*). The physical and paper archive has been deposited with Stoke-on-Trent Museum, and a copy of the paper archive is currently still located in Nottingham with Trent and Peak Archaeology. Consultation has confirmed that the written and drawn archive exists in a secure state, including a draft report for HBMCE/English Heritage, on the excavations. The archive also includes detailed (undated) reports on the pottery by Alex Gibson, and lithics by Daryl Garton. The pottery report states: “The Fatholme assemblage adds yet another piece to the jigsaw of Neolithic settlement in the English Midlands once thought to be such a barren area ... Excellent assemblages such as this from Fatholme make a valuable addition to the Neolithic and Bronze Age ceramic record of the area” (Gibson nd).

The paper archive is quite illuminating about the publication programme, with a letter from the *Prehistoric Society* (1985) agreeing to publication in that journal. Letters from HBMCE/English Heritage located in the paper archive record post-excavation grants in

1984/95 and 1985/86, and thereafter acknowledging receipt of a full draft of a report, and willingness to provide extra funds to cover 75% of publication (English Heritage 1988). The last pieces of correspondence discuss issues with publication venues, including an unexplained reticence to publish in PPS, and increased pressure from HBMCE (Guilbert 1989). After this point, there is no more information regarding the future of the publication of the site. It is clear from the correspondence that the lack of publication for Fatholme is not down to a lack of resources, but due to the unfortunate illness of the Director, coupled perhaps with a later intransigence to publish in a particular journal, which can only be described as ‘human factors’.

5.9.5 *Seven Ways Cave, Wetton: excavation by Peakland Archaeological Society 1952-1954*

HER Event ID	Not found	Status	Not published
Excavation Index	628976	Context	Rural
Main output	Journal note	Type/Excavator	Research/Local Society

The event is not specifically recorded in the Staffordshire HER, although the site itself does have a monument record, simply “a cave with evidence of Romano-British and Neolithic occupation or use” (MST291). The Excavation Index records: “A Cave with a short series of passages with seven or eight entrances. Excavated between 1948 and 1954 following disturbance of the cave deposits” (NRHE Excavation Index 628976). The Index record elaborates that although human remains representing a probable inhumation were found; any date is uncertain and is only assumed to be Roman. Finds included Roman potsherds; a glass bead of late Iron Age or early Roman date; a bronze needle and a bronze ring, both Roman; a microlith; a flint arrowhead, possibly Neolithic; and some ceramics of potentially early medieval date (NRHE Excavation Index 628976). On further investigation it appears that the excavations were undertaken by Don Bramwell with the *Peakland Archaeological Society* (Yalden 1995). Bramwell, who died in 1994, went on to become associated with the University of Sheffield, and an eminent archaeo-ornithologist who contributed many specialist papers on bird and mammal bones (*ibid*). Further literary and HER searches suggests that Bramwell was an active fieldworker and excavated (and published) widely in the Peak District; for example the Neolithic and Bronze Age occupation of Fox Hole Cave in Derbyshire (Bramwell 1971).

The excavations at Seven Ways Cave are briefly described in two short entries in the *Peakland Archaeological Society Newsletter*, of four and two pages respectively (Bramwell 1952; Bramwell 1954) where they record that excavations were undertaken over two summer seasons by volunteers with small grants from the aforementioned society (Bramwell 1954, 10). There is no mention of any archive except to say that a “selection of finds is to be sent to the Buxton

Museum” (*ibid*). At the time of writing, Buxton Museum has no record of receiving any finds or paper records from the excavations, although this does not discount the existence of unlabelled/catalogued material somewhere in the Museum. Any further information on the site and 1950s excavations is limited to a short entry in Bramwell’s own 1954 book ‘Archaeology in the Peak District: A Guide to the Region's Prehistory’, and in a visit to the cave in 1989 by RCHME and the Trent and Peak Archaeological Trust (Lucy 1989). However, in neither of these published sources is reference made to any plan for re-visiting the excavations for publication purposes.

Seven Ways Cave is thus, something of a mystery, and at first view it may be interpreted as representing a lack of any publication plan on the part of the excavator. However, the aforementioned Foxhole site in Derbyshire provides an illuminating comparison. In this case, each season of excavation is briefly described in the *Peakland Archaeological Society Newsletter* before a final detailed conclusion in the *Derbyshire Archaeological Journal* (Bramwell 1971). Further research shows that Bramwell was also responsible for a number of other excavations of cave sites in Staffordshire and Derbyshire, a number of which such as Elder Bush have been part published in local journals (Bramwell 1964). Thus compared to the success rates of other fieldworkers (including Keele University, Rolls Royce Caving and Archaeology Club, Leek Field Club, Phoenix Old Cave and Cave Research Group) the Peakland group and Bramwell seem to have had a commitment to publication. Thus it may be presumed, but not confirmed, that Seven Ways Cave was perhaps intended for publication, but was never concluded. One possible cause may have been the lack of an authoritative local journal for the area, such as for Foxhole in Derbyshire; was a lack of suitable high-profile journal for northeast Staffordshire a cause, or was this simply a case of too many sites for one individual to publish?

5.9.6 Moulds Yard, Tamworth: Tamworth Excavations Committee 1969/1970

HER Event ID	Not found	Status	Not published
Excavation Index	629206	Context	Urban
Main output	Journal note	Type/Excavator	Rescue/Unit

There is little written material for this excavation except a very short note in *Medieval Archaeology* (Wilson and Moorhouse 1971, 133), and a paragraph in the *West Midlands Archaeological Newssheet*:

“Following the demolition of a number of cottages at Moulds Yard on the north side of Church Street, and near to the east end of the Church, a small site became available for excavation with the aid of a grant from the (then) MOPBW. One of the earliest

features found on the site was the corner of building evidenced by two rows of closely spaced post-holes. The posts would have stood against each other in a manner common to Saxon building techniques. A contour analysis of the part of the town within the burh defences clearly demonstrates a high natural platform in the vicinity of the Church and at the centre of the burh. The presumed Saxon structure found in 1969 and the one mentioned above are both on this platform.” (Meeson 1970, 48).

The excavator recalls:

“Laughably, now, we initially had a budget of £150 for an urban deeply-stratified area. It cost £450 to back-fill the site! Non-funded post-ex led to a poor report which failed to meet the approval of the 'anonymous' referee. ... Still awaiting proper publication, but there's a summary in my MA (copy at Tamworth Castle Museum, Tamworth Library, and Birmingham University Library). The (poor by modern standards) site archive sits accusingly in the corner of my office, waiting for the moment when other priorities fade ... does the work merit further publication? I live in hope!” (Meeson *pers comm*).

The candid reminiscences of Meeson clearly show that the excavation was of sufficient importance to be published and that steps were taken to this end. However, a lack of sufficient quality caused by a lack of time and, it is presumed here, editorial policy, resulted in a failure. To modern eyes, with the benefit of hindsight, a rejection in the midst of a well heralded contemporary publication crisis may appear perverse. Considering the incomplete nature of some of the articles found in some of the journals covering Staffordshire this is also a little surprising. However, said journal was clearly aspiring to higher standards than could be achieved by Meeson’s limited resources of time and money.

5.9.7 *St. Editha’s Church, Tamworth: excavation by Tamworth Excavations Committee 1977-78*

HER Event ID	Not found	Status	Not published
Excavation Index	629189	Context	Urban
Main output	Index record	Type/Excavator	Rescue/Unit

The excavation is recorded in *Medieval Archaeology* as an excavation in advance of structural alterations, with Bob Meeson excavating for Tamworth Excavation Committee. The excavation uncovered Saxon inhumations that had been truncated by a stone wall footing, with the suggestion that the site represented an Anglo-Saxon palace mooted (Webster and Cherry 1979, 245). The excavator recalls:

“The excavation in St Editha's Church crypt proved, in the main, not quite to match up to expectations. However, in the area west of the west wall of the crypt a very thick wall foundation was discovered when a new staircase was inserted. In what would today be described as a 'stopping brief' this north-south wall was found to cut a presumed pre-conquest interment, so it was deduced that the wall was probably Norman. My own interpretation at the time was that this would have been the base of a tower. The work resulted in a note published by the now-defunct Tamworth Excavation Committee, and a similar note was also published in the more widely circulated CBA Churches Committee Bulletin - the predecessor of what has today become Church Archaeology.¹⁴ Subsequently, I made a very detailed plan of the church, and it is likely that work on the next VCH Staffs volume will prompt all of this work to be revisited. In the meantime I hold a very limited archive at home ... As with the excavations at Moulds Yard, the lack of publication was primarily due no money for post-excavation funds (a box was put out for donations), and that at the time the director was excavating sites in Tamworth throughout the years” (Meeson *pers comm*).

Again, as with Mould's Yard, the excavator is candid about the state of publication and the archive: the overarching impression is that any future publication is dependent on one individual; furthermore it is this individual that still holds the archive. Arguably, the lack of any formal publication is of major significance in the understanding of the archaeology of Tamworth as may be seen in neighbouring Stafford (Carver 2010) and Lichfield (Carver 1981b). Although the recent Historic Character Assessment has provided a broad overview of the potential nature of the pre-conquest settlement including the potential site of a palace, firm evidence or insight that may have been gained from a full appraisal of this site, is still clearly lacking (c.f. Langley 2011b, 36).

The lack of evidence for the Mercian capital is in stark contrast to the other significant excavation from Tamworth; the 1971 and 1978 excavations of the early medieval watermill at Bolebridge Street which have been fully published, albeit over a decade since their completion (Rahtz and Meeson 1992). In this case it is pertinent to note in the acknowledgements of the Bolebridge publication the large costs of the post-excavation process (*ibid*, x). Thus it may be that of all the significant excavations undertaken in Tamworth there was only perhaps time and money enough to publish one. It may be suggested that any decision to allocate resources to backlog publication was based on funding and academic priorities (Fowler 1977, 167; English Heritage 1986, 4). Bolebridge Street, one of only two pre-Conquest watermills in England, was deemed the more important and therefore warranting a publication grant. It

¹⁴ Neither source was consulted by the author

may also be suggested that the presence of Philip Rahtz, one of the higher profile rescue archaeologists, and one who prided himself on having published all his sites by the time of his retirement (Richards *pers comm*), may have tipped the scales towards Bolebridge Street.

5.9.8 The Sheridan Centre, Stafford: excavation by Foundations Archaeology 2002/3

HER Event ID	EST1737	Status	Part published
Excavation Index	Not recorded	Context	Urban
Main output	Grey report	Type/Excavator	Planning/Unit

In 2002 Foundations Archaeology was commissioned by Discovery Properties Ltd to excavate an area of land in advance of redevelopment at the Sheridan Centre, a high profile redevelopment of an existing site for the purposes of constructing a shopping precinct. The archaeological programme followed an evaluation undertaken by Foundations Archaeology in June 2002 (Foundations Archaeology 2005). The archaeological works were undertaken between December 2002 and January 2003 in consultation with the Stafford Borough Archaeologist and, in theory, comprised the complete excavation of the development site over 500 metres square. In practice the site was heavily truncated by post-medieval and modern disturbance, and excavation was focussed on sampling features in an area roughly 50 by 10 metres in size. The fieldwork was signed-off as complete on 31st January 2003. Despite extensive disturbance the excavation revealed significant archaeological deposits, comprising a palaeochannel diverted and filled during the early medieval period alongside occupation evidence including a malting oven. The results were deemed to add an important facet of evidence for the development of the medieval town (*ibid*).

The 39 page grey literature report, produced two years after the end of the excavation, provides an assessment of the archaeological remains, a small sample of drawn evidence and a brief assessment of major finds categories. The report concludes that the “results of the fieldwork justified the implementation of the excavation programme and the site will be offered for publication to the Local Journal. An OASIS form will be completed and submitted.” (Foundations Archaeology 2005, Section 7.3). No costs or indication of costs or time for any post-excavation or publication work were included in the report. At the time of writing no such publication has been located, and no OASIS record has been created. The archive has been deposited at Stoke-on-Trent Museum.

Upon enquiry it transpires that plans for a summary publication of the site in the Staffordshire Transactions was deemed necessary, and considering the overall cost of the development, estimated at over £70million, deemed appropriate (Wilkinson *pers comm*). However the

Stafford Borough Archaeologist, David Wilkinson, who had helped set these requirements left that post in May 2003 (Wilkinson *pers comm*), and since that point any progress of such a publication has not been recorded. An enquiry to Foundations Archaeology has, at the time of writing, not revealed any further information. It can thus only be speculated as to whether the post-excavation plans were ever enacted, or, if the departure of the Borough Archaeologist coupled with the delay of almost two years in producing the final report, led to formal publication plans stalling.

5.9.9 *Greengates Pottery Works, Tunstall, Stoke-on-Trent: excavation by Stoke-on-Trent Archaeology 2004*

HER Event ID	EST1737	Status	Part published
Excavation Index	1505179	Context	Urban
Main output	Grey report	Type/Excavator	Planning/Unit

The Greengates Works was, until its demolition in the mid-1990s, the best surviving example of an 18th-century pottery factory in Stoke-on-Trent. In 2004 an extensive programme of archaeological excavation was carried out on the site in advance of a residential development on behalf of Haslam Homes Ltd (Goodwin 2004, 1). Ovens, workshops and part of the factory's flint mill were targeted for investigation, as was an early 19th-century terraced house situated against the eastern edge of the works. The excavations revealed that survival of the mid to late 19th-century factory layout was both excellent and extensive. Four ovens were located within one 600m excavation area. At the time that the client report was produced, this was the largest open area excavation of a pottery factory undertaken in Stoke-on-Trent (*ibid*, 2).

The main output of this significant excavation is the grey literature report, which at 40 pages provides an overview of the excavations and major finds alongside an initial appraisal of the ceramics. The interim nature of this report indicates that this was not intended as the final publication, a view confirmed by the excavator, who recalls:

“I don't think that a final report was ever produced for this site. There was an issue with the post-ex funding which forced the project to stall. There is an archive for the project but no final report ... I don't think anything more was done with the site, although it's one that I'd like to see revisited at some point” (Goodwin *pers comm*).

At the time of writing no further information on the nature of the post-excavation funding was available, and the final report deposited with the HER makes no mention of an agreed publication strategy for the project. Considering the high profile of the Potteries region and

the publication of other sites such as the Ceramica works at Burselm (see Boothroyd and Courtney 2007) the Greengates scenario is surprising. However, the excavator, now archaeologist for the city, provides some valuable insight into the changing nature and capability of publication in the locale:

“For much of its early life, the unit formed part of the museum service and tapped into its well-established and healthy culture of publication, which included the production of a monograph series called *Staffordshire Archaeological Studies*. The final SAS was produced in the mid-late 1990s – its demise wasn’t planned, but was bought about by budget cuts and departmental reorganisation within the council. The archaeology team was separated from the museum and functioned as an integrated planning/SMR and commercial field service. I took charge of the latter in c.2005, during a development boom within Stoke-on-Trent – this opened up an unprecedented amount of the city to archaeological investigation and, consequently, we worked absolutely flat out for four or five years, principally excavating former factory and residential sites. Unfortunately, a great many developments proved to be somewhat speculative and were never completed. At the financial crash the developers behind many schemes went bankrupt, with the result that several large sites were robbed of their post-excavation funding or went entirely unfunded, as recovering fees via legal channels proved almost impossible. With no funding, reporting on these sites stalled – archives were created ready for deposition and went into a holding store at the local museum. ... Finding time and resources to publish beyond grey literature reports, however, continues to be a problem, although in some instances we’ve succeeded in producing journal articles, usually with the support of amenable developers. To compensate for this, I tend to ask all contractors to produce a high-level of client report, to extract as much information from the development sites as possible.” (Goodwin *pers comm*).

The lack of publication is thus an interesting combination of the demise of construction schemes, and thus the impossibility of securing funding for adequate post-excavation and reporting. As previously noted in this chapter, and confirmed by Goodwin, the in-house publication provided a consistent publication medium for over two decades. Its subsequent replacement was focussed on reporting more research-led works. It is interesting to note however that the experiences and lessons of the mid-2000s have influenced current policy within the city, where increased emphasis is placed on the production of a high quality client report as a final output to be lodged with the HER and made available online via OASIS (Goodwin *pers comm*).

5.9.10 15 Sandford Street, Lichfield: excavation by Marches Archaeology 2000

HER Event ID	EST899	Status	Part published
Excavation Index	1337871	Context	Urban
Main output	Grey report	Type/Excavator	Planning/Unit

The excavation at 15 Sandford Street came about due to the redevelopment of the site in advance of the construction of 15 luxury apartments by Friel Homes Ltd. Although the site was already built upon, an assessment identified that the site lay within the medieval boundaries of Lichfield (a Conservation Area). The site of a Franciscan friary, a Scheduled Ancient Monument lay 40 metres from the proposal site, whilst the medieval town boundary and the Sandford Gate also lay nearby. In 1999 an evaluation suggested that medieval and post-medieval deposits were likely to survive where later truncation had not occurred. A scheme of works was devised by Lichfield District Council and Staffordshire County Council for excavation of an area of 440 square metres with a watching brief on subsequent ground works around the periphery of the excavation area. The excavations located a substantial ditch crossing the site east to west, virtually parallel to the later Friary precinct wall. The excavation also uncovered evidence of industry, possibly tanning, in the 12th or 13th centuries, continuing into the 14th century. The stratigraphic sequences included many of the medieval contexts from which pottery was recovered. Very few such sequences have been recorded in Lichfield so the medieval assemblage would be of enormous value for testing the applicability of the West Midlands regional type series to Lichfield (Tavener 2001).

The only written output is the grey report produced as an assessment of the excavation in view of securing the funding for further analysis and publication (*ibid*). The report has some supporting drawn material and a brief analysis and dating of the ceramic evidence. Subsequently, funding was secured for the extra phase of post-excavation with publication in the Staffordshire Transactions. A pottery report was produced by an external specialist; however, the complex nature of the stratigraphy led to re-interpretation of the site by the main author of the report from one burgage plot, to a series of such plots on different alignments (Ratkai *pers comm*). Due to this re-interpretation, a revised pottery report was required but there were no funds to cover this (*ibid*). By this point the planning condition had been signed off, and no further recourse was available to the County Council to secure funds from the developers. Matters were further complicated with the departure of key staff from Marches Archaeology, and the illness and death of its director Nic Appleton-Fox in 2009 (Dean *pers comm*).

It is interesting to compare this to a contemporary work in the immediate vicinity, an excavation of another medieval site by BUFAU that took place on an area to the north of Sandford Street in 1999/2000 prior to re-development for housing. As with Sandford Street,

the importance of the site in understanding the medieval settlement of Lichfield was identified, and the full report published in the *Staffordshire Transactions* soon after (Nichol and Ratkai 2004). The post-excavation assessment and project design from the BUFAU site proposes that the report should be published as one part of a volume devoted to the archaeology of Lichfield (Nichol 2001); presumably to include sites such as the Marches excavation. The differing fate of these two excavations sheds more light on the factors that can dictate publication; both were of similar size, complexity, date and funding but one was ultimately hindered, initially by the author revising his initial findings which in turn led to a hiatus as extra funds were required.

5.9.11 Willowbrook Farm, Alrewas: excavation by Staffordshire County Council Planning Department 1990

HER Event ID	EST1596	Status	Part published
Excavation Index	655779	Context	Rural
Main output	Grey report	Type/Excavator	Planning/Unit

The excavation at Willowbrook Farm was undertaken in advance of an application for planning permission to extract sand and gravel adjacent to an existing quarry operated by Redlands Aggregates Ltd. Due to cropmark evidence that suggested a potential funerary monument an evaluation was commissioned and undertaken by Tempus Reparatum. The evaluation revealed the severely truncated remains of a Bronze Age ring-ditch, and although the existence of that feature had been confirmed the damage taken by the monument led the excavators to conclude that there were no further archaeological features of any depth or significance (Saracino 1990, 1). Because of this it was suggested “that the County Archaeologist will accept the thorough evaluation that has been done as sufficient preservation through record” (Meeson 1991, 1). The excavator recalls the following:

“It was not considered justifiable to undertake further work as a condition of the planning agreement, however the reference to surviving small pits etc encouraged the belief that future excavation should not be ruled out. When the position was explained to the developer (Redlands Aggregates) it was agreed that they would commit a driver and mechanical digger for 5 days, and for Staffordshire County Council to commit three staff over the same period. It transpired that 20 man days were spent excavating an area c 340 square metres!” (Meeson *pers comm*).

The excavation uncovered a post-built structure (interpreted as a house) cut through by the early Bronze Age ring-ditch (Meeson 1991, 3). In the final report Meeson draws an interesting

parallel with Losco-Bradley's (unpublished) site at Fatholme where a group of post holes were cut by a series of ring ditches. "On present evidence it is possible that pre-barrow structures may be relatively common in SE Staffordshire, and no aerial photographic record of a ring-ditch should be written off as just another destroyed burial mound" (Meeson 1991, 3). The final report is 19 pages long with a short description and interpretation, a small number of plans, plans, sections and list of contexts. The excavator recalls how the site was written up over the Christmas period with very few resources available (Meeson *pers comm*). The material and paper archive has been deposited with Stoke-on-Trent Museum.

Any further publication was prohibited by a lack of funds, the planning condition having previously been discharged with the evaluation and the excavation undertaken as a goodwill gesture on behalf of the developer, with no compulsion to provide further resources for post-excavation. The production of any final grey report was dependent wholly on the efforts of the excavator. It is interesting to note the initial similarities with the Tucklesholme excavations 15 years prior. In both cases there were (presumably in the case of Tucklesholme) few resources for excavation and post-excavation. However, with Willowbrook Farm the publication strategy was very clearly to produce a short report that, whilst not enough to consider the site fully published, at least provides some record of the works. In comparison with later projects on the sands and gravels it also demonstrates the relative naivety in the early days of planning-led archaeology, with some grey areas in procedure and response to archaeological mitigation.

5.9.12 Old Shops Site, Rocester: excavation by BUFAU in 2000

HER Event ID	EST1012	Status	Not published
Excavation Index	1386687	Context	Rural
Main output	Interim report	Type/Excavator	Planning/Unit

The excavation of the Old Shops Site was undertaken over five weeks in February-March 2000 and focussed on the *vicus* exterior to the Roman fort. The work was undertaken by BUFAU on behalf of Miller Homes in advance of proposed redevelopment of the plot for housing, the site previously being identified via evaluation as being of significant interest (Ferris *et al* 2000b). The evaluation was funded by East Staffordshire Borough Council and not the developer, as the exercise covered multiple areas under separate planning applications (Mould 1996). Prior to the full excavation another phase of evaluation (and watching brief) was undertaken on an adjacent area confusingly referred to as the New Shops Site, for which only an interim statement was ever prepared (Ferris 1999). The full excavation was funded by the developer, and was an open area investigation of an area roughly 25 by 10 metres.

The excavation revealed significant evidence about the chronology, layout and nature of activity in the *vicus* that complements and enhances the results of the previous excavation in the 1960s, and specifically referenced the 1996 and 1999 evaluations as forming important results that needed to be incorporated with the 2000 excavation. The post-excavation recommendation is worth quoting in full:

“The following post-excavation programme will be carried out between July December 2000, with a view to submitting a report to the Transactions of the Staffordshire Archaeological Society. The report will be provisionally titled 'Excavation and Recording in the Romano-British Vicus, Rocester, Staffordshire' by I.M.Ferris and L.Bevan ...it is hoped that material from the two separately-commissioned archaeological projects in the adjacent areas of the vicus that is the evaluation of 1996 (sponsored by East Staffordshire District Council) and the watching brief of 1999/2000 (sponsored by Miller Homes) can be integrated into this account, should funding for this be made available.” (Ferris *et al* 2000b, no pagination).

At the time of writing the publication has not been produced. The main written output is the post-excavation assessment, which for this thesis has been classed as an 'interim report'. The report is short, has no drawn evidence except a site location, and no quantification of finds or a clear indication of the nature of the settlement. On enquiry, the lack of publication appears to have been caused by the director leaving BUFAU in 2002, and although preliminary post-excavation work was done on the archive the publication process stalled indefinitely (Ramsey *pers comm*). It is unclear as to whether funds were provided for post-excavation as no records of this currently exist within Staffordshire County Council (Dean *pers comm*).¹⁵ This situation has deteriorated further with the closure of Birmingham Archaeology. At the time of writing the archive is still held at the University of Birmingham, and its transfer to a museum and publication is of immediate importance; and being undertaken with financial support from Historic England as part of a larger scheme to secure the archives of all Birmingham projects (Paul *pers comm*).

5.10 Conclusions

The results of the county-wide data analysis and case studies highlight the variety of factors that influence the course of archaeological publication in Staffordshire; one cannot sum up unpublished sites in Staffordshire with one sweeping statement. Rather, it is possible to speak of specific geographic and temporal lacunae in our knowledge caused by unique combinations

¹⁵ Staffordshire County Council has a legal obligation to retain planning records for ten years only.

of financial and human factors. The publication backlog has not been created (or increased?) by any specific definite type of archaeological remains, or indeed prompt or excavator. Prehistoric funerary monuments and early medieval settlements have both witnessed successes and failures in post excavation. Similarly, although the size of some sites may be a factor in some cases, it is not overriding. Some of the largest excavations in the county have, perhaps due to the funded nature of the projects, been fully disseminated. However, the analyses have identified a number of key themes, primarily the respective strengths and weakness of rescue and planning-led excavations.

Rescue excavation in urban and rural areas

One of the trends identified in the initial data analysis was the publication backlog of rescue excavations in historic centres, especially Tamworth. However examination of case studies and the subsequent comparisons have highlighted that it is not the archaeology *per se* that is the issue; it is the rescue context and the well-documented lack of funds available for any post-excavation. In addition, in Tamworth it is notable that rescue work was undertaken by a small group of individuals but often with little financial support from the offset. Would publication have been more successful if it had been undertaken by a larger organisation? This is debatable, but considering the amount of rescue work that was undertaken in the 1970s it seems unlikely that without serious financial support anyone could have produced a complete record of all the events undertaken. Indeed, it seems only a singular effort by Meeson and Rahtz backed by a large contribution by RCHME that saw a single site through to full publication. Thus in these contexts, publication becomes the exception rather than the norm.

In comparison, the examples and background data relating to contemporary rural rescue excavations is illuminating; all examples seem to have been hampered to some extent by the conditions of the day. The examples from the Trent Valley shed more light on the very human factors that influence this scenario. In the case of Tucklesholme, it seems the excavator was striving for a more informed, synthetic understanding of the landscape in which the excavation sat before committing results to paper. Unfortunately, circumstances and a *lack of certainty* about the landscape seemed to hinder this process, and any publication stalled. In the case of Fatholme, it seems that it was not quite the classic rescue scenario: although undertaken under the threat of imminent destruction the excavations were detailed enough to warrant full publication with the *Prehistoric Society* with funding from RCHME/English Heritage. As detailed above, illness, personal opinions and the passage of time have subsequently hindered any publication. The first is unavoidable, and can scupper any undertaking; the second is a previously obscured factor, perhaps because feelings and prejudices are impossible to map from raw data. Combined, they highlight the very tenuous nature of archaeological data produced by humans, subject to whims, prejudice and the strains and tribulations of modern life. As

highlighted in the first chapter of this thesis, these are all contingent part of information entropy – the value of data once produced is never a constant.

Planning-led works: organisational and economic failings

The case studies from the planning-led examples have provided evidence for the differing publication strategies of the PPG16 era. Contrary to initial thinking, the lack of a complete publication has not been through shortage of developer-funding. On the contrary the evidence suggests that for a large part of the era local authorities were working with developers to ensure that important sites received the level of support necessary. However the reliability of the developer is also a key factor, with the examples from Stoke-on-Trent and Stafford indicating the difficulties caused when sites change hands, or the developer fails financially. The failure to publish thus resides with some of the units and individuals concerned, cases perhaps mitigated by the more complex nature of some of the urban sites, as well as unexpected factors such as illness, failure of the unit or departure of key staff. The broad statistics and case studies suggest that smaller units are more susceptible to these factors, although even larger established organisations with good publication records such as BUFAU are not immune. Indeed the longer the hiatus after the end of an excavation, the increased chance of a failure to publish as the resources to revisit archives are commonly not available.

A special mention should be made of the case of Stoke-on-Trent and contemporary economics; as highlighted here the city has historically had a history of publication via its own Museum's monograph series which ended with a decrease in funding. Latterly, the city saw a mini-boom in work with post-excavation disrupted by subsequent financial failure of the developers. Without funding and the monograph series, the majority of regionally and nationally important ceramics sites have not been published adequately and some have not even produced grey reports. However, this series of disasters has prompted a curatorial response in an increased importance of the grey (client) report as a viable method of recording smaller excavations and the insistence that units use OASIS for dissemination of the report. Thus, and for smaller works, this seems to be a viable method of publishing many sites not just from Stoke-on-Trent but also from the region. Although the Broad Street report is not available digitally, its status as an adequate record of an excavation is clear. Comparing the examples of these completely published grey reports and some of the smaller part published equivalents from the beginning of the 1990s such as Tucklesholme; it is evident that the expectations and requirements of the local authorities have changed. Grey literature is not always a problem, but often a solution.

Chapter 6: Unpublished excavations in North Yorkshire

“The concluding stages in any archaeological project should be the preparation of a report for deposition in the local Sites and Monuments Record/Historic Environment Record and, in the case of significant results, a report for publication in a monograph or journal.” Definition of a completed project (Ottaway 2010, 12).



Plate 6: *Between two worlds*. Late Neolithic/early Bronze inhumation from Wath Quarry, Hovingham; excavated by MAP in 2000. Image from the grey literature report (MAP Archaeological Consultancy 2003)

6.1 Introduction

The chapter begins with an introduction to the geographic extent of the study area, and to the literature relating to the county's archaeology. This is followed by data collection and analysis, divided into the following sections:

1. General analysis of excavation trends in North Yorkshire.
2. General analysis of publication trends in North Yorkshire.
3. Analysis of Published Excavations.
4. Analysis of Unpublished Excavations.
5. Analysis of Part published Excavations.
6. Case studies
7. Discussion and Conclusions

6.2 The study area

The definition of North Yorkshire used here is the modern county boundary as formed on 1 April 1974 as a result of the Local Government Act 1972. This covers most of the historic North Riding, as well as the northern-half of the West Riding, and the northern and eastern fringes of the East Riding (Figure 6.1). It does not include the unitary authority of York, or the authorities of Middlesbrough, Redcar and Cleveland and the areas of Stockton-on-Tees south of the River Tees which in recent years have become part of North Yorkshire for ceremonial purposes. The decision to exclude the City of York unitary authority area was based on two factors: firstly the Excavation Index shows 530 extra events within this area which would add a considerable mass of data, roughly a third of the dataset for the whole of the wider county (Chapter 4.3). Secondly, York has a singular archaeological history (Hall 1996) that, whilst undoubtedly adding interesting case studies, would also perhaps skew the study of the wider region towards a study of one particular area. The study area encompasses three separate Historic Environment Records: the bulk of the county is served by North Yorkshire HER, with the two National Park Authorities served by North York Moors National Park HER and Yorkshire Dales National Park HER.

The topography and geology of North Yorkshire are described in previous studies of the wider region (Gaunt and Buckland 2003; Roskams and Whyman 2005). The landscape is split between the upland areas —the Yorkshire Dales (part of the Pennines) in the west, and the North York Moors in the east as well as the northern extent of the Yorkshire Wolds — and the lowlands comprising the Vales of Mowbray, Pickering and York (Figures 6.2). The county is predominantly rural, with the majority of land being enclosed for arable and pasture; less than 5% of the total surface area is classified as urban or brownfield (see Figure 6.3). Excluding York, the largest urban area is Harrogate, with other historically significant towns

at Scarborough and Whitby on the North Sea coast, and Ripon, Malton and Norton-on-Derwent (henceforth referred to as Norton). The rural landscape is dominated by arable farming, with just over 70% used for this purpose (Toase 2010, 38). Previous overviews have noted the influence of land-use on the visibility of the archaeology, notably the extensive agricultural use of the chalk and limestone bedrocks of the Wolds and Pennine foothills leading to the recognition of archaeological sites both on the ground and from the air (Roskams and Whyman 2005, 5).

The area has a rich industrial heritage, with a strong tradition of mineral extraction; in the recent Historic Landscape Characterisation report it was noted that the county had 201 quarries totalling 5809 hectares, and 74 mining sites amounting to 16540 hectares (Toase 2010, 107). The upland areas are extensively mined: with substantial areas of lead mining in the Yorkshire Dales — Grassington and Greenhow in the South and the Upper Swale valley in the North — and shallow shaft coal mining, jet and ironstone works in the North York Moors. In addition there are also prominent alum extraction sites, particularly on the northeast coast, as well as sandstone and limestone quarries in the southern Yorkshire Dales and more northerly part of the Moors (Figures 6.3-6.5). Areas of aggregates quarrying are relatively dispersed, with the main centres of industry being in the Vales of York and Mowbray, for example at Nosterfield Quarry — that surrounds the Thornborough Henges landscape — between the Rivers Ure and Swale. There are also concentrations of extraction sites in the Vale of Pickering, such as Cooks Quarry, the site of the West Heslerton excavations (Powlesland 1998).

6.3 Existing archaeological reviews of North Yorkshire

The county of North Yorkshire has one of the highest archaeological profiles in the country, and at the time of writing contains 1721 Scheduled Ancient Monuments (English Heritage 2008, 2-3); the largest number for any county and, in the North York Moors National Park, one of the densest concentrations of monuments anywhere in England (*ibid*). Some of these are nationally recognised monuments that often capture the public imagination, for example Fountains and Whitby Abbeys, or the Thornborough Henges landscape. In addition, the county has also witnessed some of the biggest and most high-profile campaigns of archaeological investigation ever undertaken in the country, for example West Heslerton (Powlesland 1998), Wharram Percy (Wrathmell 2012) and Star Carr (Milner *et al* 2011). The county also has a particularly rich tradition of aerial photography, which in recent years has been augmented by a number of RCHME/English Heritage mapping projects on the Yorkshire Wolds (Oakey *et al* 2012), Howardian Hills (Carter 1995), Magnesian Limestone

(Roberts 2010), Yorkshire Dales (Horne and MacLeod 1995), North York Moors (Knight and Bax 2013) and Thornborough Henges (Deegan 2005).

The county is covered by a number of overviews of its archaeological history undertaken as part of the Yorkshire Archaeological Research Framework Forum (see Addyman 2003). The first Yorkshire Archaeological Research Framework was written in 2005, and notably made reference to the intra-regional histories of areas such as the Pennines, North York Moors and Vale of Pickering (Roskams and Whyman 2005, 6-7). In their overview of archaeological research in Yorkshire Roskams and Whyman observe:

“It may be argued that, for much of its history, archaeological research in Yorkshire has been organised around a series of ‘core’ areas, characterised by exceptional archaeological preservation and/or visibility. Further, these areas have generated their own distinct traditions of research, and of individual and institutional researchers.” (*ibid*, 9).

In North Yorkshire, these ‘core’ areas have traditionally been the upland zones; manifested in distinct concentrations of investigation by specific people in specific places, for example Raymond Hayes in the North York Moors (Hayes 1988, ix), or Arthur Raistrick in the Yorkshire Dales (Beresford 1992). Even moving into the latter decades, these geographically distinct traditions have continued. Since its foundation in 1947 the *Scarborough Archaeological and Historical Society* through notables such as Raymond Hayes and Frank Rimington concentrated its efforts on upland monuments, but then latterly under persons such as Peter Farmer moved towards the excavation of Scarborough itself (Pearson *pers comm*). In the post-war period, with the requirement for sands and gravels, the lowland areas have become more widely investigated; these again have been undertaken by distinct groups or personalities, such as the Heselton Parish Project/Landscape Research Centre under the leadership of Dominic Powlesland in the Vale of Pickering.

6.4 Analysis of excavation trends within North Yorkshire 1938-2007

A general overview of annual numbers of events within the county shows that up until the mid-1960s North Yorkshire represented the majority of archaeological works for the whole region of Yorkshire and Humberside (Figure 6.6). The dominance of North Yorkshire diminishes over the course of the 1960s, and with the advent of the Rescue budget in the early mid-1970s is reduced to just under a third of the regional total. This dramatic shift — in just over a decade — is perhaps testament to the differing impact of the ‘rescue crisis’ of the era, with increased excavation in the hitherto largely ignored river valleys and urban centres within the East Riding and South and West Yorkshire (Chadwick 2000; Collis 2013) but less rescue work required in rural upland North Yorkshire.

Another factor could well be the lack of a county rescue unit during the rescue period. Although York was covered by YAT, plans for a larger regional unit never materialised due to the lack of control that local councils would be able to exercise over a budget that extended outside of their areas (Collis 2013, 19). Thus although a successful county unit was embedded within West Yorkshire, none was forthcoming for the wider county of North Yorkshire, and many larger sites were tackled by the Central Excavation Unit (CEU) (*ibid*). It is tempting to speculate whether the lack of any county unit led to some threatened sites not being identified, or perhaps less of the types of campaigns of excavation undertaken by BUFAU in Stafford and Lichfield. Certainly the need to formulate localised rescue responses to development, in lieu of anyone else to do the work, is testified by the work of groups or individuals in Scarborough and the Vale of Pickering (Pearson 2005; Powlesland 2003). A final factor may also be the changing nature of archaeological excavation as a pursuit of local societies and individuals, with the excavating generation of the immediate post-war decades becoming active, and with attention shifting from the upland landscape to the more actively, but not exclusively, threatened lowlands (Powlesland 2003).

Levels of work rise significantly post-1990 although year-on-year levels show marked fluctuations, a trend mirrored in the wider county (Figure 6.6). The relative levels of work being undertaken in the study area comparative to the wider region also increases, perhaps somewhat surprising considering the upland nature of much of the county, where roads, pipelines and urban renewal are at a minimum. It is interesting to note the symmetry in the post-1990 levels between county and region, although it does appear as if the corresponding peaks and troughs in North Yorkshire are one or two years behind the region as a whole. This could of course be indicative of localised factors, with North Yorkshire having its own micro-climate of investigation stimuli based more on gravel extraction or road schemes than the predominantly urban areas of West and South Yorkshire.

The geographic distribution of these investigations allows these preliminary trends to be viewed in more detail (Figures 6.7-6.9). It is evident that between 1938 and 1971 the vast majority of events took place on the fringes of the upland areas. This trend for examining the fringes of these upland zones may well be influenced by extant monuments, but it may be suggested that they are also the geographically closest areas to the major centres of contemporary settlement, particularly Scarborough with members of its Archaeological and Historical Society particularly active in this period (Pearson *pers comm*). Going into the rescue era (1971-1989) this trend shifts towards a greater level of working the river valleys of the Vales, particularly on aggregates bearing areas (Figure 6.9). There are also distinct concentrations of work in the vicinity of the A1 and the town of Catterick (Roman *Cataractonium*) and the A64 between Malton and Scarborough, as well as Scarborough and its hinterland.

The retreat from the hills continues into the post-PPG16 era with the majority of investigations occurring in the lowland areas. Again this is dominated by investigations on sands and gravels, large-scale road schemes such as the A1(M) but also an increasing number of urban investigations in Whitby, Scarborough, Malton and Norton. However, this is not to completely discount the allure of the uplands, for example 75 out of the 776 events recorded for the years 1990-2007 occur in the Yorkshire Dales (Figure 6.9). On closer investigation these are a small number of planning/national park authority led works, normally small-scale investigations in advance of water or gas pipelines. The majority are part of wider research schemes undertaken by academics from a range of northern universities, primarily Sheffield and Bradford. There is thus something of a rescue/planning lowland versus academic upland split in the region, discrete cultures working in their own particular locales and perhaps even archaeological periods.

Further analysis of the *type* of excavations being undertaken illustrates that this shift from upland to lowland corresponds with a change in working practices (Figures 6.10-6.12). In the years 1938-1971 the majority of investigations were research-based and undertaken by local societies and individuals. For example Arthur Raistrick in the Yorkshire Dales (Beresford 1992), William Lamplough and John Lidster on the North York Moors in the vicinity of Scarborough (Boughey 2013), Raymond Hayes across the northeast of the region (Wilson 1988). Often these works had little or no external funding, sometimes undertaken just with the assistance of friends and family members (Boughey 2013; Hayes 1988). This situation begins to change towards the late-1960s as rescue excavations start to account for 40-50% of all works (Figure 6.10), though at least in the early phase of rescue the people undertaking this rescue work remained the same. For example Tony Pacitto undertook a number of campaigns under the auspices of a local society or for specific rescue works funded through the Ministry of Works (Rigby and Stead 2004).

Despite a spike in 1975, levels of rescue work decrease over the course of the decade, and drop considerably in the 1980s. This fallow period ends in 1985 and a heterogeneous collection of excavations such as those at Star Carr undertaken by University of Wales Cardiff, and a mixture of planning-led and traditional rescue by York Archaeological Trust and the CEU represent a re-invigoration of interest in the region (Figure 6.11). Within three years planning-led and developer-funded events become the main prompt for excavations in the county, notably prior to the publication of PPG16. Perhaps this is an indication of the rising levels of threat, or perhaps of the recognition of threat. Although much of this initial planning-led work is undertaken by a team based within the planning directorate of North Yorkshire County Council there is soon a shift towards units that emerge in the area, notably Northern Archaeological Associates (NAA), Field Archaeology Specialists (FAS) and MAP.

Simultaneous with this upsurge in work is a marked rise in research investigations; although a number are undertaken by local societies and groups there are also significant numbers undertaken by universities and national organisations, namely Historic England at sites such as Whitby Abbey, and the National Trust on its properties such as Fountains Abbey. Despite the unmistakable rise in planning-led events, archaeological practice is not homogenous. As in 1985, in the final year of this study (2007) there is still a strong research tradition accounting for nearly 25% of all excavations for that year, with a mixture of organisations undertaking this work.

Analysis of the type and size of investigations provides further insights into the history of practice in the county. It is clear that prior to the onset of widespread planning-led investigation in the late 1980s, the dominant practice was for smaller-scale partial excavation of a site, with larger campaigns more common in the latter half of the 1950s and sporadically in the 1960s (Figures 6.12 and 6.13). As the amount of work undertaken drops in the 1970s-1980s the amount of small-scale works that had previously dominated also decreases. It may be inferred that these trends represents the end of a true Heroic Era in Yorkshire excavation, tied to the retirement of a particular generation of excavator. This changing of the guard can be seen post 1984 as research at Danby Rigg and rescue by the CEU at Catterick Racecourse and Ripon indicates a move towards larger organisations undertaking particular large-scale projects as opposed to the more piecemeal events of previous decades.

As with the rest of the country, the dominant form of excavation quickly switches to evaluations (Darvill and Russell 2002, 13). However, there is from 1994 to 2000 an upsurge in the amount of part and open area excavations, often on a medium or large scale. These include familiar areas of interest such as Catterick and the A1(M), but also quarry sites such as Burythorpe, Newbridge, Scorton and Thornborough. There are also substantial schemes along

the routes of water pipelines such as at Skipwith and Leyburn to Bainbridge (aka Wensleydale), and sites excavated in advance of the BP TSEP Pipeline at Stillington, Crayke and Crathorne; and substantial urban excavations in Selby and Ripon. Clearly, this was a boom-time for excavation in the county.

The distributions of excavations by prompt further highlight the extent to which excavations have been geographically compartmentalised (Figures 6.14–6.16). For example, the vast majority of research excavations are undertaken in the upland areas, albeit with clusters around the Roman sites of Catterick and Piercebridge and the Vale of Pickering. Rescue works are heavily concentrated in the Vale of Pickering and specific urban areas (and hinterlands) such as Malton, Norton and Scarborough (Table 6.1) as well as the Roman site at Catterick. This discrepancy between urban areas may simply show the relative levels of development and threat to archaeology. Conversely, and as hypothesised in the national overview, it may also represent the contemporary perception of archaeological value; particularly to areas with Roman antecedents, the exception being Scarborough, which seems to have borne a particularly strong local interest in the Medieval town (Pearson 2005). There are also distinct clusters of rescue excavations on the fringes of the North York Moors and in close proximity to sites identified under research; generally cairns and other extant burial monuments threatened by forestry plantations and mineral extraction by, among others, William Lamplough. This latter distribution perhaps indicates that *where* rescue investigations were taking place was perhaps as much influenced by prior knowledge of a site and of the presence of a local archaeologist with interest in the locale, as by new threats. How this influences the written record is examined below.

Area	Total Events
Northallerton	6
Whitby	21
Scarborough	108
Malton	16
Norton	39
Knaresborough	11
Ripon	37
Thirsk	14
Richmond	14
Harrogate	1

Table 6.1: Investigations for the major towns of North Yorkshire.

6.5 Analysis of publication trends in North Yorkshire

6.5.1 Introduction

The trends discussed above are based on particular subsets of the original dataset. Due to the size of the database it is impractical to include a full export of data (i.e. all data from each table) into this chapter. Instead, a customised export from the database including site name, description, status and key written output is included in Appendix 4 for reference purposes.

6.5.2 General trends

The status of all excavations shows that over half (54%) have reached a suitable level of reporting and can be considered completely published (Figures 6.17). Of particular note are the large numbers of works (31%) that are considered not published in any significant form. When these figures are filtered to just *excavations* (i.e. not including evaluations and smaller salvage works) the publication rate falls to 40%, with the largest single class of record being for excavations with no major written output (Figures 6.18 and 6.19). It is clear from these figures that the county has a serious publication problem which, considering the status of many of the sites and campaigns of excavation is of surprise, and importance for anyone wishing to understand the archaeology of the region.

The geographic distribution shows distinct patterns within the published record, with the majority of unpublished sites being located on the upland areas of the Moors and Dales (Figure 6.20). There are also distinct concentrations in and around Scarborough, Whitby, Catterick and Ripon which reflect a small yet significant backlog of urban sites. In contrast, the vast majority of part published sites, normally existing as grey literature (Figure 6.19), are located within the lowland areas, especially the Vales of York and Pickering, which have traditionally seen the most rescue and planning-led work (Figure 6.20). In fact the general trend is that wherever there has been a concentration of work, one will also find corresponding levels of sites that are never adequately published. In addition, this also shows quite how the disparate trends of excavation previously highlighted (Chapter 6.4) have created their own unique geographical disparities in the written record.

These broad statistics can be somewhat misleading. For example, in the spatial analyses discussed above, Scarborough appears as a distinct cluster in the dataset. However, when viewed against the total number of excavations in the urban area, Scarborough's publication success rate is one of the best in the county (Table 6.2). This is remarkable considering that it is the most intensively excavated town in the region. However, where the statistics do correlate with the maps is the relatively poorer publication rates for Whitby, Malton, Norton,

Ripon and Thirsk. This is particularly striking for Norton and Malton combined, with over 50% of the 55 investigations undertaken inadequately published. Outside of Scarborough, it seems there is a clear publication problem with urban projects. It is tempting to hypothesise that this is due to the lack of a county unit, but considering that many of these sites were excavated by the CEU (which may be expected to be well-resourced) this may not be an overriding factor.

There are also very clear cultures of publication if the records are analysed by type of excavator (Figures 6.21). An initial view of all data shows that all groups have a problem. However, if filtered for just *excavations*, all groups have a publication success rate of under half of all works undertaken. A lack of complete publication is particularly evident from units, and perhaps less surprisingly private individuals. In contrast, local societies and academics are better represented. Considering the scope of the former (undertaking a range of research and rescue projects) the lack of publication is more understandable. In contrast, the deficit from academics, who may be expected to be investigating higher status sites and under less pressure than rescue equivalents, the lack of publication is marked.

Area	Total Events	Not Published	Part published	Percentage not fully published
Northallerton	6	0	2	33.3
Whitby	21	7	5	57.1
Scarborough	108	19	14	30.6
Malton	16	1	7	50.0
Norton	39	17	2	48.7
Knaresborough	11	2	1	27.3
Ripon	37	7	9	43.2
Thirsk	14	3	3	42.9
Richmond	14	0	3	21.4

Table 6.2: Publication status of excavations within major urban centres of North Yorkshire. total numbers of investigations for each class for all investigations (top), just excavations (bottom).

6.5.3 Significance

The breakdown of publication rates by significance shows that excavations of local significance have relatively high publication rates (Table 6.3; Figure 6.22). The majority of these are smaller *evaluations*, with the results adequately written up as grey literature. Small numbers

appear in traditional published formats, primarily local journals, and on closer inspection are normally small investigations by members of local societies with minimal yet informative results, for example trial investigations at Warren Moor ironstone mine by Cleveland Industrial Archaeological Society, published as part of a wider historical review of the site in that organisations in-house periodical (Owen 1981). Other examples can frequently be found in the *Transactions of the Scarborough Archaeological and Historical Society* from the 1950s through to 1980s, and it is evident that this medium was frequently the basis of collating as much information as possible, regardless of the size or wider significance for the locale.

This contrasts with the very large number of sites of local interest not reported at all (Figure 6.22). This may suggest that historically, excavations that were perceived to be of little significance (or that had negligible results) need not be written up. This theory may be supported by the large numbers that simply have a small paragraph or description in a local journal, for example the fieldwork in year section of YAJ. Typically these investigations uncover little, or have been undertaken to prove or disprove the existence or date of a certain earthwork or feature and are carried out by individuals with no clear affiliation, or members of YAS. The suspicion is that the investigator(s), happy that they have reported back to the aforementioned society, simply move on to another site. In short, a *publication* is not perceived as needed or warranted. Based on these trends, it is clear that historically there were very disparate trends of publication of sites in the study area, with smaller organised groups perhaps better placed in reporting run-of-the-mill sites, normally via their own periodical. Conversely, the bigger YAJ was perhaps only covering the very major sites, with ones perceived to be of lesser importance simply falling under the radar.

The statistics for excavations of regional significance reflect a serious publication crisis, with just under 40% reaching an adequate level (Figure 6.23). The majority of regionally important sites that *are* published are located in local journals and monographs, with only a relatively small percentage represented in national journals. Thus, if one wanted to research the important sites of North Yorkshire, traditional published sources would only provide a small sample of all those excavated. As with sites of local importance, there are many works only represented as notes in local and national journals or with no formal written information at all. Similarly, it seems that the majority of these (i.e. only a journal note or no information) have been investigated by small groups or individuals. The reasons why they have remained unpublished are explored below. However the most marked trend is the comparatively large (28%) number of investigations only written up as grey literature.

Statistics for sites of national interest show an equally prominent lack of publication for many sites, with just over half of this group adequately published (Figures 6.24); as with regional sites the preferred format is in a monograph. Of the remainder, two — the evaluation and

excavation of the site of a Viking period hoard with a disturbed burial with grave goods and a large Bronze Age enclosure at Ainsbrook by York Archaeological Trust in 2004-6;¹⁶ and the excavation of a 15ha Neolithic-Anglian settlement site in advance of gravel extraction at Hollow Banks, Scorton by NAA in 1999-2000 — currently have no further information available. Other sites such as the early medieval cemeteries at Spofforth or the Iron Age-early medieval settlement at Crossgates are only available as grey literature. Two sites investigated by university departments — Mesolithic occupation at Malam Tarn and one of country's earliest iron smelting furnaces of the Industrial Revolution at Kyle Cow Beck, both investigated by University of Bradford — have only produced interim reports; that is single page summaries of findings that are not classed here as grey literature.

Significance	Published	Part published	Not published
Local	65%	3%	32%
Regional	35%	29%	36%
National	50%	30%	20%

Table: 6.3: Comparative publication rates of excavations classed by significance.

¹⁶ Has been offered to SMA for their monograph series (Richards *pers comm*)

6.6 Analysis of published excavations in North Yorkshire

Considering that the publication rate in North Yorkshire is 54%, with marked gaps for excavations of national and regional significance, it is informative to study what *has* been published. Analysis of the published data shows that the dominant media for publication is grey literature, but with the prevalence of small planning-led evaluations this is perhaps to be expected (Figure 6.25). When records are filtered for just *excavations* grey literature drops considerably, although a number of works are adequately disseminated in this form. Nearly all of these reports are from small-scale works with limited results. Of these reports, small selections were primarily released online, either via OASIS or personal websites (Figure 6.25). The vast majority are from local societies and groups such as the Scarborough *Archaeological and Historical Society*, with little use of online dissemination by units.

The next most popular medium is major local journals; again this is not unexpected considering that for many years the two journals in question YAJ and *Transactions of the Scarborough Archaeological and Historical Society* were the default outputs of the respective societies. A breakdown of the frequency of publication in these journals shows that the heyday was the 1960s and 1970s (Figure 6.25). By the 1980s the use of journals drops in-line with the noted decrease in work (Chapter 6.4), and despite a brief renaissance in the mid-1990s has been used relatively rarely for publication of intrusive investigations. There is prevalence in North Yorkshire to publish as a monograph/collection of papers (Figure 6.25). One notable case is the collection of 12 sites excavated by Raymond Hayes in northeast Yorkshire, published latterly in 1988 (Wilson 1988). However, by far the most common type of monograph are those acting as a compendium of excavations at a particular locale, for example Catterick (Wilson 2002), Thornborough (Harding 2013), Piercebridge (Cool and Mason 2008) and of course the multiple Wharram Percy publications (Andrews and Milne 1979; Wrathmell 2012). This does of course fit the ‘clustered’ pattern of investigation noted several times in this chapter, with various phases of work on a medium/large (and sometimes very large) scale, producing levels of data and synthesis that require a larger-scale of publication. This is particularly true in the case of Catterick which required a major English Heritage funded campaign of post-excavation to ensure that disparate rescue, research and planning-led elements were adequately disseminated (Wilson *pers comm*).

Wharram Percy is a singular case in terms of the scale of work undertaken and publication strategy; with the latter based on a series of 13 substantial reports published between 1979 and 2012. Indeed, the rationale of the strategy employed was not only to provide relatively rapid publication, but also to build, re-assess and even overturn interpretations and synthesis as a working process (Wrathmell 2012). In contrast to Wharram, the publications from many sites are liable to be produced many years after the end of fieldwork (Figure 6.27). In

particular, there are significant numbers of records from the 1940s to 1960s that have only been published 30 years after the main event. As an aside, the role of monographs changes over time, at first acting as larger aggregators of backlog sites or Festschrift's, and latterly for the reporting of particular sites or schemes such as the A1(M), and as such the time of production drops significantly, although it is notable that many monographs still take over 10 years to produce (Figure 6.27). A similar trend may also be seen for journals; although the rates for publication in this medium can vary significantly there is generally a trend for more modern excavations to publish in a shorter time.

As highlighted in Chapter 6.5.2, there are clear cultures of publication in North Yorkshire, which are reflected in the outputs produced. Some of these trends are unsurprising, for example, academic organisations are more likely to publish in higher status monographs or national journals than in local equivalents (Figure 6.28). Conversely, local societies are more likely to report in their local journal but with relatively little reported elsewhere. The reporting habits of units are mixed; primarily we can see that units have a publication rate of 35% of all excavations. Of this number just half appear in traditional published formats, with very little reported in local journals. In addition, although it appears that publication via monograph is common, this number is skewed by the separate events published under the A1(M) scheme (Brown et al 2008). Together, this would indicate that particular sources are only an indication of a particular type of excavation and that there is no such thing as a single cohesive publication record in the county.

6.7 Analysis of unpublished excavations in North Yorkshire

Analysis of all unpublished excavations can be undertaken on a number of levels, and sheds light not only on numbers and significance, but also on *why* excavations may be inadequately disseminated. A breakdown of these figures over time (Figure 6.29) shows that there were serious gaps in publication for excavations undertaken for most of the post-war period up until the late 1980s. There is a clear symmetry here, indicating that: the more work that is undertaken, the less is published. At first glance, the PPG16 period seems to have less of a problem, however if we compensate for the large number of evaluations that are written up as grey literature the numbers look a little less healthy; the latter half of the 1990s has distinct peaks of sites that are not published in any form.

A breakdown of the types of unpublished excavation shows that the majority of such records are borne out of research and rescue (Figure 6.30). However, the reasons behind these trends are to some extent influenced by significance of the findings (Figure 6.31). Unpublished research excavations are split equally between larger-scale events focussed on monuments of perceived importance, and smaller-scale investigations of more local interest. It is remarkable

how many investigations of only local significance are completely unpublished, as one would perhaps expect these to be relatively simple to deal with. However, this relative simplicity and *lack of significance* may also be an indication that the sites were perhaps not deemed (at the time) to be of enough importance to write up. Conversely the figure for rescue excavations shows that the unpublished backlog is dominated by sites of regional significance. There is perhaps a consequence of the type of site being tackled under the banner of rescue, with those excavated more likely to be higher profile and deemed worthy of the effort to rescue by CEU.

This split between local and regional is reflected in the size and methodology of investigations, with the majority being small *Excavation – Part or Small scale event* (Figures 6.32 and 6.33). This generally reflects the kind of small-scale inquisitive type event undertaken by local societies and individuals, but also smaller techniques such as test pitting. Again, these may be the type of events with limited significance that are simply not deemed important enough to write up in a formal manner. An interesting trend is also the respective publication rates of larger excavations, with at first glance a considerable number of unpublished sites classified as medium and large excavations, including 38 open-area excavations. However a breakdown of respective publication rates for these larger samples shows that these represent only 23% and 31% of all sites of those scales excavated. Clearly, although size may be a factor, it is not defining. Large sites are generally longer, more organised and it may be suggested, better-funded campaigns of operation. Thus, some sort of written output is to be expected.

The largest numbers of unpublished sites appear to be linked to local societies and individuals. A breakdown of these by significance shows roughly equal numbers of local and regional importance for the former, but markedly more local sites for individuals (Figure 6.34 and 6.35). This supports the theory that many of the sites examined by small groups of people either external to, or as part of, a formal society, were often very small-scale affairs with limited or negative results. The situation is reversed for academics and national organisations: these classes of excavator seem to target the higher profile sites and — especially academics — struggle to publish the results. The same trend, albeit on a reduced scale, is also evident for museums, County Councils and units; with more important sites representing the biggest part of their backlogs.

Exactly what is remaining unpublished is extremely interesting; with notably high levels of Mesolithic, medieval and Bronze Age sites (Figure 6.36). When classified by significance and as a percentage of the number of sites of the same period it seems that these basic figures mask some interesting themes. For example, although there are only 21 unpublished Mesolithic sites, this represents over 60% of all such sites in the county, and that the majority of these are of regional or national importance. By contrast unpublished Iron Age and Roman sites only account for around 30% of the entire number of these period excavated, with regionally

important Roman sites only having a relatively small unpublished percentage (Figure 6.36). Another striking trend is that medieval and post-medieval sites of local significance have the lowest rates of publication across all periods excepting undated. This could be attributable to the fact that most excavations within urban centres will detect deposits or isolated features of those dates but without further context just sit as isolated finds that are not reported further.

When these results are filtered to just those of regional or national significance and classified according to the date and type of monument, the results show some very clear trends (Figures 6.37). At first glance, by far the largest group of unpublished sites are Bronze Age religious and funerary monuments. However when looked at in comparison to the total number of sites of this class this really represents just fewer than half the number ever excavated. In short, there may be a backlog of Bronze Age barrows but there are also considerable numbers that have been published. By contrast, the distribution of the unpublished funerary monuments (including those classed as Neolithic or Bronze Age) shows a distinct clustering towards the eastern edge of the North York Moors, suggesting a potential zone where the unpublished record outweighs the published (Figure 6.38). Thus the notions of core and periphery common in discussion of the region may well be represented in the available record of particular people and areas, perhaps impacting upon the balanced overview, or research potential of particular areas.

This significance by frequency approach helps identify types of site that may be worthy of closer examination. For example it is clear that Mesolithic sites have a relatively poor publication rate, surprising considering the high-profile of Star Carr. Analysis of the distribution of these excavations shows distinct concentrations in the Vale of Pickering and the southern Yorkshire Dales (Figure 6.39); on inspection these are from certain sites in the vicinity of Seamer Carr undertaken by the Vale of Pickering Research Trust, and a series of excavations near Malham Tarn by the University of Bradford. These are not small-scale works by local societies or individuals, but major campaigns by prominent academics. This raises some interesting questions about the apparent inability to publish these forms of site: they are not heavily stratified (as say urban areas) and are not usually extant monuments that have attracted generations of excavators (reliable and less reliable in their approach to publication). Is the lack of publication due to the nature of the findings, or is it the nature of the excavator?

6.8 Analysis of part published excavations in North Yorkshire

The figures for part published excavations show that the majority derive from planning-led events undertaken by units (Figures 6.40-6.43). However, just under a quarter come from rescue or research contexts, particularly the latter. On closer investigation these reflect a mixture of works by academics and local societies only ever reported via interim reports. The works of local societies are slightly different, and are usually modern excavations disseminated online as fieldwork reports, for example the Kingsdale Head excavations by Ingleborough Archaeology Group (Ingleborough Archaeology Group 2007). There are other more unusual cases of part published sites, for example a very early type of grey report from rescue excavations at Hagworm Hill (East Riding Archaeological Research Committee 1971), and more recently from the Time Team investigations at Malton Castle which omits most of the excavated record (see Gater 1997). There are also examples of larger sites where only facets have been published; for example the 1989-1990 excavation of the Neolithic/Bronze Age settlement and medieval hospital at St. Giles Hospital, Richmondshire. In this case, the prehistoric elements were fully published in the Durham Archaeological Journal, but at the time of writing the substantial medieval elements have not been addressed. There is also the singular case of the excavations at West Heselton which has had the early medieval elements fully published in a monograph, but the Romano-British and prehistoric elements remain unpublished.

The majority of part published sites derive from the planning process. Whilst most of these are produced by partial or open-area excavation there are also significant numbers from various types of evaluation (Figure 6.41), suggesting that quite often these exercises encounter substantial or interesting archaeological remains. A good example of this type of part published site is the presumed villa settlement identified from evaluation trenches along a pipeline corridor at West Lilling. The settlement was preliminarily dated to the 4th century AD, though late 2nd and 3rd century AD pottery was also recovered; early Anglo-Saxon activity was also recovered from the site (Hopkinson and Tyler 1999). Despite the best efforts of the authors, the results clearly require additional study outside of the confines of the mandatory evaluation reports; to quote the report, “This site is clearly one of regional, if not national importance, and it is the opinion of the authors that some degree of further work would be very rewarding” (*ibid*, 23). There is often a suspicion amongst many in the archaeological community that *evaluation* is sometimes used as a cheaper alternative to full preservation by record achieved through a larger excavation, especially where the nature of a site may not be clear (Chadwick 2000). Although it is not suggested that this was the case in West Lilling, the fact that no further work on a site is an indication that perhaps evaluation was a pragmatic agreement – a means to an end. Thus, not only is grey literature produced by

evaluations sometimes ill-equipped to deal with major sites, it is also prone (not on behalf of the authors) to be used as watered down attempt to achieve a form of preservation via record.

The majority of records derive from partial or open area excavations and it is clear that the county has a significant amount of regionally and occasionally nationally important sites inadequately published as grey literature (Figures 6.42 and 6.43). Analysis of the types of monument investigated shows that the majority of these records are related to Iron Age, Roman and medieval settlement, but with substantial levels of Bronze Age and early medieval funerary sites (Figure 6.44). However when examined as a proportion of all sites excavated and the rates of complete publication, other trends become apparent. Although there has been less excavation of Neolithic and early medieval funerary and ritual sites, the part published evidence actually outweighs the traditional published record (Figure 6.45). Similarly, medieval and post-medieval industrial sites seem to be reported more often in grey literature than in conventional publications. Conversely, although there are significant numbers of part published Bronze Age funerary sites, these are perhaps less statistically significant. The high levels of Iron Age and Roman¹⁷ settlement evidence roughly matches that of the published equivalent, and represents a significant corpus of information relating to these periods.

Distribution of these sites shows some interesting trends, namely the concentration of early medieval cemeteries in the Vale of Pickering and Whitby in the east of the county — an area with notable published examples (Houghton and Powlesland 1999) — but also the lack of published sites from the study area: for example Village Farm, Spofforth and Dixon Field, Masham (Figure 6.46). The distribution of Iron Age/Romano-British settlements is perhaps more dramatic in terms of numbers, but shows an even spread across the lowlands of the county (Figure 6.47). Even so there are interesting concentrations at either end of the Vale of Pickering at Malton and Scarborough at sites such as Manor Farm, Old Malton and Crossgates. There are also notable clusters of sites with no nearby published examples, such as in very north of the area and to the southwest of the Howardian Hills: all these sites lie along the course of the BP Teesside to Saltend Ethylene Pipeline (TSEP) excavated by MAP Archaeological Consultancy Limited (MAP). Similarly, the distribution of part published post-medieval industrial sites is reasonably dispersed, but with notable gaps in the publication of alum works at Slatwick and Ravenscar on the fringes of the Moors, or the Old Gang and Surrender smelt mills in the Dales (Figure 6.48).

In regard to who is creating grey literature, clearly all organisations working in the county have a backlog of important sites only written up in this medium (Figure 6.49). However

¹⁷ Due to restrictions in precise dating, many rural settlement sites have been recorded as Iron Age and Roman in this database. Thus there is a level of duplication in these figures.

there is a marked disparity based on the respective levels of work undertaken. Primarily this is based around the more active units in the area, namely, MAP, NAA, WYAS and YAT, though the backlogs of YAT and WYAS are at much reduced rates (Figure 6.49). The reasons behind this noticeable split are of course manifold, but one key factor could be the size of excavations. MAP and NAA have not only undertaken most of the work, but also the major share of the larger investigations (Figure 6.50). Even so nearly all organisations have backlogs for medium and large-scale works, indicating that the larger the work and the more information retrieved, the greater difficulty producing a complete publication. However the respective levels of larger projects undertaken by one organisation may well have implications for the amount of time and resources available for post-excavation.

It seems that the size of the organisation may also be a factor. At the time of writing WYAS and YAT are amongst the largest contractors operating in the Yorkshire region. Traditionally, they have also had an increased capacity to publish using in-house publications such as the *YAT Fascicules* and the *WYAS Occasional Series*. Thus these organisations may already have routes for publication in place, and an established and experienced post-excavation team. In addition the notion of some organisations becoming swamped by work can be given more credence by looking at the increase in the amount of work being undertaken over the PPG16 period. Looking at the year-by-year figures there is a dramatic rise in work in the late 1990s, after which the relative rate of successful dissemination falls (Figure 6.51). A small yet significant deviation from this trend is the successful publication of sites from 2003 and 2004, such as Marne Barracks by Archaeological Services University of Durham, and Market Place, Bedale by Pre-Construct Archaeology. Thus, are these trends a case of post-excavation tasks stacking up, or a consequence of the nature of securing post-excavation funding through the planning process, or even the respective capabilities of the organisations involved? The case studies presented in Chapter 6.9 explore these issues in more detail.

As a final note it is evident that throughout the whole of the country, and across all local authorities and national parks responsible for archaeological mitigation via the planning process, the lack of suitable publication is problematic (Figure 6.52). Thus it may be reasonable to enquire as to the root causes of this situation; is it the units undertaking the work, or does the role of planning authority have an overriding influence? Considering the low levels of publications being produced through commercial archaeology, has the requirement/need to publish been enforced? Or in the case of North Yorkshire *can* it be enforced?

6.9 Case studies

6.9.1 Overview of case studies

The following section examines in detail the factors that have influenced the success of publication of excavations in North Yorkshire. Case studies have been chosen to provide further qualitative evidence for particular issues that were highlighted in preceding sections (see Figure 6.53 for location of sites).

Part published sites from planning-led investigations

Chapter 6.8 identified the large number of sites existing as part published grey literature produced through planning-led mitigation strategies. Examples have been chosen to include range of periods, but particularly those that dominated the grey literature such as early medieval cemeteries and Romano-British settlements. Sites have also been chosen due to the involvement of NAA and MAP units, identified as the producers of much of this grey literature. A range of sites have been chosen from different years and scales of excavation but with an emphasis on larger sites.

1. Crossgates, Scarborough: excavation of an Iron Age/Roman/early medieval settlement by BUFAU in 1989.
2. Park Hill, Osgodby, Field Work Area B and Former Play Area (Scarborough Integrated Transport Scheme): excavation of Iron Age/Roman and medieval settlement in 2007 by NAA.
3. Village Farm, Spofforth: excavation of an early medieval cemetery in 2001 by NAA.
4. West Lodge, Malton: excavation of a Roman settlement in 1992 by MAP
5. Wath Quarry, Hovingham: excavation of a late Neolithic/Bronze Age hengi-form monument and burial in 2000 by MAP.
6. Firs Farm, Healey: excavation of late medieval pottery production site and post-medieval charcoal burning platform in 2002 by NAA in 2002.
7. Ripon City Centre Improvement, Market Square: excavation of medieval settlement in 2001 by University of Durham Archaeological Services.

Rescue excavations

The broad analysis in Chapter 6.7 highlighted a large number of unpublished rescue excavations from the 1960s and 1970s, from a range of rural and urban contexts. Sites have also been selected to examine the high proportion of unreported medieval sites.

8. St Mary's Church, Scarborough: excavation of a medieval church and burials in 1970 by R.A. Varley of Scarborough Museum.

9. Ribblehead: excavation of a 'Viking' period rural homestead in 1975 by Alan King.
10. Oxclose Farm, Pockley: excavation of a Neolithic barrow by Tony Pacitto on behalf of the Ministry of Works in 1969
11. Bedern Bank, Ripon: excavation of medieval occupation and industrial site in 1983-5 by the CEU.

Excavations by academics

A large number of works undertaken by academics have been identified as a major source of unpublished records (Chapter 6.7). Examples have been chosen to include Mesolithic and post-medieval industrial sites, as well as an important excavation of a parish church.

12. Malham Tarn: excavation of a Mesolithic occupation site in 1999-2001 by University of Bradford.
13. Stingamires Gill: excavation of a post-medieval ore roasting site and furnace in 2004 by University of Bradford.
14. Kellington: excavation of a medieval church in 1990/1991 by University of York.

6.9.2 Methodology

For each case study, the background and results of the excavation will be briefly introduced, followed by a short analysis of surviving publications, reports, notes and archival work to ascertain the particular factors that affected publication status. Primary investigation involved consultation of all three HERs, including index records, notes and grey literature reports. In addition and where applicable, archival information is also incorporated. To provide a counter-balance to the opinions of the author, this research was augmented with interviews undertaken with personnel involved with the excavation, or those with expert knowledge of the event or area such as HER staff, researchers and present and former County Archaeologists (see Chapter 4.9). A full list of individuals consulted and dates of communication is provided in Appendix 5. In the case of these personal communications, permission to use citations and direct quotes has been provided by the relevant individual, and have thus been included where beneficial.

6.9.3 Crossgates, Scarborough: excavation by BUFAU 1989

HER Event ID	ENY688	Status	Unpublished
Excavation Index	1035024	Context	Rural
Main output	Interim report	Type/Excavator	Planning/Unit

The excavation at Crossgates was commissioned and funded by Tussac Estates Ltd (now Persimmon) prior to development of the Scarborough Business Park (Leach 1989, 1). Despite pre-dating the implementation of PPG16 the case for archaeological mitigation as a requirement of the development was successfully negotiated by North Yorkshire County Council (Lee *pers comm*), the archaeological importance of the area being well-known through previous excavation of Romano-British and Anglo-Saxon settlement remains destroyed by gravel quarrying in the 1950s (Leach 1989, 1). From reading the acknowledgements section of the report, the work still has the feel of a classic rescue excavation, involving not only a core of contract archaeologists from BUFAU, but also members of the *Scarborough and District Archaeological Society* and a number of post-graduate students from the University of Birmingham (*ibid*). The involvement of BUFAU was a consequence of a lack of any established regional unit at the time and a growing partnership between members of BUFAU and the Society (Pearson *pers comm*).

The interim report notes that the excavation took place over four weeks and although an area roughly 100x70m was opened up, this was not uniformly excavated to natural – meaning that only a portion of the site was fully excavated (Leach 1989, 1-2). Nonetheless, the results are significant, representing the remains of a multi-phase settlement, primarily of Romano-British date, but with evidence of a later Anglian phase (*ibid*). The report recommends the formulation of a full post-excavation programme up to and including deposition of the archive and the submission of a fully researched report for publication (*ibid*). The interim report itself has extremely limited discussion of the evidence, and a rudimentary plan and location map but with no further drawn evidence and no discussion or analysis of the artefactual evidence.

Subsequent publication never took place; the County Archaeologist at the time of excavation recalls that, despite the success in implementing the archaeological mitigation, publication and post-excavation costs were considered a stage too far (Lee *pers comm*). However, preliminary post-excavation work was undertaken by BUFAU staff shortly after the end of the excavations; these include a short report on the spot dating of pottery and artefacts and a preliminary phasing of contexts. Unfortunately, upon the site director (Peter Leach) leaving the organisation in the mid-1990s, further work on archive and post-excavation was effectively put on hold. The original finds archive was later deposited at Scarborough Museum, although the paper archive still resides at the University of Birmingham though it is anticipated to be transferred to Scarborough Museum upon completion of a larger organisational archives and post-excavation project (Paul *pers comm*). As an aside, a small amount of post-excavation assessment was undertaken by the author as part of an MA in Archaeological Practice in 2002. The resulting post-excavation assessment, phased plans and matrix were however not written up to any publishable standard, and only reside as paper versions (and CD-ROM) within the archive at Birmingham.

It is interesting to compare the fate of this excavation to that of other Iron Age/Roman/early medieval settlement sites investigated in the vicinity. As Whyman notes (2001, 305), the area has seen frequent rescue excavations by local societies from the late 1940s through to the early 1980s. Despite the rescue nature of this work all key finds have been reported as articles within local journals (Mitchelson 1950; Pye 1976; 1983; Rutter and Duke 1958). This is in stark contrast to the fate of not only the 1989 excavations, but also subsequent works engendered by PPG16 as the Crossgates area has been developed as a dormitory and retail complex for Scarborough and the other East Yorkshire coastal towns. These include seasons of evaluation and excavation in 1990-1 and 1998-2001 undertaken by MAP, colloquially known as either the Greenacres sites or Crossgates I-III (MAP Archaeological Consultancy 1998). The latter seasons of work uncovered extensive remains of a Romano-British settlement including a stone building tentatively identified as a villa (MAP Archaeological Consultancy 1999). However, all of these sites are only written up as fairly low quality grey literature.

6.9.4 Park Hill, Osgodby (Scarborough Integrated Transport Scheme): excavation by NAA 2007

HER Event ID	ENY4314	Status	Part published
Excavation Index	1525088	Context	Rural
Main output	Grey report	Type/Excavator	Planning/Unit

The excavation at Park Hill was part of a major programme of investigations undertaken in advance of road improvements to the A165 south of Scarborough – together known as the Scarborough Integrated Transport Scheme (SITS) – funded by the North Yorkshire County Council (NYCC) Highways Department and undertaken 2006-7. As the scheme was undertaken by the Highways Department, planning permission was not required, although a scheme of works was devised in conjunction with the planning authority, informed by a series of impact assessments. This phase of desk-based and field evaluation highlighted a number of sites of significance that would be threatened by the development, and in several cases recommended excavation as a means of preservation by record.

The area of excavation at Park Hill covered a roughly linear strip measuring circa 700m in length following the course of the planned road, and varying between 20-50m in width (Wood 2007, 1-2). The middle of this area became a focus for intensive excavation, and uncovered extensive remains of a previously unknown Iron Age or Romano-British settlement and evidence of occupation associated with the medieval village of Osgodby (*ibid*). The earlier phase comprised a total of six ring gullies, representing probable roundhouses, three of which

contained handmade pottery. The number of potential structures and their distribution suggests either an extensive settlement, or several phases of occupation. Six medieval buildings were excavated, aligned on substantial, sunken roadways, which divided the excavated area into three major zones. The final report concludes that "The results of these excavations have the potential to greatly enhance our knowledge and understanding of both Iron Age/Romano-British, and medieval settlement in this area of North Yorkshire." (*ibid*, 10).

At the time of writing the only output for this excavation is the post-excavation report located in the HER which offers a basic overview of the findings with site plans, matrix, context list and a small number of photographs, but with no serious discussion of the stratigraphic sequence or finds analysis. The original Written Scheme of Investigation (WSI) written by NAA and NYCC, aware of the nature of the sites to be excavated in advance of the road, required a publication in YAJ upon completion of the works (Falkingham *pers comm*). However, it became apparent that the results for the entire scheme would be too long to be published as a single journal article. Consequently the desired outcome was a summary publication in YAJ with the full analysis reports made available online via the ADS, with Digital Object Identifiers signposted from the article. At the time of writing the county archaeologist has yet to hear back regarding these plans (Falkingham *pers comm*).

An initial inquiry to NAA revealed that the organisation are currently completing the post-excavation analyses for this site, along with two other sites investigated under the auspices of the Transport scheme: a complex Neolithic and early Bronze Age barrow and kerbed cairn at Mill Lane, Cayton Bay; and a late Iron Age settlement at Tenant's Cliff (Fraser *pers comm*). The current plan is for all of these sites to be published as a single monograph with the provisional title of *Settlement and burial on the North Yorkshire coast* (*ibid*). Further inquiries to NAA on the initial plan to publish in YAJ and via the ADS, as well as progress on the post-excavation, went unanswered.

6.9.5 Village Farm, Spofforth: excavation by NAA 2001

HER Event ID	ENY4314	Status	Part published
Excavation Index	1525088	Context	Rural
Main output	Grey report	Type/Excavator	Planning/Unit

In June 2001, workmen cutting foundations for a new housing development on the former site of Village Farm at Spofforth, North Yorkshire uncovered human remains within service trenches. Work was halted immediately and the planning authority informed. An evaluation confirmed the existence of a previously unknown inhumation cemetery dating to the late 8th

and 9th centuries AD. NAA were invited to undertake an emergency excavation of the site which later proved to contain 169 articulated burials as well as a considerable amount of charnel representing the disarticulated remains of a further 250 individuals (Johnson 2002, 1). The report makes the significance of the site clear:

“Little is known of the pre-Conquest period in this area and it is clear that the contribution that any further analysis of the excavated record of this site would make to the existing corpus of knowledge is potentially invaluable” (*ibid*, 17).

The final unpublished report lodged with the HER is an overview only, with no detailed presentation of results or analysis of the human remains or wider context. The report concludes with a recommendation for publication in YAJ or *Medieval Archaeology*:

“On the basis of the available funding a project design should be formulated to detail the further analysis recommended in order to address the issues identified by the post excavation assessment, with a view to the publication of the results of the further work on the significant archaeological resource recovered during the cemetery excavations at Spofforth” (*ibid*, 27).

However, as the excavation was on a site with previously no planning conditions in place there has been no obligation for the developer (Miller Homes) to fund post-excavation (Falkingham *pers comm*), and no project design has been located. Upon further enquiry with NAA it seems that a degree of post-excavation has taken place, with a view to a self-published monograph, provisionally titled *Rites of passage: Cemetery Excavations at Village Farm, Spofforth, North Yorkshire* (Fraser *pers comm*). This publication will apparently include further detailed finds and human bone analysis, as well as comparative studies and final evaluation of the results in relation to a contemporary regional and national context (*ibid*). The completion date for this publication is currently unclear. Further investigation has revealed that osteoarchaeological analysis has taken place, under the aegis of an AHRC grant to a PhD student at the University of Sheffield, and has produced an unpublished report for NAA, the PhD thesis itself and a subsequent paper in the *International Journal of Osteoarchaeology* (Craig 2008; 2010; 2013). Thus an important facet of the post-excavation work has effectively been funded by an academic grant.

6.9.6 West Lodge, Malton: excavation by MAP 1992

HER Event ID	ENY6131	Status	Part published
Excavation Index	1036058	Context	Rural

Main output	Grey report	Type/Excavator	Planning/Unit
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The excavations at West Lodge were undertaken between April and June 1992 and funded by Persimmon Homes (Yorkshire) Ltd. Attention had originally been drawn to the archaeological significance of the site through Planning Control at the County Council. A desk-top study, followed by a geophysical survey undertaken by the Landscape Research Trust had identified areas of interest. The archaeological potential of these areas was confirmed by an evaluation in the winter of 1991-2, the results of which confirmed the existence of a Roman occupation site (Stephens 1992). The evaluation thus enabled the formulation of a research design to discharge the obligations of the developer in regard to the archaeological deposits at the site, namely further excavation to provide additional information on the form, date and function, and to recover environmental samples. However no mention is made of post-excavation or publication requirements (*ibid*). Two main areas were investigated, the first area measured 30m north-west to south-east and 16m north-east to south-west. The second area measured 3m east to west and 10m north to south. The excavations confirmed the existence of a Romano-British enclosure and trackway (with surviving wheel ruts), but confirmed the absence of any further funerary use of the site. The author of the report explored the possibility of later Bronze Age/Iron Age antecedents, citing equivalent sites in the area (*ibid*, 26).

The final output was an unpublished report, which includes a description and analysis of stratigraphy, with some site drawings; the report also contains short specialist appraisals of ceramic, human and molluscan remains. No mention is made of any further publication plans. Upon enquiry with North Yorkshire County Council it seems from the surviving records that there was never any plan for further publication, although whether this is due to a lack of requirement in the original project design, or the relative significance of the results is unclear (Falkingham *pers comm*). The significance of the West Lodge excavations is an interesting case study; the relative lack of evidence would perhaps preclude it from meriting a larger publication. Conversely, the small size of the archive would not require substantial post-excavation work to provide a level of synthesis and understanding of the results in the original report. Thus West Lodge may be an example of a site falling between two stools, not important enough to merit further conventional (and thus expensive) publication, but equally of perhaps not enough interest to warrant more post-excavation work. It may also be suggested, but not confirmed that the lack of any serious post-excavation work as reflected in the final report is a consequence of the early date of the project. Occurring early after the initial implementation of PPG16, there seems to have been less emphasis on post-excavation, than upon ensuring the excavation itself.

6.9.7 Wath Quarry, Hovingham: excavation by MAP 2000

HER Event ID	ENY123	Status	Part published
Excavation Index	1339241	Context	Rural
Main output	Grey report	Type/Excavator	Planning/Unit

The excavation at Wath Quarry followed a desk-based evaluation of a proposed extension to the limestone quarry, which highlighted a number of undated but potentially Roman cropmark features in the vicinity. An archaeological watching brief was maintained during topsoil stripping, and revealed a circular ditched feature of prehistoric date, the obvious importance of which led to a full excavation. This was carried out by MAP in September and October 2000, with the full cooperation and funding by the quarry operators, Lafarge Redland, and to satisfy the archaeological condition attached to the planning consent (MAP Archaeological Consultancy 2003).

The excavation was relatively small, roughly 35 by 20 metres and focussed on the circular monument and an adjacent cluster of features thought to be pits. The feature was not a conventional 'ring ditch' or round barrow, and was composed of six discontinuous ditch segments, rather than an uninterrupted ditch. Excavation of the ditch recovered pottery and flint tools and flakes, mainly from the upper fills; the finds assemblage dating mainly to the late 4th to the late 3rd millennia BC. A central grave contained the skeleton of an adult male, who had been buried in a crouched position on his right side. Three shallow pits were located outside the western circuit of the ring-ditch. These contained quantities of pottery, worked flints and animal bone, and were domestic in character. The monument has been classed as a "hengiform barrow", one of a relatively small number of such sites in the region (*ibid*, 6). The importance of the site is increased due to the presence of associated Neolithic pits on the western side of the ring-ditch. These features represent essentially domestic rather than funerary activity (*ibid*, 10).

The final report includes a small number of drawn records and photographs, with an initial appraisal of environmental remains by staff of the University of York, as well as short reports on the human remains and a radiocarbon date supplied by the Scottish Universities Research and Reactor Centre. Thus most of the elements of a complete publication are present, excepting an attempt to pull the disparate pieces of the report together towards any interpretation or understanding of the site. The lack of any subsequent report, or indeed the nature of post-excavation funding or provision is not mentioned in the report, and further enquiries to MAP have revealed little or no information regarding the context from those involved at the time of excavation. Although it cannot be confirmed, it may be suggested that

the identification of the monument during the watching brief, despite leading to excavation, meant that the planning condition could still be signed off upon completion of the work. The report does not follow the format of a post-excavation assessment, and is quite simply the only expected record, regardless of the interest and significance of the site.

6.9.8 Firs Farm, Healey: excavation by NAA 2002

HER Event ID	ENY810	Status	Part published
Excavation Index	Not recorded	Context	Rural
Main output	Grey report	Type/Excavator	Planning/Unit

The excavation was part of a larger scheme of works along the route of the Agra, Ilton and Witton Moor Pipeline undertaken by NAA on behalf of Yorkshire Water Services Ltd. As part of the planning application, and under the Water Act of 1989 which obliges companies to consider of the impacts of pipelines to the archaeological resource, NAA were contracted to undertake a Cultural Heritage Assessment of the route (NAA 2002a). The pipeline was thought to have a high potential for impact on the site of several suspected monuments, and thus the Assessment recommended mitigation, an extensive scheme of watching briefs be undertaken along 25% of the pipeline route length (*ibid*, 8-10). These schemes included the capacity for archaeologically important areas identified to be excavated and recorded, with any excavation producing a post-excavation report and:

“If appropriate a full report ... including full specialist analysis, within six months of the completion of the assessment report and published in an appropriate national or regional journal The need for such a report will be made in consultation with the local planning authority's archaeological advisor” (*ibid*, 12).

During this ensuing watching brief concentrations of previously unrecorded archaeological remains were encountered adjacent to Firs Farm at the western end of Healey village. These comprised a probable 18th-century charcoal burning platform, and the remains of a previously unknown late medieval pottery manufacturing site (NAA 2002b, 1-2). A separate methods statement was prepared and agreed with Yorkshire Water and North Yorkshire County Council and a five-week programme of excavation was undertaken in the late summer of 2002 (*ibid*).

In line with the methodology statement, NAA composed a post-excavation assessment produced to MAP2 phase 3, which included preliminary analysis of the site archive and specialist finds, along with a summary of the significance of this assessment. The report

identifies both sites as being of regional importance, particularly the previously unknown pottery manufacturing site which was identified as meeting specific English Heritage research priorities, particularly the transition from medieval to post-medieval periods. Of further interest was the potential relationship of the pottery to the nearby monasteries of Jervaulx and Fountains Abbey. To quote the report:

“There is considerable potential for further work on the pottery assemblage relating to the Healey manufactory. The aim of such work would be to provide a full descriptive characterisation of the physical and technological characteristics of the pottery produced. Such a characterisation would be the first to be undertaken for waster material from the region and would enable the pottery to be recognised on other sites and therefore its distribution area to be recognised. The analysis would therefore serve as a datum against which further discoveries in the region could be studied (NAA 2007, 29).

The report goes on to recommend further analysis of the site archive combined with the more detailed specialist investigations to create a final integrated post-excavation report presenting an interpretation of the site record. A programme of post-excavation analysis is outlined, with the end-product being a publication in an appropriate regional journal (*ibid*, 31). However, at the time of writing, neither of these has been produced.

No further information about the post-excavation process was forthcoming from the excavator, and it is unclear from surviving records at the County Council as to whether additional funds were supplied by Yorkshire Water (Falkingham *pers comm*). However, as the pipeline was a form of permitted development (Hawkins *pers comm*), with mitigation a negotiation rather than a consequence of planning permission it seems there was little leverage that could be applied to Yorkshire Water for the additional post-excavation. In addition, it may be observed that any momentum the project may have had could have been diluted by the delay of five years between the end of excavation and production of the post-excavation report. By this point, not only had the excavation been completed, but the pipeline and associated reservoirs had been constructed. Although funds were provided in 2002 to cover the excavation at Firs Farm there seems to have been no recourse to force Yorkshire Water to re-visit suggested publication requirements so long after the end of the project. Indeed, the Cultural Heritage Assessment and Methods statement highlight the need for archaeologists to be off-site at the earliest opportunity (presumably so as not to delay the pipeline). Although all documents produced are very clear as to the post-excavation and publication requirements, there is no stipulation *when* a post-excavation report should have been produced. It may simply be a case of Yorkshire Water having felt their role ended at the

end of the excavation, and thus choosing to ignore the recommendations for further work after such a relatively long hiatus.

6.9.9 Ripon City Centre Improvement, Market Square: excavation by University of Durham Archaeological Services 2001

HER Event ID	ENY356	Status	Part published
Excavation Index	1409350	Context	Urban
Main output	Grey report	Type/Excavator	Planning/Unit

The works preceded re-development of a section of the market place in Ripon town centre. University of Durham Archaeological Services were commissioned by Mouchel, under contract to North Yorkshire County Council, to undertake an excavation to a specification supplied by the Council. The primary objective of the excavation (and subsequent watching brief) was to excavate and record archaeological remains which would otherwise be destroyed by the development. The excavation itself covered an area roughly 25 metres square, and was undertaken between 26th March and 27th April (Carne 2001b, 3).

A brief four-page report providing a summary of findings was produced immediately after cessation of archaeological works, followed by a full assessment report (Carne 2001a; 2001b). The assessment report consists of a Data Structure Report (DSR) and assessment reports for each category of artefacts and ecofacts encountered. It also includes the outline for a scheme of works for full analysis leading to publication. As the report states:

“An exceptional quality and quantity of archaeological deposits were encountered over the northern part of the site. These deposits were unexpected, not having been identified during the evaluation. Preservation of artefacts and ecofacts was excellent because of the anaerobic conditions present. Significant archaeological data was collected relating to ceramic, faunal and microfossil remains. The presence of cobbled surfaces meant that the majority of material was from stratigraphically secure contexts” (Carne 2001b, 1).

The report concludes that, due to the regional significance of the site, particularly in understanding material culture for an urban area, evidence for trades, and comparing the archaeological evidence for development of the site in contrast to previous hypotheses, further assessment and publication was required. A full breakdown of the publication and associated costs is supplied in the assessment report. The initial costs specified in the assessment report

were over £10,000, with over half of this for archaeobotanical and faunal analysis and radiocarbon dating (Carne 2001b, 24-25).

At the time of writing no such publication has been produced, although on enquiry with the excavator it transpires that the analysis phase was commissioned 10 years later, upon application by the unit to North Yorkshire County Council for funds (Carne *pers comm*). The delay in publication, and the fact that final funds were eventually provided by the Council is an interesting case. It seems that the delay was due to the cost of proposed publication, which at the time the report was issued was felt by a previous Planning Archaeologist to be too large to be obtained from the developer (North Yorkshire County Council) (Falkingham *pers comm*). Thus the planning condition was discharged and no further work was undertaken. Subsequently a new Planning Archaeologist was able to re-allocate council underspends to fund a small number of backlog post-excavation projects such as Market Square. At the time of writing a publication has been submitted to the YAJ, which is understood to be waiting in line for inclusion in a forthcoming volume (*ibid*).

Although this project is likely to reach a suitable level of publication the lessons are clear. Without the support of the planning authority, even well-planned, interesting and informative publication strategies such as that of Market Square will simply not proceed. Quite why the County Council could not produce the sum cannot be confirmed, perhaps the costs represented a significant proportion of the development, or perhaps archaeological considerations were not deemed to be of importance. Regardless of the reason for the initial refusal, the fact that Market Square has eventually progressed is due not only to the quality of the original assessment, but also the tenacity of the original excavator and the actions of the Planning Archaeologist who released the additional funds. In contrast to other case studies presented here this may be highlighted as examples of positive human factors that influence the fate of archaeological projects.

6.9.10 *St Mary's Church, Scarborough: excavation by R. A. Varley of Scarborough Museum 1970*

HER Event ID	Not recorded	Status	Unpublished
Excavation Index	636201	Context	Urban
Main output	Note in Local Journal	Type/Excavator	Rescue/Museum

The excavations at St. Mary's Church were undertaken by R.A. Varley, an assistant at the Scarborough Museum, during restoration works. The investigations uncovered the remains of a small rectangular building and six burials (Varley 1970, 57). The initial appraisal was that

this was the remains of an earlier church, provisionally dated to the early twelfth century (*ibid*). The main output of this event is a short description of works in the *Transactions of the Scarborough Archaeological and Historical Society*, although equivalent notes are recorded in the CBA Regional roundup, YAJ and *Medieval Archaeology*. No further publication has been forthcoming.

The lack of publication is hard to ascertain; there is no archive in the Scarborough Museum and thus no indication that any post-excavation work had been undertaken. On further enquiry it seems that the excavator left Scarborough in the early 1970s, and the fate of this archive is unknown (Pearson *pers comm*). The lack of archive is an important factor, as other unpublished sites from Scarborough have been, at least partially, incorporated into a later synthesis of the archaeology of the town undertaken by Pearson (2005). The significance of this site has been the potential for the remains to represent a phase of settlement in Scarborough that pre-dates the development of the town after ownership passed to the Crown in 1155 (Pearson 2005, 28). Indeed, a later analysis of all the existing evidence for Scarborough points to such a settlement on the headland associated with the castle. However, as Pearson notes:

“It is impossible to be certain of the date and purpose of the timber structure excavated below the floor of the nave in 1970 ... the excavation report has never been published and so it is impossible to reach any firm conclusions about the date or purpose of the building (2005, 41).

It is thus, reasonable to conclude that a small yet vital part of the evidence base for early medieval Scarborough is missing. Indeed, looking at the distribution of all excavations from Scarborough, the lack of publication from St Mary’s is a notable gap in the area around the headland to the southwest of the Castle in the vicinity of the old town, which is in stark contrast to the abundance of adequately published material for the main medieval settlement.

6.9.11 Ribblehead: excavation by Alan King 1975

HER Event ID	EYD4343	Status	Unpublished
Excavation Index	635308	Context	Rural
Main output	Short article in edited volume	Type/Excavator	Rescue/National body

Referred to in some sources as Gauber High Pasture, the excavated area at Ribblehead was originally within an area with planning consent for limestone quarrying (nearby Ribblehead

Quarry). In 1974 a training excavation was undertaken with funding from the Carnegie Trust UK to establish the nature and date of this site. Subsequently, in the summers of 1975 and 1976, the excavation became a rescue project financed by the Department of the Environment, with the support of North Yorkshire County Council (King 1978a, 21). The excavations revealed a Viking period farmstead comprising three rectangular stone buildings and enclosures. At the time of excavation this site was unique in the Yorkshire Dales (*ibid*).

The only available written sources are a short entry in a CBA Research Report on Viking age York and Northern England (*ibid*), and a short overview in an edition of *Current Archaeology* (King 1978b). Other small notes can be found in YAJ, the archaeological register of the CBA and the gazetteer of the Medieval Village Research Group. The short report in the CBA volume contains a brief appraisal of the evidence, with a small number of drawings. Both this, and a myriad of other sources highlight the significance of the site in understanding 'Viking' age settlement of the area. Upon consultation with the Yorkshire Dales National Park Authority it has become apparent that a full publication was always planned, but never ultimately produced (White *pers comm*). Indeed, when questioned, the Park's Authority archaeologist highlighted the fact that Ribblesdale was not alone in this regard, and that a lack of any report was a common feature of many projects in the Dales area, some of which were also undertaken by King (*ibid*). A further enquiry to the excavator received no response, although it has been confirmed that Mr King still holds the archive and most of the finds (*ibid*). An interesting addendum to the fate of this site was the creation of an interactive virtual tour of a 3D reconstruction of the main building, hosted on the BBC website.¹⁸ Unfortunately, the web page no longer supports the virtual tour, and any explanation of who created the package and for what purpose remains unclear.

The significance of the lack of further publication is an interesting matter. On one hand, some may see it as an important gap in the knowledge base for pre-Norman Conquest settlement in north England (Richards 2002). On the other, it may be argued that in the intervening 40 years since excavation, more recent work in the area has superseded Ribblesdale. One particular area is Upper Paster, Horton in Ribblesdale which has seen intensive survey and excavation by David Johnson and the Ingleborough Archaeology Group (Ingleborough Archaeology Group 2012). In this case, structures similar to those at Ribblesdale have been excavated and have been dated to an earlier Anglo-Saxon phase of settlement (*ibid*). The inability to compare the sites and the excavator's arguments for a Viking date has been a considerable hindrance to synthesis (Johnson *pers comm*).

¹⁸ http://www.bbc.co.uk/history/ancient/vikings/launch_vt_viking_farm.shtml [Accessed 28/05/2015]

6.9.12 Oxclose Farm, Pockley: excavation by Tony Pacitto on behalf of the Ministry of Works 1969

HER Event ID	ENY5453	Status	Unpublished
Excavation Index	635721	Context	Rural
Main output	Small note in Journal	Type/Excavator	Rescue/National body

Aside from the local and national event records, the main output for this excavation is a brief description in the briefings of the excavations of the Ministry of Works (Pacitto 1971, 15), and latterly in lists of excavated barrows in the *Prehistoric and Roman Archaeology of North-East Yorkshire* (Spratt 1993, 96) and Margaret Smith's (1994, 111) *Excavated Bronze Age Burial Mounds of North-East Yorkshire*. All of these sources relate that the excavation was actually one of two barrows excavated that year (Pockley 1 and Pockley 2) undertaken by Pacitto under the auspices of the Ministry of Works, with some support from both the *Helmsley Historic Society* and *Scarborough and District Archaeological Society*. Funding for the excavations was obtained from the Ministry of Works due to the ongoing development of land in the area for both mineral extraction and forestry plantation which were presumed to be threatening the monument (Pacitto 1971, 15). The excavations uncovered a central grave which held the remains of an inhumation in a wooden coffin. A pottery food vessel was found in association with this burial. Below the mound, on the buried ground surface, traces of Neolithic occupation was found which included post-holes and pits containing Grimston Ware which have tentatively been identified as the remains of Neolithic settlement (*ibid*). Without drawn evidence it is difficult to establish the scale of these works, although from written accounts they do not appear to have been extensive, focussing mainly on the central portion of the monument.

Unfortunately, with the death of Pacitto in 2003, the exact reasons for the lack of publication remain unclear, although it may be suggested that, as with a large number of other contemporary Ministry funded rescue excavations, funds were only preliminarily made to cover excavation costs, not post-excavation and publication (see Butcher and Garwood 1994). Pacitto was also excavating constantly over this period, primarily on a range of rescue sites across the north of England such as Roulston Scar, Brougham and Ingleby Greenhow (Bell and Cool 2004; Butcher and Garwood 1994; Pacitto 1970); a situation that could well have led to a backlog of work requiring the attention of just one individual. It does seem that efforts to publish the excavations were made by the director, but that the post-excavation and publication process was complicated by access to the archive, as a peer of Pacitto's recalls:

“I was asked to write up the pottery from this dig by Tony and I have a copy of his draft report. Unfortunately the excavation finds went to the British Museum and were not available for many years ("conservation"). When I did get access I drew one Beaker and two Food Vessels, a third Food Vessel was missing. There were Neolithic sherds, jet necklace and buttons, flints, at that time still in finds packets and unwashed... since my visit there site finds have been conserved and accessioned ...What happened to the site drawings I do not know.” (Manby *pers comm*)

Upon further investigation, it seems that the paper archive comprising notes and site drawings and photographs have been deposited within the Historic England Archive under project codes PRN-1702-PRN-1710. In addition, photographs and descriptions of some of the finds deposited within the British Museum are available to view online.

The significance of this small excavation is not to be underestimated; it was clearly important enough at the time to warrant funding by the Ministry of Works. In addition contemporary accounts and peers highlight the fact that Pacitto was a skilled excavator (Pearson *pers comm*), and, although the excavation was primarily concerned with the primary burial, there was enough attention paid to the non-funerary stratigraphic deposits to discern a pre-Barrow phase. Arguably, this sets this excavation apart from the barrow excavations of previous decades which can often appear solely concerned with the funerary remains themselves, with a lack of understanding of context.

6.9.13 Bedern Bank, Ripon: excavation by CEU 1983-5

HER Event ID	ENY5608	Status	Unpublished
Excavation Index	654131	Context	Urban
Main output	Small note in Journal	Type/Excavator	Rescue/National body

The excavation at Bedern Bank was part of a series of rescue works in Ripon undertaken by the CEU. The need for rescue work at Bedern was identified by Rosemary Cramp, who noted that a building scheme on the site close to the Minster would likely impact upon archaeological remains (Perring *pers comm*). The CEU works were directed by Dominic Perring, who was employed on a fixed term contract to supervise the works (*ibid*).

The excavations covered an area largely occupied in the early medieval period by a meander of the River Skell, and uncovered extensive medieval remains consisting of management and drainage of the river channel, and use of the reclaimed land for building plots and a tanning

industry, the earliest of which possibly dating to the 14th century. Notes in *Medieval Archaeology* (Youngs *et al* 1986, 173), with an equivalent in YAJ, make it clear that this is a significant site for understanding the settlement and industry of the medieval town. Aside from these journal notes, no further outputs have been located. The post-excavation history of Bedern Bank (and the earlier site at St Agnes Gate) have been related in detail by the Director, and are worth including in full:

“On completion of work I requested and obtained time to prepare a full archive report on the work. This was pre MAP2, but we were working to the Frere recommendations in which the immediate outcome of post-excavation work was a detailed archive report (Level III) unsupported by assessment of potential. I prepared a full stratigraphic narrative, part-informed by ongoing work on the identification and dating of pottery and animal bone (we had a finds team on the excavation and these sorts of identifications were undertaken as work progressed). My reports on the stratigraphic/structural evidence for the two main excavations were done and dusted by 1985-6. Other specialist reports were commissioned by the CEU manager as informed by my provisional phasing. By the time these reports were drawn together I was gone, and there was no-one left standing within the CEU (which was largely wound-down in the late 80s with the shift to developer funding) to take ownership of the project. The archive was stored at Fort Cumberland, and the PX left as a pending project orphaned by the staff changes of the period.” (Perring *pers comm*).

After a gap of almost a decade, Perring was approached by English Heritage to prepare a publication, as part of a wider audit of CEU projects:

“I agreed, and tried to reverse engineer the paperwork then available to better fit the needs of MAP2 ... On the back of this I presented a proposal for funding to EH, who commissioned the works through the University of York where I then worked. Most of the agreed works were then undertaken and revised specialist and stratigraphic reports were prepared. These were completed in or around 2002 when I moved from York to UCL. At the time I only needed to prepare/revise the discussion and introduction, and supervise the preparation of illustrations. The work-programme had overrun a little, and York was left holding a budget that was insufficient to complete this work. This budget was, however, transferred to UCL. I made a start on things in 2006, but soon ran out of time. I now still hold a ring-fenced sum to finish the report. I probably need about 15 clear working days to redraft texts, and another 5 days to supervise illustration. I would then need about 15 days of an illustrator, and 5 days of an editor” (Perring *pers comm*).

Thus although an element of personal responsibility is admitted by the excavator, the temporary nature of CEU employment (especially post-excavation) is a major factor. The lack of consistency in personnel thus negates any advantages that CEU funding and provision of post-excavation resources provided. This situation has only stagnated with the fate of the post-excavation remaining with the individual, rather than an organisation. As the candid report from Perring notes, attempts to balance post-excavation from such an old site with the duties of modern academia have clearly not been successful. However this raises an interesting question, should it have been the responsibility of Perring to continue this work, or should more care been given at the time by English Heritage to the collective responsibility for CEU excavations?

6.9.14 Malham Tarn: excavation by University of Bradford 1999-2001

HER Event ID	not recorded	Status	Unpublished
Excavation Index	1355984	Context	Rural
Main output	Interim reports	Type/Excavator	Research/University

This particular excavation – referred to specifically as Malham Tarn – was part of a wider *Yorkshire Dales Hunter Gatherer* project, latterly referred to as the *Hunter-Gatherer Mobility and Subsistence in the Yorkshire Dales Archaeological Research Project*, undertaken by Dr Randolph Donahue under the auspices of the University of Bradford since the mid-1990s. The excavations were undertaken in three separate seasons, and were located in proximity to areas of known Mesolithic lithic scatters. The trenches themselves were relatively small, and located very few features that were positively identified as Mesolithic, although numerous lithic implements were recovered (Donahue 2000). The main outputs of the excavations recorded within the event records of the HER are a series of interim reports. These reports indicate the significance of the site, particularly in relation to its finds assemblage which included a high proportion of flint, which does not occur naturally in the Yorkshire Dales (Donahue 2000; 2002). Preliminary assessment indicated that the origin of this flint were sites in East Yorkshire, the Lincolnshire Wolds and the Peak District, suggesting a nascent pattern of organizational mobility within the Mesolithic communities that inhabited the site (*ibid*). Furthermore, comparisons with other excavated sites in the vicinity (by the same project) have highlighted the potential for site specific activities (*ibid*).

Upon further investigation it became apparent that elements of the results from the excavations had been incorporated into several peer-reviewed publications pertaining to specific aspects of Mesolithic research. To quote the Principal Investigator:

“My publication strategy has been to get out the important findings of the research in a series of high quality international refereed journals and then produce a monograph at the end which provides much of the survey and sites information as well as summarise the findings of the research as previously noted. The project has demonstrated that it is the importance of the questions being asked, not just quality of finds that leads to international refereed publications.” (Donahue *pers comm*).

The following facets and findings of the Malham Tarn excavations have thus been discussed in published form:

- A publication in the *Journal of Anthropological Archaeology* demonstrating the use of the Yorkshire Dales by Mesolithic communities, in contrast with sites in the eastern lowlands such as Star Carr which have historically received more attention (Donahue and Lovis, 2006).
- A publication in *The Holocene* discussing the lithics and Mesolithic landscape organization and mobility strategies in northern England (Evans *et al* 2010)
- A publication in the *Journal of Archaeological Science* providing detailed analysis of the lithic microwear, with comparison to a contemporary site from Derbyshire (Evans and Donahue 2008).

This academic model of publishing parts of the research, often in tandem with other comparative sites investigated by the authors, is an interesting case study. Although it clearly shows that the site is not languishing in post-excavation purgatory, only a facet of the results is available. None of the sources highlighted above provides what may typically be expected of an excavation publication as defined in MAP2 and they lack the combination of written and drawn evidence that would allow a re-visiting of the key evidence. Furthermore, the records of the Yorkshire Dales HER and of the NRHE (or BIAB) do not contain these bibliographic records. It may be suggested that this publication strategy, with the ‘raw data’ of the full results of the excavations not currently available is in some ways counter-productive to its wider reuse outside of the users of specific journals. For example, Donahue himself states that:

“These are journals with international readership - more archaeologists, anthropologists, and geographers across the globe know of the Yorkshire Dales than virtually any upland area of the country. The research shows how one can integrate commercial archaeology with academic archaeology.” (*pers comm*).

Conversely, it may be suggested that as aspects of the data are only available in international subscription-based journals that are unavailable to the majority of curators and fieldworkers

operating in this region (including the HER), this strategy only widens the divide between commercial and academic fieldwork in regards to Mesolithic archaeology.

It is worthwhile comparing the current state of Malham Tarn with other significant excavations of Mesolithic material in the study area. The majority of these are research led, for example Star and Seamer Carr, or White Gill (Hayes 1988). This bias in excavator perhaps reflects the limited impact of development on upland sites, but also the ephemeral nature of much Mesolithic evidence which often precludes it being identified in the planning process. In North Yorkshire with only a handful of significant Mesolithic sites being investigated through the planning process, principally:

- Wensley Quarry (NAA): test pitting as part of a large phase of evaluation. Results available as grey literature.
- Ling Lane Island, Seamer Carr (NAA): test pitting as part of a large phase of evaluation. Results available as grey literature.
- A1 Dishforth to Barton Phase 2 Evaluation Trenching: Killerby (NAA): trenching as part of large-scale evaluation. Results available as grey literature.
- A1 Dishforth to North of Leeming (Lancaster Archaeology Unit): Mesolithic occupation site published in the overarching A1M monograph (Brown *et al* 2008).
- Marne Barracks (Archaeological Services University of Durham): primarily Neolithic site with earlier Mesolithic knapping floor included in *Proceedings of the Prehistoric Society* (Platell *et al* 2009).

Three of these projects were undertaken as schemes of evaluation, and thus despite the significant nature of the finds, there was no scope for further analysis and publication. Conversely, the two sites investigated as part of wider mitigation strategies (and both for major schemes of development by the Highways Agency and Defence Estates) have both resulted in formal publications. It appears that on the occasions that Mesolithic sites are investigated as part of mitigation strategies, the results reach adequate publication. This would seem to fit the national model of publication of higher profile sites reported elsewhere (Blinkhorn and Milner 2013, 5-6). Indeed, based on the case study of Malham Tarn it may be suggested that if there was a 'publication problem', it is primarily from research excavations, not the planning system. Furthermore, the relative lack of baseline publication and comparative for use outside of academia dataset could potentially hinder the identification of Mesolithic sites in the pre-planning assessments of HER records and other sources (see Blinkhorn and Milner 2014, 38).

6.9.15 *Stingamires Gill: excavation by University of Bradford 2004*

HER Event ID	ENYM739	Status	Unpublished
Excavation Index	Not recorded	Context	Rural
Main output	No output	Type/Excavator	Research/University

The primary sources for this excavation located by this study was the HER record, which simply records a geophysical survey and excavation of ironworking site at Stigamires Gill (sic), and a PhD thesis related to the archaeomagnetic dating undertaken on site (Powell 2004). Upon enquiry with the excavator, Dr Gerry McDonnell, the excavations at Stingamires were part of a wider research project investigating the post-monastic iron industry of Rievaulx Abbey (McDonnell *pers comm*). The actual excavations appear to have been relatively small, and conducted in three trenches focussed on responses in the geophysical survey. Two of these trenches revealed an area of ore roasting, and an iron smelting bloomery furnace (Powell 2004, 3).

The excavator is currently incorporating the Stingamires excavations into a wider survey of the area, potentially to be published as a book in the Autumn of 2015 (McDonnell *pers comm*).¹⁹ No other factors were thought to contribute to the current publication status. At the time of writing, and presuming the publication is forthcoming, the works at Stingamires will have taken over a decade to publish. The merits of this publication strategy can be debated; on one hand it has meant that a relatively small work will be published as part of a wider synthesis based on a particular research theme, and thus in context of other sites investigated by McDonnell. On the other, including it as part of a wider study has increased the time it takes for a relatively small work to be disseminated in any form, and also the risk that it is never published at all.

6.9.16 *St. Edmund's Church, Kellington: excavation by University of York 1990-91*

HER Event ID		Status	Unpublished
Excavation Index	Not recorded	Context	Rural
Main output		Type/Excavator	Research/University

The excavations at Kellington are an unusual case. They arose due to the imminent threat posed by a proposed extension of coal mining works at Kellingley Colliery directly underneath the church. Investigations by English Heritage confirmed that this would have severe

¹⁹ At the time this thesis was submitted, the publication was not forthcoming

repercussions for the integrity of the church structure. After negotiation, British Coal funded works to underpin the church foundations, which required the dismantling and reconstruction of the tower and other parts of the structure. The agreement of all parties, including the parish council, could only be achieved on condition that the proposed scheme included the provision of archaeological recording of those parts of the church which would be destroyed by the dismantling. Archaeological investigations in and around the parish church of St. Edmund, Kellington were carried out between October 1990 and April 1991 under the auspices of the Department of Archaeology, University of York and directed initially by Richard Morris, assisted by Ian Lawton and Julie Dunk (Richards *pers comm*). The project post-excavation was latterly inherited by Harold Mytum when Morris left the Department of Archaeology (*ibid*).

In all, the excavation of phases one and two involved the careful extraction of some 700 cubic metres of archaeological deposits, including over 700 inhumations; an enterprise upon which a total of 50 archaeologists were engaged at one stage (Mytum 1993). In order to complete the investigations within the rigid deadlines which were imposed, work took place seven days a week and from early December 1990 work went on during the night as well, the interior of the building having been specially lit (*ibid*). At the time of writing the excavations at Kellington are still the most extensive of any English parish church still in use (see Mytum 1995).

Immediately following the end of works, an interim note was produced which covered the main findings (Atkins *et al* 1991). An overview of the works is provided by Mytum in short articles for *Current Archaeology* and *Medieval Life* (1993; 1995). Both note that in view of the short time scale allowed for the archaeological dig (from October 1990 to January 1991) little time was available to interpret the findings and that a full report would be forthcoming (*ibid*). No full report has yet been produced, although in the interim two short articles have been published regarding the innovative use of GIS for on-site recording, and the treatment of human remains (Mytum 1996; 1997). In addition, aspects of the site are included in more general publications on churchyard archaeology written by the director (Mytum 2004). Further enquiries to Mytum regarding the current status of the post-excavation have not yielded a response. The scale of the site may be a major factor: Kellington is one of the few sites classed by this thesis as 'very large'. In addition we must also consider the role of the excavator; whilst undertaking this work Mytum was also working at the hillfort of Castell Henllys, another large-scale (in terms of size and duration) excavation and survey project. Without confirmation from the excavator it is impossible to confirm, but Kellington in its unusual rescue/research context may appear to have been too much extra work for just one individual to undertake.

6.10 Conclusions

The broad trends and detailed studies presented above have shown that there are a variety of issues effecting publication of excavations in the study area. Despite having some of the most well-known sites in archaeological literature such as Star Carr or Wharram Percy, the publication rate of other sites in the region is particularly low. In some cases this may be dictated by contemporary perception of significance, with sites of little interest often reported no further than a short note in a local journal. However this gap in adequate publication also extends into sites of more obvious regional and national importance. The analyses have also highlighted what are three clear thematic trends within the publication history, each a consequence of the context of the excavation and the role of the practitioner.

The Rescue and Heroic era Backlog

North Yorkshire has a significant backlog of works from rescue contexts undertaken between the 1950s and late 1980s. This corpus has a myriad of factors that have contributed to the relative success of publication. Perhaps surprisingly for rescue works, this has not always been the availability of funding, but rather the role of the individual excavator and the organisation(s) involved. For example the availability of funds for Ribbleshead is documented, and it seems to have been a failing of the excavator to produce a final report. Elements of personal failing can also be seen at Bedern Bank, although in this case any 'blame' can be mitigated by two factors, the publication strategy at the time and the role of the director and the parent organisation. This has highlighted a dilemma in the responsibility for reporting. If it is the unit (CEU), what happens when they cease trading or lose competence/capacity? If it is the individual what happens if they move post? In the case of Bedern, it is clear that with responsibility for publication continuing to reside with the individual that the various strains of attempting to balance this responsibility with the requirements of contemporary employment has caused the process to stall.

The cases of Ribbleshead and Oxclose would appear to fall into a category of traditional failures to publish rescue excavations. However without the personal insight of a site like Bedern it is difficult to ascertain the level of responsibility of the respective directors. In the case of Oxclose written and anecdotal sources show that Pacitto published other sites in the vicinity; was it thus a case of too many sites for a single individual to take responsibility for? Conversely, Alan King, the excavator of Ribbleshead seems to have had a slightly more chequered publication history, and the excavation (due to its perceived status) seems to stand as a permanent black mark against a reputation. Irrespective of the personal reasons behind these two sites, they still demonstrate the often ephemeral, situation-specific factors that

dictate the relative success of archaeological publication. These also show that, despite the allocation of government funds to rescue projects, successful publication was not guaranteed.

The fate of these rescue projects can be compared to those that have been successfully published, and here there appear to be two different types of publication. Initially there are those that were published by the original excavators reasonably near the completion of works; examples include sites such as Beadlam Villa and Scorton Cursus (Neal 1996; Topping 1982). Often these appear to be smaller sites, and are published in local journals such as the examples from Crossgates highlighted above. However, there is also a significant trend of rescue sites only being published as part of backlog initiatives, often sometime after completion of works, for example Riccall Landing (Hall *et al* 2008), Ripon (Hall and Whyman 1996; Whyman 1997), or a series of investigation in the environs of Catterick Bridge (Wilson 2002) and Piercebridge (Cool and Mason 2008). In this regard North Yorkshire may have benefited from the status of some of these sites, and generous funding from Historic England as part of backlog initiatives.

The Grey Literature Problem

It is clear from the research presented here that the study area has a significant number of sites available in a part published form as grey literature. It should be re-iterated that a good many of these are from *evaluation*, and thus often have no further publication or analysis possible under the role of this type of event in the planning process. The classification as part published may thus be something of a misnomer as it suggests failure on behalf of the producer. This is clearly not the case, but it is useful to retain this classification as indicating a corpus of excavated information that has value outside of simply informing the planning process. Many of these *evaluations* are not followed up by *excavations*. Where they are, the results of both phases are tied into the same end publication status. For example, the *evaluation* and *excavation* works at All Saints Church, Burythorpe 1994-95 produced no reports until an overarching publication in YAJ over 10 years later (Stephens 2006). Conversely, the two phases at the Ponderosa caravan park in Boroughbridge by WYAS and FAS respectively, despite uncovering disparate elements of a Romano-British field system, only ever produced small fieldwork reports (Blair 1997; Signorelli 1999).

Significant sources of part published evaluations are the major infrastructure schemes which often encompass major campaigns of assessment. This includes the site of West Lilling previously discussed, but also sites such as the intensive trial trenching along the course of the Moor Monkton to Elvington Pipeline (Brinklow 1996). Considering the significance of many of the sites evaluated and not excavated further, and those tied into larger schemes that may take years to publish (if at all), it is pertinent to re-evaluate the role of the evaluation as itself a

form of preservation by record; is there a case for ensuring that significant remains recovered by this method also receive a standard level of detailed reporting?

The restrictive publication strategies for evaluations notwithstanding, post-planning mitigation excavations seem to have a major problem in reaching an adequate form of publication. An appraisal of all these sites would suggest that only small proportions are being reproduced in traditional publication media. Of these, the vast majority relate to multiple sites excavated along the A1(M) which were incorporated in a single monograph. (Brown *et al* 2008). If these are removed from the overall statistics, then the publication record from modern projects looks even bleaker. The selected case studies illustrate a number of issues that have hindered this process. Undoubtedly the key factor is the relationship between the planning authority and the developer. Without the assistance of the planning authority, well-considered plans for publication never reach fruition. Instead, the final output often remains at a post-excavation assessment that is designed to inform future publication and synthesis, but not to act as the final output itself. Although many of these reports are of high quality and of obvious value, they are designed specifically as part of a process and are thus limited in their role as a complete publication medium.

The main stumbling block between post-excavation assessment and traditional hard-copy publication would appear to be the extra costs involved in producing synthetic outputs. As the examples show the cost of further, often specialist, analysis is often highlighted as a negative factor. Quite why the relationship between the planning archaeologist, planning authorities and developers in North Yorkshire has been so poor is harder to pin down. It may simply be that, somewhat surprisingly for a county with such an extensive and rich heritage, the funding of archaeological post-excavation is a low priority in the internal politics of planning and local government. In this we can potentially see the traditional criticisms of PPG16, with a Local Authority effectively acting as a funding body; the decision to make the developer pay, or not pay, resting on individuals from outside the discipline.

In the cases presented here the authors often express a hope for a future journal article; however it is apparent that proportionately very little is actually ever written up in this format. Finance aside, one of the issues preventing journal publication is the size of any potential article. In the case of Park Hill this seems to have resulted in the excavation being incorporated within a much larger self-produced monograph that may, or may not, be forthcoming. This model, despite the advantages it may bring, is not working for North Yorkshire. Additionally, it may also be argued that publication via monograph is not working either. Aside from the A1(M) monograph the only other such outputs from planning-led excavations in North Yorkshire over the period have been the self-produced publication by MAP from a series of excavations at Newbridge Quarry (see Richardson 2012). Although two

of the examples of Park Hill and Spofforth highlighted above are planned for publication in monograph format, these are not yet forthcoming, and the time elapsed since the end of both excavations is currently eight and 14 years respectively. Is this delay desirable, or even sustainable? In addition, what message does such a delay send to the developer about the efficiencies of publication that they, sometimes, pay for?

The publication strategies of research projects

A third major trend identified in North Yorkshire has been the diverse publication strategies of research excavations, undertaken by university-based academics. The statistics have highlighted the significant number of important sites investigated yet classed as unpublished. In some cases this notion of unpublished is contentious, with the example of Malham Tarn highlighting a publication strategy focussed on producing research papers based on facets of the evidence. In the case of Malham the chosen publication outlet for those particular articles were international research journals, not local or even national-based equivalents such as PPS. As the author emphasised, this choice was based on the research impact of the international journals. This leads into an interesting debate about the role of research investigations in their local context, and indeed the role of publication. The sole publication of research projects in multiple subscription-based journals seems to represent a serious disconnect between practical knowledge of the site, and the aims of the publishing academic. In short, the contract archaeologist or curator will not in all probability have access to specific thematic journals (as indicated by the lack of these sources in the HER). Given the disconnect that often appears between academic and professional archaeology in the Mesolithic sphere (Blinkhorn and Milner 2014) it is debatable as to whether cases such as Malham really bring the two together, or only serve to widen a schism in the study of a period between Bradley's (2006) *Two Cultures*.

It may be argued that this *publication as possession* is also part of the strategy of McDonnell at Stingamires Gill, although in this case access to the information is restricted by a desire to publish the site with a number of others. It is debatable as to the relative success of this strategy, as although an overarching synthesis of the sites proposed arguably increases the value of the site in its context, the delay this has on publication is significant. In the case of Stingamires it is over ten years since excavation; a pertinent question to ask would be whether the time taken has in any way held back the transfer of information. Is there a suitable and practical time-span for publication from the academic sphere?

Chapter 7: Comparisons and wider trends

“Evidence has to be evidence of something, and excavators must be encouraged to explain, and so to improve their own and others’ understanding of their purpose: otherwise excavation becomes an activity which is ultimately meaningless” Part of the rationale behind the Level IV synthesis recommended by the Frere report (AMBE 1975, 3).



Plate 7: *Different fates*. Excavations of a medieval timber mill at Mill Bank, Stafford (top), and a building associated with a medieval pottery production site at Firs Farm, Healey, North Yorkshire (bottom). The former has been published via an article in a local journal, the latter is described in a post-excavation report (Images: photo of Stafford mill courtesy of Staffordshire County Council; Firs Farm after NAA 2007: plate 4)

7.1 Introduction

The following chapter compares key findings from the two study areas and identifies common but also exceptional elements in patterns of publication and the factors that prohibit or hinder effective dissemination. The chapter begins with a comparison of broad trends, as well as a discussion of the use of publication media such as local journals and grey literature. Subsequently the main focus is on factors that hinder or prohibit successful publication, particularly:

- The size of project, and the role/type of organisation and individual undertaking the work;
- The role of the planning process and commercial archaeology;
- Personal failure, and the role and importance of the individual;
- Catastrophe such as illness, loss of position and death;
- Site type and context.

The chapter concludes with a discussion of the changing nature of dissemination, the key factors that hinder effective reproduction of knowledge, and the potential consequences for the archaeological sector.

7.2 Publication rates: key findings

A comparison of overall statistics for the two areas shows that a significant number of investigations undertaken 1938–2007 have not been successfully published (Figure 7.1). Of the two areas, it is clear that Staffordshire has a more complete publication record than North Yorkshire. These figures are influenced by the large numbers of evaluative events written up as grey literature. Small-scale events with negative or negligible evidence are often by their very nature, easily published, requiring little more than an adequate location plan and presentation of the results. That being said, a small number of such investigations still remain unpublished and perhaps reflect a lack of importance attached to the efficient dissemination of events perceived to be of limited importance. If smaller events such as observations and *evaluations* are discounted, the publication rate in both counties drops significantly; to just over half in Staffordshire and just over 40% in North Yorkshire (Figure 7.1). Furthermore, if the dataset is restricted to just *excavations* with regional or national significance, the proportion of completely published sites falls to well below half in North Yorkshire, and stays consistently just above half in Staffordshire (Figure 7.2).

The significance of these findings should not be underestimated. Although successive waves of publication crises have been identified (Jones *et al* 2001), the extent of the problem has previously not been established, only estimated. The figures confirm the suspicions of many,

such as Tilley who in the late 1980s hypothesised that “Since the turn of the century ... the number of partially published or unpublished excavations is probably greater than those published” (1989, 276). It also confirms the trends identified in other studies (Chapter 3.6.1) that rates of publication vary significantly across the country. There is no such thing as a consistent published record, just the reflection of a process subject to the whims of economics, personality and catastrophe. Furthermore, the numbers of works not considered fully published by this thesis would indicate that our traditional notion of publication is simply not representative of the actual outputs of the majority of modern fieldwork. The number of excavations being written up via traditional outputs is minimal; and one may enquire as to whether this is simply a disciplinary failure, or a reflection of the limitations or unrealistic expectations of traditional publication strategies.

Despite the pessimism of this finding there is a cause for optimism in the large levels of grey literature, and the notion of a *grey literature problem* can be challenged by a broad breakdown of publication success by excavation prompt. Across both counties it is evident that research and rescue works are as likely to end up unpublished (i.e. no significant written output), as published; conversely planning-led events are less likely to be unpublished, but more likely to be part published with a written record that (either online or lodged in an HER) is accessible for research purposes (Figure 7.3). Despite the significant numbers of part published records, this clearly shows that investigations prompted by the planning process are more likely to achieve some sort of useable output than other classes of works. In this light PPG16 can be seen to have been a success in securing at least a minimal level of publication, and without recourse to public funds.

Disparities between the regions can in part be attributable to the investigative history of each county, with North Yorkshire having a large number of research or ad-hoc investigations undertaken outside of, or prior to, a rescue or development-led framework. As highlighted in Chapter 6, these research excavations, often undertaken by local groups or individuals that may be classed as *occupational non-publishers* are a common source of these records. By contrast, Staffordshire has relatively less of a culture of research excavation, and thus fewer of these notable black holes in the published record. As much as Piggott’s (1955) disparaging opinion of the featureless midland plain was perhaps to blind many to the archaeological potential of the area, it was also to protect sites against the ravages of those unskilled or unable to publish the results.

A visual comparison of the rates of publication highlights the impact of these disparate histories on the published record, especially for the earlier decades (Figure 7.4). Although the published record of Staffordshire is sparse, it is relatively complete compared to the 50/50 lottery of North Yorkshire. This regional disparity in publication rates is present in later

years, wherein Staffordshire consistently has a higher rate of publication as a percentage of all recorded investigations. There are similarities between the counties however, with the early rescue period circa (1960–1980) representing a publication trough in each county, although again the rates of successful publication in Staffordshire is still notably higher than its northern counterpart (Figure 7.4). Clearly, the traditional rescue model and the well documented travails in securing funding for publication or the issues of rescue backlog as testified by the case studies, was not working in either county.

Further examination of the year-by-year statistics illustrates quite how the localised nature of publication developed in each area. The 1980s represent a distinct dip in Staffordshire, whilst an undoubted high point in North Yorkshire. This could again be attributable to the excavation background, with a lot of work in Staffordshire being undertaken under the auspices of the MSC. Although MSC grants covered fieldwork, additional funds for post-excavation were often in short supply, and with the demise of the scheme in 1986/87 many projects were left devoid of funds or staff to continue publication tasks (Soden 2007, 1). In the intervening years some high-profile sites such as Stafford Castle have been resuscitated by backlog grants (*ibid*). Others such as works at Eccleshall Castle still remain unpublished. By contrast a high level of work in North Yorkshire was undertaken by the CEU, which despite failures such as Bedern Bank, appear to have a higher chance of reaching successful publication, perhaps due to the involvement of the state service.

These trends change significantly post-1990 where the dominant form of excavation in both regions is planning-led. In both counties there are peaks of successfully published sites in the early/mid 1990s, followed by noticeable drops towards the turn of the millennium. Both counties then see an upsurge in publication in the 2000's, although as with overall trends, Staffordshire has a much higher rate of fully published records. Of further interest is the paucity of sites in Staffordshire classified as unpublished in the 1990s, suggesting that for nearly all investigations a report of some value has been produced and lodged with the HER. This contrasts with the higher numbers of unpublished sites from North Yorkshire over the same period, representing a continuation of research-based fieldwork that produces no report, but also a slightly higher number of planning-led investigations that have produced no output.

This leads to two main threads of discussion: the first is to examine how and why this situation has occurred, especially considering that the problems of publication have been well known for almost half a decade. The second is to consider if these figures, as representative of the modern excavation, indicate that modern methods and concepts of publication are either not fit for purpose, or in need of refinement. The former is addressed in the remainder of this chapter; a wider discourse on publication is the focus of Chapter 8.

7.3 Publication media

7.3.1 Use of journals and monographs

The statistics presented above suggest common and divergent themes between the two counties, which are reinforced by a comparison of the detailed publication status (Figure 7.5). Most notable are the similar rates of publication via a monograph or journal; indicative of a broad culture of dissemination in recognisable and traditional forms. However, the proportion of regionally or nationally important investigations recorded in these media is less than 40% in each county. This has ramifications for the accessibility of the results of such excavations, as effectively this means that what is unpublished, or located in grey literature statistically outweighs what may be considered the *traditional published record*. This is particularly true for planning-led excavations undertaken post-PPG16, with the vast majority of significant sites only reported via grey literature (Figure 7.5). Although this has often been suspected with the historic and modern appraisals and concerns over the outputs of rescue and planning-led investigations, this has seldom been quantified in this manner (cf. Bradley 2006). The importance of grey literature is thus paramount, and poses some interesting questions for any syntheses that are reliant on traditional published sources.

The results of this thesis show that there is not always a clear distinction between unpublished and grey reports on one hand, and full publication in journals and monographs on the other. In particular, the study has highlighted the significant number of sites only recorded in smaller journals, often not available in university libraries, and only in limited supply at the HER (and sometimes only in photocopied form). Additionally, the format of articles in these minor journals, as well as major journals in Staffordshire, are often of a level that is classified as part published by the standards used by this thesis. On one hand, this may be indicative of the smaller amount of space these journals have to report archaeological investigations; on the other it may also be indicative of a more localised, small-scale appreciation of what constitutes a satisfactory publication. Thus the typical criticisms of grey literature as hard to find, or incomplete, can also be applied to what would normally be considered *published*. Increasingly it seems an appreciation of a publication has more to do with quality and content, than dissemination mechanism.

It may also be a consequence of what is considered suitable and of regional interest by the excavators themselves. Considering the trends highlighted (see Chapters 5.6 and 6.6) it may be suggested that perhaps the longer running YAJ possessed a more stringent or idealised standard than its Staffordshire equivalent, or somewhat more practically just the resources to produce physically bigger publications that could accommodate longer reports. Indeed, the overall length of these journals is notably different, often with YAJ being over 4 times longer

(in terms of pages) than its southern equivalent. This disparity in scale is of course also indicative of the geographic coverage of the two main journals. With YAJ covering the whole of Yorkshire, as opposed to the main Staffordshire journal, which in its earlier incarnation only covered the southern half of the county. It may be suggested that in Staffordshire — with less competition for space in terms of the numbers of sites being reported — there is higher use of the local journal as a form of interim publication to notify interested members of current findings. Conversely, with too many sites potentially being reported in YAJ — as evidenced by the delay in publishing Market Square, Ripon — the size of the covered area begins to act against the use of a journal as an effective and speedy publication medium. Without further qualitative evidence this is difficult to corroborate, but at the very least these statistics indicate different historical and cultural practices in the role of the county-based journal, and indeed its suitability for completely publishing *all* significant investigations in its locale.

A simple analysis of the main written output for an excavation in both areas demonstrates the extent of the shift from a tradition of publishing in a local journal to a grey literature report (Figures 7.5). That being said there is still a disparity between the two areas, with North Yorkshire having a strong tradition of publishing in local journals that persisted into the 1980s. By contrast, the use of a local journal in Staffordshire is more intermittent, with a distinct heyday in the 1960s and early 1970s that corresponds with the birth of the modern incarnation of the local society, but which falls off in the modern era as excavation patterns change, albeit with a resurgence in the early 2000s (Figure 7.5). To some extent the figures from Staffordshire are complicated by the classification of reports produced by Stoke-on-Trent Museum during the 1960s and 1970s as ‘Series’, which were akin to a form of local journal (being produced in-house, and containing multiple site reports per issue). If these are considered alongside journals as representing a small corpus of locally-based publication media, the break from using local outputs is even starker, highlighting minimal usage after the late 1970s, although in the case of Stoke-on-Trent this was also a consequence of financial pressure resulting in the series being abandoned.

The articles from rescue and planning excavations in Staffordshire published in local journals are nearly all reports derived from works undertaken by BUFAU, with far less from other groups undertaking fieldwork in the area such as Foundations Archaeology or Marches Archaeology. On the one hand this is a simple consequence of BUFAU undertaking most of the larger sites, but it may also be indicative of a cultural split in who decides to, or is able to, publish in this medium. As noted in Chapter 5, the statistics show that as less work is undertaken by BUFAU post-2000, the relationship between the local unit and local journal begins to diminish as more work is undertaken by other, often non-local, units. The case studies suggest that failures to publish planning-led events in Staffordshire are caused by the

failings of individuals or organisations, rather than simply failure to secure further funding for publication. In this light, the persistent use of the local journal by BUFAU represents something of a successful tradition, and one based on familiarity with this process by the planning authority, unit and publishers. When this pattern begins to change other, notably smaller units are less well-placed to carry on this tradition.

By contrast the decline in use of YAJ may simply be due to the wider problems with publication of planning-led projects highlighted in previous chapters and discussed further below, coupled with scale of journal coverage and perhaps a growing sense that the use of journal articles for excavation reports are of limited interest to a readership. For example, the contents of YAJ for 2014 comprise:

- Earlier prehistory activity and a later Iron Age and Roman field system at Beacon Lagoons, Kilnsea, East Riding of Yorkshire.
- A Late Iron Age and Roman-British Site at Gale Common, North Yorkshire.
- Excavation of seventeenth-century structure in Upper Ribblesdale.
- Viking-Age lead weights from Cottam.
- Caville Manor and the Enterprise of the Twelfth-Century Bishops of Durham.
- The Pudsay Family of Bolton-by-Bowland and their monuments.
- The Religion of the Yorkshire Gentry, 1509-31: the Evidence of Wills.
- The Fall of the House of Paslew.
- Theophilus Shenton (1645-1717), a Yorkshire estate steward, attorney and gentleman architect.
- The Shambles in Settle Marketplace, its date and builder.

Only the first two articles cover excavations undertaken under the planning process (and includes a site from east Yorkshire) with the majority of articles relating to aspects of local history. It may be suggested that history-based articles are of interest to the membership of a local society that encompassed a broad church of interests in regional heritage. A mix of new discoveries courtesy of excavation and retrospective, documentary based research about individuals and locales represents a more balanced and interesting volume for the non-professional reader. This is not of course to judge the editorial process and selection policy, but perhaps lends more credence to the notion that the days of the local journal as a portal for recent discoveries has, in North Yorkshire, ceased to be.

The use of the monograph as a publication medium is more nuanced, as many of the examples identified by this thesis such as Catterick, Catholme or Stafford are the results of Historic England backlog initiatives. They are not therefore a reflection of a smooth publication process, but rather a dogged determination backed by government (i.e. tax payer) funds to see

a site through to completion. Although these outputs often derive from rescue works which had little or no post-excavation funding, and can be seen as righting the wrongs of the past, these are often expensive and serious labours of love. In many ways these can be seen as the war wounds of a discipline struggling to come to terms with the scale of modern threat-led investigation, each one a simultaneous testament to failure but also an overarching commitment to the cause. It should also be stated that the production of a monograph, no matter how physically impressive, is sometimes not a fully published record. The examples of the reports from West Heslerton and Catholme notably omit Roman and prehistoric evidence, focussing instead on early medieval phases. The example of Catholme seems to have been a purely financial and pragmatic decision to prioritise the most significant aspect of the site. By contrast the intention to publish all aspects of West Heslerton as a series of thematic papers, volumes and online reports has been intended, but not yet delivered (cf. Powlesland 1998, Section 9). In the case of the latter it may be observed that some schemes, no matter how well-intentioned, are over optimistic. This can be compared to more successful initiatives and strategies such as Wharram Percy, where the 13 final monographs produced between 1979 and 2012 have been a notable national success story. Both West Heslerton and Wharram have received high levels of funding from Historic England and are singular examples of concentrated excavation in a particular locale. The determining factors regarding the relative successes may be that Wharram represents the publication of works that stopped in 1990, presenting a finite albeit very large archive to process. Planning-led work by the LRC in the environs of West Heslerton continues even at the time of writing, and presents an ever-growing corpus of increasingly born-digital archive that even the most detailed of publication strategies is incapable of resolving, especially by such a relatively small organisation based around the talents of single individual.

A final note may also be made on the nature of monographs produced through the planning process, a corpus produced only in very small numbers across both counties. Indeed the production of a monograph is only usually from large-scale infrastructure works, notably major road schemes although, as in the case of SITS, even this level of funding is no insurance against failure. Outside of infrastructure projects, Staffordshire has a higher level of monographs, usually published as part of the BAR British Series. Examples such as Whitemoor Haye are nearly all rural, medium/large-scale excavations, often from sand and gravel extraction and with the BAR format enabling the publication of a synthesis of a section of a landscape. No volumes have been produced for any urban planning-led excavation in either county. On one hand this may be a reflection of the relative small-scale of most of the urban excavations undertaken: restricted to a particular development footprint rather than the landscape coverage of rural equivalents. In addition these urban sites may have less money than say, a major quarrying operation, which would prohibit the costs of monograph publication. These large-scale printed outputs are thus the rare exception, rather than the

norm. Furthermore, in these two counties they increasingly represent a large-scale publication (where it occurs!) of just the rural evidence.

7.3.2 *Grey literature*

By far the most prominent trend from both sets of the publication statistics is the move towards *excavations* being written up as grey literature only. However, outputs classified as grey literature pre-date PPG16 and archaeological mitigation through development control. Indeed, *grey* outputs can be seen intermittently as far back as the 1950s in North Yorkshire. Often these are short typescript manuscripts that only exist in the physical holdings of the HER, sometimes with no clear provenance except the author, such as a 'Report on the Excavation of a Bronze Age Tumulus on Appleton Common, Yorkshire' written by Vivienne D'Andria of Leeds University Anthropology Society in 1953. These occur frequently in the late 1970s and 1980s and are produced by the earliest rescue groups and latterly units. They are often a mixture of unstructured typed reports functioning as an interim statement, and archive reports produced to Frere's Level III, although in all cases there seems to be a lack of a corresponding synthetic (i.e. Level IV) report. This rescue phase of the grey report as a sole output is more prominent in North Yorkshire, being a common format produced by groups engaged in salvage work such as the East Riding Archaeological Research Committee. Although such Level III reports do exist for Staffordshire they are often superseded by more synthesis driven journal articles produced by authors from BUFAU and Stoke-on-Trent Museum.

There is also a small yet significant class of grey literature produced by local societies and either disseminated via the ADS, or on personal websites. Examples include a possible Mesolithic settlement at Wrottesley Lodge Farm by Wolverhampton Archaeological Society, or a Viking settlement at Kingsdale Head by Ingleborough Archaeology Group. In both cases, the reports produced are of high quality and give detailed accounts of the respective investigations, often of a length that surpasses the average journal article. In the majority of cases the sites are not published in any other medium. The reasons for this are difficult to ascertain without further qualitative study, but are part of the overall trend of a decreased use of county journals for the publication of fieldwork results. This may be the result of the length of time it takes to publish, but also the level of detail offered by the grey medium. This do-it-yourself approach to publication of results is an interesting development, allowing groups to potentially disseminate their results at the earliest opportunity, to a wider audience, and to a necessary level of detail, the only caveat being that there is no element of peer review, either via the traditional process or the pervasive review of reports produced through the planning process.

The bulk of the grey literature produced in each county comes through the planning-led events that increased after the publication of PPG16, although both counties witnessed small numbers of developer-funded investigations prior to formal issue of that document. The majority of *excavations* from each county have been classified as part published with enough information to reuse but requiring extra detail, content or analysis to be considered fully published relative to their significance. However, in each county, a number of reports were found to be of sufficient quality and content relevant to the nature of the archaeological investigation, so that they could be considered fully published. The majority of these were from *evaluations*, or small-scale exercises that, because of the limited nature of the evidence, required no additional reporting. A small proportion were from *excavations*, whereby the nature of the evidence and/or the quality and content of reporting meant that a grey report was considered an adequate output.

The thesis has shown that there is a higher proportion of grey literature reports from the planning process in Staffordshire that are considered completely published, including those for sites that may be considered of regional importance (Figure 7.6). This trend is attributable to two main factors: the first is that at certain points and for certain sites, the briefs set by local authorities in Staffordshire do not strictly follow the MAP2 approach of analysis to inform a post-excavation assessment, but rather use the final (client) report as *the only* written output. This initially appears to have been a pragmatic response where it was thought that a post-excavation assessment would not lead to further funds. In tandem with this is the small-scale nature of some of these works, where, although the sites were of clear significance the amount of data being produced would not normally require large levels of post-excavation analyses. In Stoke-on-Trent, in particular, the trend to 'publish' primarily via the client report, given the lack of reliability of developer-funding, has gone hand-in-hand with the use of OASIS for reporting and online dissemination. In short, by design rather than an accident, the grey report is being used as a legitimate publication medium. In contrast, reports from North Yorkshire often vary between those that follow the MAP2 route, but with little success in securing further funding, and those that simply report on a best-efforts basis and rarely with online dissemination.

As the case studies have shown there is also clear variability in the standard and content of those reports classified as part published. Often this is based on the period in which the report was produced, with examples from the early 1990s often being less detailed, somewhat basic statements on what was found with limited drawn or photographic evidence, little finds analysis or discussion. Although these are more detailed than the corpus of interim reports discussed above, by the early 1990s any adherence to Frere's levels of publication or subsequent guidance seems to have been lost, and reports are often short statements of fact with *some* supporting evidence. The case studies from Willowbrook Farm or West Lodge are

good examples of these uncertain outputs. It seems that such reports were a consequence of the beginnings of development-led archaeology, wherein with the sudden upsurge of work seen in both areas there was perhaps less time, or less of an established routine, to enable the production of lengthier reports. The example from Willowbrook Farm wherein the excavator wrote up the results over the Christmas holiday is perhaps illustrative of the effects of a dearth of time and money.

The nature of grey literature noticeably changes in the mid to-late 1990s when the influence of MAP2 can be seen and reports from post-determination exercises (i.e. excavations) follow the routine of producing post-excavation assessments, often containing a recommendation for further work and publication in a traditional medium. Often these assessments are detailed and high quality; for example, the report from Market Square, Ripon is of a quality where, but for lack of additional pieces of specialist analysis, it could be considered on a par with most fully published material. This of course goes back to the level III (archive) and IV (synthesis) outputs suggested in the Frere report, but with grey reports such as Market Square hovering somewhere between the two. This hybrid of archival-level detail and synthesis with the capacity to introduce large levels of drawn or archival evidence (such as site matrices, context descriptions and detailed plans) are a notable feature as reports begin to be created in digital format. Although only glimpsed in part by this thesis (due to the ending point of 2007), it seems the greater use, and greater capabilities of IT by archaeological units is allowing a richer, more detailed shade of grey literature.

A breakdown of the content of grey literature reports shows how over the course of nearly twenty years they incorporate more features such as accurate site plans, photography and detailed finds analysis (Figure 7.7 and 7.8). This reflects an increased use of the grey report as a medium for containing large amounts of information, but also an increased level of standardisation of what should form the basis of a suitable report. This is very clear for reports from North Yorkshire produced after 2000, with reports often containing a specialist analysis, plans and photographs produced as part of the post-excavation assessment. The increase in detailed finds assessments is common in both regions, and indicates not only the influence of the MAP2 process, but also that many of the larger units such as YAT and BUFAU had access to in-house finds specialists. In addition it is also notable how the geographic proximity of finds specialists at the universities of Birmingham and York, which have periodically provided sub-contracted osteoarchaeological and palaeoenvironmental services to units, has often facilitated very detailed assessments of aspects of the artefactual evidence.

Although it can generally be said that the quality of content of grey literature increases over time, there are quantifiable gaps in the content of these reports. For example, although accurate plans become more common there are still reports produced in North Yorkshire post-

2000 that do not contain this basic information. Often the plan is missing, or is simply unusable for any understanding of where a site is or the nature of the excavated evidence (Figure 7.9). The variation in quality of technical evidence such as drawings, and photographs which can omit scales or be obscured or rendered illegible through on-site conditions or lack of skill on behalf of the photographer, are testament to the difficulty in achieving a desired standard of report across such a large area as North Yorkshire. Indeed, in assessing reports produced across both counties there is an evident hierarchy in the skills able to be deployed on producing grey literature. However it is not always the case that bigger established units always produce consistently good outputs. Throughout the assessment of reports undertaken as part of this research exceptions such as incomplete plans or curtailed discussion of the evidence (often with certain periods omitted entirely) were relatively commonplace. Indeed, there does seem to be a correlation in both counties between a decline in the content of the reports and periods where more reports were being produced (Figure 7.8). This is particularly marked in the years immediately following 2000, and could indicate a relative lack of resources available to units with multiple projects active, or perhaps even an increase in the number of units undertaking work – some of which may not be conversant with the standards set by local curators.

Most noticeable is the almost complete lack of signposting of the corresponding archive from reports in North Yorkshire. Although reports often contain a listing of the physical (and occasionally digital) archive to be deposited at a museum, there is frequently a lack of clarification as to which museum this is. Where a museum destination is specified, for example York, Malton, Scarborough, Thirsk, Whitby, or Harrogate, there is seldom a museum accession code to reference. By contrast, reports from Staffordshire, including those from evaluations, begin to include this information, albeit inconsistently. During data collection it was noted that records from Stoke-on-Trent often had archival information included in the report incorporated from the corresponding OASIS record. This simple yet effective procedure means that the link between report, archive and HER is clear, and opens up a gateway to the archive that may otherwise be lost.

The role of the archive and what is understood to be suitable for archive is a much wider issue, with a recent survey highlighting the often difficult relationship between contracting units and museums (Edwards 2013). Often archives are not deposited due to confusion or debate over suitability, or on occasion uncertainty over a museum's collecting policy (i.e. if a museum is still accepting new deposits). In North Yorkshire it is unclear as to whether the lack of signposting is due to an oversight on behalf of the unit, or a reflection of the lack of deposition space available. However at the time of writing the database of the Society of Museum Archaeologists indicates that every museum in the North Yorkshire area except Ryedale Folk

Museum is still accepting archives, although many such as Malton, Scarborough and Harrogate have no in-house archaeological curator (Society of Museum Archaeologists 2013).

The importance of the signposting of any archive cannot be understated. For the PPG16 and MAP2 system it is an intrinsic part of preservation by record. A grey report, no matter how detailed, can never be expected to form a complete record for tangible objects such as finds and, although a level of assessment is reproduced in many reports, finds drawings, photographs and measurements are often lacking. A recent report on behalf of the Society of Museum Archaeologists has highlighted the relative lack of use of physical archives by contracting units and academic researchers (Edwards 2013, 29-30). It is tempting to attribute this lack of use, especially by the academic sector, to a lack of awareness over where an archive may be, or indeed how to go about locating it without an accession number.

Problems in signposting the archive notwithstanding, the maturity in the production of grey literature have perhaps been aided by the growing use of online dissemination of reports. Although this is limited in both areas, a number of reports from both evaluations and excavations, including some of regional significance, have been made available via OASIS. In these cases it is clear that the use of OASIS to facilitate online access has enhanced the visibility of the reports, and represents a new avenue of publication and communication. Indeed, the dissemination of these reports represents a level of access far in advance of the traditional 'pay to view' journals and monographs. Thus, the fact that there has been limited uptake of OASIS in both counties represents a severe hindrance to the potential use of reports produced through the planning process, and a missed opportunity for these two areas to circumvent traditional criticisms of grey literature. Indeed it is something of an irony that two areas with such high levels of part published grey literature have historically not been committed to ensuring online access to their reports. As the breakdown of the use of OASIS (Chapter 3.6.1) showed, both study areas (Stoke-on-Trent excepted) represent significant gaps in the national corpus of online grey literature.

In the case of Staffordshire this arguably only goes to enhance the historic marginalisation of the region, by under-representing what researchers may find online. In the case of North Yorkshire, a current project funded by North Yorkshire County Council is placing the holdings of its HER online via the ADS. Although this goes some way to increasing the accessibility of these reports, at the time of writing the two main producers of grey literature, MAP and NAA, have not given permission for all their reports to be included (Matthews *pers comm*). Only a select number that have been identified as of significant value by the Roman Rural Settlement project have been made available, and then only at the insistence and persistence of the academic team undertaking the work. The rationale behind this intransigence to embrace online dissemination can only be guessed at, but is undoubtedly a

key factor in the non-use of OASIS in the county. Unless these attitudes change, there is a very real danger that North Yorkshire may become under-represented in the growing national digital record. To speculate for a moment, if one was a student wishing to undertake research on a particular theme or period, which region would they choose to study: one rich in online information such as Suffolk, or one which requires time and effort to visit the HER? Thus misconceptions and marginalisation only become self-fulfilling, and our understanding of the past limited by the attitudes of the present.

7.4 Significant factors

7.4.1 Size of works and identity of excavator

In looking for determining factors in the success of publication strategies it is simplest to begin by examining the scale of works undertaken. At the beginning of this thesis it was speculated that larger sites would have a lower publication rate, due to the relative level of information to be processed. Examining the figures for the two study areas it is evident that this is not a clear trend (Figure 7.10). Indeed the counties have broadly similar publication rates for sites of varying sizes, with large excavations as well represented as smaller sites. If one includes partially published records then large excavations are generally more likely to reach some level of publication. However, in Staffordshire, as projects get bigger, the greater the likelihood of them at least reaching a part published stage, whilst in North Yorkshire there is a comparatively higher chance of them remaining unpublished.

A breakdown of these figures by excavation prompt provides further insight into these trends (Figure 7.11). As rescue and research excavations in North Yorkshire get bigger in scale, the greater the successful publication rate. However this trend changes drastically for planning-led events, whereby the publication rate drops as the size of the excavation increases. The same broad trend can be seen in Staffordshire, albeit with a much greater disparity in success between large and small planning-led investigations. This would indicate that although planning-led investigations are more successful at getting a substantial, if not complete, written output, that the capacity to produce a publication decreases as the level of data to be processed increases. As the case studies at Park Hill and Spofforth have shown, post-excavation is slowed by the sheer scale of the task at hand. As these projects become serious and lengthy undertakings units must also balance the completion of finishing post-excavation for old projects, and undertaking new projects to secure further funds (see Cumberpatch and Blinkhorn 2001, 39-42). This is only further complicated by fluctuations in financial support available from developers and planning authorities (see Chapter 7.4.2).

The same issues of time and money (or lack of) could well be levelled at rescue projects, so it is notable that larger excavations of this type are more successfully published. However, many of the larger rescue projects were undertaken with governmental funding, and thus have benefited from backlog initiatives. Campaigns previously discussed such as Carver's Stafford, Catterick and Stafford watermill have all benefited from generous post-excavation funding and are thus almost 'too big to fail' However, government grants are not always a guarantee of success. At the time of writing the West Heslerton project has been the recipient of some of the largest grants ever awarded by Historic England to a fieldwork project (Buxton *pers comm*). Similarly, case studies of Fatholme, Oxclose, Ribblehead and Bedern Bank, all medium to large scale projects, have stalled in producing a final report.

The existence of any full publication is also a consequence of who has undertaken the fieldwork. Inter-regional comparisons show some similar trends across classes of excavator, for example projects with significant findings undertaken by a national body, normally Ministry of Works/CEU have a much greater success rates than any other class (Figure 7.12). This is perhaps to be expected, with the levels of resources available to a national body arguably greater than individual researchers or local societies, and the ongoing backlog program. This trend may also be a consequence of the status/importance of many sites excavated by Historic England, including works on Scheduled or soon-to-be Scheduled monuments such as Whitby Abbey in North Yorkshire or St Mary's Abbey in Staffordshire, which have both benefited from lengthy publications (Ellis 1997; Wilmott forthcoming). However, the presence of centralized funding is not an automatic indication that a project will be published. Examples such as Ribblehead and Oxclose Farm are projects undertaken on short-term contracts and funding. Part of the problem identified is that upon cessation of the funding, the excavator/director often immediately moves onto another project. Thus these represent a brief intervention upon the part of the state, but not a complete organisational level of commitment that would perhaps allow for more time and money for post-excavation. It seems that significance and availability of funds are not necessarily always enough to ensure a successful publication.

Aside from national bodies, there are also broadly similar trends between counties for academics and local societies, with both groups only publishing around half of all sites of regional or national significance (Figure 7.12). This lack of publication success is perhaps surprising considering that these are often the groups working within a research context outside of the confines of a rescue or planning-led environment, and with a view to publication as a matter of course. For local societies in Staffordshire the shortfall in publication is more likely to be represented as records that are partly published as journal articles that report some, but not all, pertinent information. With these taken into consideration, this means that information from society investigations is more likely in Staffordshire, which considering the

longevity and relative status of the Yorkshire-based equivalents is perhaps surprising. However, the figures for local societies should also be viewed against the surprising numbers of events that were taken within a rescue context; 24% and 23% were identified as being rescue works in Staffordshire and North Yorkshire respectively. Often these were undertaken by one or two leading individuals within groups such as the Lichfield and South Staffordshire Archaeological and Historical Society or the Scarborough and District Archaeological Society with ad-hoc participation from other members and volunteers. In Staffordshire these often pre-date the formation of BUFAU, whilst in North Yorkshire there was the well documented absence of a regional unit to cover the growing threat of urban and rural development. Thus local archaeologists were often the only ones to step into the breach. With little more than small-scale financial backing from the relevant society and private patrons, it is remarkable that any of these were published at all. Thus at first sight what might be viewed as pessimistic results, and a black mark for local societies, can actually be viewed as understandable gaps from their brief yet often heroic role in the rescue effort.

The same cannot be said for the significant corpus of unpublished investigations from the academic sector where, despite having relatively successful rates when compared to other groups, are still remarkably low (Figure 7.12). However, caution is needed here, as some of the academic excavations listed as unpublished are often somewhat ad-hoc affairs undertaken with volunteer labour and limited resources, rather than large well-funded set-piece affairs. In this vein they can often be classed alongside similar works undertaken by local societies; the auspices of a learned institution being no guarantee of a higher level of expertise or resources required to publish. In addition, there is a significant disparity in the number of works covered: only 13 in Staffordshire as opposed to 111 in North Yorkshire. Indeed the size and range of monuments within North Yorkshire seems to have led to it being a hotspot for academics from York, Bradford, Durham, Sheffield, Leeds, Newcastle, Cambridge, Manchester, Leicester and Cardiff. The academic case studies from North Yorkshire actually show the different nature of publishing sites from an academic context compared to MAP2. In the case of Stinghamires Gill it was the desire to publish as a wider volume, whilst at Malham Tarn the whole concept of a single site-based narrative and contextualisation has been secondary to using facets of the evidence to produce high impact academic papers. Indeed, the very purpose of much academic-based work is to study specific questions or even to provide material for PhD theses, and is at odds with the preservation by record approach of most projects identified in this research. The case of Kellington, albeit a singular case due to its background, shows that academics are no less liable to being hampered by a combination of financial restraints and personal failings than archaeological units.

The data for final main classes of excavator — units and private individuals — show disparate publication rates, which also vary according to area. Archaeological units are more likely to

publish successfully in Staffordshire and actually measure up well against the rates of other types of record (Figure 7.12). Conversely, the rates for units in North Yorkshire are the lowest (excepting county council excavations) across both regions. These trends are discussed in more detail in Chapter 7.4.2. In contrast to these somewhat gloomy figures, individuals have a much higher success rate in North Yorkshire, and one of the highest overall publication rates for any class of excavator identified in this research (Figure 7.12). This is undoubtedly due to the rich culture of individual, small-scale research that existed in North Yorkshire in the middle years of the twentieth century wherein, despite the large gaps previously highlighted, a culture of publication by a skilled 'amateur' class was firmly in evidence. By contrast, those individuals in Staffordshire were more often simply interested laymen or pseudo-antiquarians (or local schools), with no connection to a local society and often not inclined to publish in a formal manner but simply to 'excavate' for the sake of discovery.

7.4.2 The planning process and the role of units

Investigations prompted through the planning process are the largest single group of investigations for each area, but also the largest source of part published grey literature. In both counties, the majority of all *excavations* prompted by the planning process end up in this medium (Figure 7.13). Previous discussion of these reports has shown that some are adequate publications for the level of results, but that the majority are lacking in some significant regard. This is particularly true for North Yorkshire, where 75% of all excavations that have results of regional or national significance are only reported via this medium, and with the majority lacking content that would consider them completely published. Contrast this with Staffordshire and it is evident that not only is there a gap between the quality (and suitability) of grey report produced, but that Staffordshire has more sites that reach a traditional publication in a journal (Figure 7.13). These figures beget two key questions, why are so many sites only ever written up as grey literature, and why is there a discrepancy between the two regions?

The case studies from each county have shown that the large number of part published grey literature reports is a consequence of the implementation of PPG16 and the role and significance of archaeology within the planning process, as well as ambiguity in what constitutes a suitable publication (see Chadwick 2000). In some cases the final grey report is considered a suitable record of the investigation by the Local Authority and thus preservation by record is seemingly achieved. Conversely, there are clearly cases identified where the final report does not have the requisite detail and understanding to be considered fully published. These cases are often a mixture of shorter reports, often produced on a limited budget to provide a basic record of events (in conjunction with the physical archive), as well as post-excavation assessments designed to engender further analysis and publication. The former are

a reflection of the formative days of PPG16 and a lack of guidance about the desired content of a report. The latter, as testified by the case studies, often represent a sincere desire, and indeed need, to publish further that is either hindered by a lack of co-operation from the developer or the Local Planning Authority, or by personal or organisational failings (see Chapters 7.4.2 and 7.4.3).

The case studies from North Yorkshire illustrate the extent to which the fate of post-excavation work is dictated by the attitude of the relevant planning authority. In particular the legal inability of a County Archaeologist to leverage any pressure on the developer once a planning condition has been signed off, and the fact that conditions are often signed off by the Local Authority at the earliest opportunity. The exception, in both counties, is major infrastructure projects such as road schemes and underground cables which fall outside of the usual planning process, where the regional or governmental department will consult with the relevant authority, but is classed as a form of permitted or necessary development (Cullingworth and Nadin 2002, 143). In the case of roads this has a negligible effect on publication, indeed these schemes have generated a healthy funding of archaeological projects in both counties which can run contrary to prevailing trends.

In a response to a call for comments on proposed changes to the planning model by the Planning Inspectorate in 2010, members of ALGAO England highlighted the ambiguity over completion of the planning conditions in relation to programmes of archaeological investigation. The following condition was highlighted as being open to abuse or misunderstanding:

“No development shall take place within the area indicated until the applicant or their agents or their successors in title has secured the implementation of a programme of archaeological work in accordance with a written scheme of investigation which has been submitted by the applicant and approved in writing by the Local Planning Authority” (ALGAO 2010).

In the same report ALGAO draw particular attention to the analysis and publication/dissemination of results and deposition of archive which may take place months or years after commencement of construction works. Some local authorities and developers consider conditions met upon completion of the excavation itself, thus providing a break in the traditional chain of excavation, assessment and dissemination/archive. This seems to have been the case for much of the post-1990 history in North Yorkshire. In Staffordshire there has been no overarching county-wide situation, with support for archaeology varying between the district and borough authorities and thus publication rates varying considerably (see Chapter 5.8).

Thus a county archaeologist such as for Staffordshire or North Yorkshire may find themselves dealing with a large number of individuals from various districts, each with their own priorities and perceptions of the implementation of PPG16. This is clearly not a simple task, and the need to balance local economic considerations with guardianship/protection of heritage assets is a constant and often laborious and controversial role (ALGAO 2010). If one considers the sheer size of North Yorkshire – even excluding National Parks – it is easy to understand the scale of the task confronting *one* individual. Simply ensuring that archaeological mitigation takes place and a grey report is produced may itself be enough of a battle.

Only in exceptional circumstances does there appear to be provision for substantial post-excavation and publication built into projects from the outset, and of these the majority are examples of coordinated schemes such as highways and gravel extraction (in Staffordshire) where such costs are a minimal proportion of the overall development budget. Considering the relative lack of big infrastructure schemes in Staffordshire, and bearing in mind the numbers that are not fully published, the successful reporting of less-well funded sites from the area can be considered a minor success. Not only are sufficient grey reports being produced with enough resources to enable an adequate level of reporting and synthesis, but funds are also being secured for post-excavation via traditional outputs. This relative success is due not only to the efforts of curators within local government, but also the capabilities of units such as BUFAU and Oxford Archaeology. Furthermore, success and a demonstration that developer money is not misspent may act as a rationale for applying for post-excavation budgets. Conversely, if funded post-excavation work for publication does not produce tangible results the opposite may be achieved. The developer or planning authority may simply cite examples of failure as evidence of why extra funds may not be produced. Once this becomes the norm it may be harder to justify this at the developer's expense, where previously a client report has sufficed.

Considering the link between archaeology and development control, it is informative to look at the economic and political backdrop to the decisions being made that ultimately decide whether post-excavation funds can be provided by the developer. However, there does not appear to be any overriding correlations between these factors (Figures 7.14 and 7.15; Tables 7.1 and 7.2). A lack of publication is evident in nearly all areas, irrespective of the contemporary economic backdrop: for example in Staffordshire excavations are equally likely to not reach an adequate publication status in the relatively prosperous Lichfield, as economically deprived Stoke-on-Trent. Similarly in North Yorkshire all significant urban excavations undertaken under the planning process have failed to achieve adequate publication, irrespective of economic context.

This lack of a clear correlation in Staffordshire may be explained by the personal/organisational failings of sites such as Sandford Street in Lichfield which *did* have funds for post-excavation work. Moreover, it is also clear that Stoke-on-Trent, the poorest urban area in the county, has comparatively the lowest publication success of any of these areas (Table 7.1). Only one site – the lecture theatre site at the City General Hospital – seems to have secured funds to achieve a phase of post-excavation and publication work, and it is interesting to speculate as to why this was so. The economic statistics show that the hospital development occurred in one of the most prosperous part of the city, and associated with a major development. These two factors may not be unrelated of course, with economic inequalities and inconsistencies in urban regeneration common in England, often with an effect that certain areas of a town or city are prone to relative poverty (Dorling 2010; Stewart 1994; Turok 1991). The effect of this on archaeological work may be two-fold, on one hand re-development may be less likely to happen (see Chapter 3.5), on the other when it does it may be relatively small in scale, and perhaps with smaller profit margins to facilitate detailed archaeological study. As examples from Stoke-on-Trent have shown, these smaller projects are also those most at risk from economic catastrophe. In effect, it may be suggested that the capacity (or will) of developers to fund extra phases of work under the MAP2 model is limited. The fate of a project is as much tied to its contemporary economics as the skill of its excavator.

In North Yorkshire any correlation between publication and economics is almost impossible to discern due to the overarching lack of any post-excavation funding that was not provided retrospectively by the County Council or associated with major infrastructure work. However, as with Staffordshire the lack of funding, or what appears the lack of motivation to apply or suggest funding for further phases of post-excavation work may be dictated by the economic reality of many of the developments. For example, all of the excavations in Scarborough are relatively small scale part-excavations ahead of (residential) redevelopments of small plots and each in areas of economic deprivation (Table 7.2). As with Stoke, the capacity for securing extra funds from – it is assumed – small-scale developers may simply be impossible. However, can one simply base the rationale of applying pressure for further post-excavation funding on the perceived wealth of the developer? It may be inferred that regardless of the wealth of the depositor, once the precedent has been set of not pursuing further funds, the status quo is even more difficult to overturn.

Behind the attitudes towards archaeological mitigation and provision of suitable funds for post-excavation may also be overriding political considerations. Advice given and decisions made by Local Planning Authorities are ostensibly neutral and, although political support is essential, the individual decision makers themselves are not influenced by party politics (Blowers 1980, 3). However, the extent to which this is universally true and that decisions are

wholly removed from prevailing political opinion is debatable, as planning is increasingly regarded as having an impact on daily life, and policies subjected to rigorous public scrutiny (*ibid*). Furthermore, the bulk of experience from the PPG16 era shows that, despite the successes of preservation *in-situ* or mitigation, archaeology is just one material consideration in the process that is based on the relative benefits of all factors to the local community (Cullingworth and Nadin 2002, 232-235). Long delays or large post-excavation bills could raise concern from councillors who are often eager to be seen as facilitating efficient development (Killan Petty Review 2008; Local Government Association 2014). Further considerations and concerns on behalf of the developers are that they should not to be treated as cash-cows, and for delays within the process to be at a minimum in order to avoid incurring additional and unforeseen costs (Chadwick 2000). Indeed, since 1995 Local Authorities have been liable to recompense developers for any serious delay to the provision of land through planning consent for the deposition of spoil from mineral extraction (*ibid*). The need to ensure a smooth process post-decision through to sign-off is both politically and financially expedient for local authorities.

With all these pressures in mind it is not simply a case of labelling one particular party as pro-development or anti-archaeology. It is true that a part of the Conservative view has traditionally been for private (under the label of community) development, as demonstrated in recent drives towards localism and more deregulation of the planning process (Hinton 2013). However, this is balanced by those within the party to whom conservation, in some quarters labelled *nimbyism*, is a key concern (Larkham 1999, 117-118). Furthermore party politics at a Local Authority level has historically been driven both by national agendas, but also heavily regionalised requirements, policy and perceptions (Hall 1999). As with economic data there are no clear trends in these comparisons (Figure 7.16 and 7.17), with political control by all major parties – and periods with no overall control – coinciding with failures and successes. In the case of North Yorkshire there is no clear distinction between party political control and archaeological considerations attached to the planning decision, or why post-excavation has been considered a rare luxury. A possible explanation may simply be that due to the frequent uncertainty at local government level, with many districts characterised by periods of no overall control, that there has historically been little conformity on approach to archaeological concerns. As experiences from studies of local government efficiency has demonstrated, continuity and the security that entails often leads to consistent approach but also increased attention to practice (Blowers 1980). It may be suggested, if not confirmed that the relatively uneven control of local government in North Yorkshire may well have meant that establishing, or being able to establish, a culture of post-excavation funding has been hard to achieve, or simply not a priority.

This is not to declare that inconsistency in council control is an overriding factor however, as Staffordshire shows that Stoke-on-Trent, historically a Labour dominated council, has one of the poorer modern publication rates. It is also during the period of Labour City Council control that cuts to the Museum Service were made, a series of decisions that ultimately led to the end of the monograph series and Museum service which had served as a useful publication outlet for excavations in the area (Goodwin *pers comm.*; Lawley 2003). Stafford Borough, which has one of the better publication records, also has one of the more chequered political histories (Figure 7.16). A point of interest here is that until recently, the borough council employed a designated archaeologist and assistant, to liaise with county council based colleagues and non-archaeological personnel. However, as with Stoke-on-Trent the provision of localised archaeological advice was brought to an end by financial cuts and re-structuring of planning departments across all parts of the county. The effect of this change is not apparent in the data examined by this thesis, its long term effects however, based on the trends noted above, may be detrimental to the area.

Title	Authority control	Status	Local authority	Deprivation score for local area
Burton Abbey	Conservative	Complete	East Staffordshire	37.49
15 Sandford Street	Labour	Part	Lichfield	14.13
9-21 Greenhill	Labour	Part	Lichfield	22.65
Spencroft Road, Holditch	Labour	Part	Newcastle-under-Lyme	25.93
Earl Street	Labour	Complete	Stafford	31.84
Stafford Mill, Mill Bank, Stafford	No overall	Complete	Stafford	31.84
4 Chapel Street, Stafford	No overall	Part	Stafford	31.84
Sheridan Centre, Stafford	No overall	Part	Stafford	31.84
Browse Antiques	No overall	Part	Stafford	31.84
Silk Street	No overall	Part	Staffordshire Moorlands	25.64
New lecture theatre, City General Hospital	Labour	Complete	Stoke-on-Trent	34.25
Trent Pottery,	Labour	Part	Stoke-on-Trent	34.41
Greengates Pottery, , Tunstall	Labour	Part	Stoke-on-Trent	43.69
Diamond Gimson Works, Fenton	Labour	Part	Stoke-on-Trent	46.78
Market Place, Burslem (Ceramica)	Labour	Part	Stoke-on-Trent	64.49
Hadderidge Pottery,	Labour	Part	Stoke-on-Trent	64.49
Old Foley Pottery, Fenton	Labour	Part	Stoke-on-Trent	64.49
Peel Arms Hotel	Labour	Complete	Tamworth	40.14
Tamworth Castle	Labour	Complete	Tamworth	40.14
Lawn farm	Labour	Part	Stoke-on-Trent	44.44

Table 7.1: Urban planning-led *excavations* of regional significance from Staffordshire with economic deprivation score and Local Authority political control. Deprivation score derived from the Indices of Deprivation 2007 for Super Output Areas produced by the Office for National Statistics (ONS) under the National Archives Open Government Licence OGL)

Title	Authority control	Status	Local Authority	Deprivation score for area
Ripon Cathedral Crossing	Liberal Democrat	Not	Harrogate	13.01
Priory Close, Northallerton	Conservative	Part	Hambleton	22.73
5-6 Friarage Mount, Byland Avenue, Northallerton	Conservative	Part	Hambleton	22.73
Knaresborough Bus Station	Liberal Democrat	Part	Harrogate	10.49
The Moss Arcade, Market Place, Ripon	Liberal Democrat	Part	Harrogate	15.73
33 Market Place, Harrogate	Liberal Democrat	Part	Harrogate	15.73
Ripon Market Square	Liberal Democrat	Part	Harrogate	15.73
Ailcy Hill, Ripon	Liberal Democrat	Part	Harrogate	13.01
42 Wheelgate, Malton	No overall	Part	Ryedale	19.06
11-13 Wheelgate, Malton	No overall	Part	Ryedale	19.06
11-13 Wheelgate, Malton Phase 2	No overall	Part	Ryedale	19.06
West Lodge, Castle Howard Road, Malton	No overall	Part	Ryedale	5.980
Former Quaker Meeting House, St. Sepulchre Street	No overall	Part	Scarborough	44.59
5 Coastguard Cottages, Paradise	No overall	Part	Scarborough	44.59
Springfield	No overall	Part	Scarborough	44.59
Blenheim Street	Conservative	Part	Scarborough	61.14
Larpool Hall	No overall	Not	Scarborough	23.11
3 Little Studely Close	Liberal Democrat	Part	Harrogate	4.170

Table 7.2: Urban planning-led *excavations* of regional significance from North Yorkshire with economic deprivation score and Local Authority political control.. Deprivation score derived from the Indices of Deprivation 2007 for Super Output Areas produced by the Office for National Statistics (ONS) under the National Archives Open Government Licence (OGL)

7.4.3 Personal failure

A key factor common to sites of all periods and regions is the relative failings of the individuals involved. This can extend to Local Authority archaeologists and their relationships with non-archaeological bodies (above), to the extent where post-excavation is simply not considered as an option for many sites of significance. However, the most common failing is simply that many individuals never produce the final publication they have been required to, and nearly always funded to, produce. In some cases this is mitigated by a lack of time and funds to do so, as well as the workload from other projects. In the case of Rocester 'Old Shops' site the departure of the original project director led to a hiatus in securing funding for further analysis and publication that was never taken up by others within the unit; a situation eventually compounded when the organisation later shut down. The Rocester site is an example of how important the role of the individual in terms of successfully completing a project. This importance has continued into the commercial era with all the specialist knowledge and personal relationships with developers and consultants that this entails. The sudden departure of such a key role leaves a hole, and draws comparison to previous decades and the importance of the level of involvement of director at sites such as Fatholme or Bedern Bank in determining a successful outcome. Even in cases of successful publication, often achieved retrospectively and after significant passage of time, the role of the lead excavator or director is paramount in understanding an archive.

Similar to Rocester is the case of the post-excavation for Sandford Street, where the delay in producing a publication was the consequence of re-working by the site director that was, then compounded by closure of the unit involved. In this case post-excavation was apparently progressing fairly smoothly until a re-appraisal of the stratigraphy, based on the specialist pottery report, triggered a drastic re-interpretation. However there were no funds to pay for this additional work. Some might indeed ask whether the developer, after providing the funds to do the post-excavation work including the time for a pottery specialist to provide a report, should then feel an obligation to continue to fund what may be perceived by a layman as 'tinkering'. Conversely, from the archaeologist's viewpoint there is surely a duty to understand and publish the site to the best of one's ability; is a flawed and potentially inaccurate publication even worth producing at all?

Other examples have illustrated the extent to which personalities involved can dictate publication strategy, and hence failure. Even considering the mitigating circumstances (in this case size of works and emergency excavation respectively) of excavations at Park Hill and Spofforth, it is clear that NAA have been unable to provide an adequate publication as stipulated in the various written schemes and post-excavation strategies, even when supported by direct intervention by the County Council. Comparisons from both counties have shown

that particular units are more successful at producing suitable publications (both grey reports and journal articles) than others. In general it may be observed that those less able to produce a suitable publication are the smaller organisations, although as highlighted no one single unit has a 100% record. Without further evidence it is difficult to speculate further as to why this may be without veering into difficult territory. However, it may be suggested that larger organisations may be better placed to absorb large volumes of work, both in the field and post-excavation. It may also be suggested that the most successful units (in terms of publication) are those that are used to producing publications and reports for large sites; in Staffordshire this has historically been BUFAU with smaller numbers from Oxford Archaeology, and in North Yorkshire those organisations from outside the area – namely YAT, ASWAYS and Durham.

A special note may be made about the contrasting fates of many rescue projects highlighted by this research. As discussed, many projects in the 1960s and 1970s were undertaken by the same individuals such as Tony Pacitto or Bob Meeson, under various institutional guises and funding sources. Even with post-excavation funding, which appears to have been lacking in many cases, it is almost impossible to understand how one person could have been expected to see so many projects through to completion. In some cases, such as Tamworth, this has been compounded slightly with what may be deemed a degree of personal ownership of the site and archive. In the case of North Yorkshire, and those individuals such as Pacitto, it is remarkable that any projects were published at all. With this hectic and often geographically disparate schedule it was almost inevitable that publication of sites such as Oxclose were doomed to failure. Sites such as these may represent collateral damage as the discipline struggled to reconcile a response to the rescue threat with the realism of the ensuing backlog. Of course this struggle did evolve, and the example of Bedern Bank shows the extent to which post-excavation procedure, at least for projects with government funds, became more structured. However, as with Bedern this was inevitably undermined by the importance of the site director to completion of the process. In this case the director has admitted a degree of professional culpability, and accepted that the individual's academic responsibilities were partially attributable to the delays and holdups, but there is still a feeling that often a post-excavation task is too much for one busy person to handle.

The examples cited above come from rescue and planning-led projects. However, the bulk of cases in North Yorkshire where an individual person is culpable are academic projects. The overarching concerns of many of these projects seem to have been personal priorities and academic cachet. In the case of Malham Tarn the director has no qualms with the publication strategy being based on high impact academic papers. Indeed, this is the modern role, if not duty, of the academic; to ensure as high a score in the periodic Research Excellence Framework (REF, formerly the Research Assessment Exercise). A high REF score boosts not only the

individual but the department and university, with subsequent professional and financial benefits for all. In addition, funding grants from bodies such as the Arts and Humanities Research Council are often based on the importance of the academic outputs, with pressures to ensure that projects represent as much academic value for money as possible (Martin 2011; Smith *et al* 2011, 10). In this light, not prioritising a site-based publication is rather more understandable. Conversely, if we are to expect that academia is not going to produce archives and publications on a par with those expected from the planning-led sector, especially with greater funds at their proposal, should they even be undertaking major excavations at all?

The reverse of the high-significance publication is evident at the site of Stingamires Gill, where the results, whilst of clear significance in understanding the relationship between ecclesiastical power and lay industrial centres around Rievaulx, are arguably not as high *impact* as those with international interest such as Mesolithic occupation sites at Malham and Star Carr. Thus the pressure to publish, exacerbated where funding has not come direct from a major funding council, is lessened. Indeed publication of a less significant site may fall down a list of priorities, especially those with a demonstrable higher rating in REF. This is exacerbated when an individual leaves academia, and publication is no longer an obligation, but a personal interest.

A final note on academic practice is the suitability of the sector to undertake major campaigns of excavation. As Kellington shows, a busy academic with simultaneous priorities to other research projects as well as teaching and bureaucratic responsibilities, may not be the best person to organise the post-excavation and publication of a large project. Lessons from the commercial sector have shown that the skills required to manage any sizeable project are many, and often accrued through decades of experience coupled with vocational training (Chadwick 2000; Chitty 1999; SCAUM 1999). Examples from successful modern academic excavations studied by the thesis have tended to be relatively small-scale, such as the selective ground-truthing at Catholme by University of Birmingham (Chapman *et al* 2010). Even then, the majority of post-excavation work was undertaken by members of the associated commercial unit (Bain *et al* 2005). However, even where there is publication success, the final report is often produced some time after the end of excavation; for example the final publication of recent works by Newcastle University at Thornborough was produced nearly 10 years after the end of the project (see Harding 2013). The academic sector is often critical of the outputs and mechanisms of commercial units (Bradley 2006; Lock 2008); it is only justifiable to turn this criticism back and ask, considering the issues raised here, if universities are still best placed to undertake large excavations.

7.4.4 Catastrophe

Throughout this thesis the various case studies have highlighted the determining role of what may be termed catastrophe, both on a personal and organisational level. At the more serious end of the spectrum has been the debilitating effect of illness of the director of excavations, such as Fatholme. Although in this case it may be respectfully suggested from letters within the archive that post-excavation and publication plans had already gone awry, the incapacity of the director ultimately seems to have curtailed any attempt to see the project through to completion. Perhaps because of the personal link between excavator and archive, the death of the leading practitioner often seems to close the door on many projects. In these cases it is tempting to take a step back and ask if, in the context of a person's health, an archaeological publication really matters. Indeed, could the stresses and strains of budgets, timetables and pressures from colleagues, funding bodies, developers and local authorities even add to the severity of an illness?

The experience from Stoke-on-Trent has also highlighted the importance of the durability of the developer, or in this case the susceptibility of certain developers to fluctuations in economic markets. The polluter pays principle works, until the polluter no longer exists and funds still need to be provided. The notion of catastrophe can also be turned on its head and seen from the point of view of the developer or planning authority. In the cases of Spofforth no significant archaeological remains were thought to be impacted by the development: the discovery after planning assent had been given of a major early medieval cemetery was undoubtedly a shock to the developer. The costs of covering post-excavation analysis of a large number of burials was no doubt not factored in their original plan and, speaking objectively, any resistance to funding such work is understandable. The unforeseen or unexpected has impacts at every level.

Although all correspondents questioned over the course of this thesis have remained professional in their responses, and have not apportioned direct blame to personnel either living or deceased; it is not hard to look at some answers and see evidence of what may have been very strained relationships between individuals and between organisations. From the start, it has not been the intention of this thesis to descend to the level of archaeological soap opera, with a litany of 'he said, she said' anecdotes that do little to explain but simply add potentially libellous colour. However it is clear that people fall out, disagree and on occasion, justly or unjustly, lose jobs. The process of undertaking fieldwork and post-excavation in relatively high-pressure commercial situations, with the impact of delay having repercussions for development, is not a cold by-numbers process. An interesting example is that of Rocester where, with the director leaving BUFAU, the archive and duty to complete reporting resided with the organisation, not the individual. This contrasts with the previous rescue model

where, as at Oxclose or Bedern Bank, responsibility resided (or still resides in the case of the latter) with the excavator no matter for whom they have subsequently been employed. In all cases the end result has not changed, although it is evident that the departure of the Rochester director completely derailed any impetus the project had. As with illness and death the departure of an individual project director adds a very human limitation to even the most rigorous of management plans. Even with all the guidelines and recommendations of a system like MAP2, the role and health of the individual at the centre of the process is a fundamental if unmanageable factor.

7.4.5 Site context

The broad statistics for each county have generally shown that excavations from urban excavations are marginally less well published than equivalents from rural contexts. The figures for unpublished rural sites from both counties are dominated by the myriad of works by individuals and local societies undertaken under the banner of research; very little research is ever undertaken in an urban context by academics or local societies. Any comparison between urban and rural thus becomes a fairly uneven representation of the allure of extant countryside monuments to those often ill-equipped to publish. If research investigations are removed it become evident that urban investigations are consistently, and significantly under-represented in the archaeological record (Figure 7.18).

A significant hindering factor seems to be the relative complexity of urban sites, which often have a high level of finds compared to many rural late prehistoric, Roman and early medieval sites which in both counties are often aceramic (Roskams and Wyman 2007; Watt 2011). As Sandford Street illustrates, reconciling dating evidence from large pottery assemblages with the deeper stratigraphic record is not a simple undertaking. Indeed, in a comment on MAP2 Malt and Westman (1992) argue convincingly about the problems of implementing an assessment of stratigraphy; as such many of the urban reports classed here as partially published lack an overall discussion of stratigraphy and phasing. In addition, urban sites are usually part of a larger matrix of investigations undertaken over multiple decades. A key part of the post-excavation and publication process is reconciling phasing and interpretation with the records from other interventions. It is perhaps easier to place an isolated late prehistoric site in its context through a geographic overview, than to understand and explain the history of a site that, as with a densely investigated locale such as Scarborough, exists as part of a wider whole. This is not of course a particularly shocking discovery, as the difficulties and cost of urban excavations have been covered in detail elsewhere (Roskams 2001). It is though pertinent to highlight the discrepancy that exists, even in a county such as Staffordshire where publication has, in the main, been actively pursued (Figure 7.18).

Urban publication rates can depend as much on who was undertaking the work and the relevant requirements and restrictions of working within a planning context (Table 7.3). However it is also clear that in Scarborough and Stoke-on-Trent there has been historically been a successful culture of publication using a local publication vehicle. Post-PPG16 both of these areas has seen little publication as the Stoke Museum Series has ceased to exist, and as support for publication through the planning process in North Yorkshire has not been reliable. A secondary factor may also be the move away from local units/groups undertaking the majority of the work and thus a break with using these local outputs. Although difficult to illustrate via statistics, over the course of reviewing outputs from both these areas it is evident how a strong local knowledge of an urban area benefits both the understanding and explanation of how a site fits into its wider context. Reports by members of the Scarborough Society are particularly strong in this area, and represent a continuation of a research ethos, even when undertaken in a rescue context, across several decades. It is significant that Scarborough, even with modern-day problems in publication rates, is the only town in North Yorkshire to have a synthetic overview of its history and archaeology based on evidence from fieldwork (Pearson 2005).

The analysis of the publication rates by archaeological periods and functions of sites has generally indicated a level of self-fulfilling prophecy in each region; the more a particular type of site is excavated the greater the chance of it failing to be published. This is particularly true of extant upland monuments, whose fate often rests on who excavated them, or post-medieval sites which even in Staffordshire (with its rich industrial heritage) can be overlooked. In Stoke-on-Trent, the area with the densest concentration of significant post-medieval/modern monuments excavated, this has coincided with the demise of the museum unit and their in-house monograph, as well as the documented economic factors that have curtailed developer funding. However, another consideration is a lack of significance attributed to more recent archaeological periods in many grey literature reports. This may be a consequence of the primary aim of many excavations, which in towns with rich medieval and early medieval evidence are based on examining these periods as a priority. However anecdotal evidence from Stoke-on-Trent has suggested that some units, unfamiliar with local pottery types, are sometimes incapable of producing adequate reports (Goodwin *pers comm*). In North Yorkshire there is less of an urban heritage, with industrial monuments often located in a rural context. Thus when excavated, it is often by a mixture of local societies and academics with the problems of publication faced by these groups.

Analysis of North Yorkshire has shown the significant number of early medieval and medieval cemeteries not fully published. In these cases it is evident that the underlying factors such as lack of post-excavation support through the planning process, as well as personal failure, are only exacerbated by the task of analysing and publishing large numbers of human remains. As

such, cemeteries represent a very specific type of rural site that struggles to achieve a suitable level of publication, even when supported by analysis by research students as at Spofforth. It is perhaps no coincidence that the only published cemeteries from North Yorkshire (West Heselton and Whitby) have all been supported at some stage by financial assistance from Historic England. At least in North Yorkshire, publication of these sites is thus the exception rather than the norm, and the polluter pays principle clearly does not work for the level of work that is required. In these cases there may well be justification for the state intervening to support the process of these significant sites which are, generally speaking, not excavated frequently.

Area	Excavations	Unpublished	Part published	Not fully published
Scarborough	34	9	6	44%
Stafford	27	8	4	44%
Stoke-on-Trent	46	11	10	45%
Tamworth	20	7	3	50%
Knaresborough	5	2	1	60%
Whitby	5	2	1	60%
Norton	19	12	0	63%
Malton	7	1	4	71%
Ripon	14	4	6	71%
Lichfield	14	5	5	74%
Richmond	4	0	3	75%
Northallerton	2	0	0	100%
Thirsk	4	3	1	100%

Table 7.3: Publication rates for *excavations* from major urban centres.

7.5 Discussion

The preceding analysis and comparisons have highlighted many factors which impact upon the successful publication of archaeological excavations. There is clearly no single overarching statement or hypothetical scenario which explains all cases. On the contrary, the reporting of each project is a consequence of a melange of size, complexity, availability of resources, skill and objectives of the practitioner, as well as the presence or absence of catastrophe or unforeseen events. It is also clear that, as excavation becomes dominated by commercially-led excavations, publication becomes a compromise between the key individuals responsible for

the development and its place within the planning mechanism. As the histories of the two counties show, this compromise is dependent both on the availability of resources, but also the relative political strength of the planning archaeologist to negotiate favourable terms. This in turn creates a culture of publication, as previous examples can be cited as an example of why things should be done in a certain way. Despite the very obvious gaps in Staffordshire's publication record and the decline in use of a county journal as a final repository, it is clear that a culture of reporting has persisted. With the demise of units such as BUFAU, as well as increasing cuts to local authorities, it is pertinent to ask how long this will continue.

In many ways it is the history of practice in an area that dictates this expectation, and it is perhaps no coincidence that a smaller area such as Staffordshire, with two prominent units in place, and one with an in-house reporting mechanism, should have the better record. North Yorkshire is undoubtedly a victim of its size, and the rather fragmented and individualistic outlook, with much more localised traditions. Throughout most of its modern history the region has not benefited from the presence of a large unit such as BUFAU or WYAS, and although such a presence is not a guarantee of publication, it is evident that bigger is sometimes better. Post-excavation is a skill, and organisational memory, a larger pool of staff as well as access to in-house specialists are all important tools. That being said, the localised character has benefited North Yorkshire in part, with the ability of amateurs prepared to act as mini-rescue units meeting with considerable success. However, despite the occasional successes, the publication history of North Yorkshire can be characterised as an example of diminishing returns; the more that is excavated the greater the proportion of sites not being appropriately reported. At times it seems, the monument-dense uplands have become something of an archaeological buffet, but with increased research has often come a negligence to adequately publish.

In both areas, but particularly North Yorkshire, it is the proprietary nature, or feeling of ownership of a site or archive by a particular individual that is an ever-constant. Other authors have highlighted the deeply personal link between excavator and excavation, as reputations and myths are made and thus become part of the disciplinary experience and lexicon. As far back as the Second World War Francis Grimes (1944) could remark on the "big man" in excavation and the lack of professionalism and standards that this sometimes entailed. Although times have changed and notable doyens of excavations and publication such as Rahtz and Cunliffe have done much to advance the discipline of fieldwork, it is hard to avoid the feeling that the cult of the big man has sometimes persisted. There are in the case studies hints and inferences of stubbornness, understandable in many cases considering the attachment to a long-standing piece of work, which sometimes acts as a hindrance rather than a help.

This sense of ownership and the importance of the individual is not be totally disparaged, as evidenced in many cases referenced by this thesis it is the concerted efforts of many individuals that have not only secured funding, but seen a project through to completion. As Meeson remarked about the Tamworth water mill, it is unlikely that government funds would have been secured without the efforts, and celebrity, of Philip Rahtz. However, the reverse of this situation, particularly in the case of rescue sites, is that there have never been enough funds to cover all projects. As such many simply begin to fade into obscurity, the archives misplaced, and the results and knowledge of a site limited to a single paragraph in HERs and local journals. It is tempting to suggest that this represents something akin to natural wastage, and that older relatively less celebrated projects are perhaps best left as a relic. However, as other sites at Tamworth show, there is still value in the archive, and that publication status is not an indication of worth or value, but simply of the myriad of factors that may complicate the life of an excavation after the excavation stops.

The discrete historiography of each project speaks of an increasing uncertainty on what publication should really be. To an academic it is a career-defining paper, or set of papers; to the hard-pressed unit manager it is a factual report covering all curatorial requirements and produced to time and on budget; to the local society it may be descriptive paper in a local journal, or increasingly a freely available report disseminated online. What is perceived, and actually constitutes, a complete publication thus becomes more fluid than the rigid criteria used by those that measure such things, including this project. As much as the preceding analyses have quantified the extent to which publication has not been achieved, it has also begun to indicate that what is generally considered to be a complete publication is no longer consistently achievable, or even intended. As an example, is interesting to note how the aims of academia and commercial archaeology have diverged so significantly, to the point where a shelf full of journal papers or monographs covering the detail and synthesis of all regional or national excavations of a period or region is no longer achievable. As an aside it has been noted, especially in North Yorkshire, that there is increasingly the risk of disconnect between academia and the local knowledge base: HERs. Many research excavations are often not recorded, and have no written report deposited with these organisations, and this dangerous precedent for the wider discipline if this is allowed to continue.

Chapter 8: Conclusions and discussion

“Don’t record anything unless it merits a sentence in the interim report”, Extract from Rahtz’s light-hearted review of Barker’s *Techniques of Archaeological Excavation* (Rahtz 1978, 127).



Plate 8: *Stuck in the mud?* Machining at Ripple Quarry, Worcestershire (Worcestershire Historic Environment and Archaeology Service 2008)

8.1 Key themes for discussion

Archaeology is a cyclical discipline, and the strength of the knowledge base is fundamental in dictating the types of response and research undertaken (Lee 2012). However, the analyses presented have illustrated the extent of bias, inconsistency and fragmentation in the excavated archaeological record. If it is hyperbole to say that the epistemological foundations of the subject are flawed, it is not unreasonable to observe that they are unsteady. There are significant problems with the nature of the excavated record, its written form and increasingly, its accessibility.

Even before studying the written outputs, it is evident that *where* we excavate has been dictated more by contemporary threat, preconceived significance and existing cultures of excavation than by any attempt to build a balanced national or regional record. These concepts of archaeological core and periphery have been raised in relatively recent Research Frameworks (Last 2012; Roskams and Whyman 2007b), but the scale to which intrusive investigation has historically been skewed has hitherto not been studied in detail. As ongoing projects such as Roman Rural Settlement and EngLaId are discovering, even before examining the nature of the archaeological evidence, there are important and insightful issues regarding bias, representation and their impact on modern perceptions of landscape to consider (Cooper and Green 2015).

The archaeological record is not just contextually fragmented. As the attempts to compile comprehensive and accurate information have shown, the historic and extant recording systems are themselves diverse, and at odds. As with the existence of geographical bias, this is not necessarily a novel discovery. Inconsistencies have been raised by others and the very nature of objective recording in databases questioned (Newman 2011a; 2011b). Indeed, the data sources discussed here, HERs, AMIE, OASIS, BIAB and AIP, are all reflections of the strengths and weaknesses of their producers. As the proposed future of historic environment recording moves towards a more interoperable model, the days of such disparate sources may soon be at an end. This presents a positive move towards data integration and relative simplicity in identifying events and sources. However, as also shown by this study, any such integration will also require a large degree of reconciliation, which may not always be achievable.

Most significantly, the analyses of publication rates from Staffordshire and North Yorkshire have shown that in the decades since the beginnings of rescue archaeology, only half of all sites excavated with significant results have been fully published. The sheer scale of the publication backlog, of sites that have little record, or those that are lacking key technical components, analyses and explanation is such that what we may consider the written

archaeological record is merely *a 50 percent sample of all the significant evidence ever excavated*. In some ways this is fitting of the PPG16 approach, which has been to treat archaeology as a quantifiable and objectified resource. Just as one would half-section an archaeological feature such as a pit, assuming that this would provide an indication of the characteristics and date of the whole, so the published record may be a broad indication of the nature of the excavated evidence. The data and case studies discussed have shown that such a representative sample omits a much richer and vibrant cultural landscape. Large sites such as early medieval cemeteries, Roman settlements and post-medieval ceramic factories all lie unpublished, whilst small yet important insights into the nature of our historic towns lie restricted to archive.

As the case studies have shown, the causes of these failures to meet the publication benchmark are myriad. Primarily these have been time and money, but also the unseen factors of illness, misfortune and personal failure. Importantly however, whilst this situation can be decried, it is also an almost universal truth that no excavator has undertaken work determined *not* to publish. In this regard, the situation can be turned on its head and the question asked: is it the individual failing to publish or is the publication model failing the individual? Even considering the relative successes seen in Staffordshire, it is clear that within a development context, with the ambiguity in what constitutes a publication and the frequent lack of power to enforce additional phases of work, it is almost impossible to have every project published following the modern model and perception of publication. The cases presented from both counties have shown that the nature and notion of archaeological publication has changed, and approaches to *dissemination* must evolve.

8.2 Learning to love the flaws

There have always been biases in the geographical distribution of excavation. Yet as much as these have been periodically highlighted there has been an assumption that the twin strands of rescue and research may somehow reconcile to create a more balanced record of investigation (cf. Last 2012; Powlesland 2011). As the evidence shows, this is clearly not the reality, as archaeological responses have become increasingly prompted by threat instead of thought. This bias need not be an immovable and purely negative observation, providing such imbalances are incorporated into curatorial and research practice. Indeed, the notion of the archaeological record as a cultural landscape forged by modern factors and histories rather than a static and discrete entity ties in with the theoretical move from PPG16 to NPPF (Flatman and Perring 2013; Hodder 1993). As recent projects have shown, statistical biases can be overcome and facilitated into understanding, or themselves become a source of study (Cooper and Green 2015; Roskams and Whyman 2007b).

It is these historiographies of regions and people, with common and unique trends and stories that are overlooked in many traditional archaeological studies of place or landscape. Introductions to a study, including those in this thesis, begin with a summary of what *is* known or the production of a gazetteer or map of sites from an HER to produce a level of baseline information. These are of course valid and necessary, but perhaps what we should also be mapping is the archaeological histories behind those maps and inventories; a level of understanding to counteract the biases in excavation and publication. As the analyses of excavation trends in Staffordshire and North Yorkshire have shown *where* and *what* is investigated is the consequence of a myriad of geographical, cultural, personal and economic factors. Thus it may be argued that the excavated record has become a palimpsest of people and times, not an objective or neutral resource.

At a pragmatic level, trends and biases may be factored into the new generations of Research Frameworks to identify areas for investigation and refining notions of significance (Last 2012). In an article written over 25 years ago, Evans suggested a need for a critical “archaeography” (1989, 446) of the discipline in order to promote a self-awareness of the limitations of what we are interpreting. Based on this thesis, part of the reflective critique should be to ask what we don’t know from the evidence we have painstakingly collected, and furthermore if what we do know is actually representative of the regional or national picture it is intended to represent. Frameworks for research must be prepared to pinpoint the unknown, to explore their own weaknesses and provide the level of reflection required by any mature discipline (Fahnestock 1984). By learning to love the flaws, we are provided with the opportunity to not only reconnect the cultures of research and practice, but at a pragmatic level actively highlight the areas where academia can contribute and even help plug the physical and theoretical gaps.

8.3 The future of event recording

At the time of writing the future of the recording of archaeological events and sources in England is at a crossroads. A proposed redevelopment of OASIS in-line with Historic England’s Heritage Information Access Strategy (HIAS) offers a more coordinated method of collating and disseminating data at local and national level (Gilham and Hardman 2015; Historic England 2015). Within this model the emphasis is on efficiencies gained from reducing duplication and effort, standardisation and single points of access to online resources: primarily through use of OASIS as the collecting mechanism for grey literature. The new OASIS form looks to offer a degree of customisation and flexibility required by the relevant HER, but with an emphasis on a more minimalised form of recording, so called OASIS-lite, and increased capacity to link at the point of creation with other records (Gilham and Matthews 2015).

In this new model there is no place for the AIP, which ceased to receive funding from Historic England in 2012 (Buxton *pers comm*). The relationship between the Excavation Index and HERs is less clear. An exchange of data between the two has been proposed, with the NRHE acting as a unified national security copy of records split between the 80+ HERs, with access via the Heritage Gateway (Boldrini *et al* 2015). However, based on the historic issues identified by this thesis, and the threat to many HERs through ongoing cuts to Local Authority services this model is open to threat. In a worst case scenario it may end with only some HERs available online, or respective staffing levels inhibiting any efficient concordance. As is currently the case, the capacity to collate and share data may become dictated by economic fortune, rather than necessity.

In addition, reviews have shown that perceptions, attitudes and use of the OASIS system vary across the sector (Gilham and Hardman 2015). For every successful area such as Suffolk or Cambridgeshire, where completion of an OASIS record is a requirement in every WSI, there are others such as North Yorkshire where this is only recommended or inconsistently used. The latter may well be a consequence of the impotence of curators to enforce use of OASIS if a planning condition has already been discharged, and that chasing errant contractors is often time-consuming and thus not a priority. Conversely, contractors will not use OASIS if they feel the curators are not enforcing it, or if they see a demonstrable lag in information throughput (*ibid*). Thus non-use of OASIS becomes cyclical. Where it works, it works. Where it doesn't, both curators and contractors are loath to use it.

So how do you get people to use OASIS? It is hoped that the redeveloped OASIS will present such a smooth experience that uploading a report to the ADS becomes almost effortless. Tied with this should be an increased volume of works by the sector emphasising the importance of online grey literature, case studies, exemplars and success stories of reuse. There should also be increased promotion of OASIS by CIFA. At the time of writing the CIFA code of conduct requires a member to make the results of archaeological work available, to quote:

“4.2 A member shall accurately and without undue delay prepare and properly disseminate an appropriate record of work done under his/her control, which may include the deposition of primary records and unpublished material in an accessible public archive.” (CIFA 2014b, 6-7).

Specifications for excavations state:

“Where it is possible to submit a record to an appropriate online index, a record should be completed and supplied within an agreed timeframe to ensure that other practitioners are aware of work in progress.” (CIFA 2014b, 13).

However, although the latter adds an addendum of “OASIS or its successor or equivalent” (*ibid*), there is no firm advocating of OASIS or detail on the exact nature of what constitutes this record or the requirement to include a report. This ambiguity is in part a consequence of the UK coverage of CIFA, with Wales traditionally not using the OASIS system but with Trusts compiling and uploading directly to their own system (ArchWilio). However, without the full backing of CIFA, OASIS will risk continuing as a partial digital record.

In addition, as *how* we should be recording is debated, attention should still be given to *what* we are recording. Traditionally OASIS has recorded rich metadata, primarily for use by the AIP, regarding the type of development, site status (i.e. protected or scheduled), planning application reference, developer name and so forth. However, with the demise of the AIP and the proposed OASIS-lite model, this metadata risks not being recorded widely. Although the option will remain for those HERs which wish to continue using the traditional form, it is hard to envisage too many organisations spending additional time recording this information, if they don't have to.

Although understandable in an attempt to provide an efficient service in a period of funding cuts, the move away from the compilation of richer metadata is perhaps short-sighted. As the case studies of planning-led investigations have shown, the written outcome of an archaeological work is often dictated by the type of development, scale of works, relative wealth of the developer and the requirements of Local Authority planning departments. Only by recording and understanding these factors can we then begin to understand the levels of archive produced. Simply recording thesaurus terms about the archaeology encountered (when, what, where) is insufficient, and we risk ending up with rather mundane catalogues of information, with little indication as to why it was produced.

Although metadata compiled by OASIS has been inconsistent and never provided externally outside the AIP, this contextual metadata is pivotal in understanding the types of site, responses, limitations and pressures that have gone into creating the final record. For example, a researcher may want to study the archaeological response to pipelines or mineral extraction across the country (see Brown 2009), to examine the respective levels of post-excavation provided or even to test some of the trends identified in this thesis. This type of deep analysis is, despite their clear strengths, not possible in the event models of HERs and AMIE. By going back to basics, any new OASIS would perhaps be at odds with the notions of *preservation by understanding* eschewed in NPPF.

8.4 The future of publication

This thesis has identified a number of issues which contribute to a collective failure to produce an adequate dissemination output. Some, such as illness, death and economic failure are simply unavoidable, and for the people involved may take on a graver significance than the loss of archaeology. Nevertheless, there are steps that could be taken to alleviate the problems of publication. In the first instance this would be to re-visit the practice of archaeological fieldwork and the model of site-specific developer funded publications. The second would be to embrace new models of dissemination in order to mitigate the impact of catastrophe.

8.4.1 Competence-based requirements and new funding models

Many of the case studies discussed in previous chapters have highlighted the variability in the capacity of organisations and individuals to produce the outputs expected, and indeed paid for. One solution to prevent the accumulation of backlogs would be a move towards a permit system, based on proven competence of excavation and publication. This has been suggested previously, initially by Grimes (1944) in the midst of the first throes of rescue, but latterly by CIFA in a series of interviews to inform the draft Heritage Protection Bill (CMSC 2008, 34). Ultimately, the proposed bill failed to be included in the Government's Draft Legislative Programme and, although elements of heritage reform have subsequently passed through Parliament, key issues such as licencing remain unfulfilled. However, the need for some kind of licence to operate is still highlighted as a fundamental requirement, although now tied to an organisation or individual providing demonstrable value to society (Southport Group 2011, 25).

If a state issued licencing system was introduced, as in other parts of Europe, careful consideration would have to be given to how this was implemented and policed. Who would be the arbiter; CIFA or Historic England? How long would a licence last, and would mitigating circumstance such as ill-health be considered? There would also have to be some kind of agreement with Higher Education funding bodies that such a licence would also be a requirement of undertaking intrusive investigation as part of a grant, not only to provide a level of consistency, but also to ensure that research works do not become perceived by commercial archaeologists as a "soft option". Different levels of licence could also be introduced, with only those organisations or individuals with a demonstrable history of meeting the requirements of publication allowed to undertake larger-schemes of work. A potential issue here would be the increasing level of state control clashing with the freedom of enterprise principles contained in EU common market regulations. It is informative to look to France and the case of INRAP, wherein the French Parliament ruled that preventive archaeology did not constitute a commercial or trading activity thus deciding that rescue

works should not be treated as a service to developers but as a service for the public sector (Demoule and Audouze 2002). Based on the evidence presented by this research, such a licence is not only desirable, but is arguably essential.

Other suggestions have been made to restrict those able to undertake work, notably the frequent suggestion of a return to Local Authority units (Chadwick 2000). In this case such a move would also be coupled with the introduction of a tax on all developments that would then go into a central fund administered by the relevant authority (*ibid*). The unit, in conjunction with the curator, would then be able to choose which sites were excavated and be in control of post-excavation budgets; effectively a combination of the old Rescue model and the polluter-pays principle. This ambitious move would perhaps face some opposition from the local authorities themselves; at the time of writing there is a demonstrable trend in the closure of the old county council units due to ongoing budget cuts (Aitchison 2011a). In addition, after 25 years of competitive tendering and expansion of units across county and even national borders (*ibid*), it is impractical to simply return to the regional unit model. However, this thesis has demonstrated that quite often a strong local unit has a greater capacity to publish efficiently and accurately. If a licensing system (see above) is introduced, and given the precedent set by the French ruling in classifying excavation as a public service, there must be scope for including regional expertise within.

The suggestion of a centralised fund has many benefits, especially if tied to a refined notion of what constitutes a publication. If clear objectives in excavation and wider dissemination are identified from the outset (see Southport Group 2011) strategies can be made and catastrophe or the unexpected reacted to. It would also go some way towards alleviating the difficulties of value judgments (i.e. when to push for further funding from the developer) on the curatorial archaeologist. However, such a scheme may have inconsistencies at a national level: returning to economics it is evident that there is disparity in wealth within the country. As with council tax (DCLG 2012b), an archaeological levy could vary across the regions relative to levels of development, or the value of the development. This could result in larger funds in areas such as Greater London or the Southeast. As examples from Staffordshire and North Yorkshire have shown post-excavation work is already tied to the ability of a developer to pay, however disparities in regional funds may thus only continue or exacerbate this trend. Furthermore, the establishment of an overarching tax could be perceived as penalising development in poorer areas, perhaps deterring it altogether. Such disparity would only exacerbate existing discord in excavation trends, but also pay-scales and distribution of archaeologists (Aitchison and Rocks-Macqueen 2013, 86-92). Thus although based on an ideal to create a more flexible system, such a tax could end up creating a wide schism between the haves and have nots of English archaeology.

Intervention by the state for failing projects may be another solution, and in this regard Historic England has already funded a number of retrospective publication and archive security projects from rescue and PPG16 excavations (Buxton *pers comm*). However, the capacity of Historic England to intercede and support via *NPPF Assistance* is precarious, both financially and ethically. The former is a consequence of the ongoing budget cuts to Historic England, which reduces the money available to commission new projects. The latter reflects the detachment of Historic England from the developer–pays principle of PPG16 and successor legislation; whereby only in cases of exceptionally strong regional and national significance can funds be applied for. Applications may only be made by the relevant curator (i.e. not the contractor or developer) and must not be deemed to cover curatorial failings and errors (Buxton *pers comm*). To do otherwise is to tacitly admit that PPG16 and successor legislation is not working.

8.4.2 Different modes of publication and dissemination

Regardless of whether competence-based licencing or development taxes are introduced, it is evident that our modes of dissemination have to evolve. The current system of getting developers to cover post-excavation costs for production of traditional publications is not working for a large number of sites studied by this thesis. Although mitigated by the failures of specific people and units, it is an undeniable truth that curators are often powerless to enforce provision of additional funds under the MAP2 model. Indeed, under MAP2 and the production of an assessment level archive and report, the possibility that important sites may be delayed or not funded is not considered. The most recent guidelines for excavations produced by the CIFA, which are based on the MAP2 model, still highlight the importance of the post-excavation assessment:

“3.4.3 A post-excavation assessment report should be produced, and this report will form part of the project archive. It should include a statement of the quantity and perceived quality of the data in the site archive, a statement of the archaeological potential of the data to answer the project research aims, and recommendations on the analysis and data storage and curation requirements.” (CIFA 2014b, 12).

In this model a post-excavation project design is produced and a plan of publication developed:

“3.8.2 Subject to the post-excavation project design, the publication report should normally contain sufficient data and references to the project archive to permit interpretations to be challenged. Similarly, reports should normally integrate the results of specialist analysis with the site sequence, in order to ensure that important

data are not overlooked, and an informative, interesting account is produced. The assistance of independent advisers may be sought to enhance academic quality.

“3.8.3 If, following post-excavation assessment, a formal letterpress or online journal publication report is agreed not to be warranted, consideration should be given to the availability of the digital report to ensure that the results of the project are widely available for future researchers and for Local Authority advisers.” (CIFA 2014b, 14-15).

In the harsh economic realities of twenty-first century England with the pressures on local authorities to be pro-development, especially for provision of new housing (Cleary 2015), it is perhaps naive to expect traditional archaeological publication to be funded by the developer in a two-stage process. In addition, it is clearly not possible to publish every excavation in a journal or monograph format. There is neither the time, finance or in the case of journals, space, to use these outputs as a mechanism for reporting *all* significant excavations in a timely manner. The archaeological discipline has to accept therefore that grey is here to stay. What is needed is a shift in perception and appreciation of what grey literature is, and furthermore what these reports *and the archive* can achieve.

In the first instance it may be time to stop referring to the reports produced through the planning process as grey literature. The term itself was first coined in the late 1980s to describe a range of materials such as conference proceedings and speeches that were not to be found through traditional publishers, yet still part of the academic communication medium (Schöpfel 2011). Since the mid-1990s it has crept into the UK archaeological vernacular to describe the reports being produced from the early days of PPG16, often inaccessible and deemed of poor quality (Aitchison 2010; Chadwick 1998; Vince 1996). However, the continued use of the term by archaeologists has ignored the benefits as perceived by the library and information science communities (Schöpfel and Farace 2010). Indeed, within this group increased access to grey literature via web-based dissemination, coupled with open access to previously subscription-based journals, has led to levels of grey becoming blurred to the point of an existential uncertainty in the validity of the term itself (Schöpfel 2011). Prompted by the need to (re)establish what is grey in the modern world, the term is currently nearing its third official incarnation, with the most recent (proposed) Prague definition suggesting that it:

.. stands for manifold document types produced on all levels of government, academics, business and industry in print and electronic formats that are protected by intellectual property rights, of sufficient quality to be collected and preserved by library holdings or institutional repositories, but not controlled by commercial publishers i.e., where publishing is not the primary activity of the producing body.' (*ibid*, no pagination).

The inferences for archaeology are clear; what we consider our grey literature is but a drop in the wider semantic ocean. Where then does this leave those documents generated through development-led investigations? In my opinion, while they are clearly a *type* of grey literature as covered by the Prague proposal, the application of this term in respect of reports from commercial investigations has perhaps outlived any original usefulness. Not only is it semantically limited, but it is also a disciplinary relic that, while once understandable in the wake of the publication crises in rescue and PPG16-funded projects, has become a cultural misnomer. The results of the GLADE survey (Chapter 2.3.2) and some of the examples cited in the county-based analyses have highlighted the capacity for reports to be high quality outputs. Even for larger excavations, it seems that the advent of online dissemination has provided an alternative publication route that may not be via a journal or monograph, but is still generally of a good quality and a product of a mature field discipline. In addition, semantic quibbles notwithstanding, the interpretation of the phrase still pertains to the more negative aspects of the idiom that are, in reality, becoming redundant. Given these modern developments, the use of the term 'grey literature' seems more and more like the relic of an obsolete vernacular.

At the time of writing, the perception of grey literature (or perhaps more accurately *reports*) as demonstrated by the CIFA guidelines is still dictated by the distinction between archive/statement of fact on one hand, and a higher level of synthesis providing a story or understanding of a site on the other. The capacity to create informed and detailed reports is clearly in evidence in both counties, but due to the MAP2 model these often act as a Frere Level III.5, awaiting an extra surge of funds and enthusiasm to create that higher level output. Indeed, towards the end of the period studied here, fieldwork reporting has not only begun to successfully act as part of the archive but, for smaller sites, provide that level of understanding. It seems only a cultural tradition that means that any synthesis, or *thinking*, is only done via a formal academic output. As others such as Seymour (2010) have noted, this dichotomy in content dictated by publication medium is prohibitive but pervasive. As this thesis has shown the journal only model is no longer achievable or representative, and in persisting in trying to achieve this often impossible goal the discipline is doomed to repeat the same mistakes. To continue to *always* follow a traditional model will be to remain endlessly churning out identical grey literature reports that are good, but somehow never quite good enough.

What then is the answer? In the first instance, and as shown in cases where post-excavation funding is unlikely or, for smaller sites, not required, there is a strong case for having a publication via digital grey literature *only* strategy from the outset. That is, to move away from always producing a post-excavation assessment that disingenuously assumes that funding is forthcoming to produce another stage of analysis. Admittedly, this is easier to accomplish where the nature of the site to be investigated is known, and funds for adequate

post-excavation and production of a report can be included in the initial project design and WSI. The key is then to allow the grey literature report to include a level of interpretation and synthesis that moves it out of the oft derided dry statement of what was found.

Part of this strategy should be less emphasis on reports as archive, as stated in the CIFA guidelines and MAP2 model. Again, this is controversial and anathema to current practice where reports produced as part of planning condition are themselves conditioned to be statements of fact and observation (cf. Aitchison 2010a). With the increased capacity for producing large reports with tables and figures and appendices these often become mini archives masquerading as literature. Whilst this is understandable, it is in many ways a duplication of what should already be in the archive with some interpretation and assessment of significance appearing at the end. The inclination to treat the final report as a combination of statement and archive is undoubtedly a consequence of a culture where the two are physically disparate.

We are on the cusp of a period where the traditional inferiority of archives may be about to change (cf. Hills 1993; Evans and Moore 2014; Thomas 1991). At the time of writing several local authorities now include in their briefs the obligation to archive digital material with the ADS. Thus, at a stroke material hitherto hidden in storage boxes is now publicly accessible, and can be referenced (for example see Wessex Archaeology 2011). Perhaps more faith should be put on the original archive, and more of the reporting left to presenting insight and interpretation. This proposed use of archives is nothing new. This is how Frere, Cunliffe and others have always envisaged the two levels of archive and synthesis being integrated. Due to the capabilities of web-based dissemination and a centralised repository in the ADS, and by placing the cost of archive deposition on the developer, the capacity to achieve this has finally arisen over 30 years since it was first proposed. As capabilities to do something different arise, the discipline must be ready to change and to embrace the grey literature report and the archive as a matter of obligation and opportunity.

The increased emphasis on a truly accessible archive also offers opportunities for reuse for larger-scale synthesis. A recent pilot study in the Thames Valley has shown the relative simplicity of assembling plans (as shapefiles) from disparate units to create a landscape-wide snapshot of the excavated archaeological resource (Morrison *et al* 2014). This process of assembling landscapes could be enhanced through the proposed model of archive as publication. In addition, the increased dissemination of the archive could, in theory, be used to allow not only re-use, but perhaps also landscape level publications by other researchers; a model of publication by the archaeological community. This echoes some of the original aims of the 1992 SoA report, particularly the idea that projects could be commissioned to publish synthesis of specific themes or locales. To take Crossgates or Lichfield as examples, if the data

from groups of similar sites was published, a research project based on re-using the archives could provide the required level of understanding desired by the community. Perhaps the answer to the publication problem is not to think about the minutiae, but to think big and incorporate the skills of those in units and academia.

There are problems with this proposed model. The first is the issue of quality in reports produced through commercial fieldwork which, although demonstrably better since the beginnings of PPG16, can still be variable. Considering however the levels of peer-review from curators to which these reports are subject, and increased professionalism of many units and standards and guidance from the CIFA, especially if a licencing system is introduced, this should be reduced. In addition, and as mooted in the introduction to this thesis, the increased visibility, use and citation of digital reports introduces a level of informal peer-review. Additionally, there may be a case for more significant sites to bring in external academics or other authorities to produce or contribute to a statement or section on significance and wider understanding of the site. Just as one would employ a pottery specialist to provide an assessment of the ceramic assemblage, so one could also contract researchers to provide an assessment of significance against existing research objectives and wider thematic issues. This may be somewhat optimistic, and the timeframes of academics and contracting units may not be harmonious, but considering the freelance role of many researchers, for example Barbican Research Associates or Field Archaeology Specialists, there are qualified and respected researchers at hand to provide such a service. Such an example can be seen in the grey literature report produced for a scheme of works at Rendlesham, Suffolk, which incorporated an academic advisor (Caruth *et al* 2014).

The second issue may be the familiar enemies of time and money. The implementation of digital archiving requirements places the cost of deposition on the depositor, and in cases such as North Yorkshire such additional costs may not be popular, and if not supported by local authorities keen to keep development costs to a minimum, impossible to implement or police. That being said, the costs of digital archiving are relatively low, and the potential impact of increased online dissemination is a demonstrable output to show to developers and local authorities that the works they are funding are producing reusable data. Indeed, these digital outputs can be used by those within development to create their own datasets (Rutkin 2015). There is also the issue of policing the system, with added burdens on the curator to ensure archives are deposited correctly. As seen with reporting, this ability may be inhibited by pressure from the developer and planning authority to sign off a project with expediency.

In the case of archives, as with the production of a written output, there is a need for increased sector wide policing by the CIFA. The importance of producing a final publication (in the wider sense of the term) and physical and digital archive are enshrined in the most recent Code

of Conduct (CIFA 2014c). Under this code, the CIFA has the capacity to revoke membership for any organisation in breach. However it is debatable as to how effective this may be as, although some local authorities insist on a developer contracting a CIFA member, this is still not the case across the whole country. However, it seems counter-intuitive that in a culture that is increasingly tied to notions of value for money that local authorities and developers would not want the best service provided. If wider benefits of development and mitigation are the goals of local authorities, then having a clear, transparent and tangible output such as an online archive with images of finds that can be reused by experts and layman alike is clearly a necessity. Thus if the benefits of an increasingly digital model are emphasised, it not only builds the case for contracting CIFA members only but in turn promotes an increased trust and transparency between developer, authority and archaeologist, perhaps with increased benefits for those cases where additional post-excavation funding is required.

8.5 Towards integrated dissemination

As stated in the CIFA guidelines quoted above, there are certain steps that can and should be made to pursue an affordable and integrated model of publication. Although suggested for development-led sites, especially where securing funds for further work is clearly problematic, it should also be mandatory for research projects. Indeed, this thesis has consistently highlighted the extent to which academic projects can remain unpublished, with the results often invisible to those outside a specific sphere of interest.

Initially, a grey literature report produced to the highest quality possible – in terms of content and presentation of supporting data – and digital archive should be produced and disseminated online via a subject specific repository at the earliest opportunity. Thus, regardless of any later traditional publications, the core record of the event is freely available for reuse. It may be argued that rapid publication of data may introduce errors or discrepancy within datasets. However, this may be countered by suggesting that surely no dataset is ever 100 percent accurate, but always a reflection of the creator. To hide behind a fear of inaccuracy is thus to leave an archive (and report) subject to the possibility of catastrophe that has affected so many projects studied by this thesis. An example of this positive model can be demonstrated by the recent excavations at Heslington East, York. In this case the grey literature reports and digital archive, including specialist finds databases, plans and images were all made available online shortly after the completion of the final phases of excavation and assessment (University of York, York Archaeological Trust, On-Site Archaeology, 2013). Since the point of publication, there have been nearly 400 unique downloads from the archive, equating to approximately 1 every 2 days since its release (*ibid*). Although not immediately stratospheric, it is a demonstrable reuse of a dataset that would otherwise be restricted to a physical archive, or perhaps still on local systems and portable media. If we consider the definition of

publication provided at the beginning of this thesis (Chapter 1.4.1), the reuse of Heslington East provides a clear example of a work that serves to record and disseminate information derived from fieldwork.

At this point, an important distinction should be made about the nature of online dissemination. At the time of writing the trend for organisations to disseminate reports via their own websites is increasing (MoLA 2015). Although many of these reports are also hosted via the ADS — the websites of Oxford and Cotswold incorporate exports of metadata from ADS to enable them to link back to the record— others are not including their reports via the ADS but on their websites only. This further fragments the archaeological record, and also negates the security offered by an accredited digital archive such as the ADS. This lack of national coordination contrasts with the situation in the Netherlands, where organisations undertaking development-led work are obliged to deposit reports with the national digital repository: Data Archiving and Networked Services (DANS) as fulfilment of the quality standard in Dutch archaeology (Hollander 2014). Such a national requirement is perhaps impossible in England by legal enforcement, but can be written in to briefs and WSI's issued by Local Authority curators, and endorsed by the CIFA as a mandatory requirement.

The importance of the success of OASIS cannot be overstated. If it does continue as only a partial record of the country, we risk creating a digital divide in information accessibility that only exacerbates existing biases in the record. The dangers of creating new zones of core and periphery based on use of online resources should be publicised. As we enter a new phase of working digitally equal measures of training, support, pressure and encouragement should be given to curator and contractor alike. In ten or twenty years' time we should be looking at OASIS and asking serious national and regional questions of the data produced. Users should be re-energised as to *why* they are using the system, seeing the benefits and remembering a time when people did not follow a common data standard, as much as our generation are asking why people did not publish in journals.

8.6 Final thoughts

Over the course of this research the overriding mood has veered between pessimism and optimism. At first the challenge of compiling the national datasets and the opportunities to present new analyses based on use of databases and GIS was pervasive. Looking back at the history of archaeological recording, the possibilities of performing these simple yet effective analyses on a national or local level went beyond the capabilities of our predecessors. This thesis was able to build on the achievements and perseverance of generations of curators and information managers. This was constrained somewhat by the resulting confusion and inconsistency in these data sources but, even considering these problems, one can be cautiously

optimistic for the future. Lessons have clearly been learned, and an integrated model such as that proposed for the new OASIS and BIAB with integration with HERs offers much potential for the future. In ten years' time, it is hoped that someone performing a similar study will be able to access the events and sources for the county or region with ease and efficiency. Major undertakings such as Roman Rural Settlement should not have to spend time on lengthy data collation exercises, and should not risk omitting important results due to holes in the wider record.

The future of the written record is perhaps immediately less optimistic. It seems there are demonstrable and sometimes immovable factors that prohibit the effective and comprehensive transfer of information to knowledge. As archaeological work begins to increase after the hiatus of the recent recession, it is less obvious that problems with traditional approaches to publication have been heeded. Studies by Roman Rural Settlement and ALSF show that North Yorkshire represents a particularly bad example of contract-led publication that does not ring true of all areas of the country. However, as long as such disparity in the types and content of written reports remains, we are in danger of creating a myriad of fractures and inconsistencies within our knowledge base. To address these problems we must be willing to change. In times of economic austerity and when heritage and the historic environment may be deemed by those in authority to represent a challenge to development, or even a luxury, archaeology must begin to think smarter, not simply wait for a pot of money that may never arrive.

At the beginning of this research there was a determination not to dwell too much on grey literature, a topic that is covered in depth by many other authors and studies. However, this discussion has inevitably returned to this medium. At first it was with pessimism at the respective levels and quality of grey literature identified in the study areas. Latterly, and with a degree of hindsight, the grey literature problem becomes more of an opportunity. Compared to the rescue era, where many projects have only been salvaged with large levels of state funding, and where many projects still lie in publication purgatory, the production of some form of written and accessible report *is* a success. Furthermore, looking at modern examples of the genre and the potential of online dissemination and linking with electronic archives the potential becomes evident: an open, accessible and flexible format that can include or link to the capabilities of modern software and go into great detail, with no hindrance of word limit or numbers of images. Part of this data should be an evolved corpus of grey literature that eschews plain statements of observation with an increased emphasis on understanding. Let the well documented archive speak for itself, and revisit the *literature* aspect of a much derided corpus.

Finally, the future of a digital method of integrated reports and archive must be handled carefully. Standards must be set, quality must be maintained, and researchers and developers

enthused as to the possibilities of the datasets produced through commercial archaeology. Indeed, the researchers of the future must be challenged or encouraged to engage with this data. Just as past researchers have used the archives of artefacts to build new understandings, so should others build on projects such as Roman Rural Settlement and AIP to ask new thematic and methodological questions of the data that is theoretically at their fingertips. To do otherwise, and to remain focussed on the primary role of traditional publication outlets, will be to ignore the lessons of a linear and static publication process that is in danger of becoming unachievable in many cases. If the archaeological discipline is to move forward and to exorcise its epistemological ghosts it must change, adapt and begin to investigate new models of dissemination, practically and theoretically. If it does not, it is doomed to be stuck in a Sisyphean cycle of never-ending publication crises.

Figures

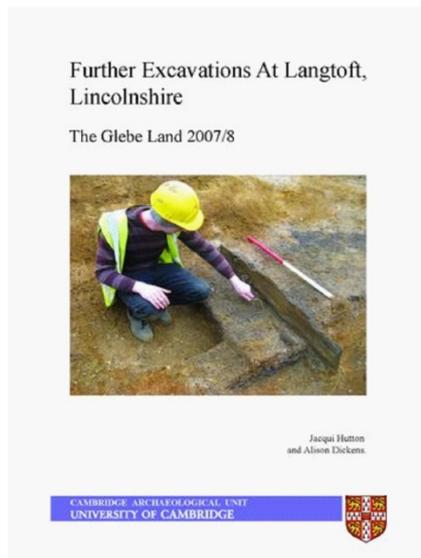
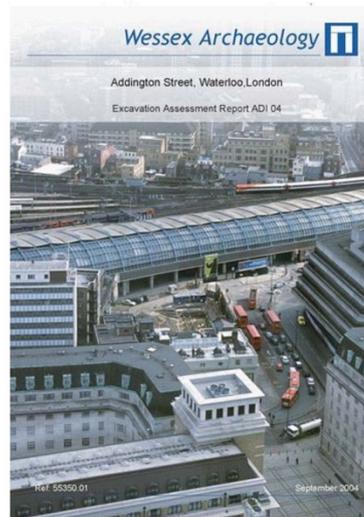
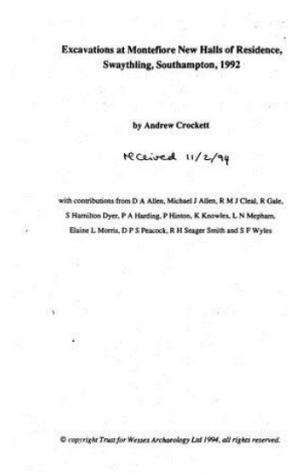


Figure 2.1: Covers of grey literature reports from commercial excavations 1990-2010

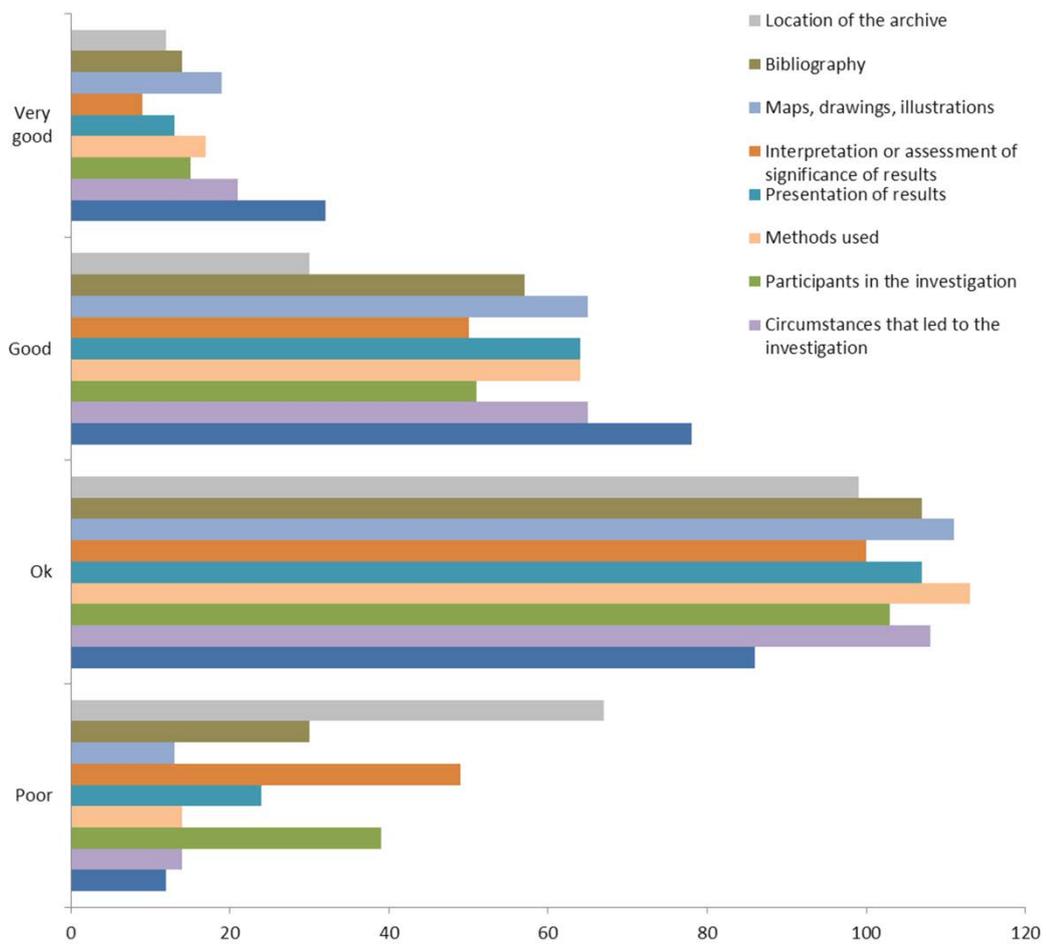


Figure 2.2: Perception of grey literature quality from responses to the GLADE survey, figures show all responses for a particular category (for example Bibliography) split according to the given grading (after Hardman and Evans 2010, fig. 4.6.3)

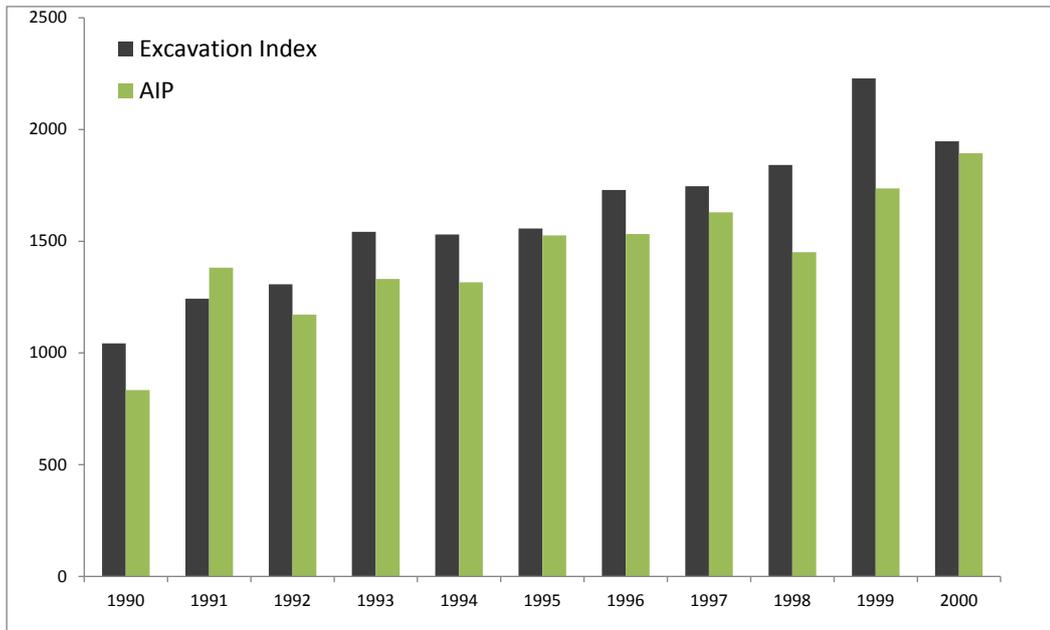


Figure 3.1: Investigations recorded in AIP and Excavation Index 1990-2000. AIP data incorporates all records identified as post-determination/research and evaluation excluding those where the technique is only building recording, geophysical survey or watching brief. Excavation Index data is restricted to records identified as excavation or evaluation.

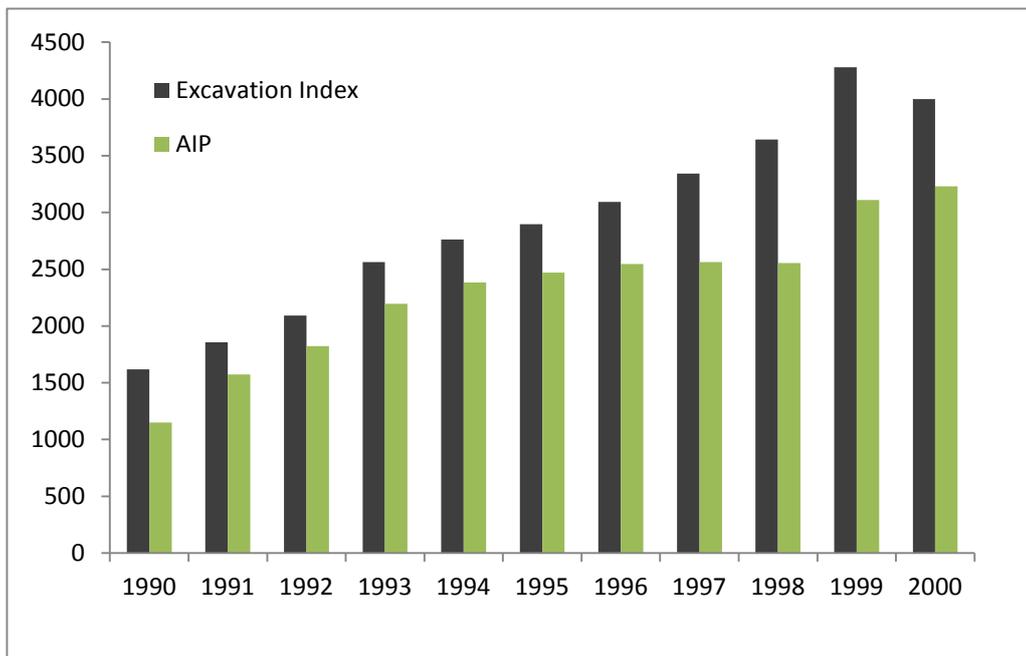


Figure 3.2: Investigations recorded in AIP and Excavation Index 1990-2000; includes records from both sources identified as watching brief.

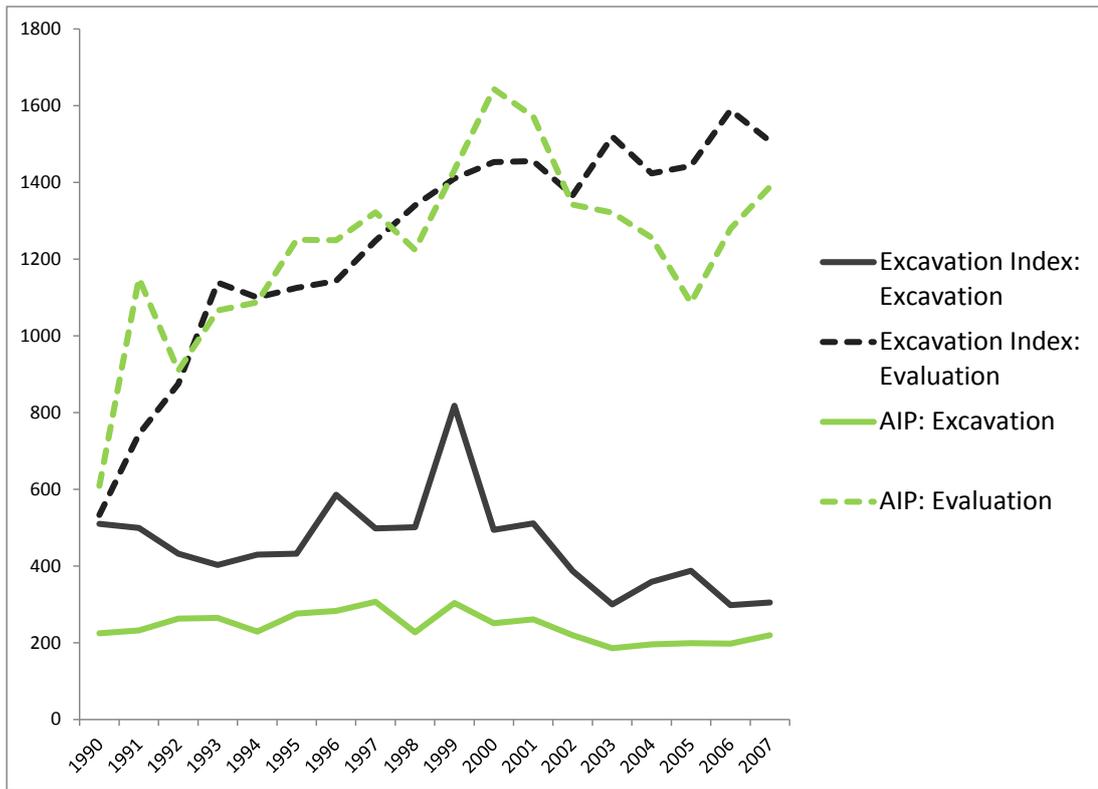


Figure 3.3: Evaluations and excavations from AIP and Excavation Index 1990-2007

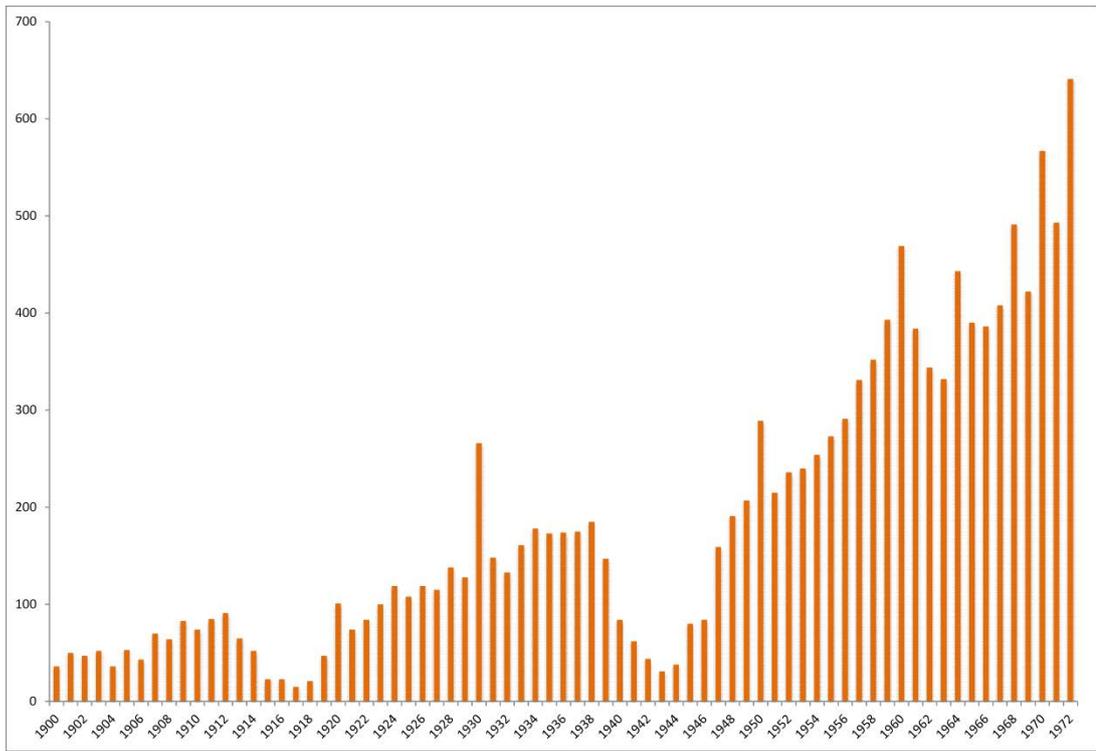


Figure 3.4: Investigations 1900-1972 [Data from the Excavation Index]

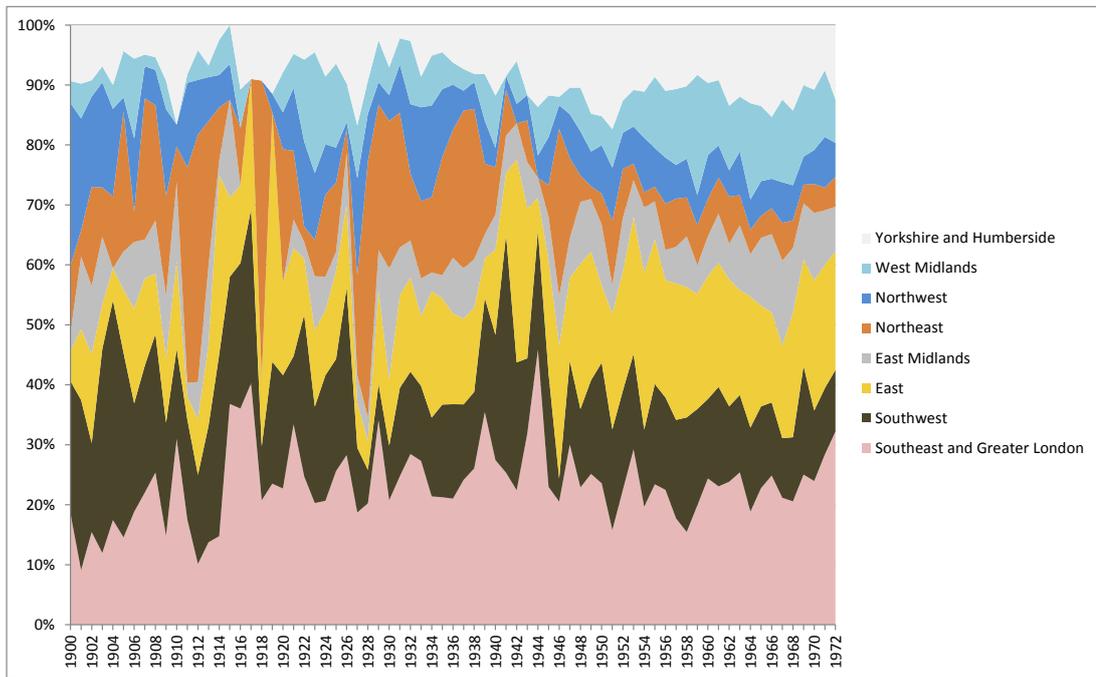


Figure 3.5: Breakdown of investigations by region 1900-1972 [Data from Excavation Index]

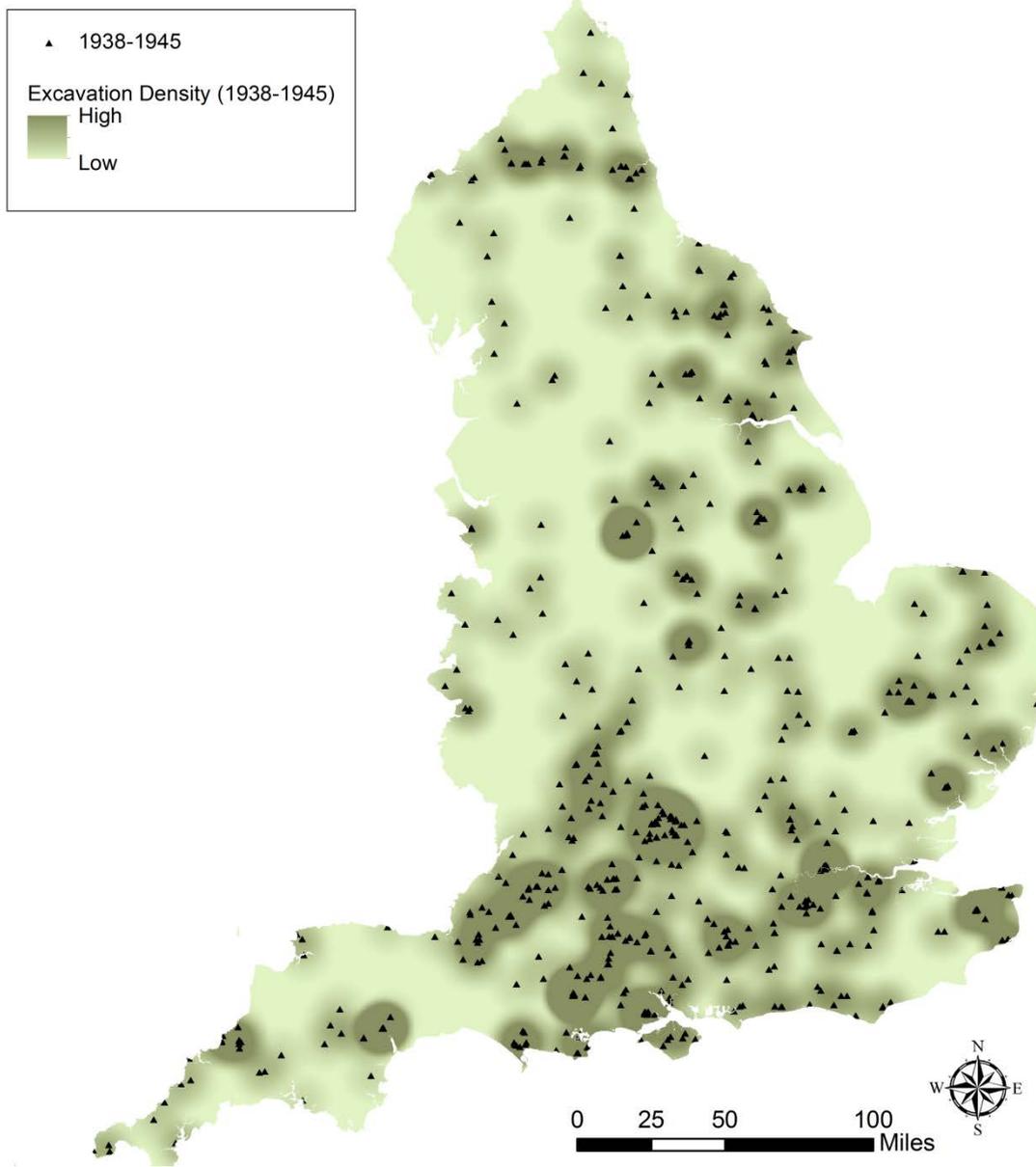


Figure 3.6: Density map of investigations 1938-1945 [Data from Excavation Index]

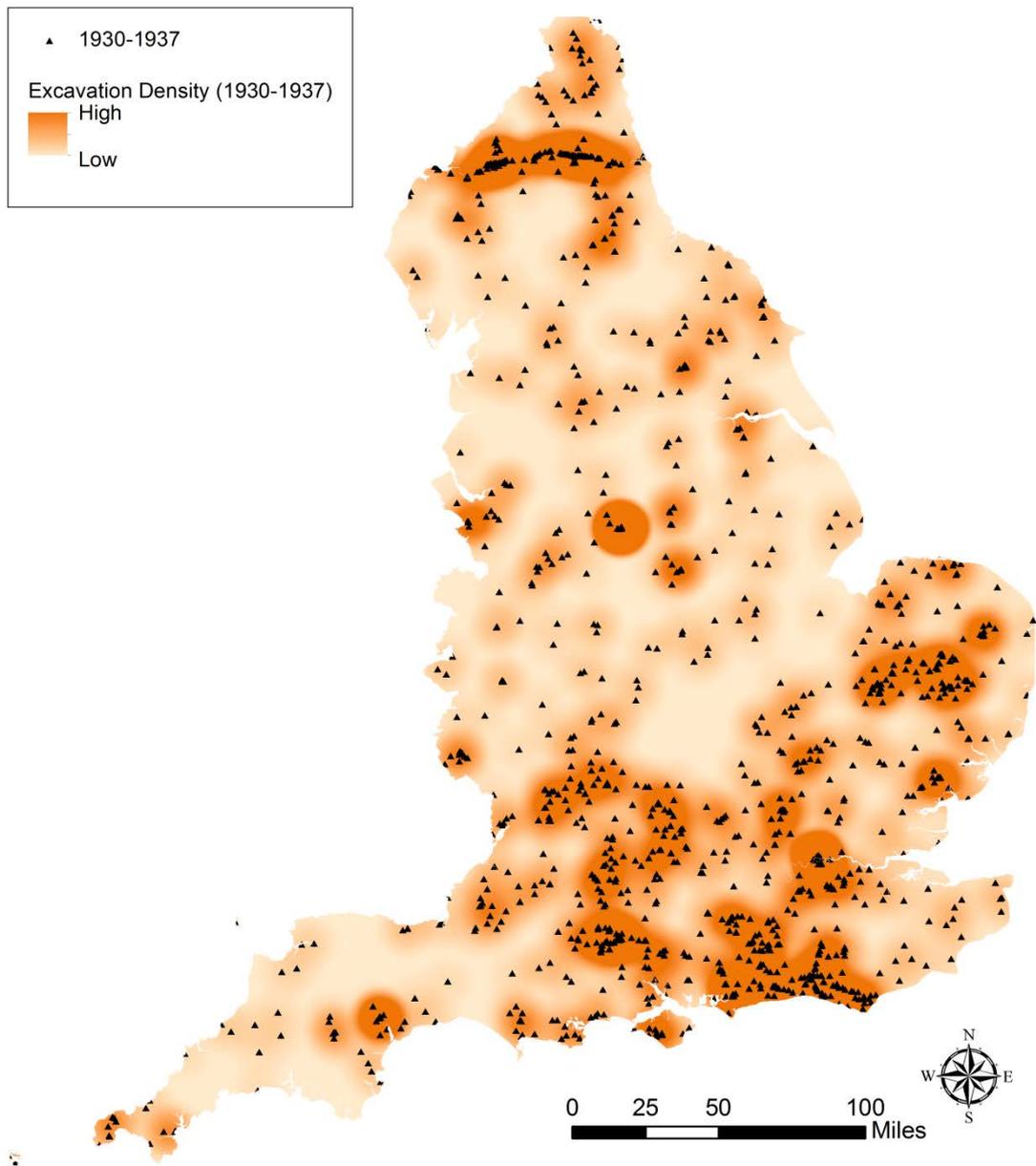


Figure 3.7: Density map of investigations 1930-1937 [Data from NRHE Excavation Index]

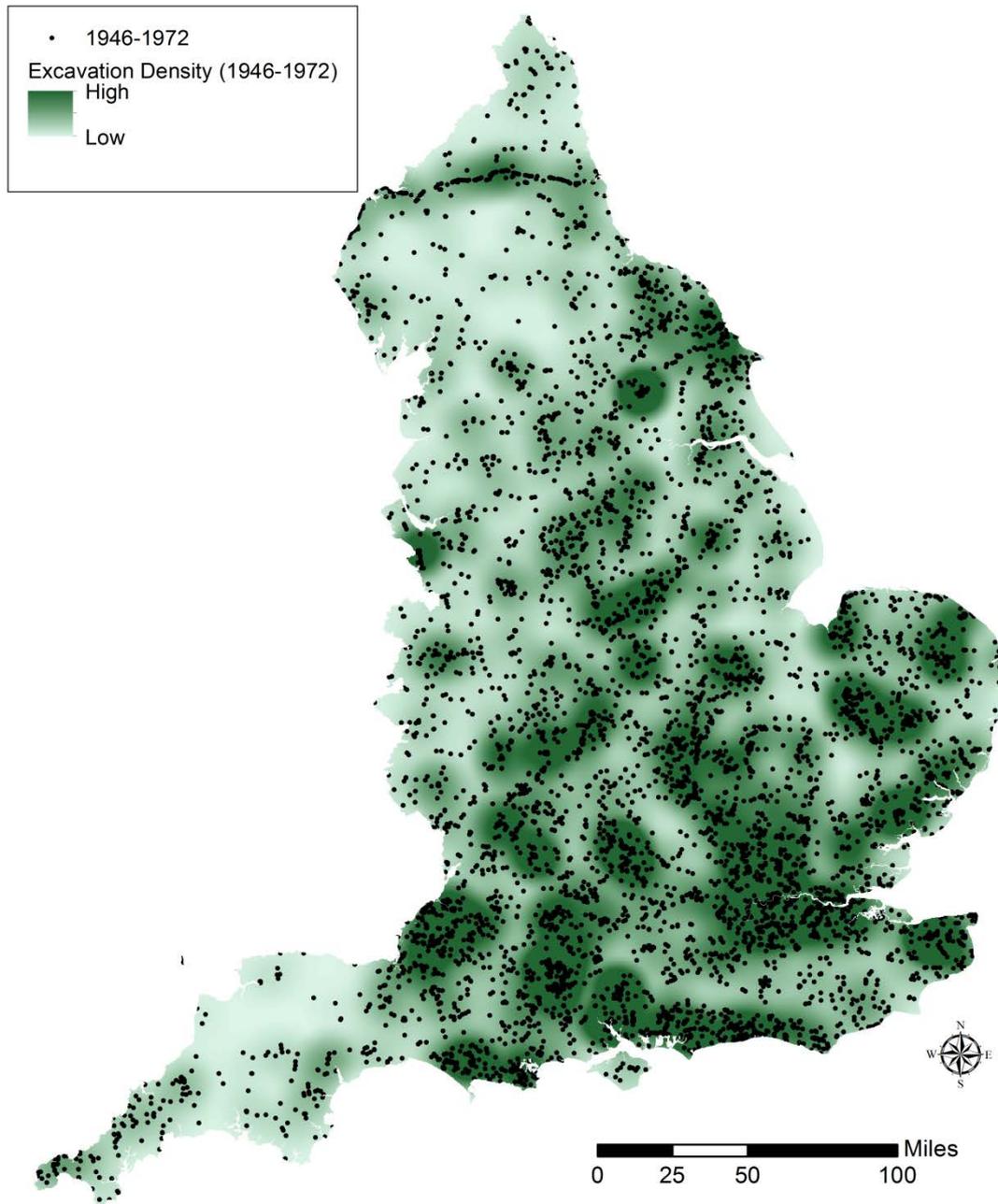


Figure 3.8: Density map of investigations 1946-1972 [Data from NRHE Excavation Index]

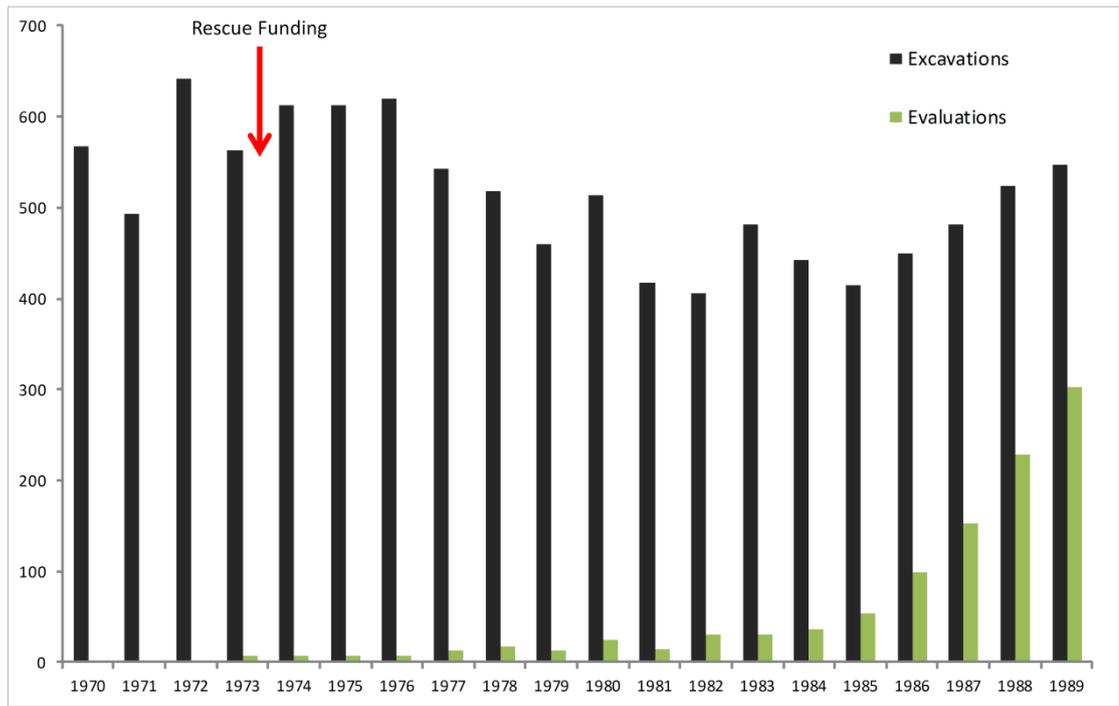


Figure 3.9: Investigations 1970-1989 Graph compares rise of events recorded as evaluations in the Excavation index [Data from the NRHE Excavation Index]

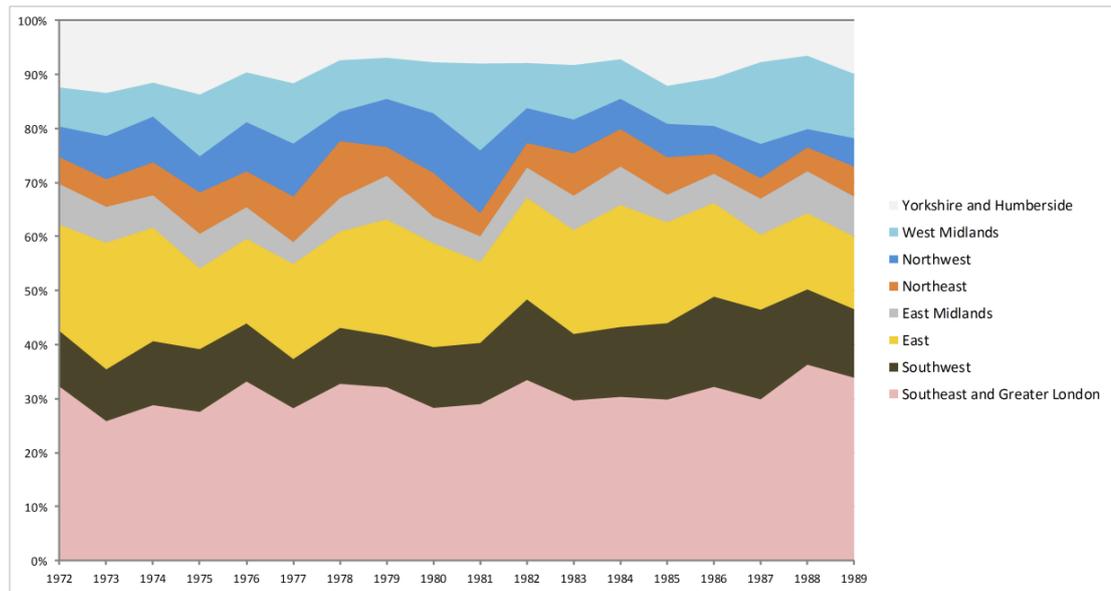


Figure 3.10: Excavations and evaluations 1973-1989 by region [Data from the Excavation Index]



Figure 3.11: Investigations 1973-1989 plotted against UK Gross Domestic Product [Data from the Excavation Index and adapted from data from the Office for National Statistics licenced under the Open Government Licence v.1.0: Gross Domestic Product: Year on Year growth, (28 June 2011)]

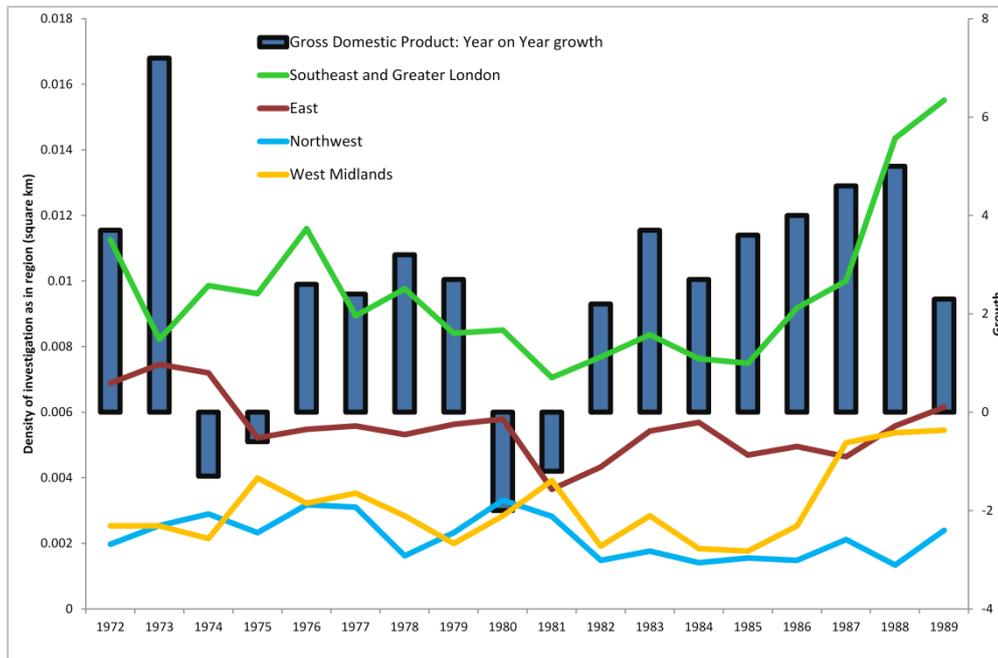


Figure 3.12: Investigations from four English regions 1973-1989 plotted against UK GDP [Data from the Excavation Index and adapted from data from the Office for National Statistics licenced under the Open Government Licence v.1.0: Gross Domestic Product: Year on Year growth, (28 June 2011)]

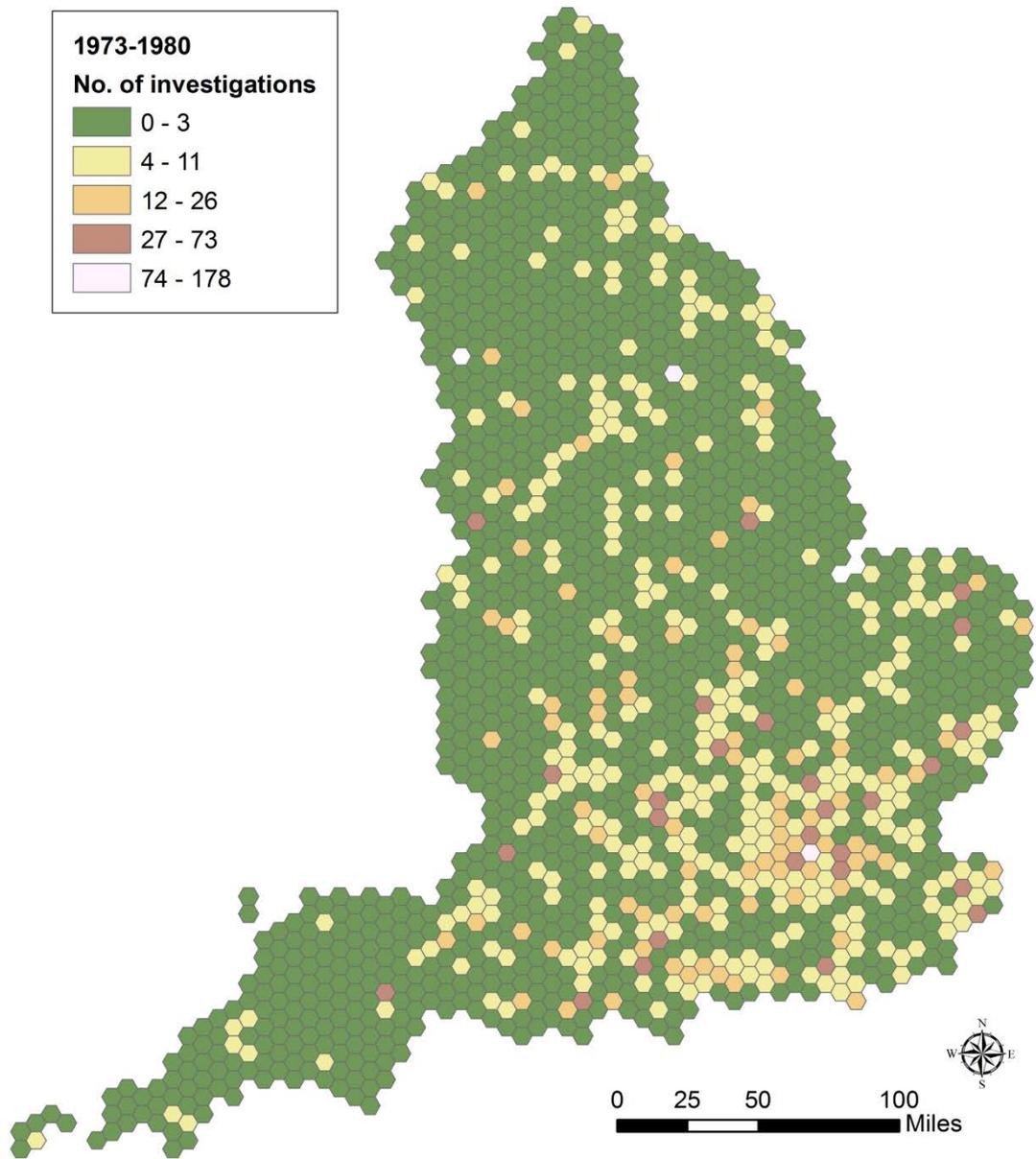


Figure 3.13: Investigations 1973-1980, displayed on a mesh of 10km sampling polygons [Data from the Excavation Index]

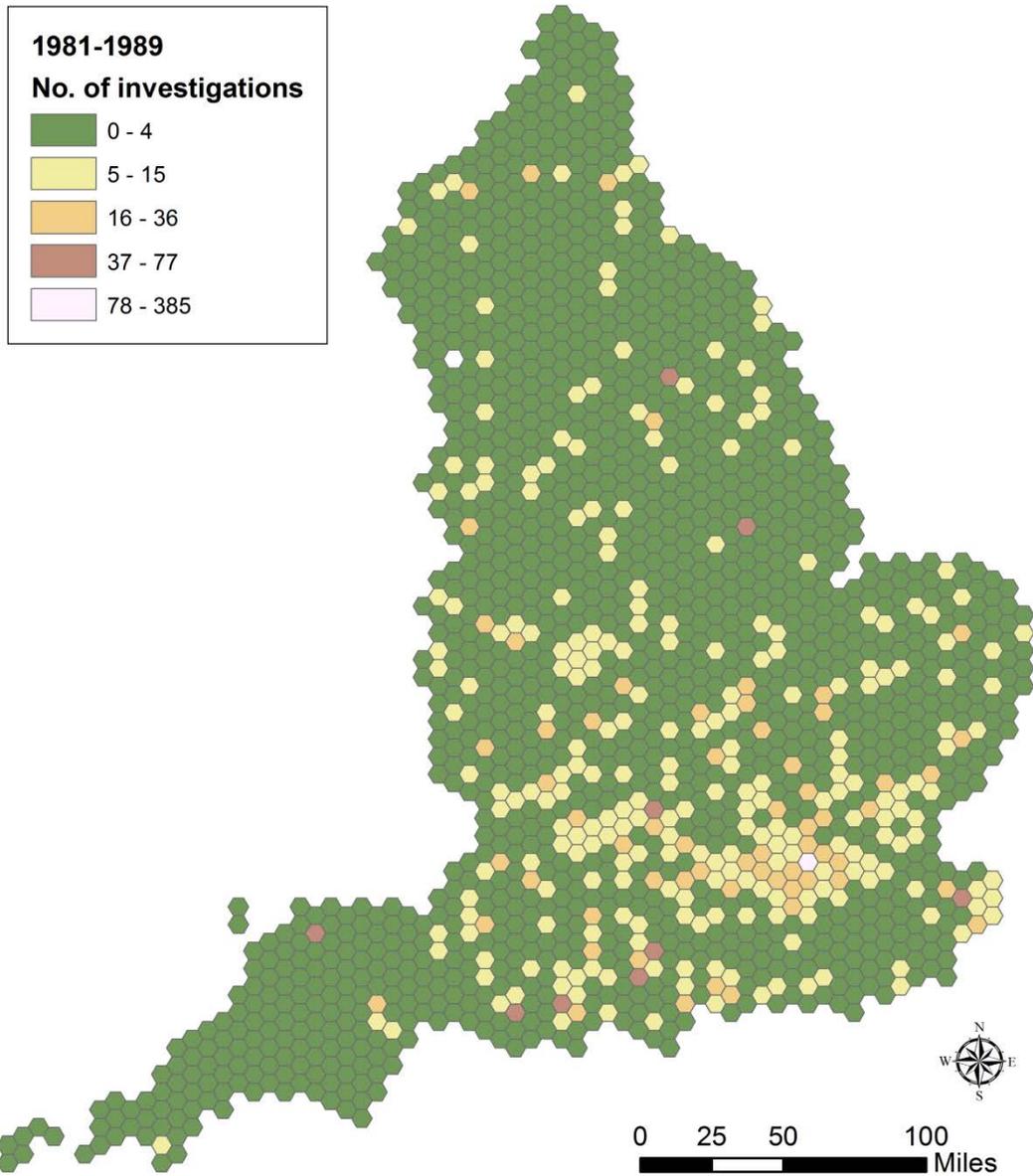


Figure 3.14: Investigations 1981-1989 displayed on a mesh of 10km sampling polygons [Data from the Excavation Index]

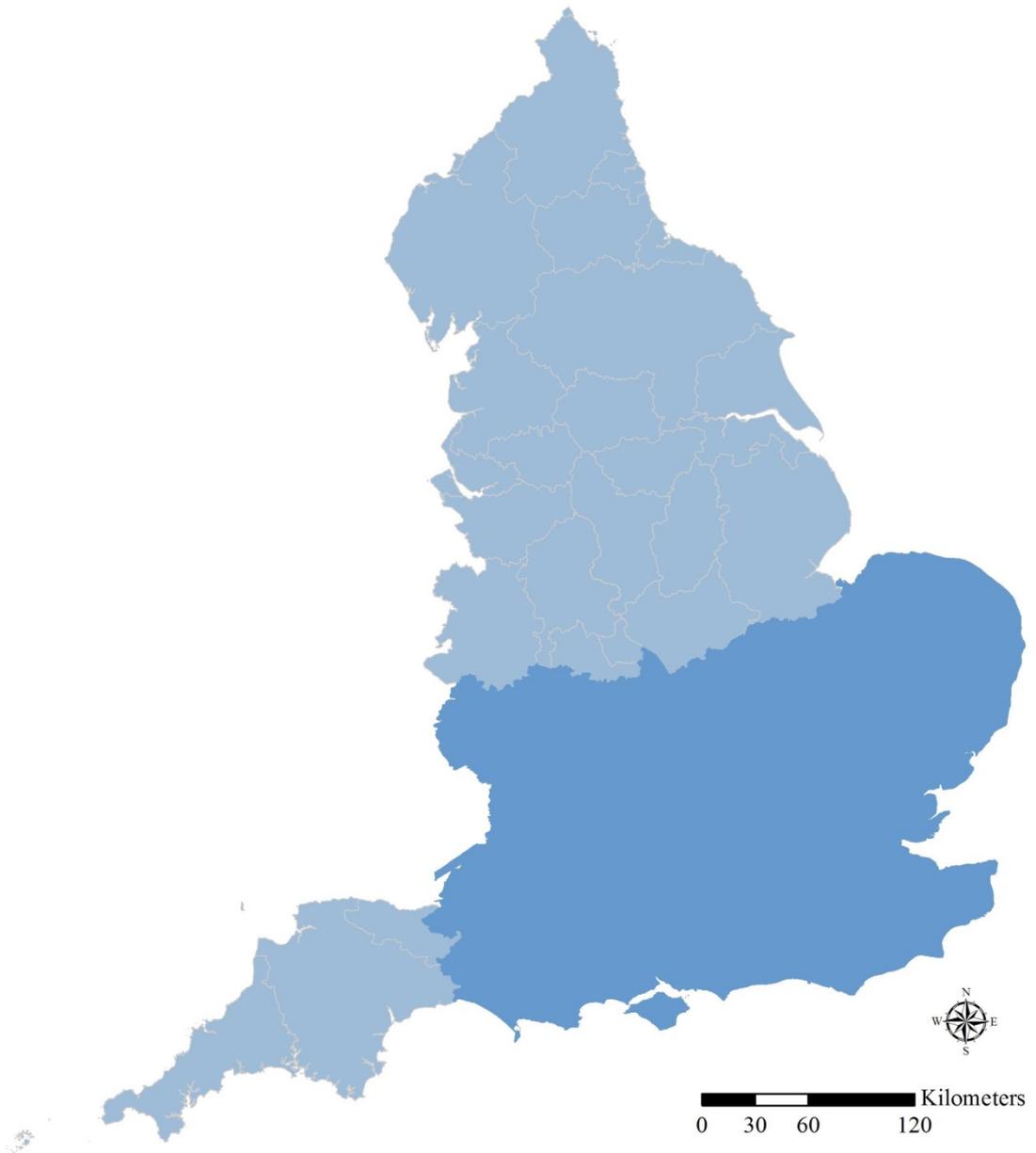


Figure 3.15: The North-South divide of the 1980s as classified by the TCPA (after Town and Country Planning Association 1989, Figure 2)

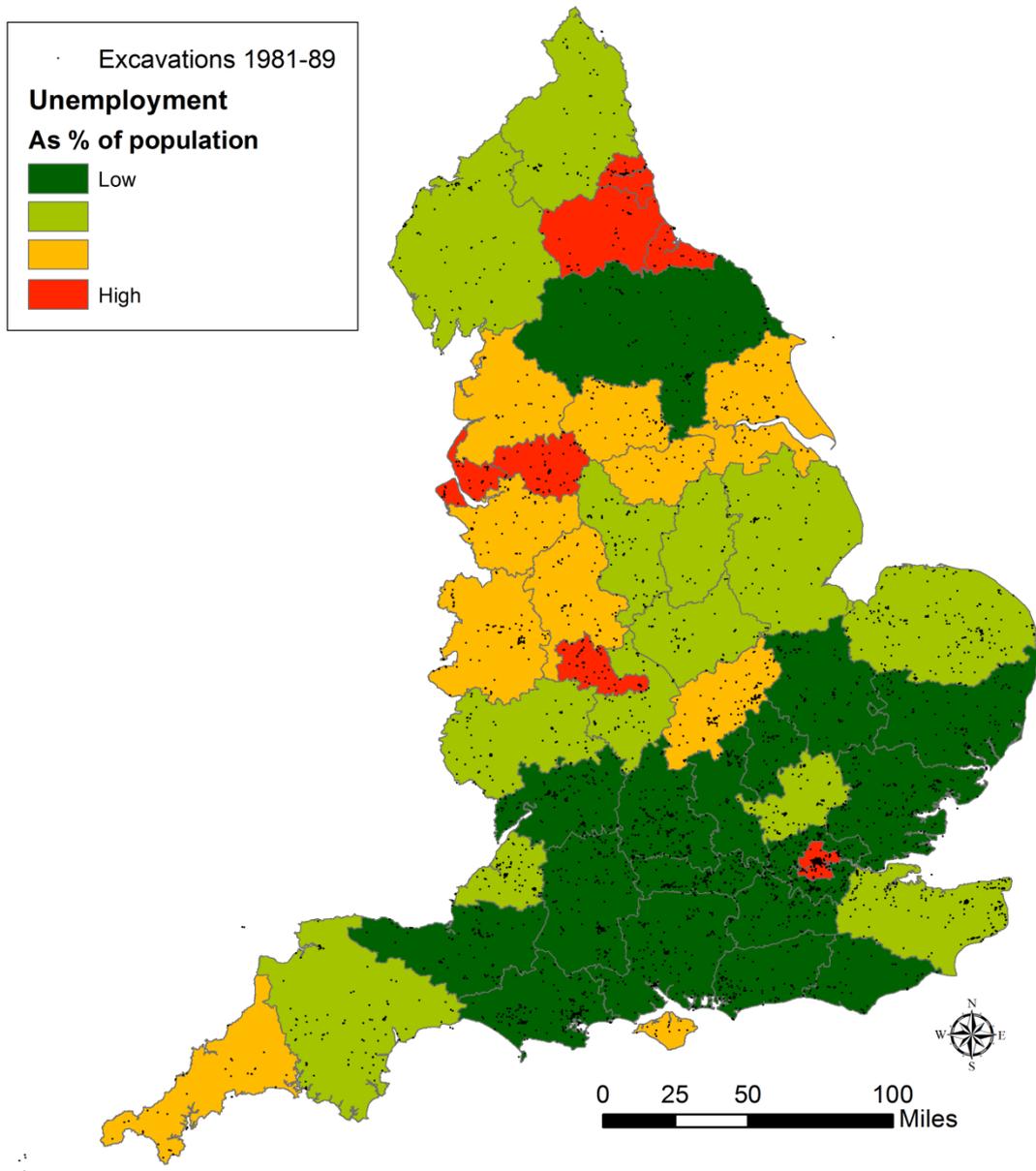


Figure 3.16: Excavations 1981-1989 compared to unemployment levels (1981) [Data from the 1981 Census provided by the Office of National Statistics: output is Crown copyright and is reproduced with the permission of the controller of HMSO and the Queen's Printer for Scotland]

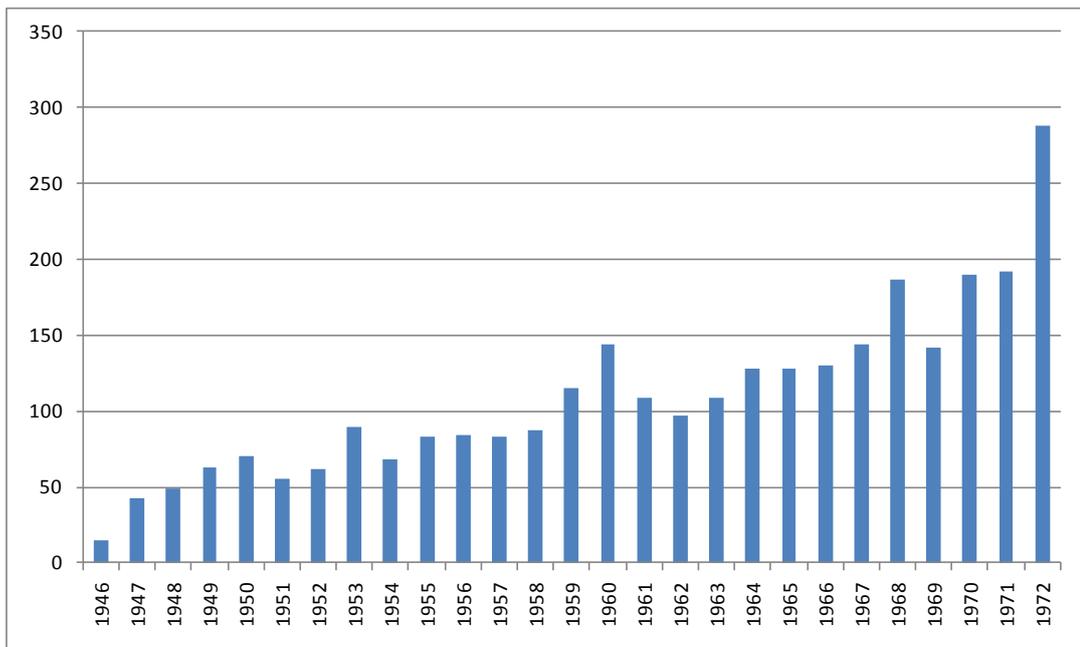


Figure 3.17: Investigations in urban areas 1946-1972 [Data from the Excavation Index]

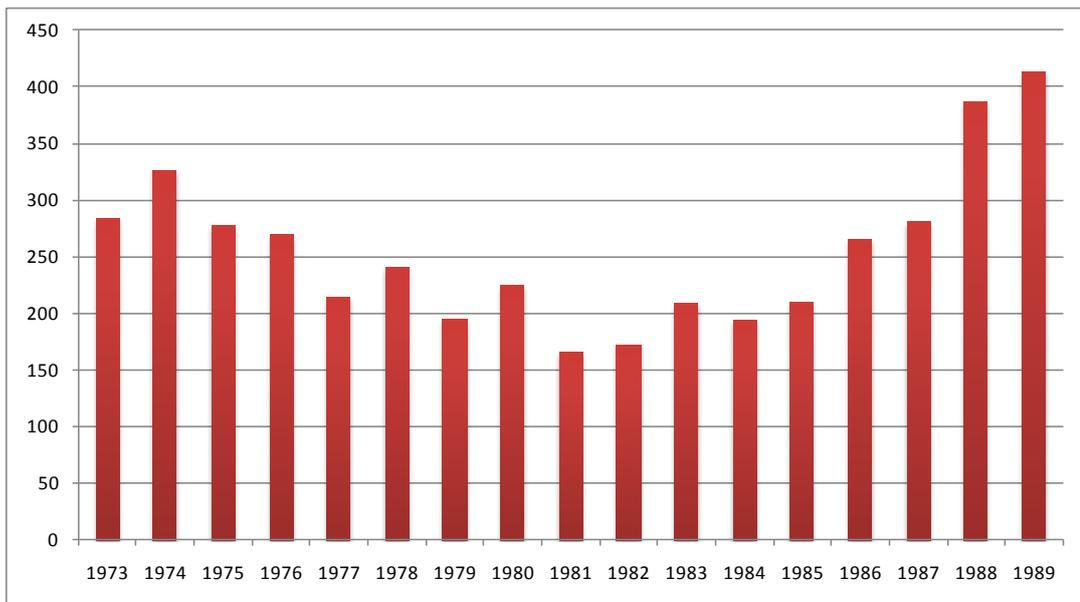


Figure 3.18: Investigations in urban areas 1973-1989 [Data from the Excavation Index]

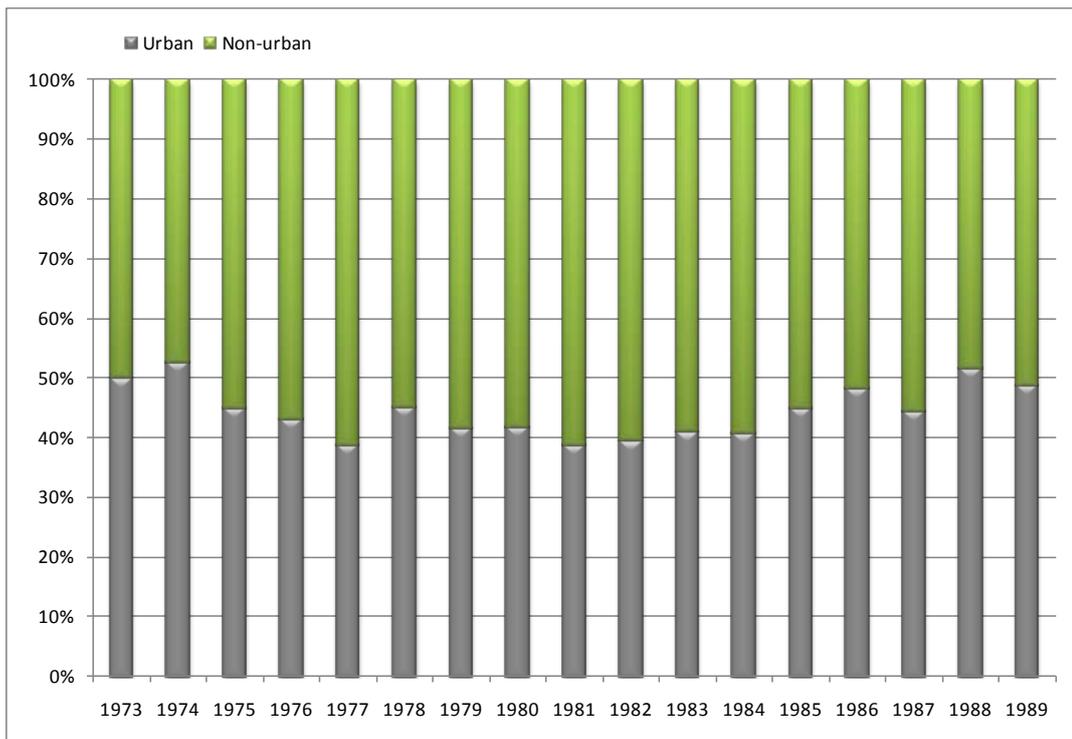


Figure 3.19: Relative levels of urban and rural excavations 1973-1989 [Data from the Excavation Index]

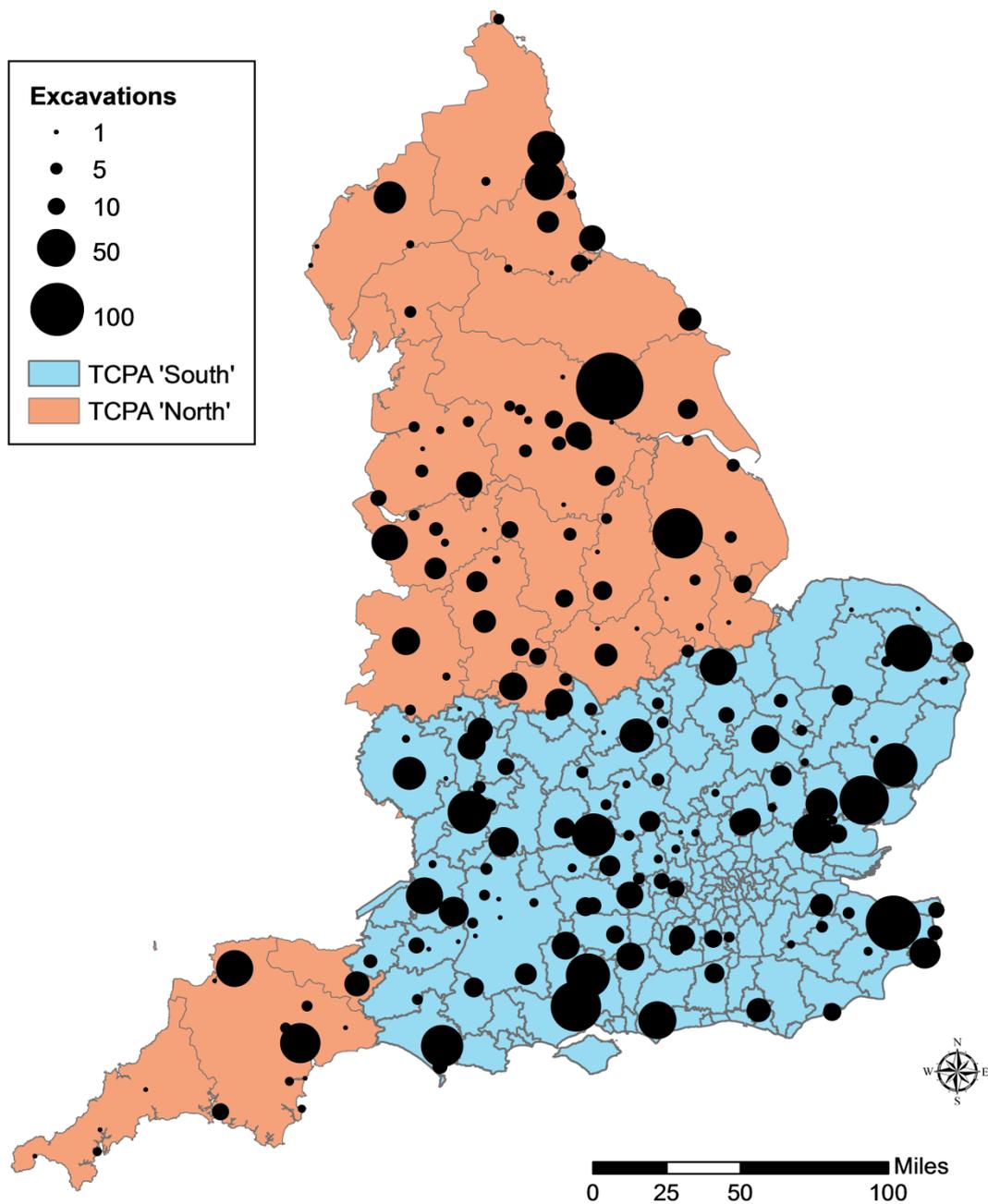


Figure 3.20: Levels of investigation (1973-1981) in towns and cities identified in a CBA gazetteer of historic urban centres, overlying the north-south divide as perceived by the TCPA [Data from: Excavation Index; Heighway 1972; TCPA 1989, figure 2]. Note: excludes Greater London.

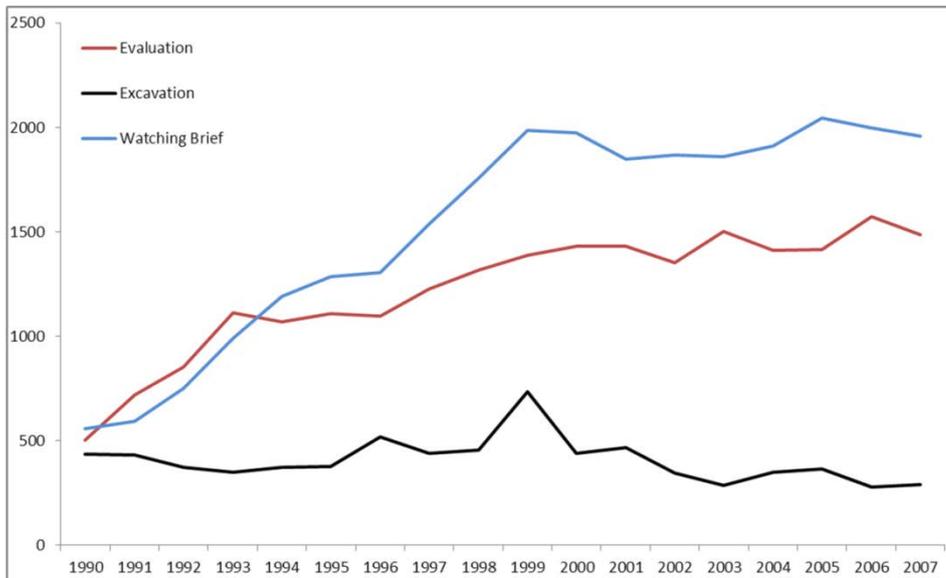


Figure 3.21: Planning-led excavations and evaluations 1990–2007 [Data from the Excavation Index]

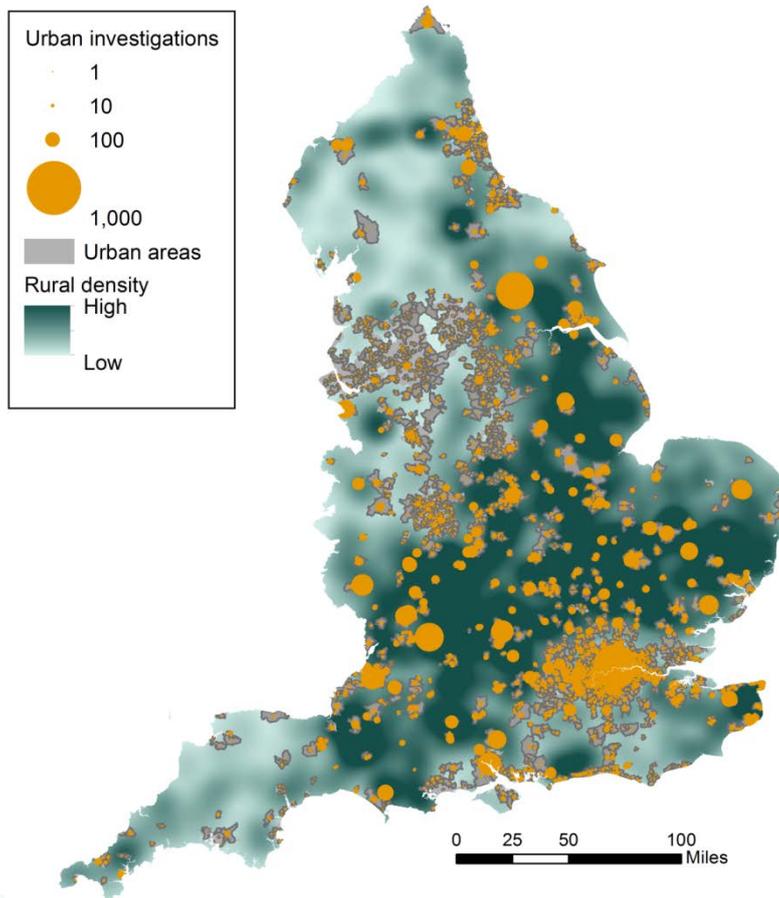


Figure 3.22: Planning-led excavations and evaluations in England 1990–2007. Displayed as kernel density for rural events, and proportional symbols for urban records [Data from Excavation Index]

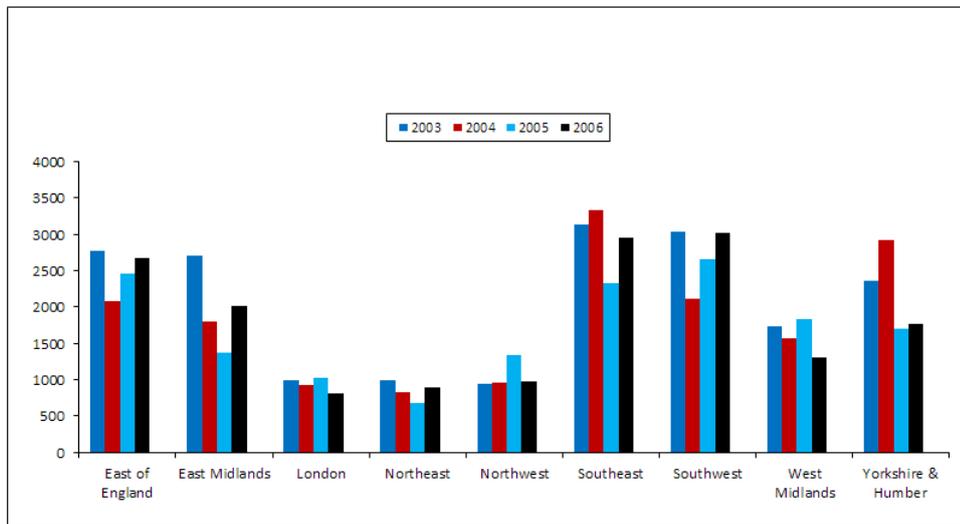
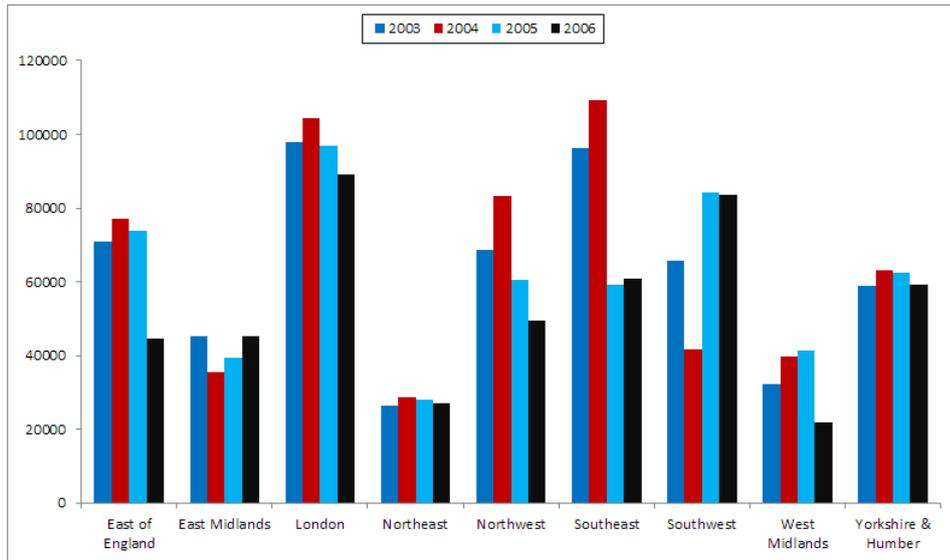


Figure 3.23: Planning applications received by local authorities in Historic England regions (top) and numbers of planning applications that led to an archaeological response (bottom) [Data provided by ALGAO England]



Figure 3.24: Distribution of planning-led archaeological interventions 1990-2007 [Data from Excavation Index]

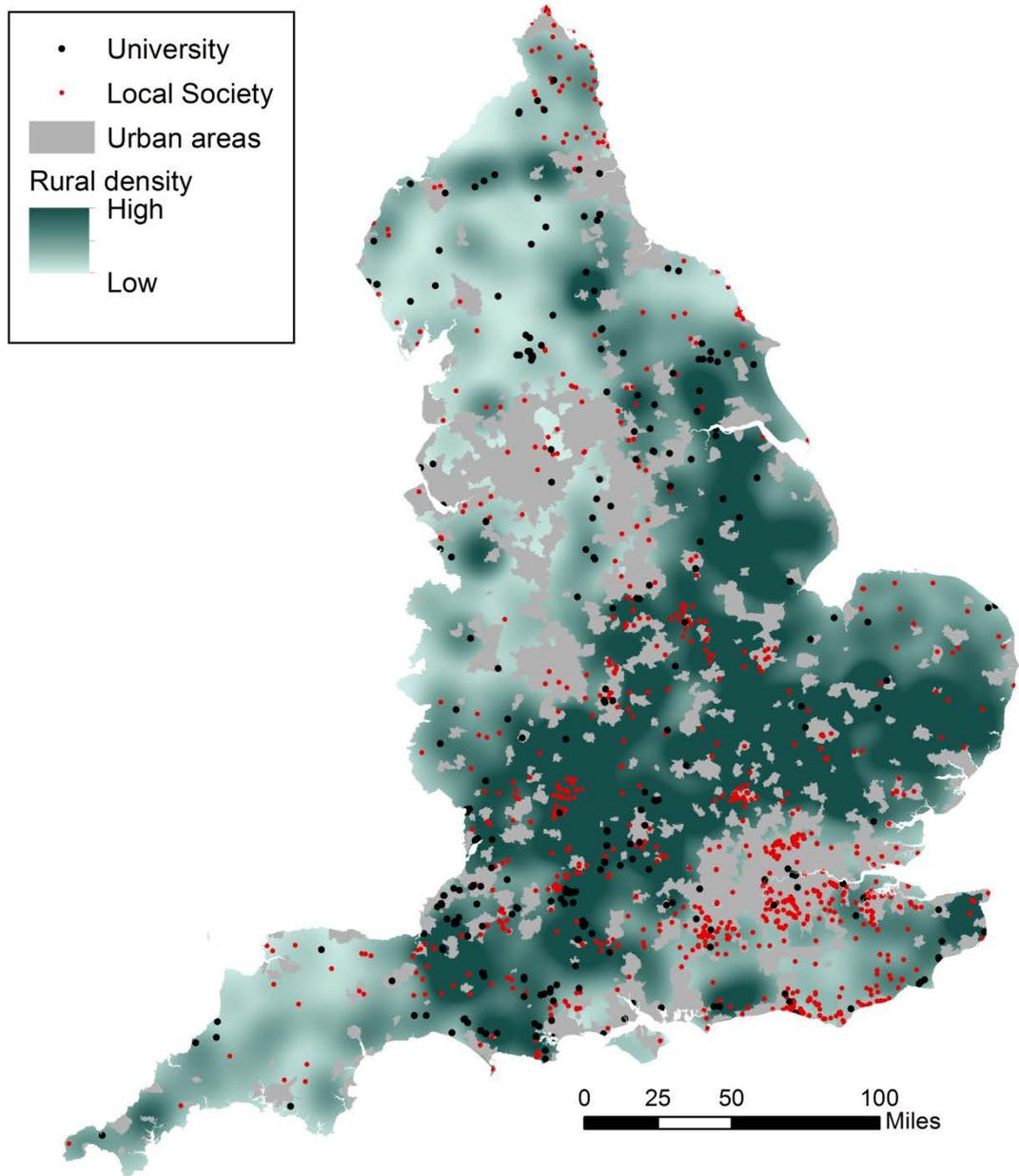


Figure 3.25: Density map for rural planning-led investigations in England 1990-2007 compared to events undertaken by universities and local societies [Data from the Excavation Index]

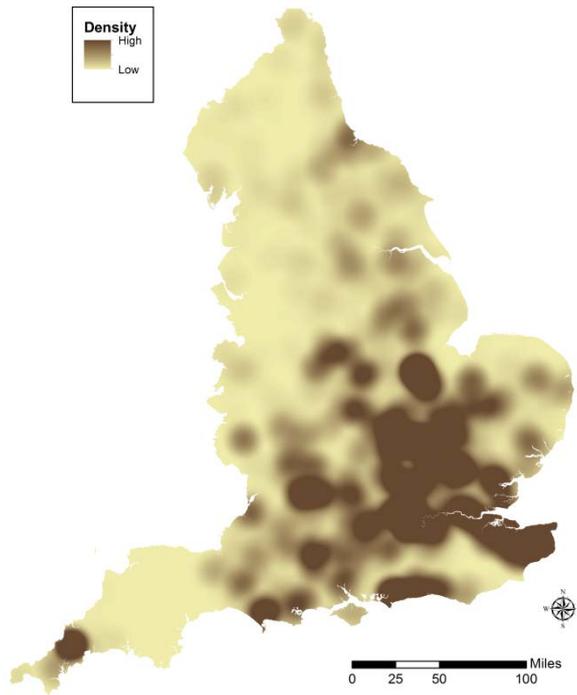


Figure 3.26: Kernel density plots of records from PPG16 investigations used by the Prehistory of Britain and Ireland project [Data from Phillips and Bradley 2014]

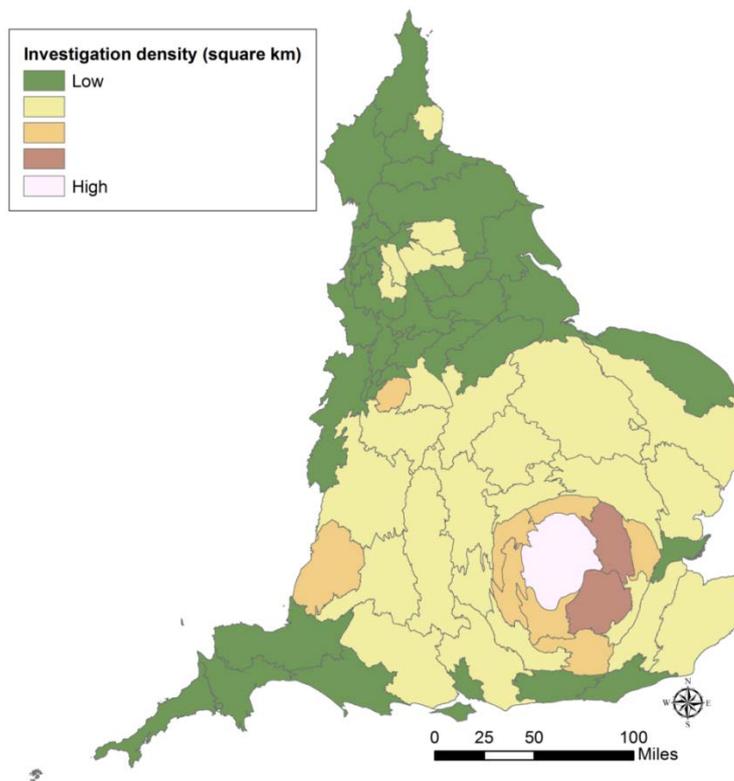


Figure 3.27: All investigations (1990-2007) displayed as a weighted cartogram of European Parliamentary Constituencies. [Data from Excavation Index and OS OpenData administrative boundaries. Contains Ordnance Survey data © Crown copyright and database right 2013.]

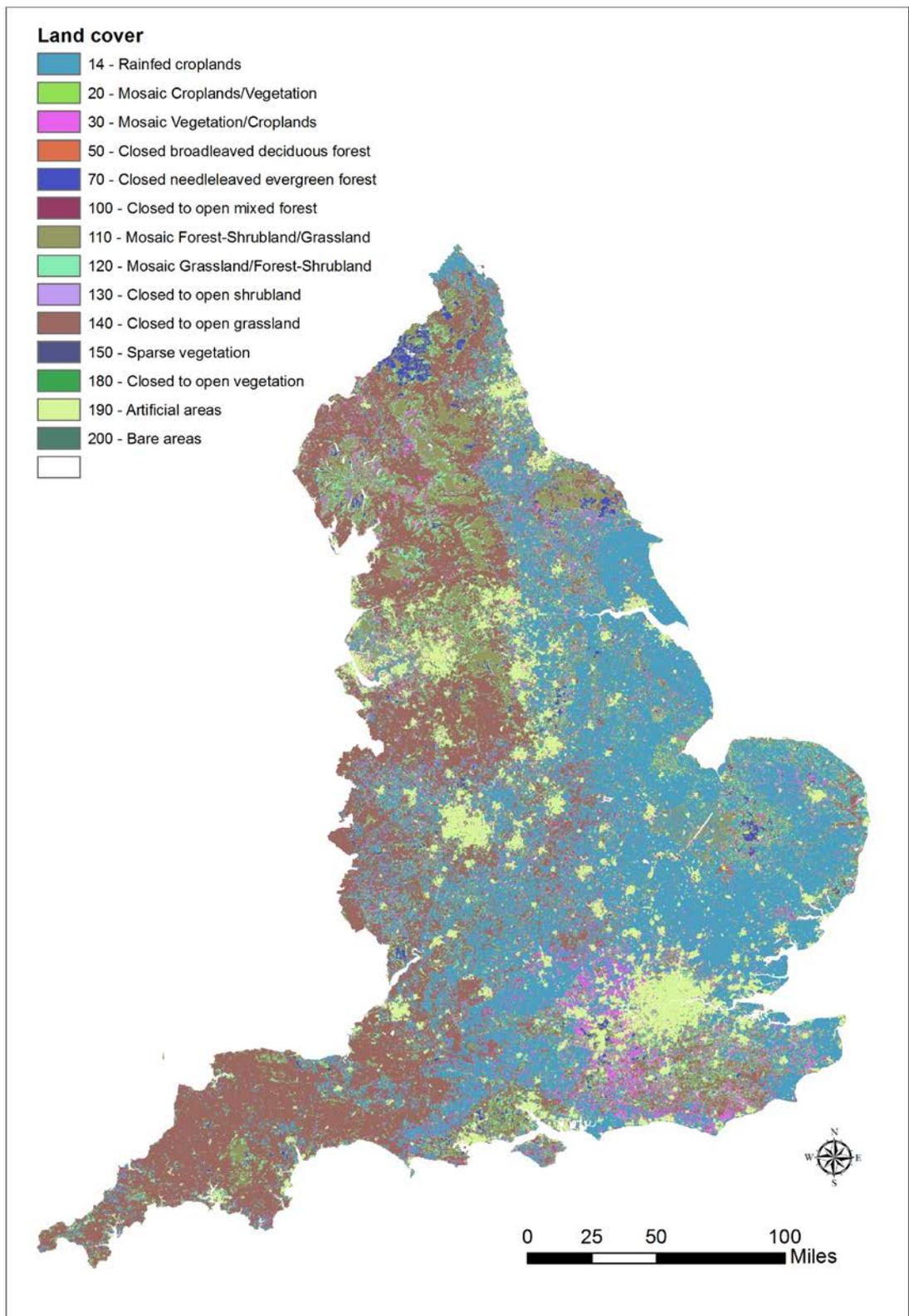


Figure 3.28: Land cover use in England (Data from Land Cover Map 2007 (LCM2007), produced by the Centre for Ecology and Hydrology)

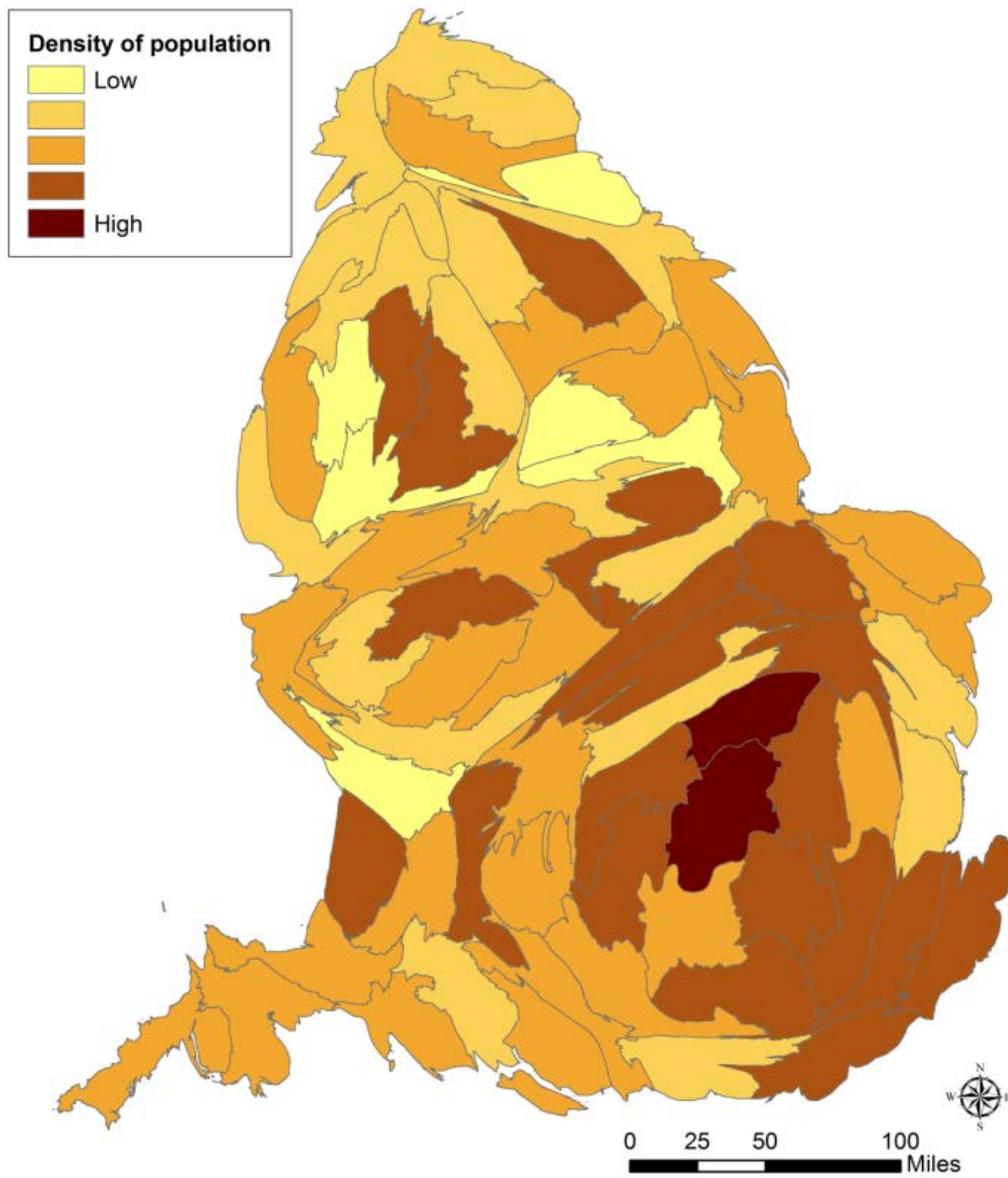


Figure 3.29: Population of England in 2010, displayed as a weighted cartogram of European Parliamentary Constituencies [Data from Dorling nd]

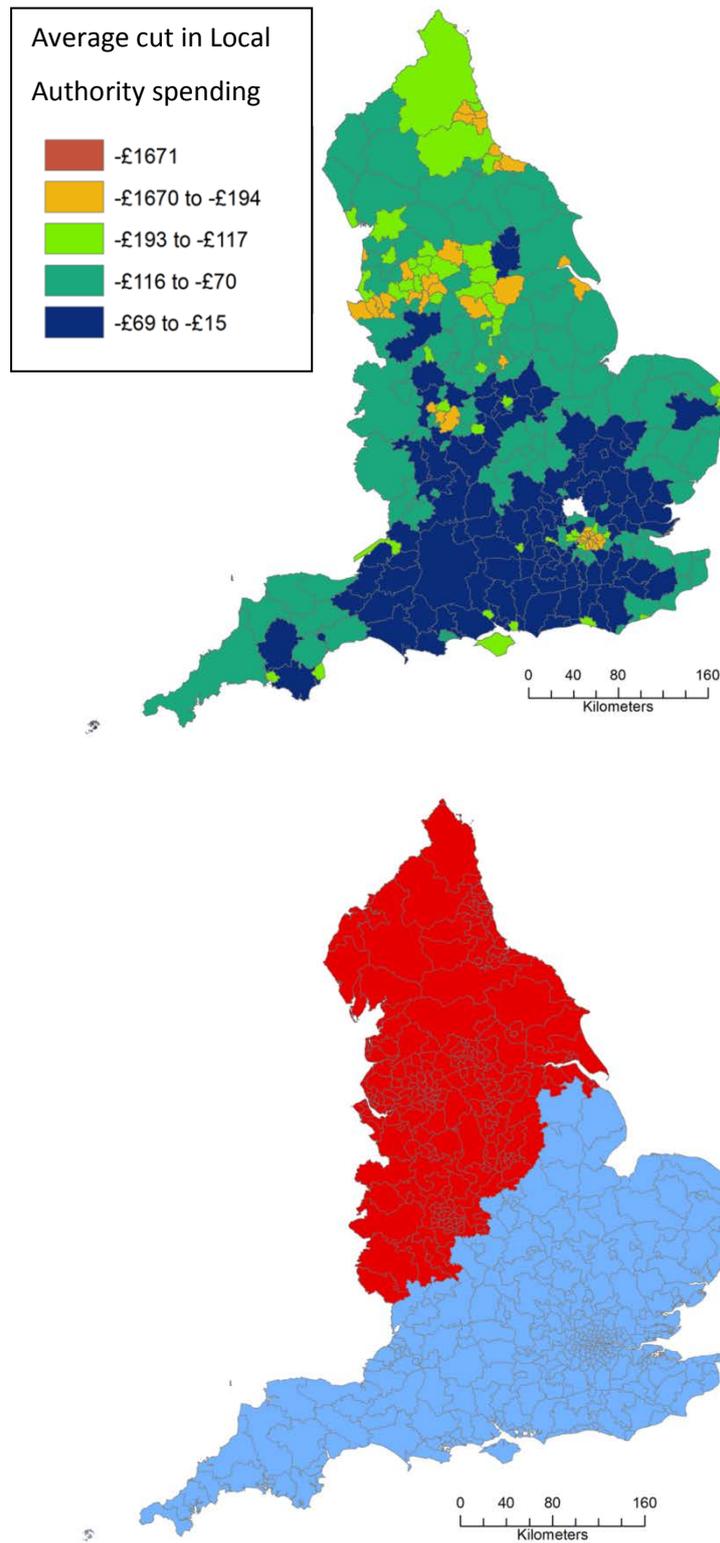


Figure 3.30: Economic disparity in contemporary England. Cumulative Area per head of population change in Revenue Spending Power from 2010-11 in year cuts to Illustrative 2014-15 (top) (Data from Innes and Tetlow 2015). The economic North-South divide according to Dorling (bottom) (after Dorling 2010: Figure 10)

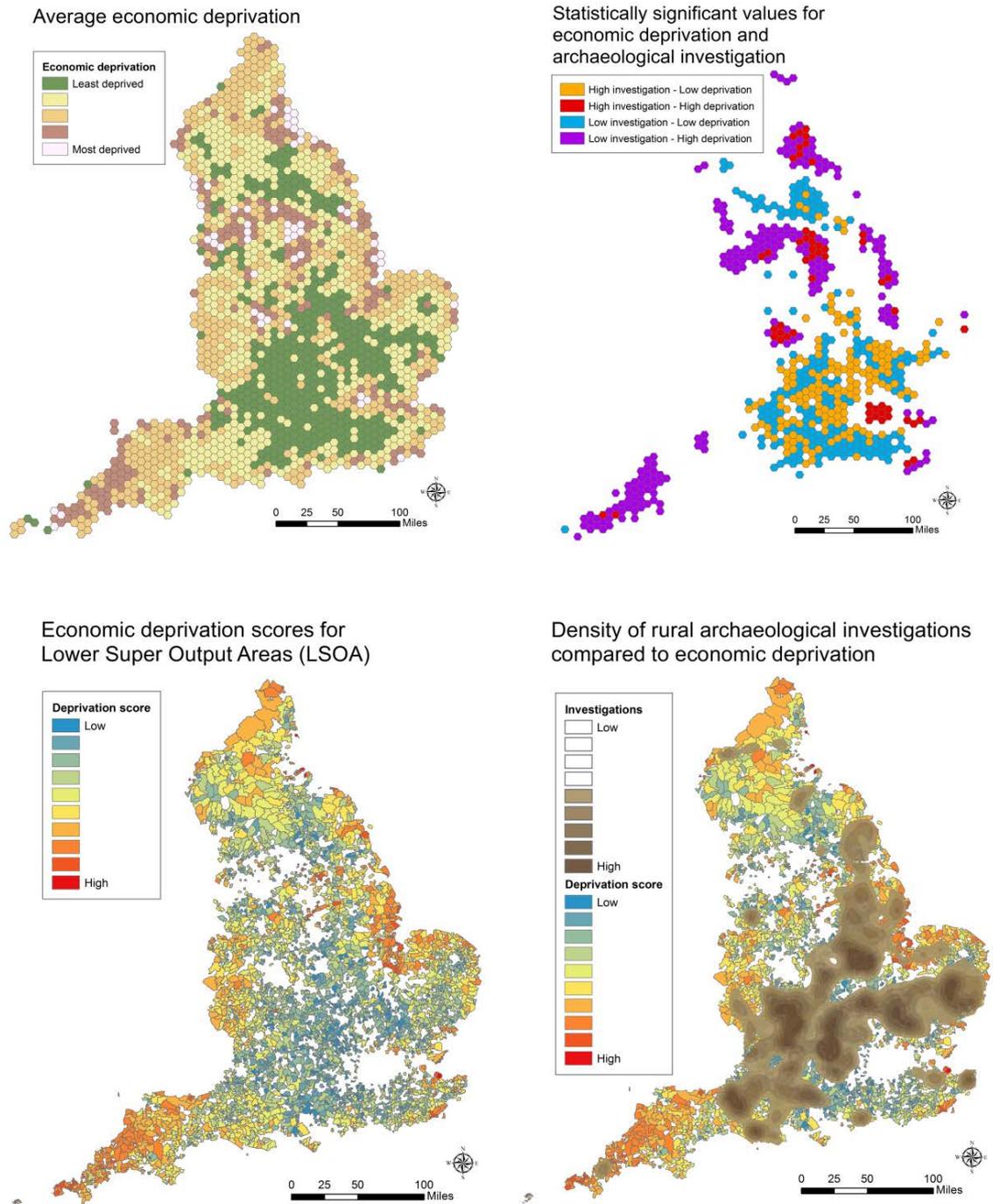


Figure 3.31: Comparison of economic and investigative trends. Data shows 10km sampling polygons with average economic deprivation score (2007); statistically significant values for economic deprivation (2007) and intrusive excavation (1990-2007); deprivation scores for rural LSOA (2007) and a kernel Density (20km radius) plot for rural intrusive investigations 1990-2007, overlying LSOA. Data derived from the Excavation Index; Indices of Deprivation 2007 for Super Output Areas produced by the Office for National Statistics (ONS) under the National Archives Open Government Licence OGL)

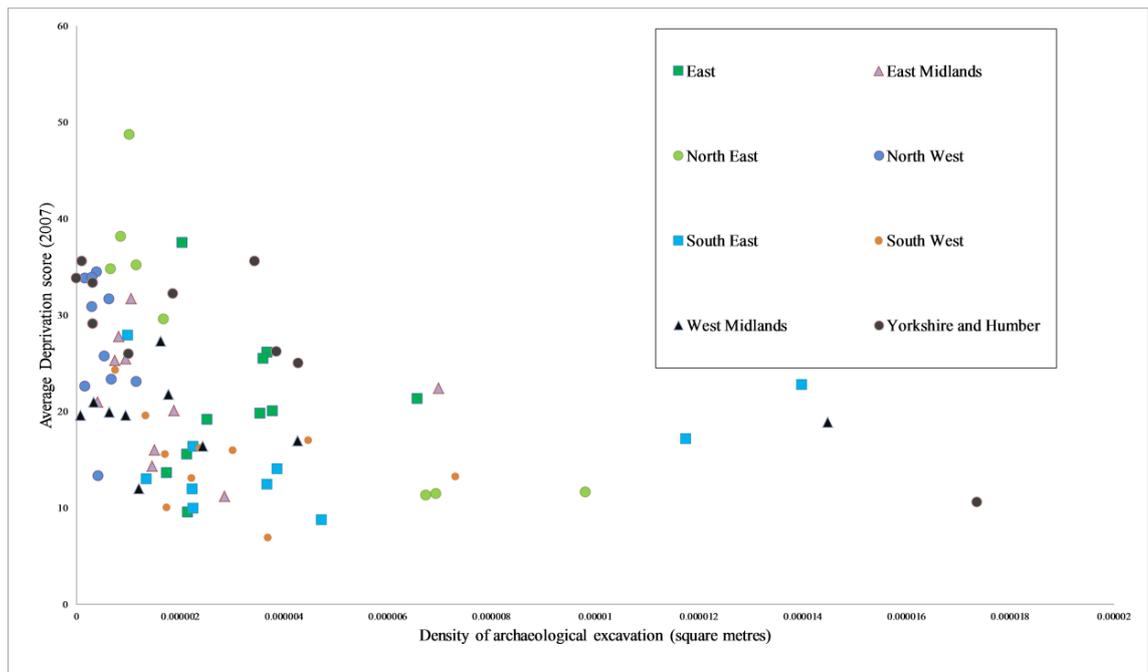
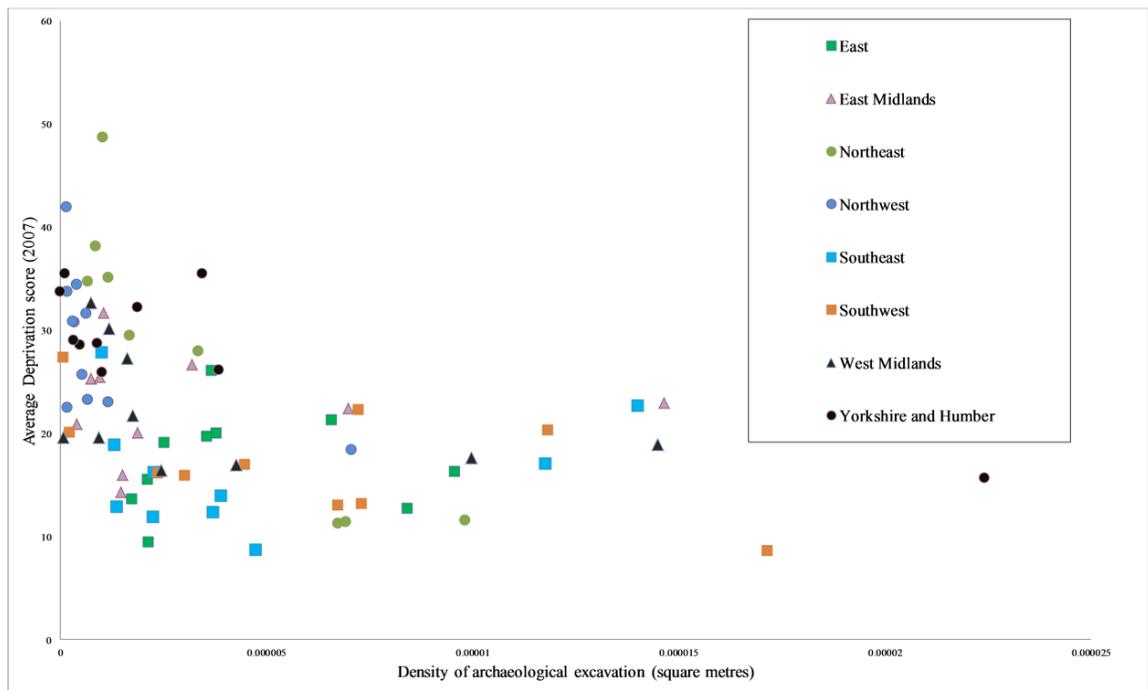


Figure 3.32: Comparison of excavation density and economic deprivation in urban areas. Scatter charts display each urban area as a symbol (coded by region). Top: plot of excavation density (1990-2007) and economic deprivation (2007) for the ten largest urban centres for each region with Roman and medieval origins (not including Greater London); Bottom: plot of excavation density (1990-2007) and economic deprivation (2007) for the ten largest urban centres under 50,000 square kilometres and excluding those settlements with Roman origins. Data derived from Excavation Index and Indices of Deprivation 2007

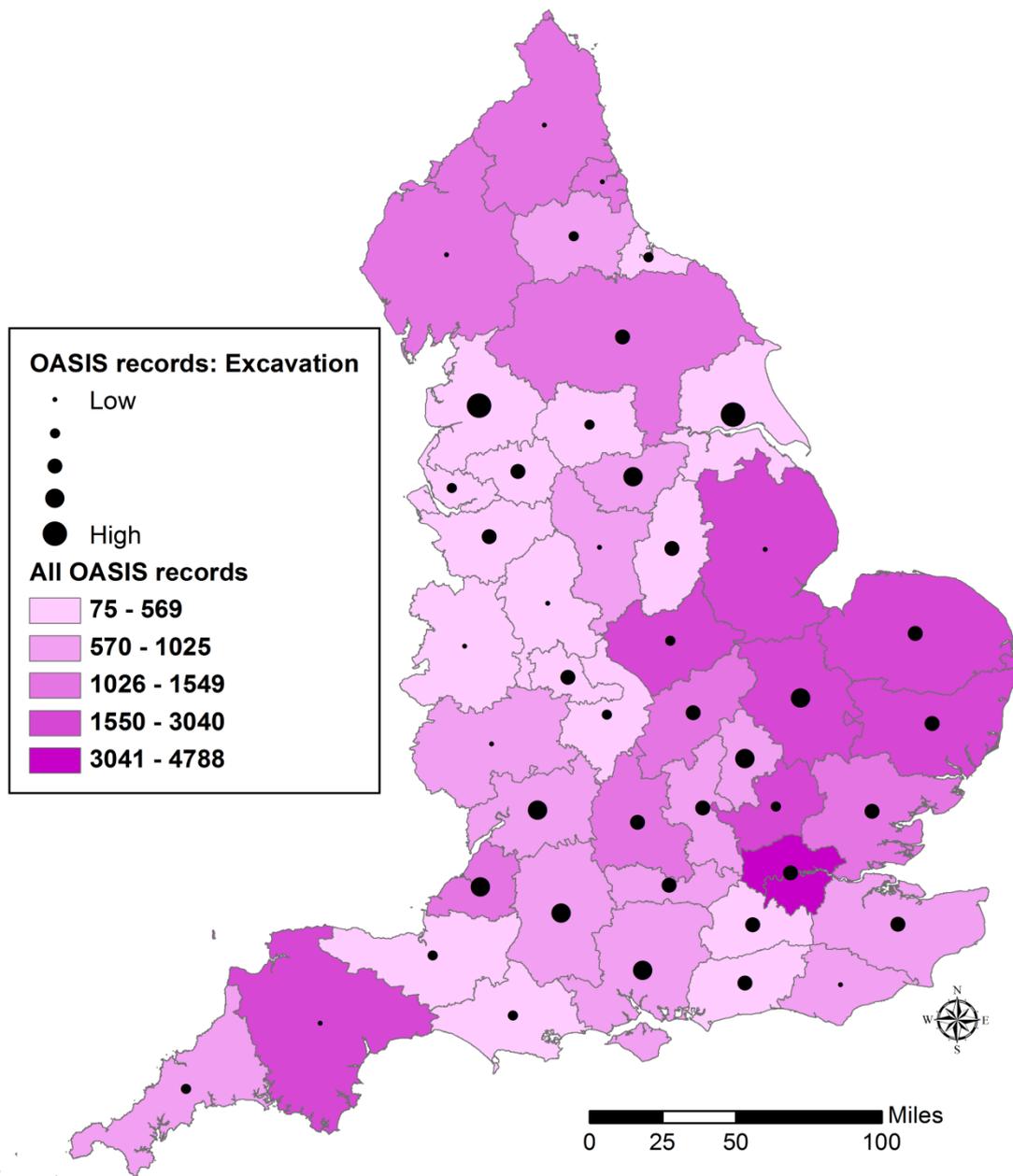


Figure 3.33: Use of OASIS for recording excavations. Map shows number of OASIS records (all events) per English county, with levels of records classed as excavation as a proportion of total records displayed as proportional symbols [Data from OASIS [03/04/2015]]

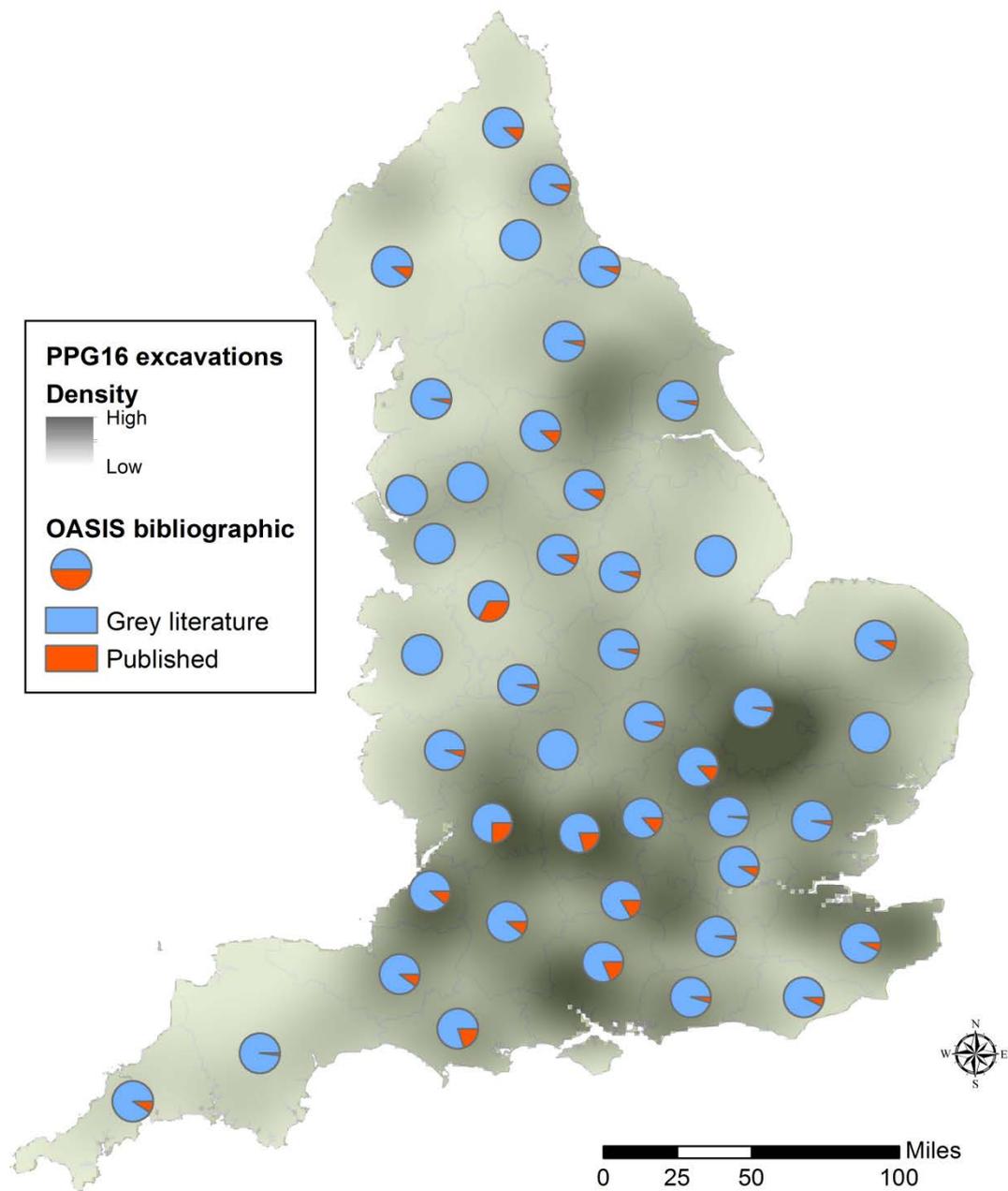


Figure 3.34: Breakdown of bibliographic sources recorded in OASIS for excavations. Pie charts show proportion of published (i.e. journal and monographs) and grey literature recorded for excavations prompted through the planning process. A kernel density of planning-led excavations (1990-2007) excluding Greater London is also displayed as an indication of relative investigation levels. [Data from OASIS [03/04/2015] and the Excavation Index].

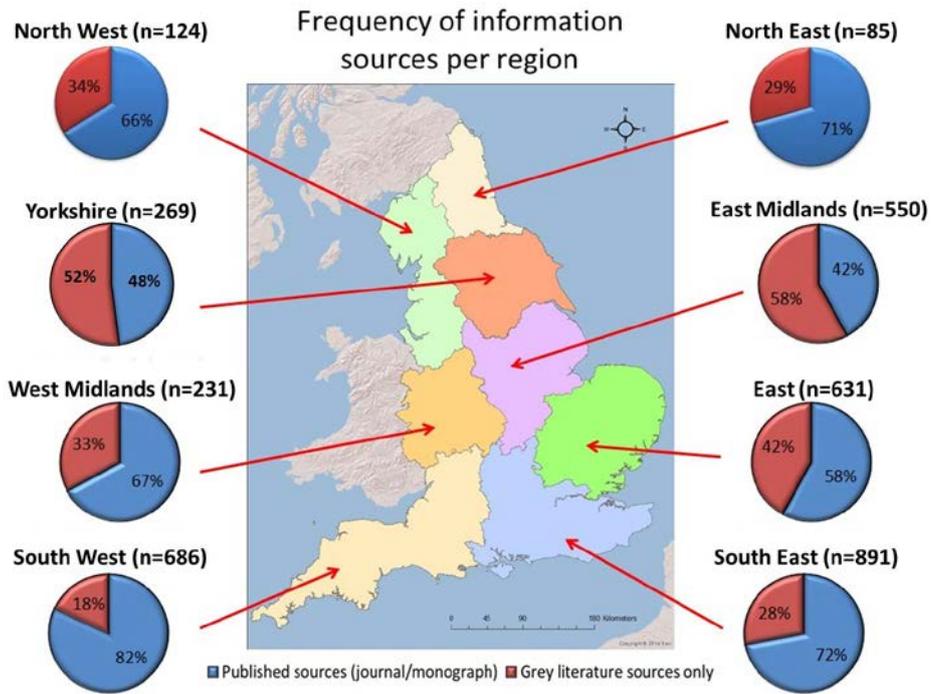


Figure 3.35: Frequency of information sources per Historic England region recorded by the Rural Settlement of Roman Britain project. [Data from: Allen *et al* 2015]

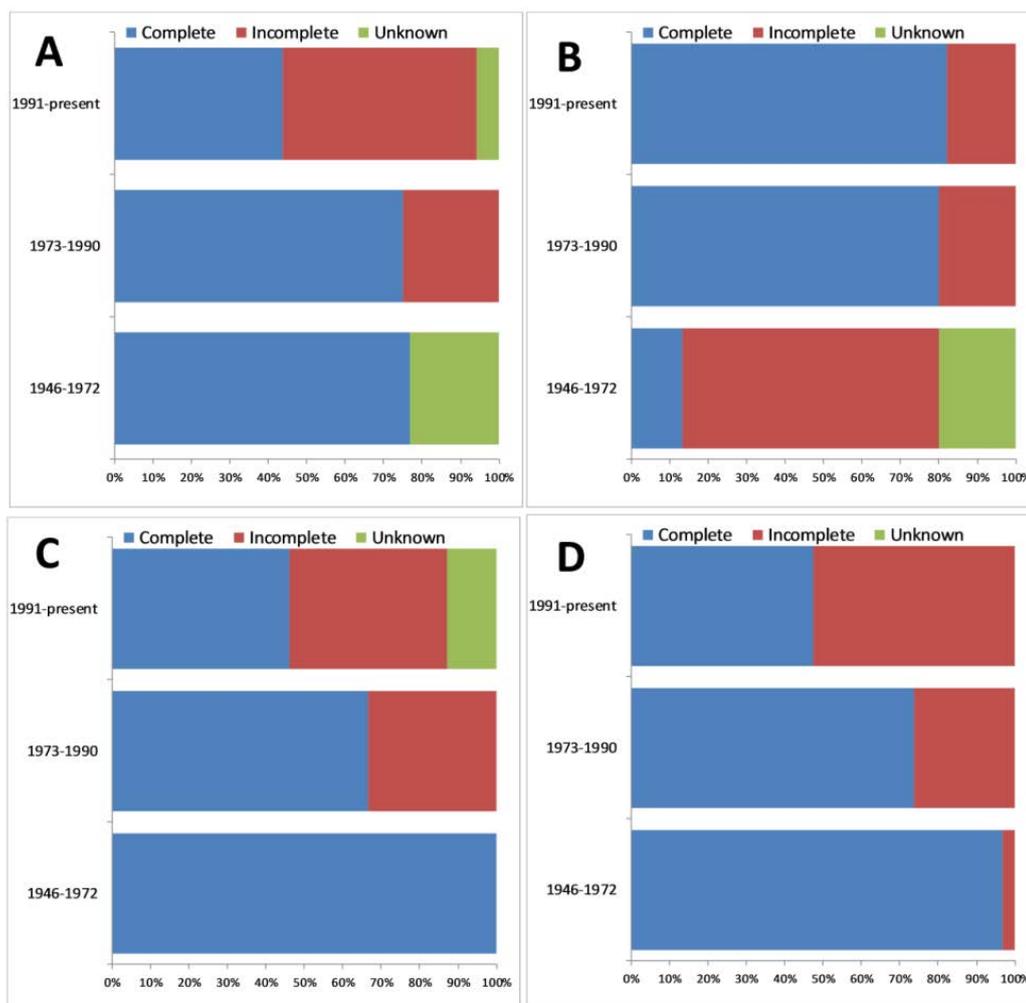


Figure 3.36: Dissemination rates for excavations from aggregates bearing areas. Charts show A) Cambridgeshire, B) Greater London, C) Derbyshire and D) Oxfordshire. [Data from ARCUS 2007; Molina-Burguera and Chandler 2011; Pethen 2011; Phillips 2010]

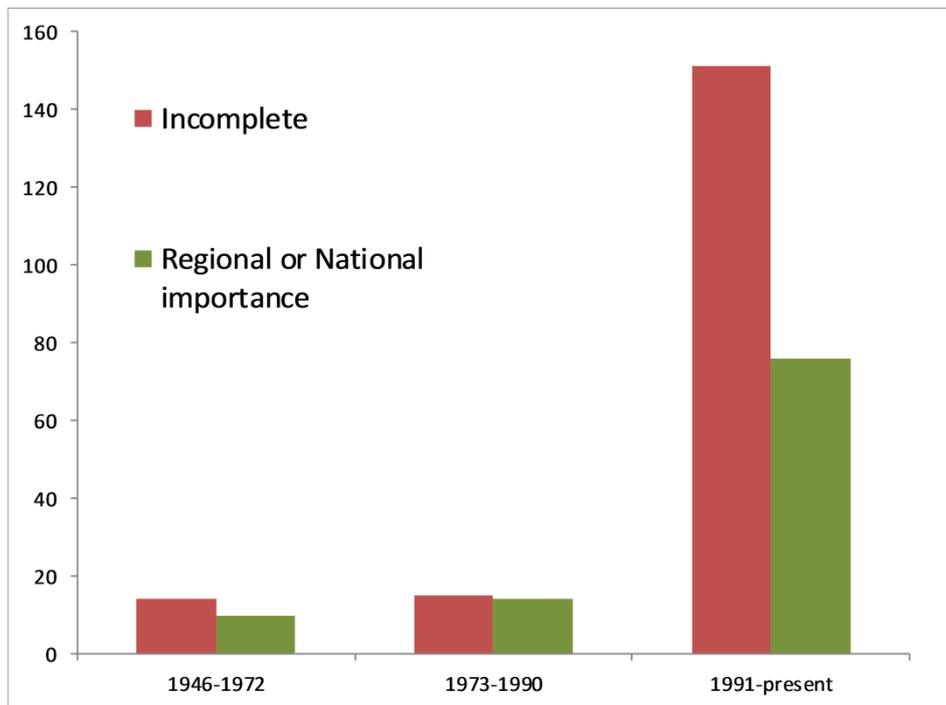
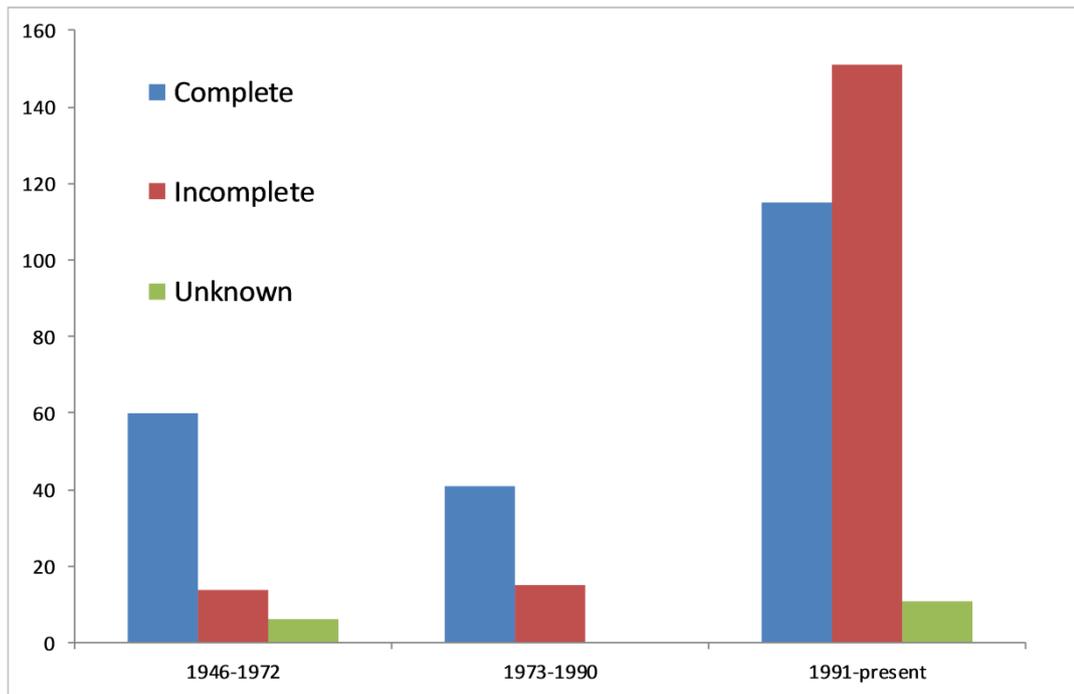


Figure 3.37: Composite dissemination rates for excavations from aggregates bearing areas. Charts show breakdown of all results by period of investigation (top), and incomplete excavations by significance (bottom). [Data from ARCUS 2007; Molina-Burguera and Chandler 2011; Pethen 2011; Phillips 2010]



Figure 4.1: Illustrative examples of the criteria used for scale and types of investigation; a very small test pit (top left), a small evaluation – trenching (top right), a small evaluation – other (bottom). Images taken from the digital archives of: Stafford (Carver 2010), Druids Lodge, Salisbury (Wessex Archaeology 2014b), and the Deanery Southampton (Wessex Archaeology 2011)



Figure 4.2: Illustrative examples of the criteria used for scale and type of investigation; a medium excavation - part (top), a large excavation – open (middle), a large excavation – open (bottom). Images taken from the digital archives of the the Deanery, Southampton (Wessex Archaeology 2011), Stafford (Carver 2010) and Sutton Hoo (Carver 2004)

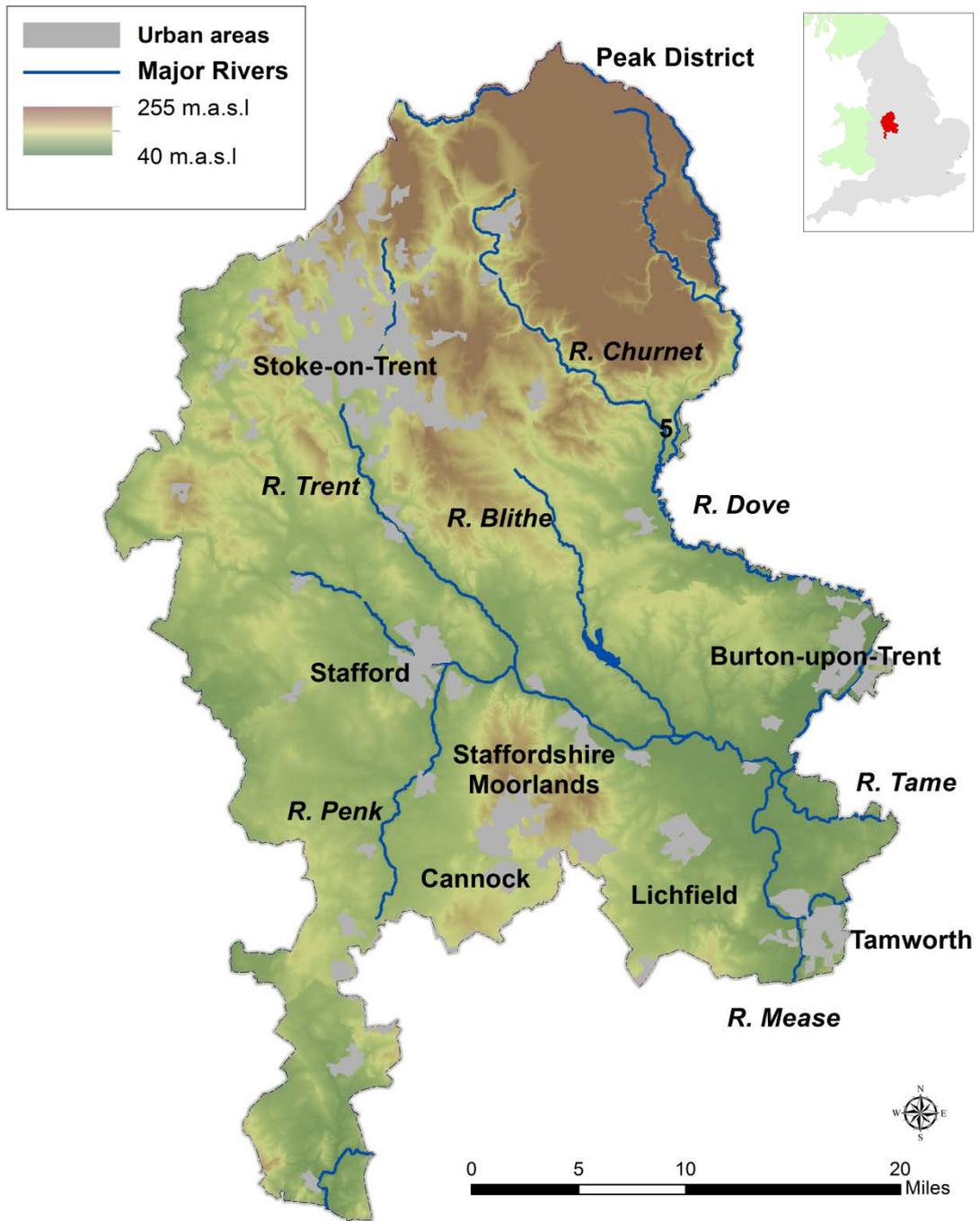


Figure 5.1: The modern county of Staffordshire, with topography, major rivers and urban centres marked. Contains OS data © Crown copyright [and database right] (2015)

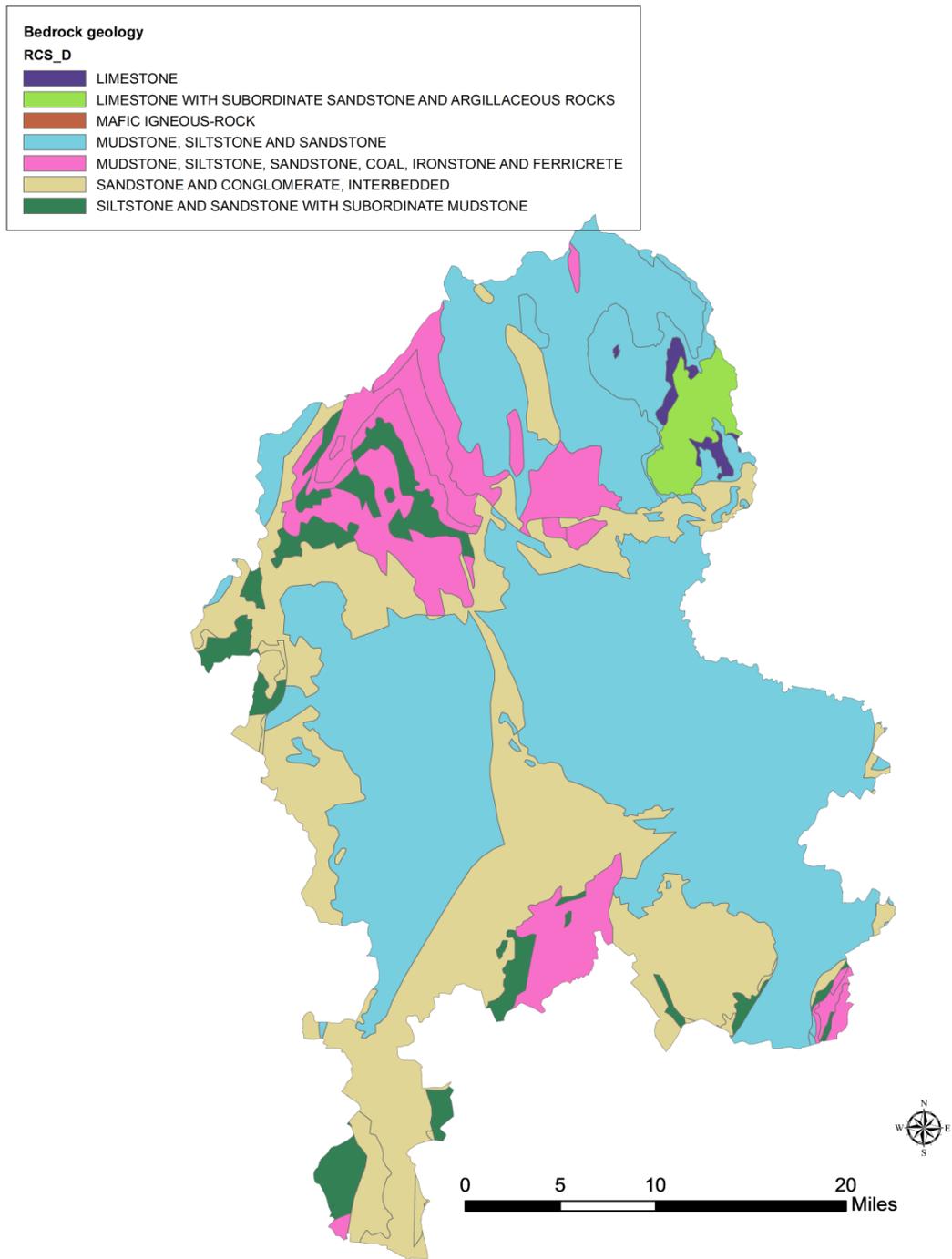


Figure 5.2: Bedrock Geology of Staffordshire. Based upon 'The Digital Geological Map of Great Britain' 1:625 000 [DiGMapGB-625], with the permission of the British Geological Survey

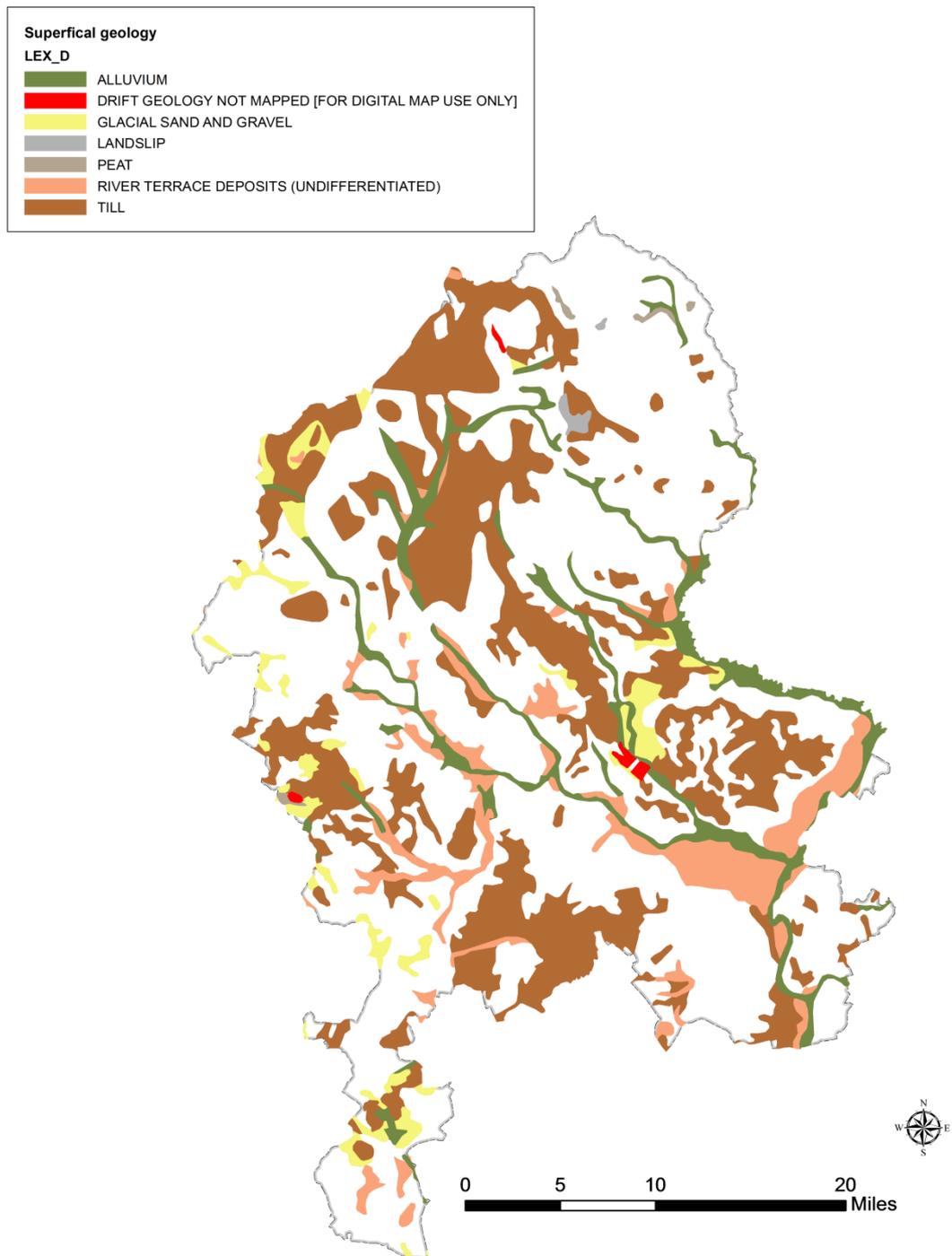


Figure 5.3: Superficial Geology of Staffordshire. Based upon 'The Digital Geological Map of Great Britain' 1:625 000 [DiGMapGB-625], with the permission of the British Geological Survey

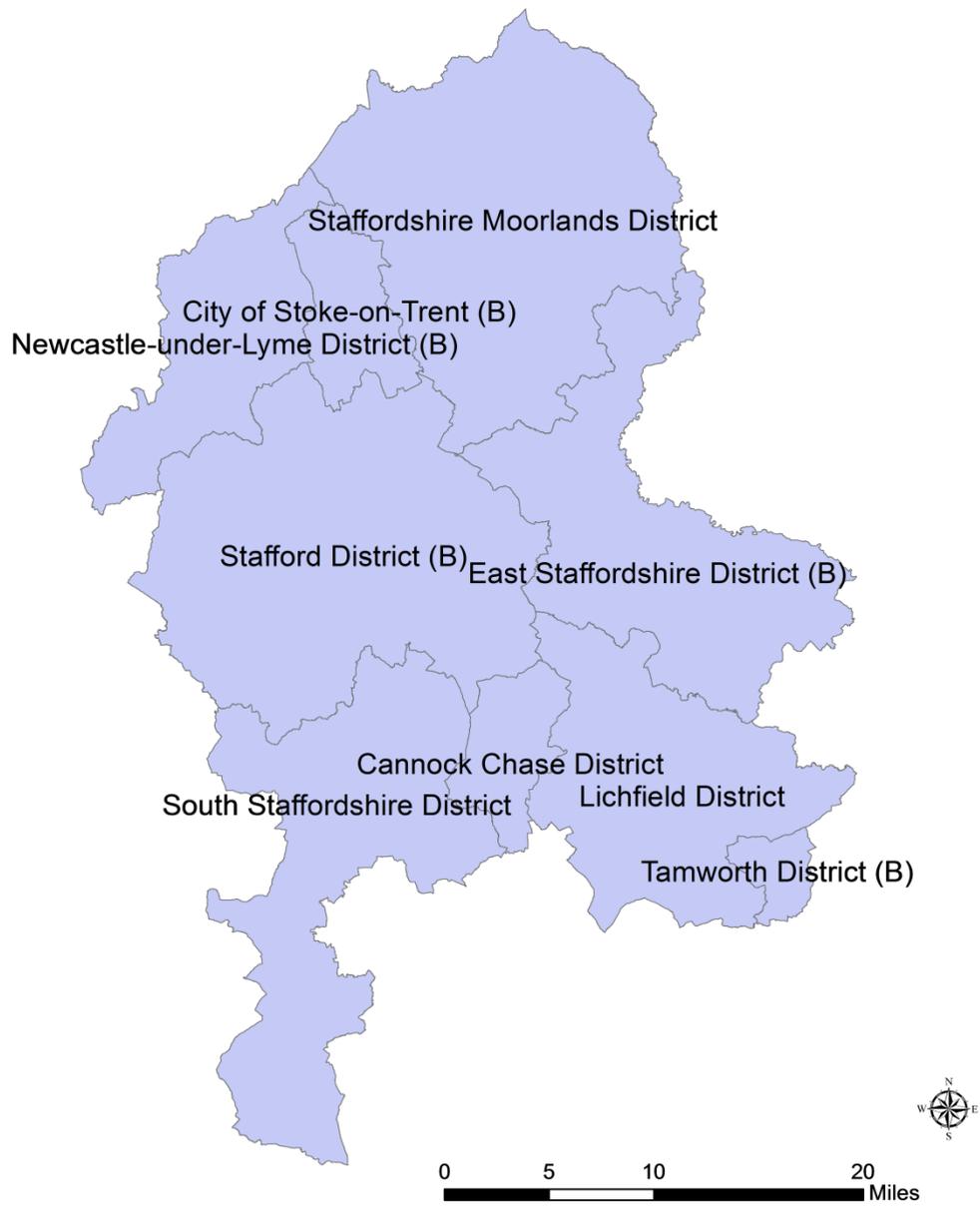


Figure 5.4: The planning authorities of the study area

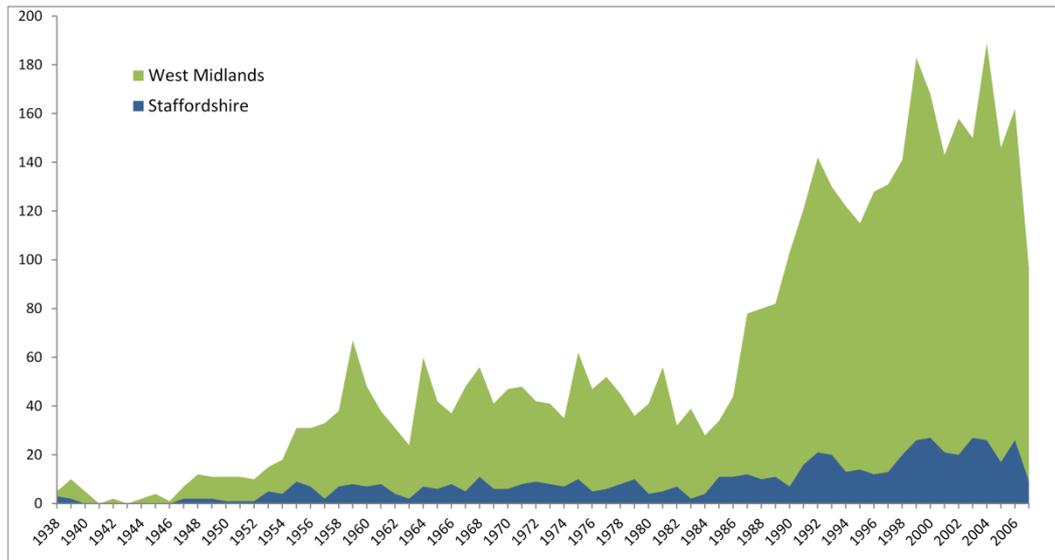


Figure 5.5: Investigations in Staffordshire (1938-2007) compared to the overall number of investigations in the West Midlands region

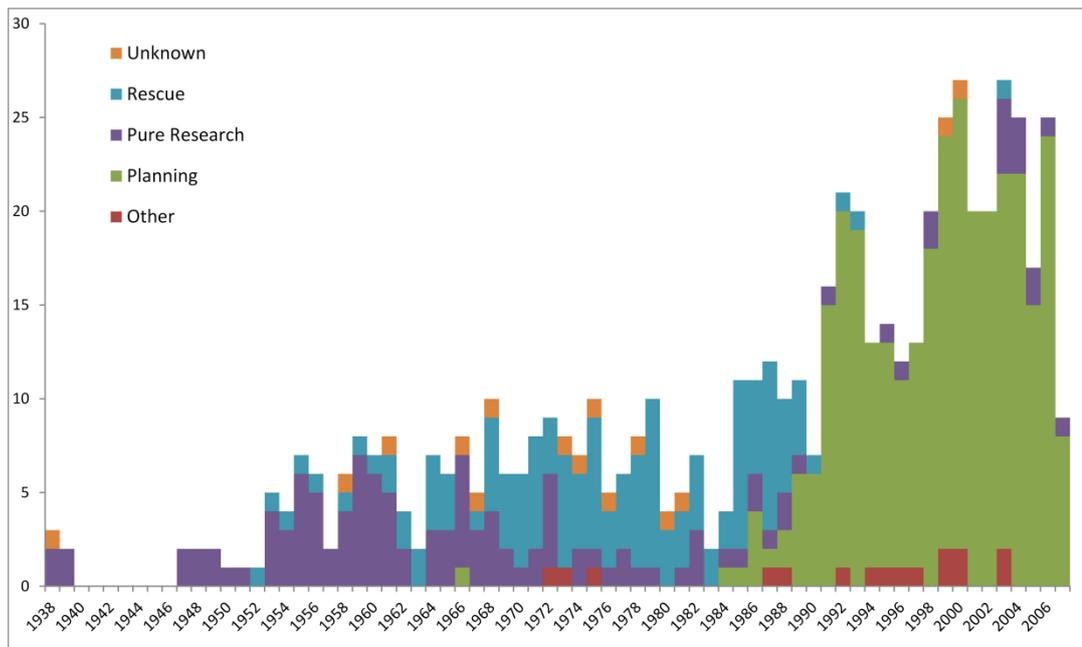


Figure 5.6: Investigations in Staffordshire (1938-2007) classed by prompt

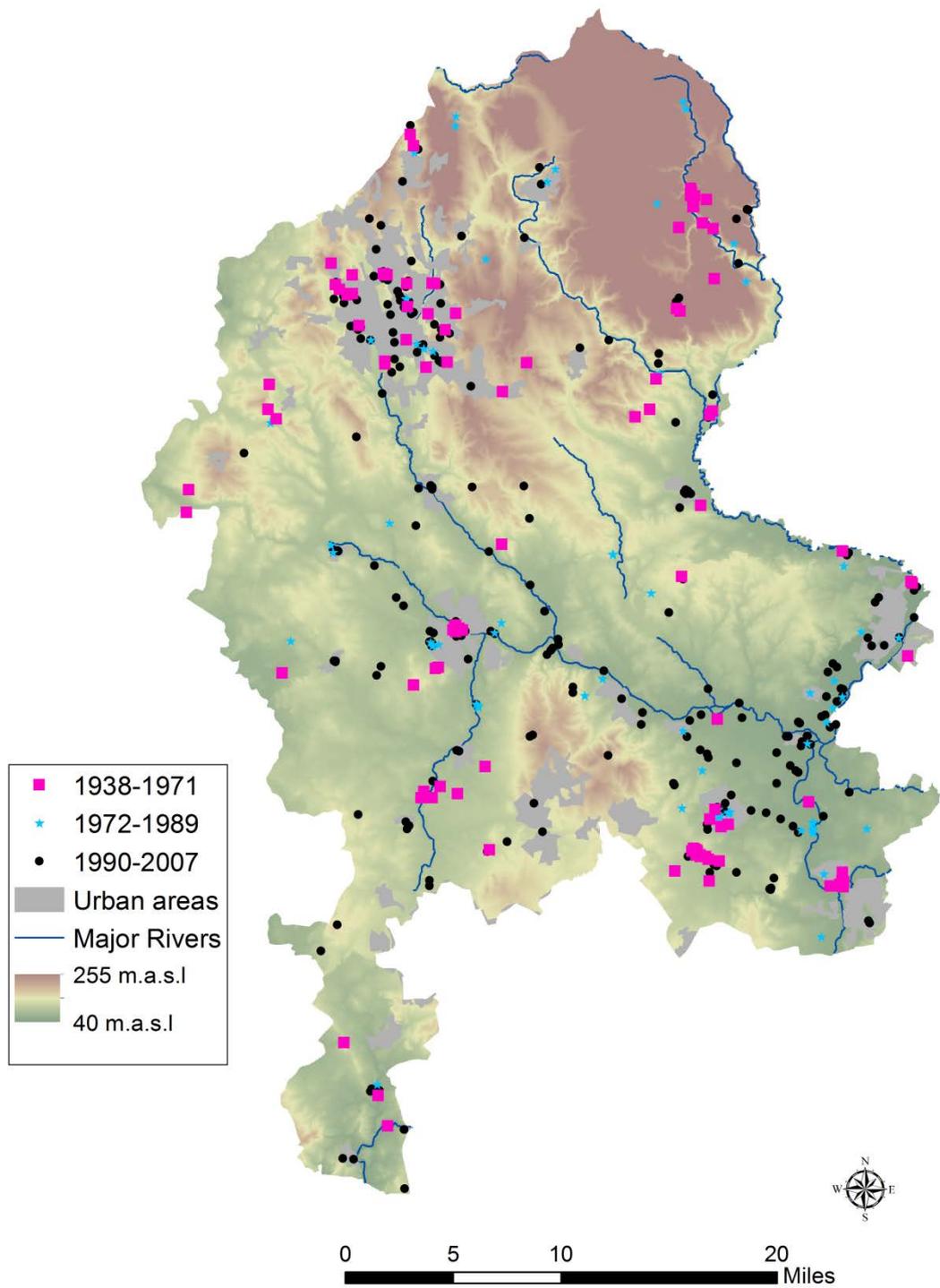


Figure 5.7: Distribution of excavations in Staffordshire 1938-2007. Contains OS data © Crown copyright [and database right] (2015)

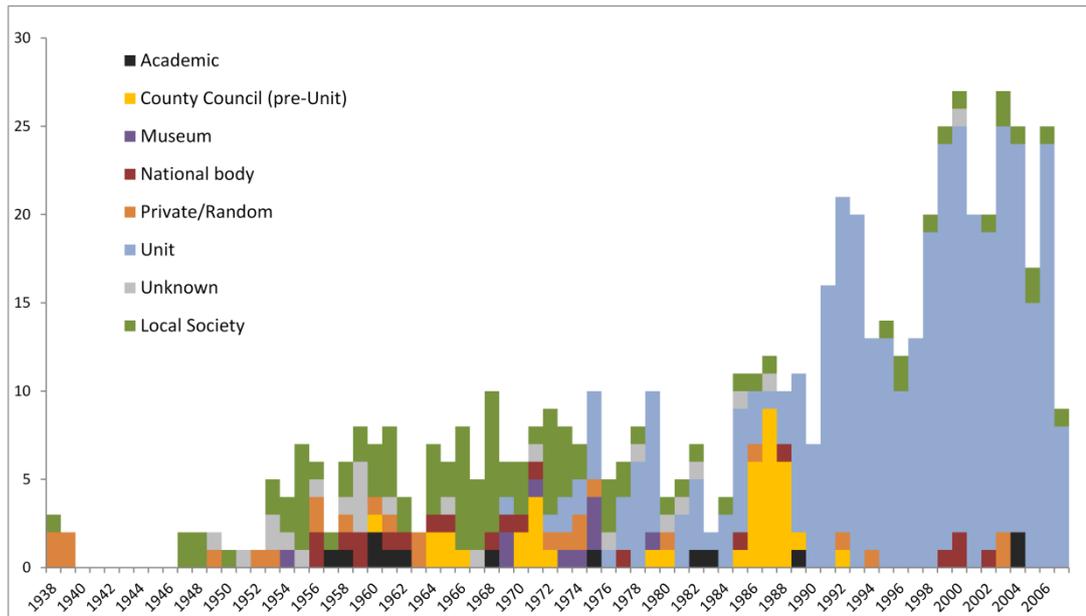


Figure 5.8: Investigations in Staffordshire (1938-2007) displayed by type of excavator

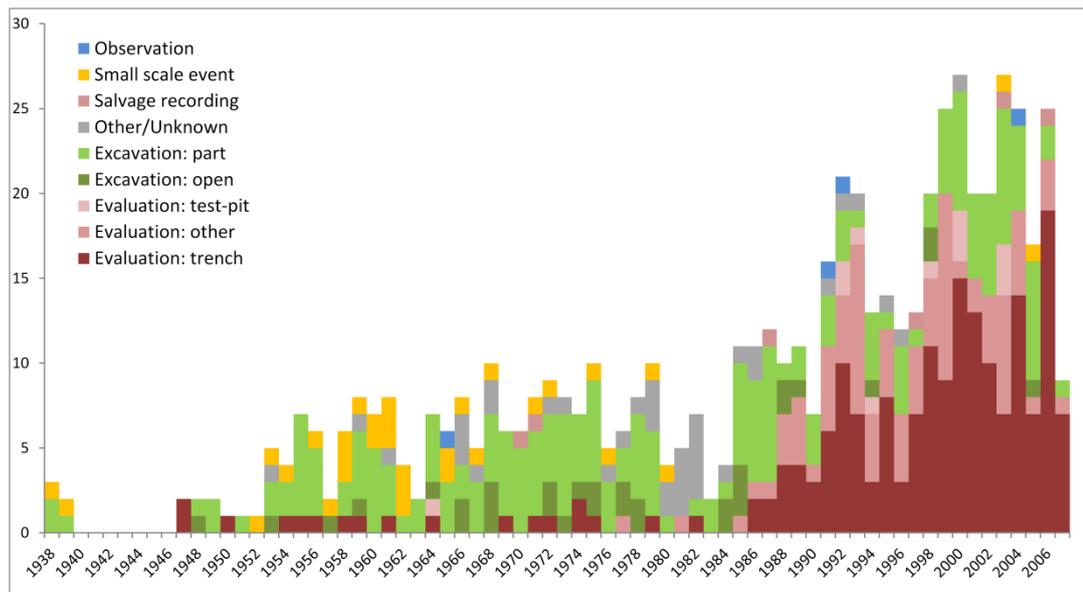


Figure 5.9: Investigations in Staffordshire (1938-2007) displayed by methodology

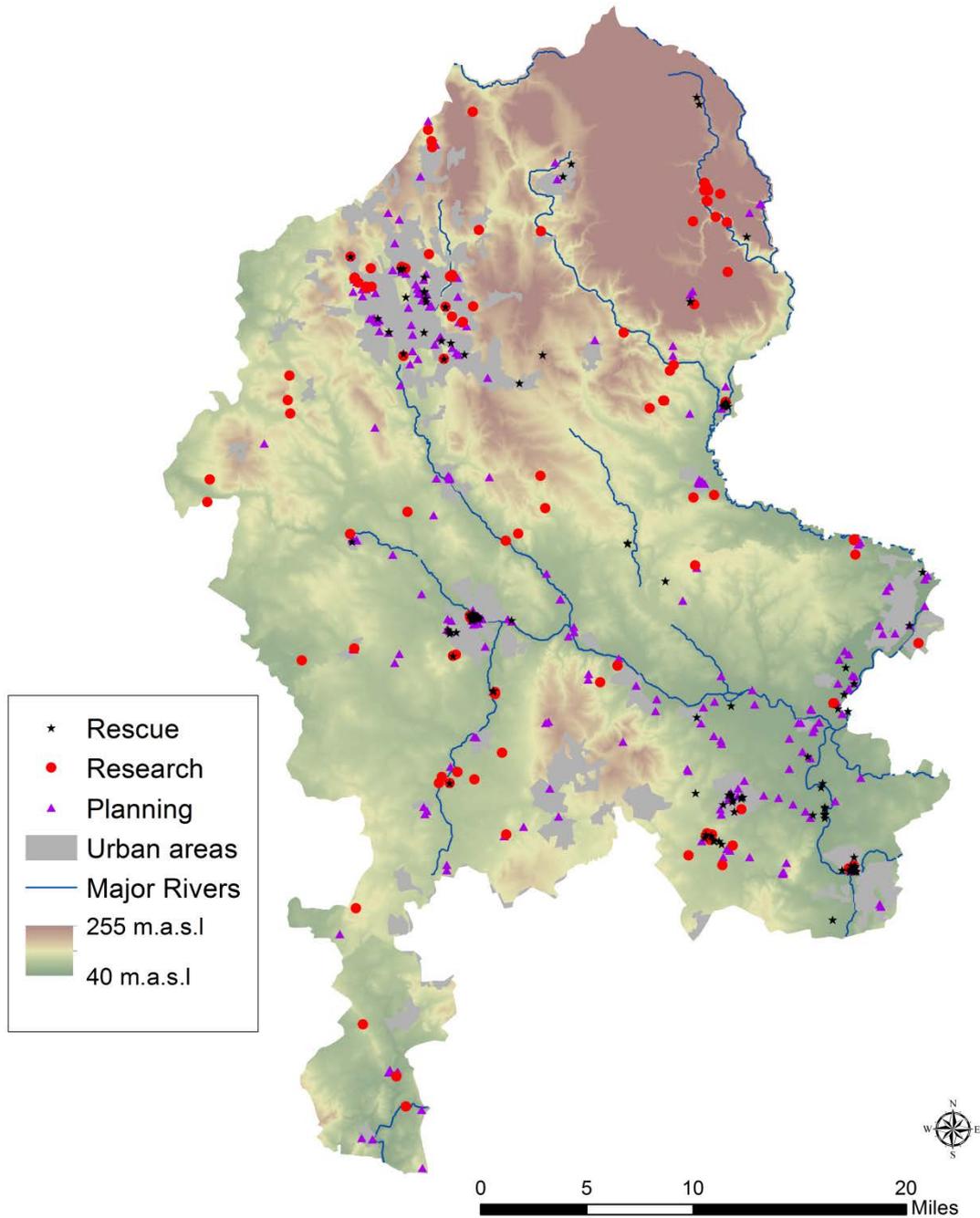


Figure 5.10: Location of excavations in Staffordshire (1938-2007) classified by prompt. Contains OS data © Crown copyright [and database right] (2015)

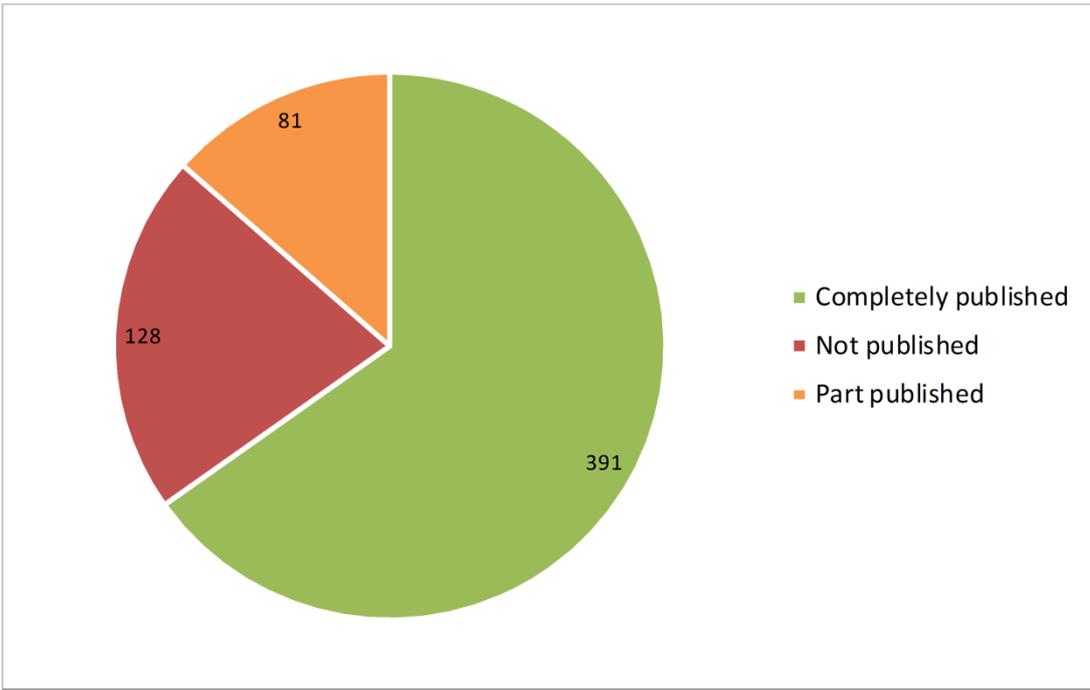


Figure 5.11: Publication status of all investigations in Staffordshire

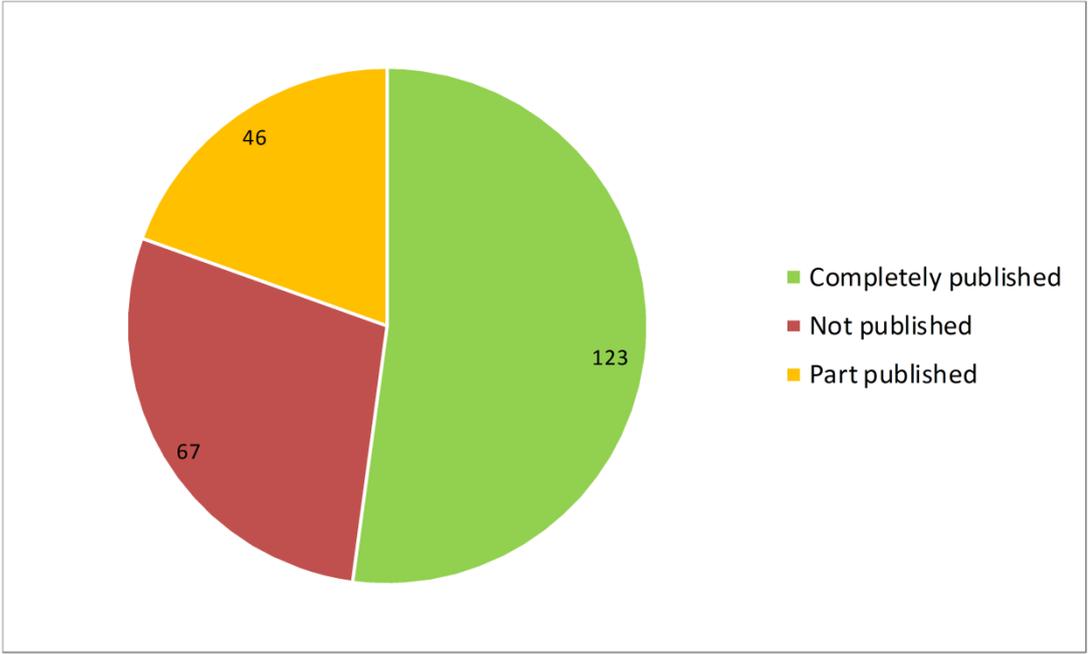


Figure 5.12: Publication status of *excavations* in Staffordshire

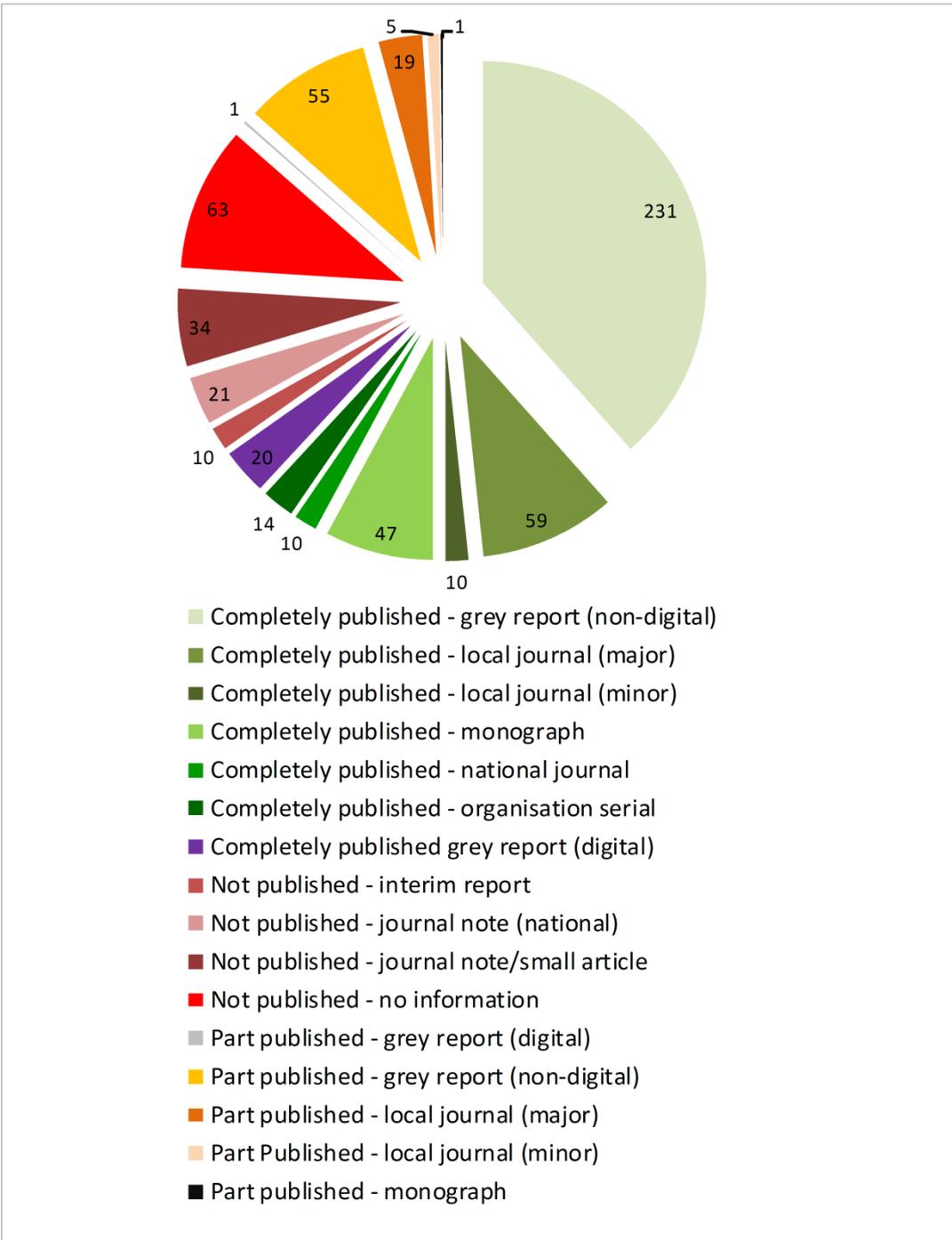


Figure 5.13: Detailed publication status of all investigations in Staffordshire

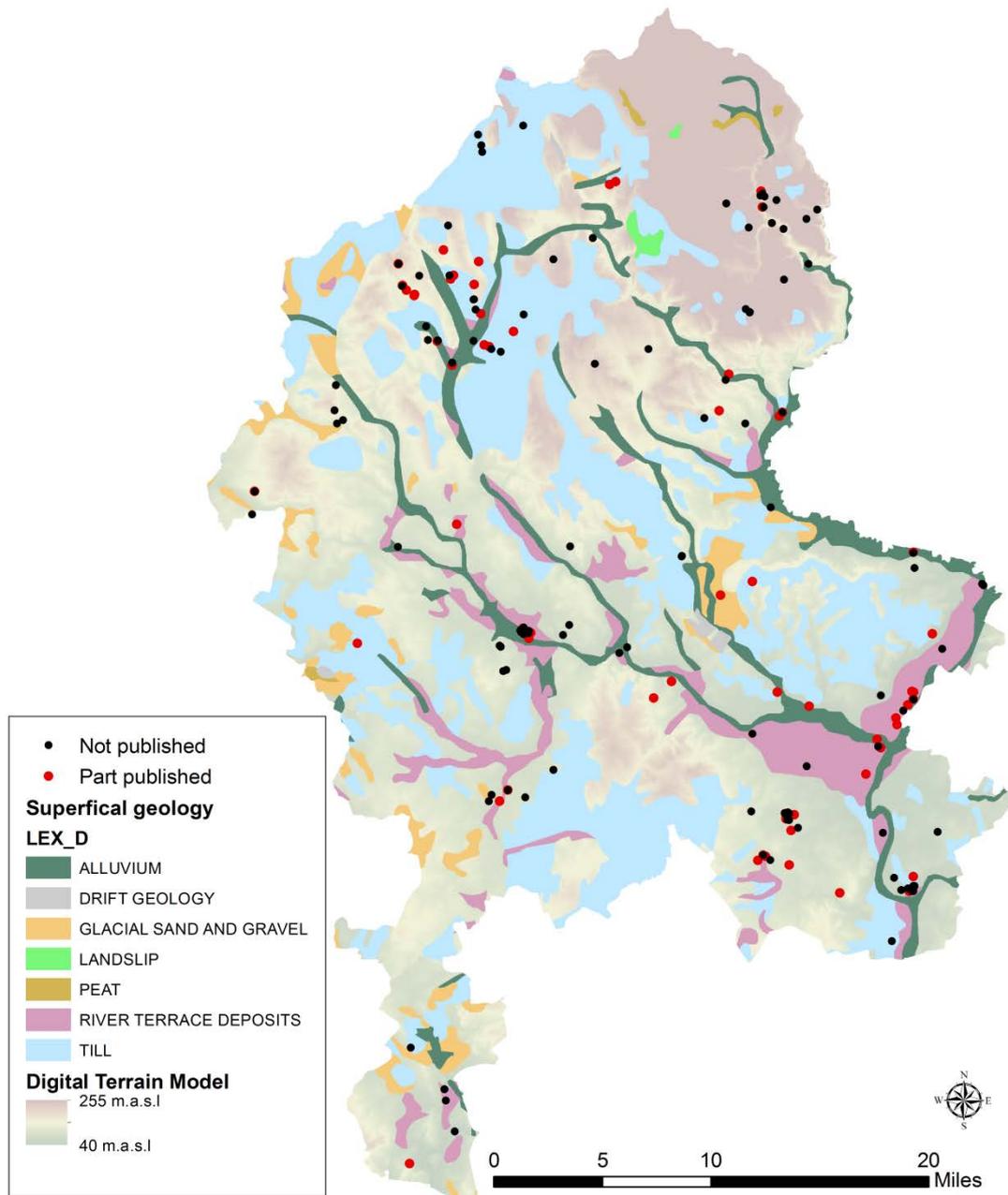


Figure 5.14: Staffordshire investigations classed as unpublished and part published in reference to topography and superficial geology. Based upon 'The Digital Geological Map of Great Britain' 1:625 000 [DiGMapGB-625], with the permission of the British Geological Survey.

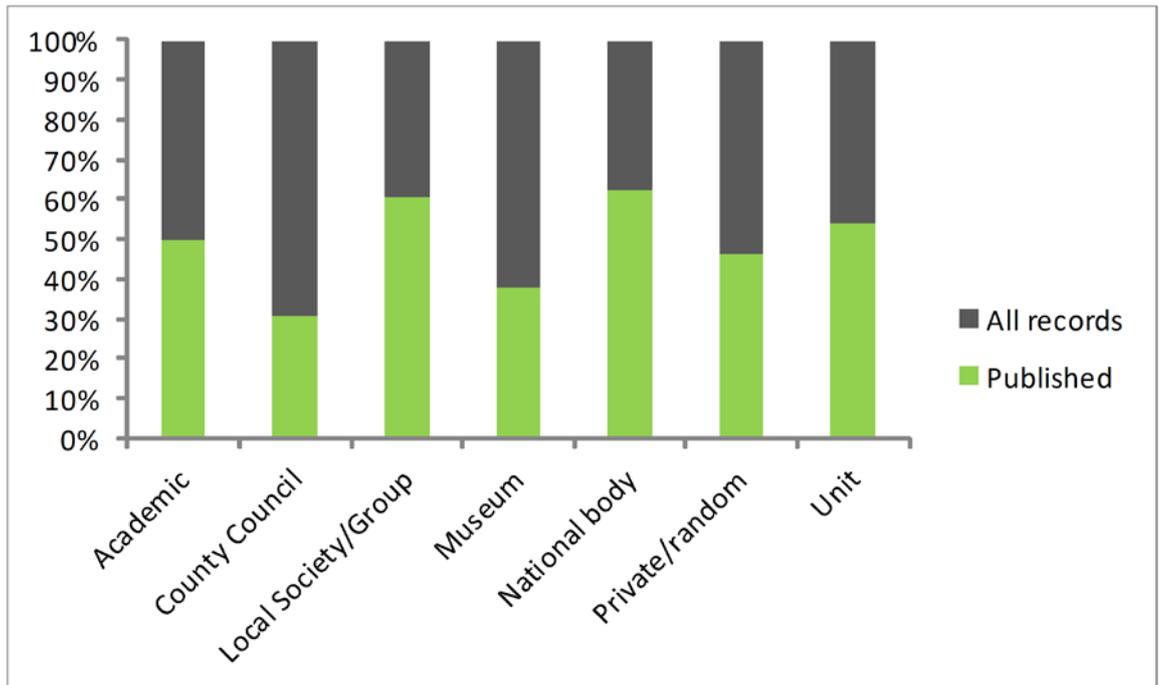
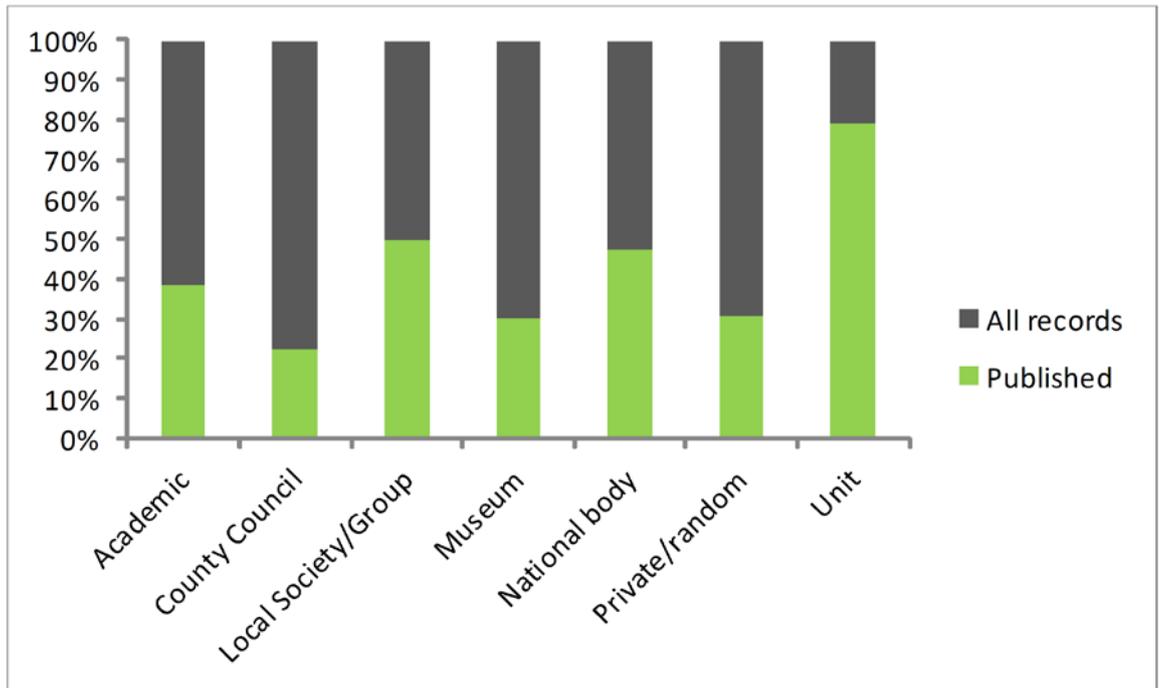


Figure 5.15 Staffordshire publication rates per excavator class, viewed against total numbers of investigations for each class. All investigations (top), just *excavations* (bottom)

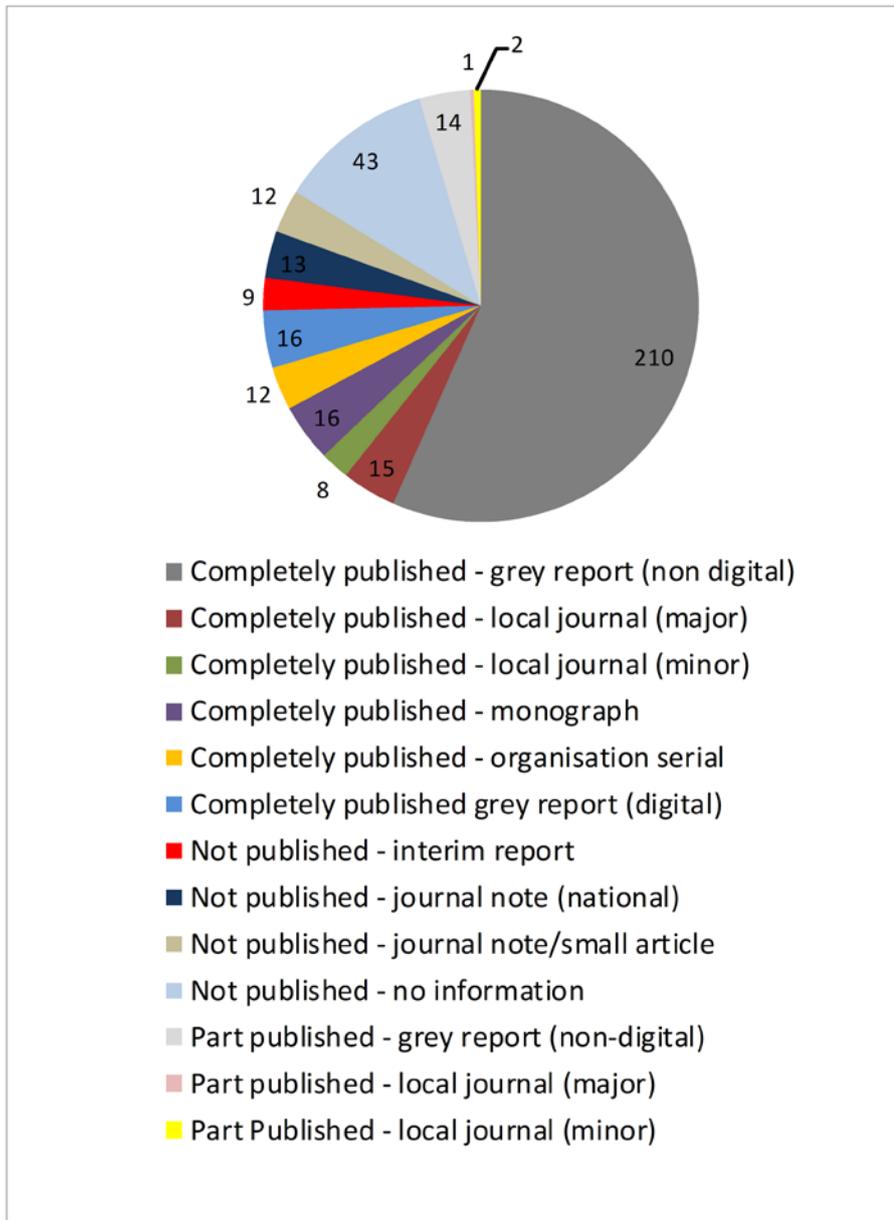


Figure 5.16: Publication status of Staffordshire excavations of local significance

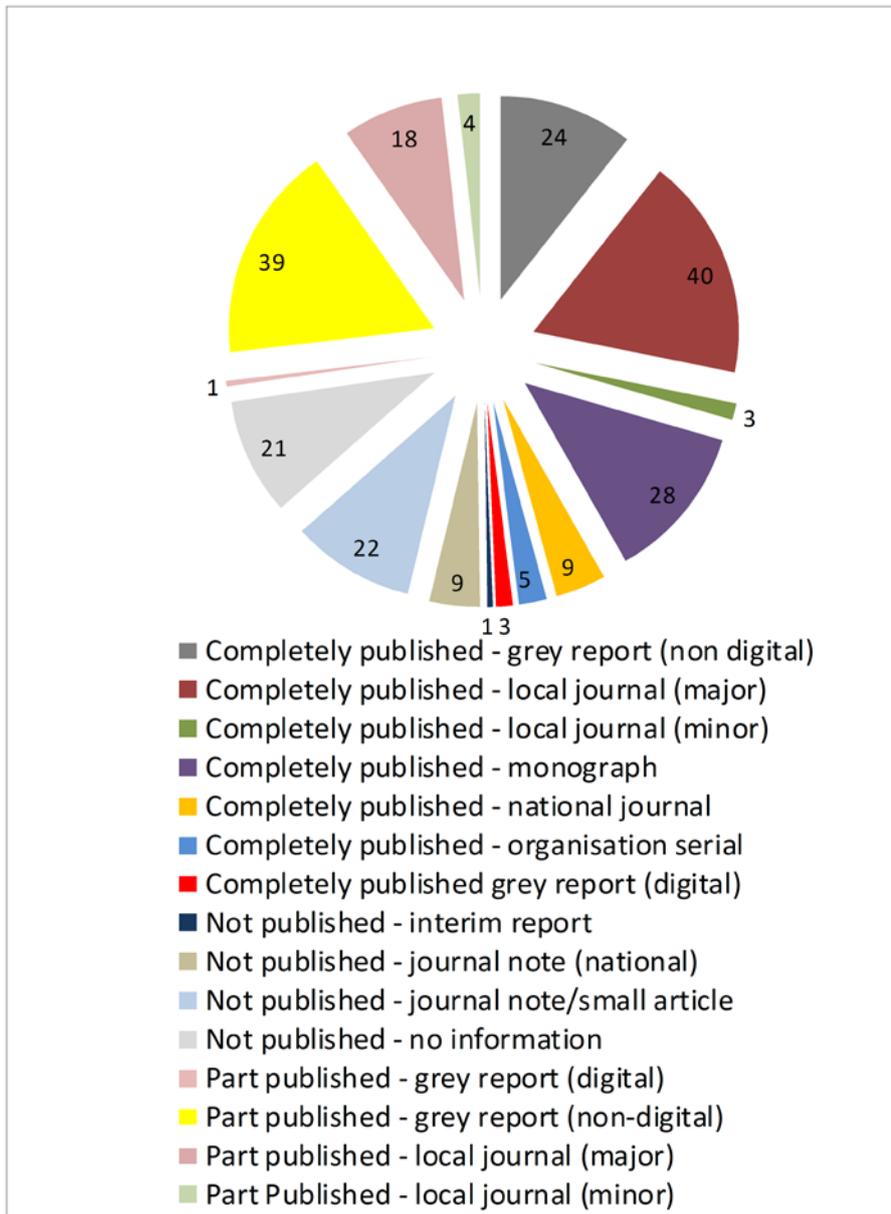


Figure 5.17: Publication status of Staffordshire excavations of regional significance

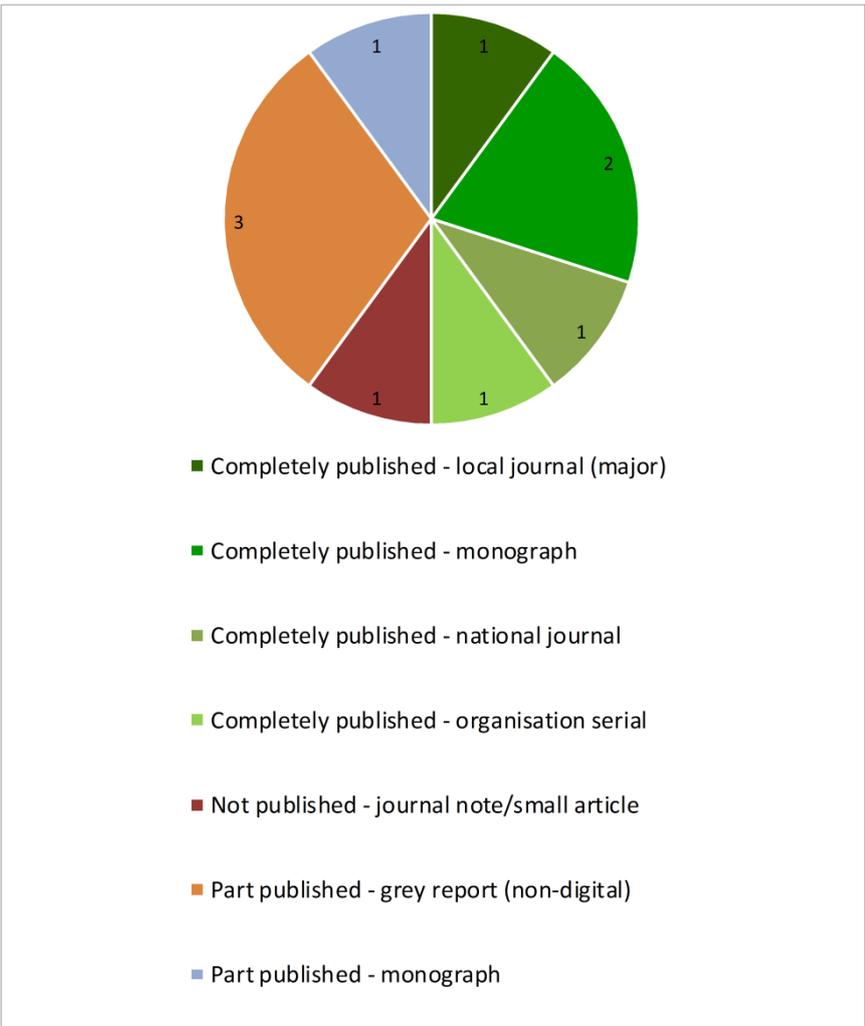


Figure 5.18: Publication status of Staffordshire excavations of national significance

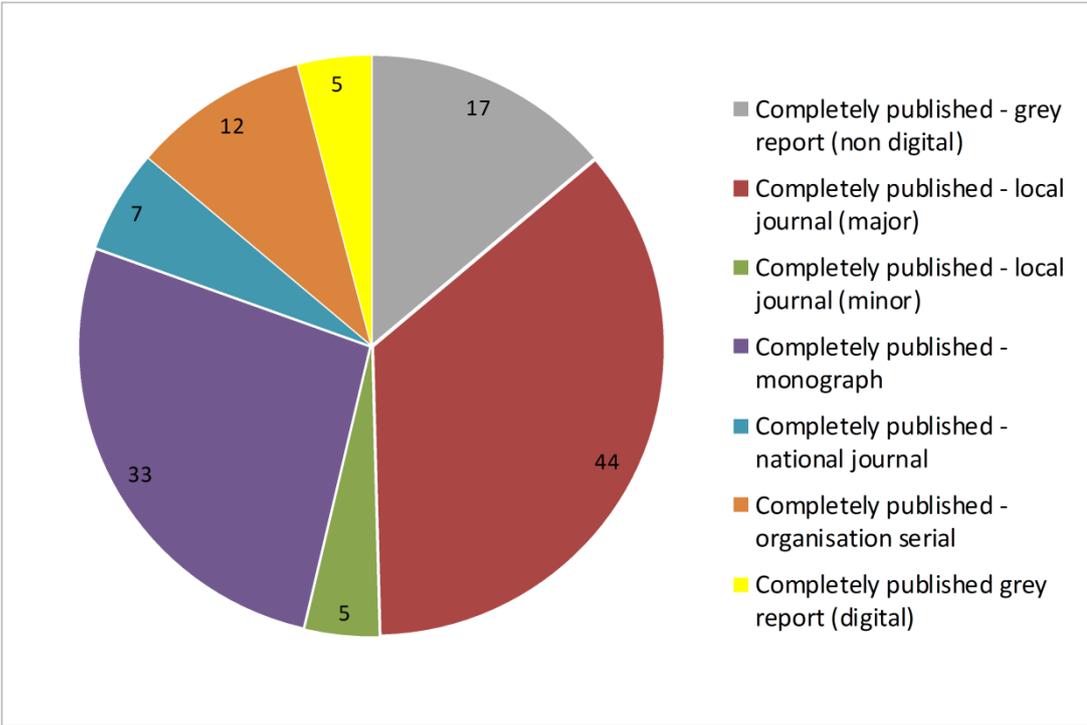
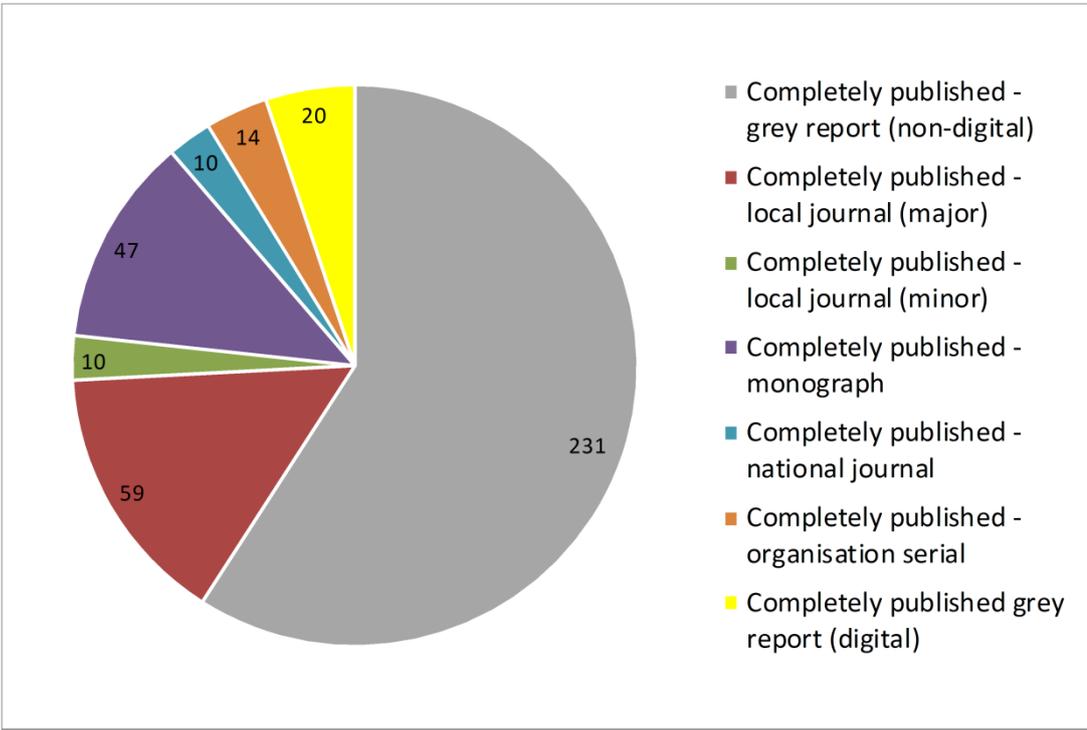


Figure 5.19: The primary output of completely published investigations in Staffordshire. All investigations (top), just *excavations* (bottom)

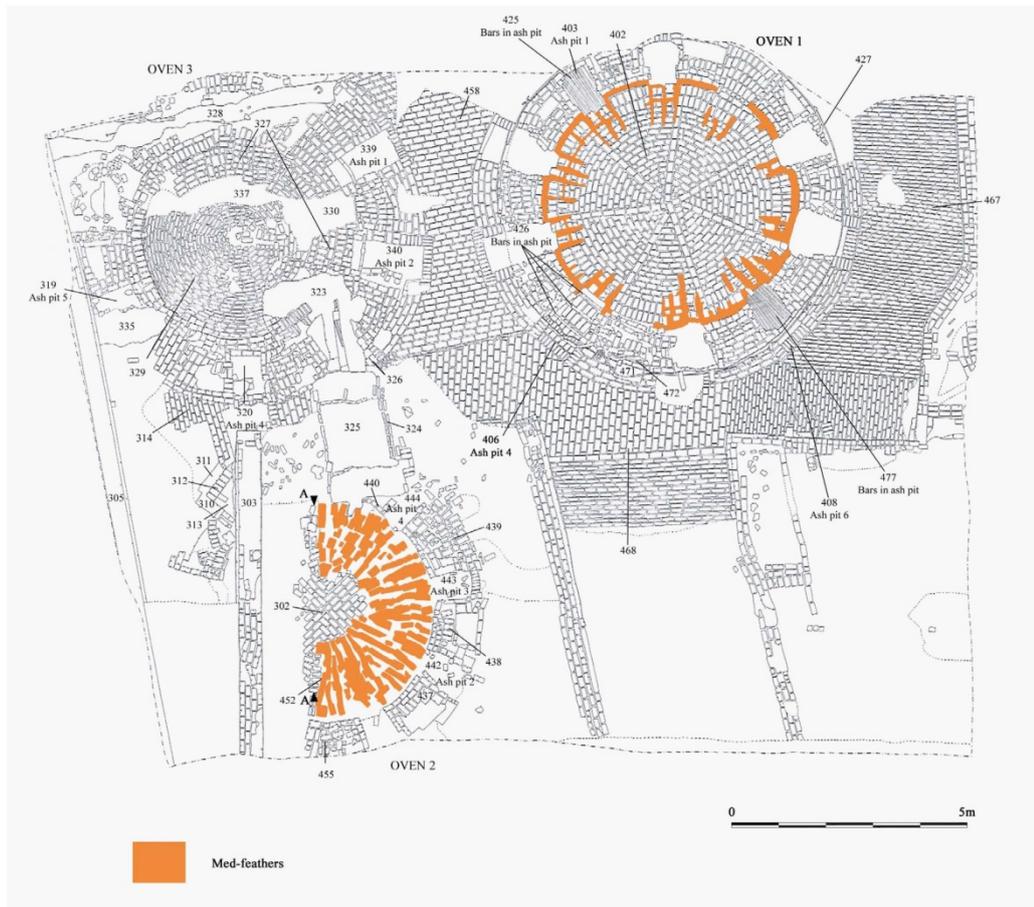


Figure 5.20: An example of plans and photographs from the excavation report of Century Street, Hanley, Stoke-on-Trent (after Forrester 2007)

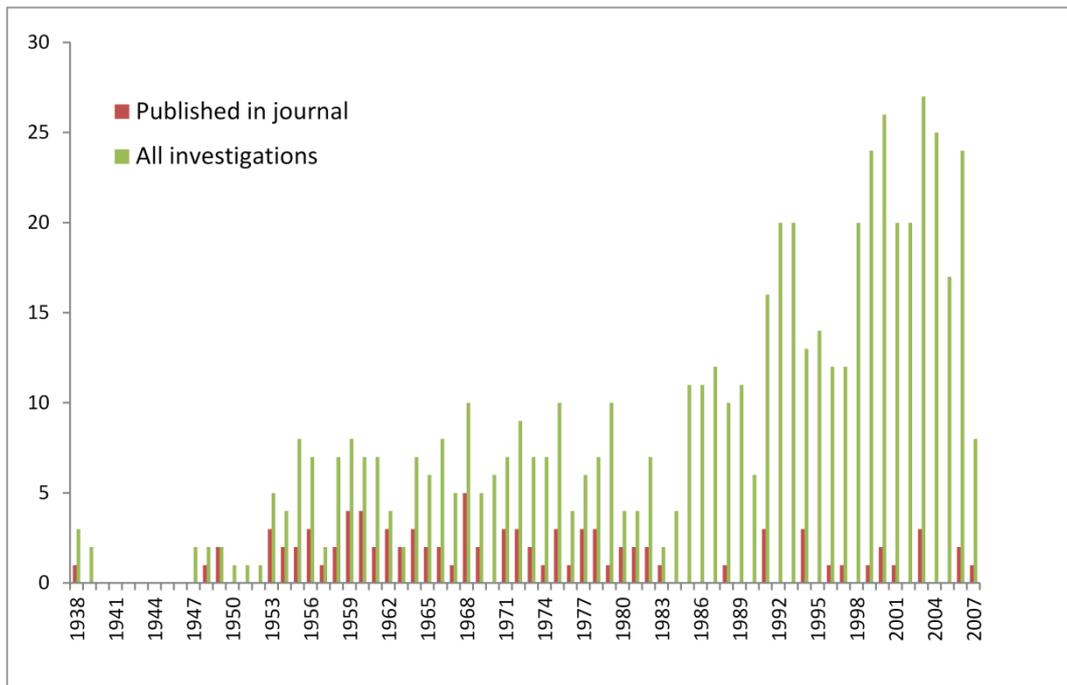


Figure 5.21: Investigations from Staffordshire published in local journals. Graph displayed by year of excavation; includes records classed as part published

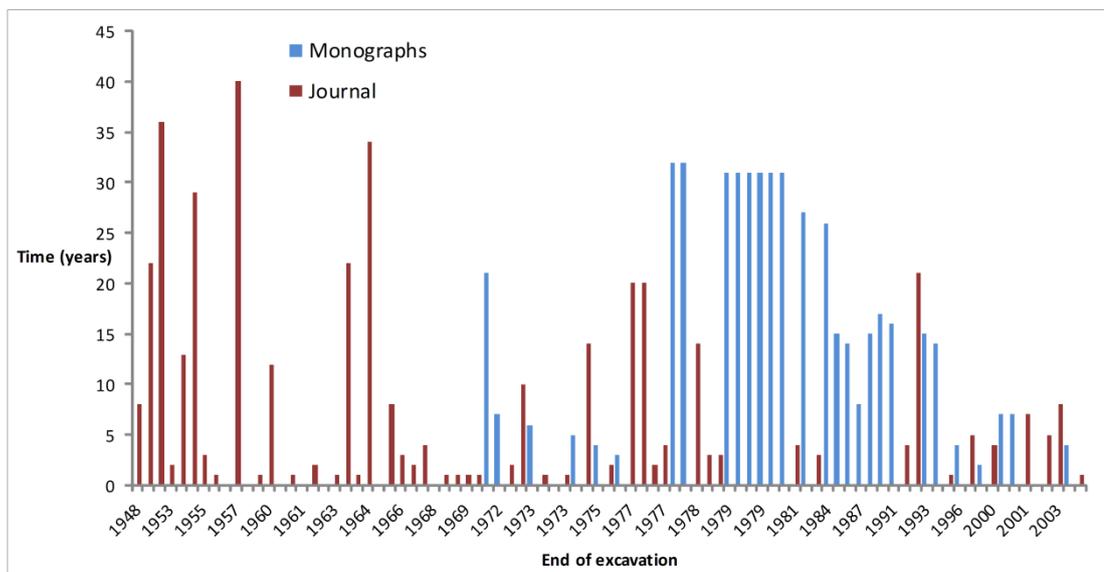


Figure 5.22: Delay in years between the end of excavation and year of publication for monographs and journal articles from investigations in Staffordshire; includes records classed as part published

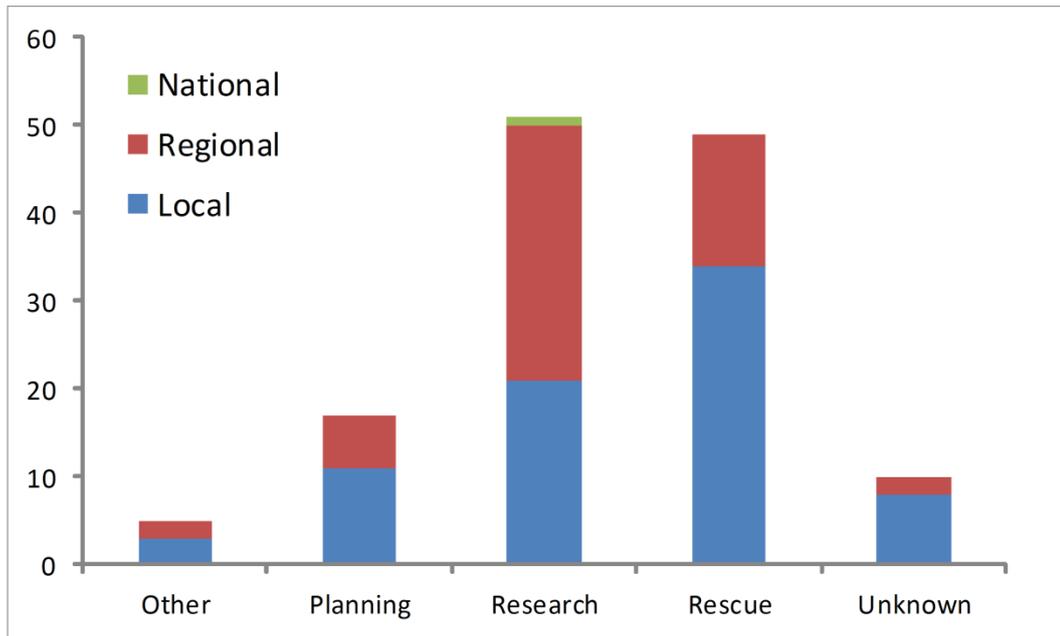


Figure 5.23: Unpublished excavations from Staffordshire by type and significance

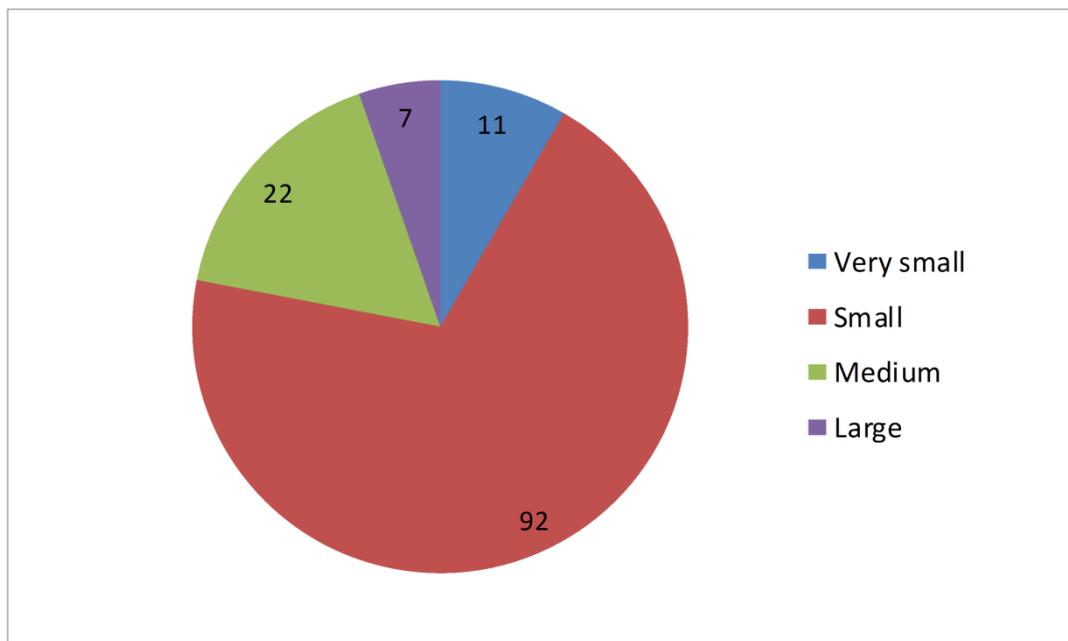


Figure 5.24: Unpublished excavations from Staffordshire by scale

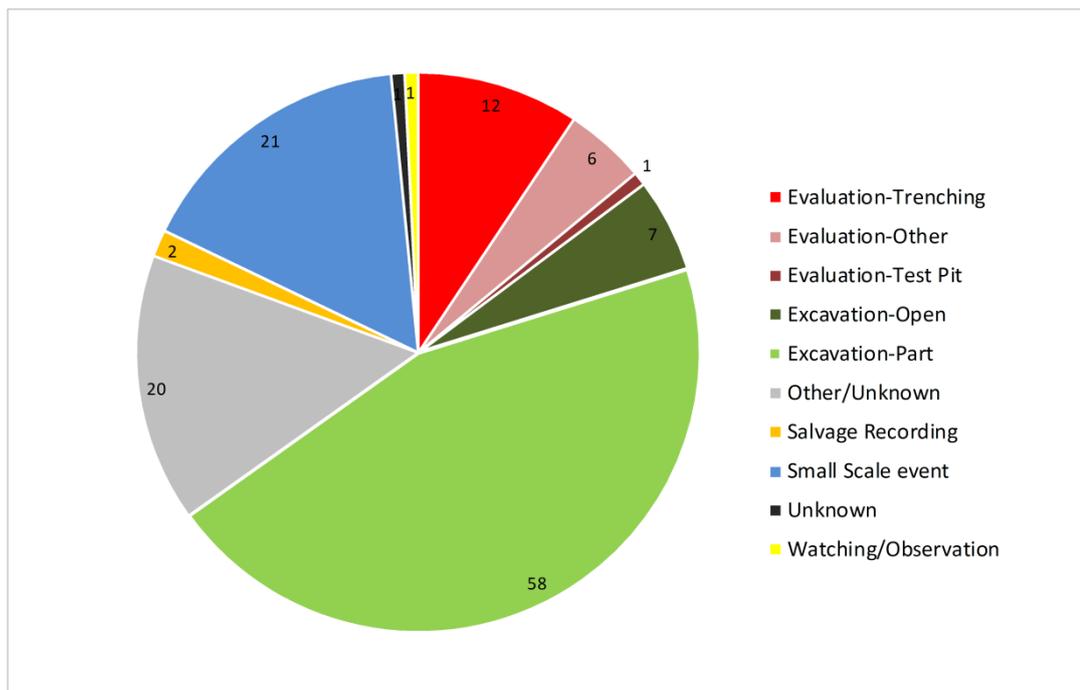


Figure 5.25: Unpublished excavations from Staffordshire by methodology

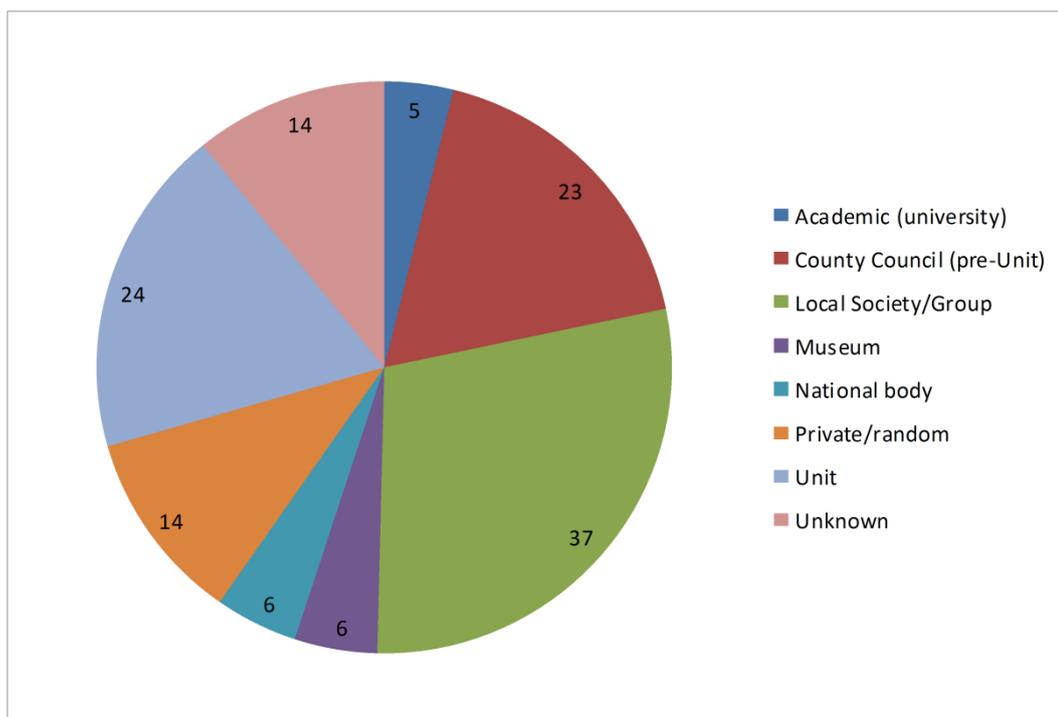


Figure 5.26: Unpublished excavations from Staffordshire by excavator class

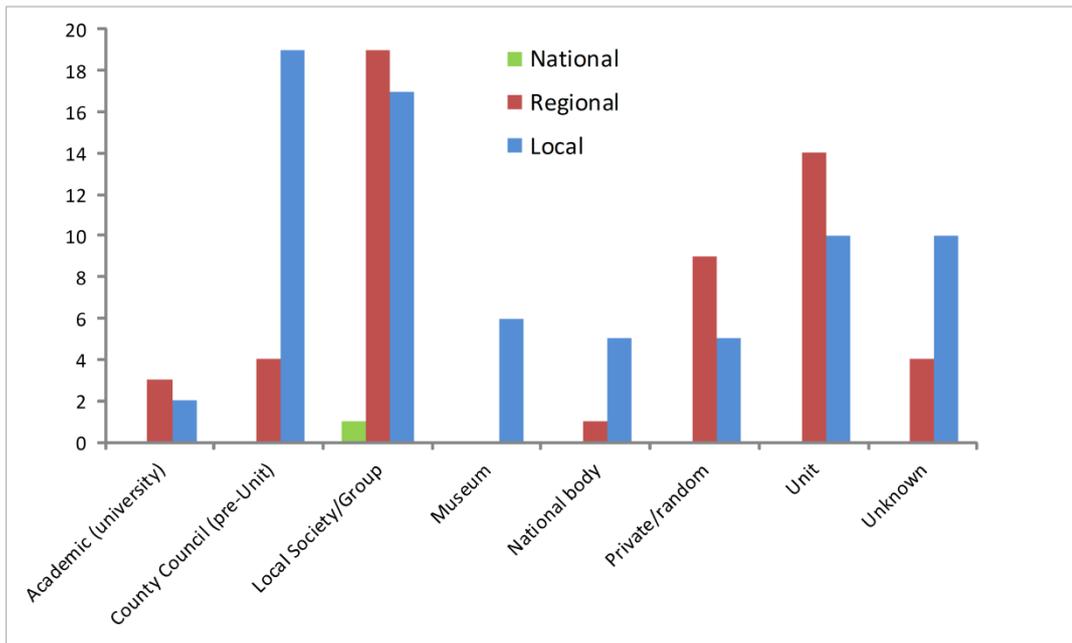


Figure 5.27: Unpublished events from Staffordshire: excavator class and significance

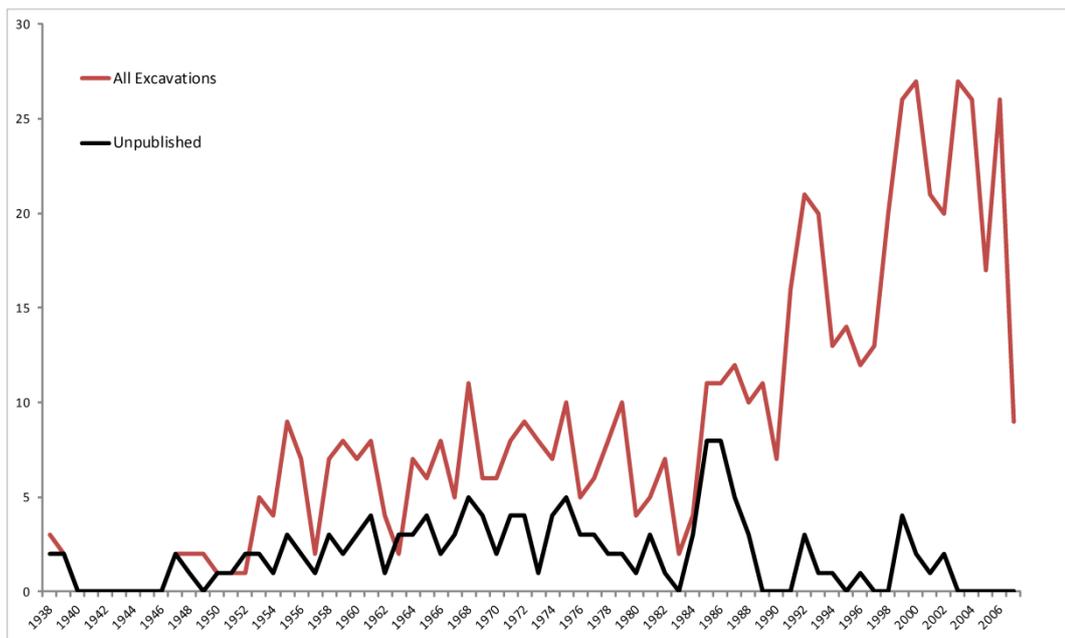


Figure 5.28: Number of unpublished excavations from Staffordshire per year, compared to annual levels of all events from the county

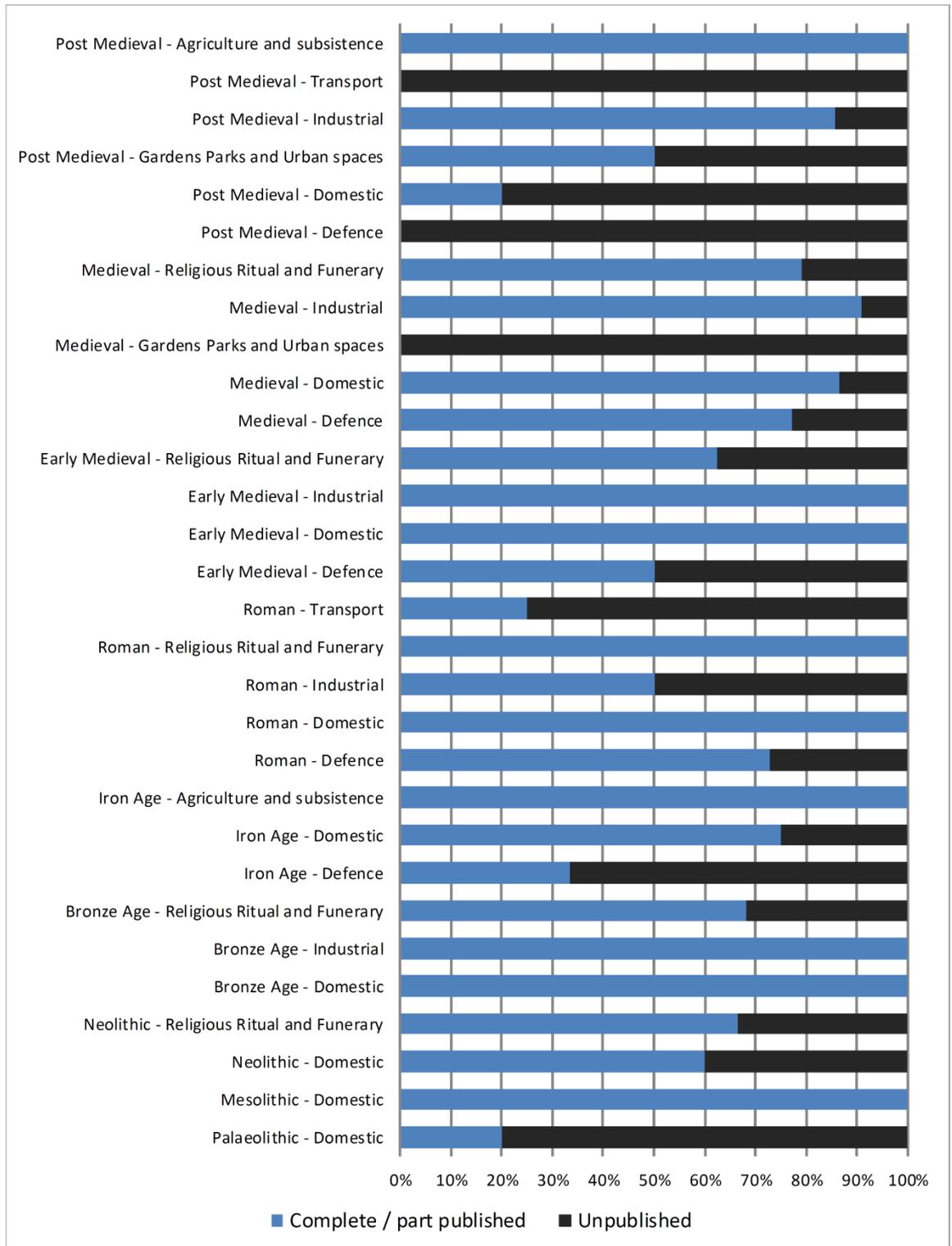


Figure 5.29: Significant archaeological monuments (by class and period) of unpublished excavations from Staffordshire. Graph shows unpublished records as percentage of all monuments of that type and in relation to complete and part published records (grouped together)

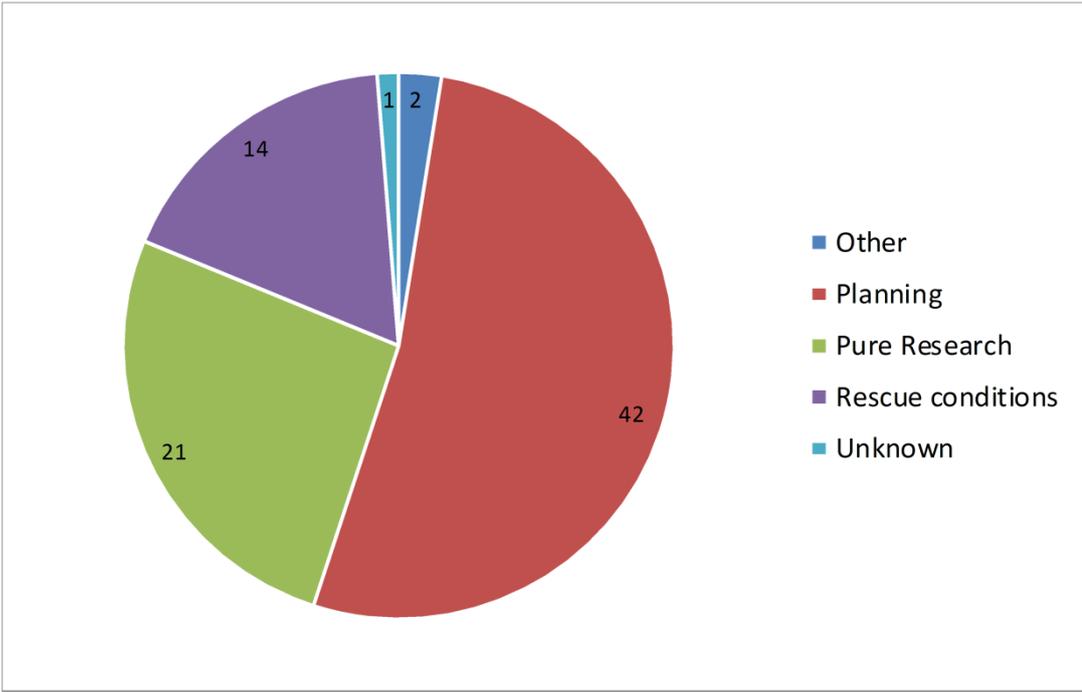


Figure 5.30: Part published excavations (1938-2007) from Staffordshire by excavation prompt

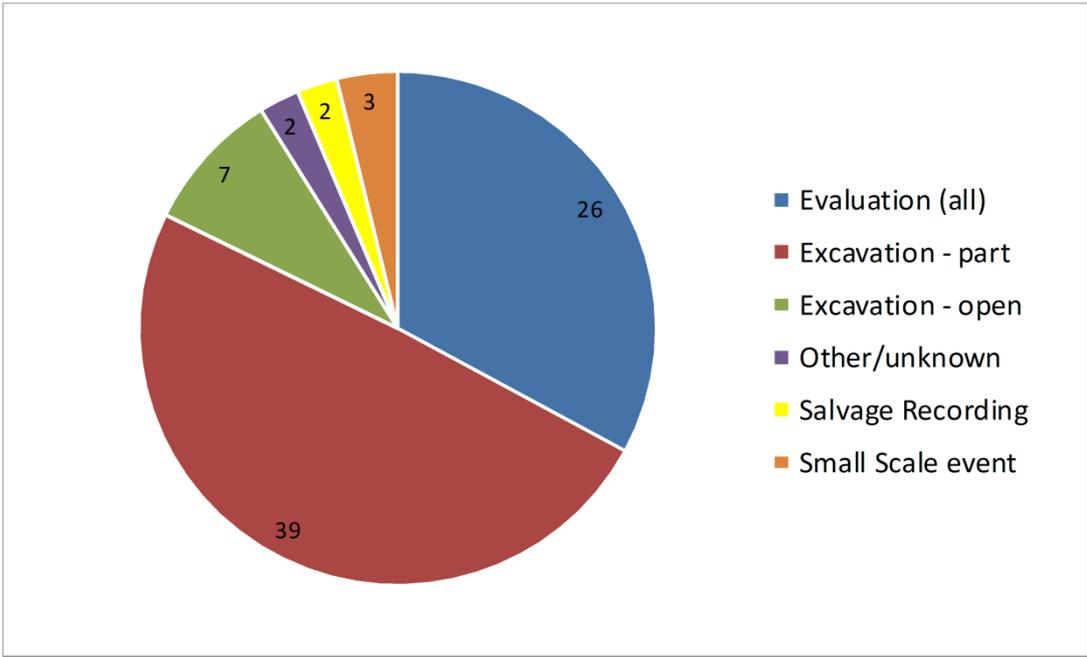


Figure 5.31: Part published excavations (1938-2007) from Staffordshire by methodology

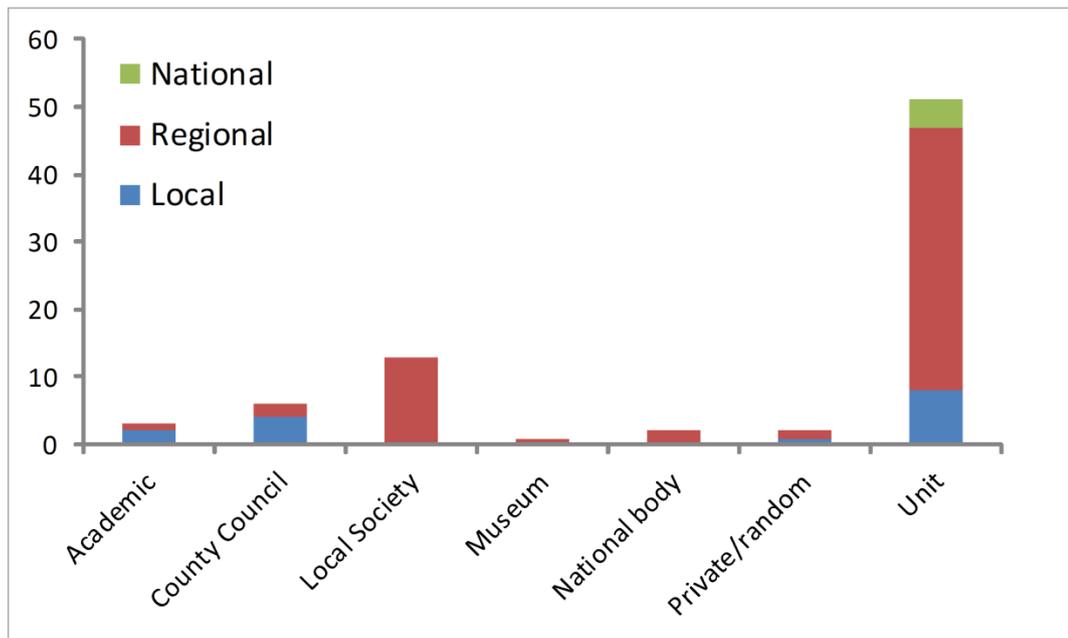


Figure 5.32: Part published excavations (1938-2007) from Staffordshire by excavator class and significance

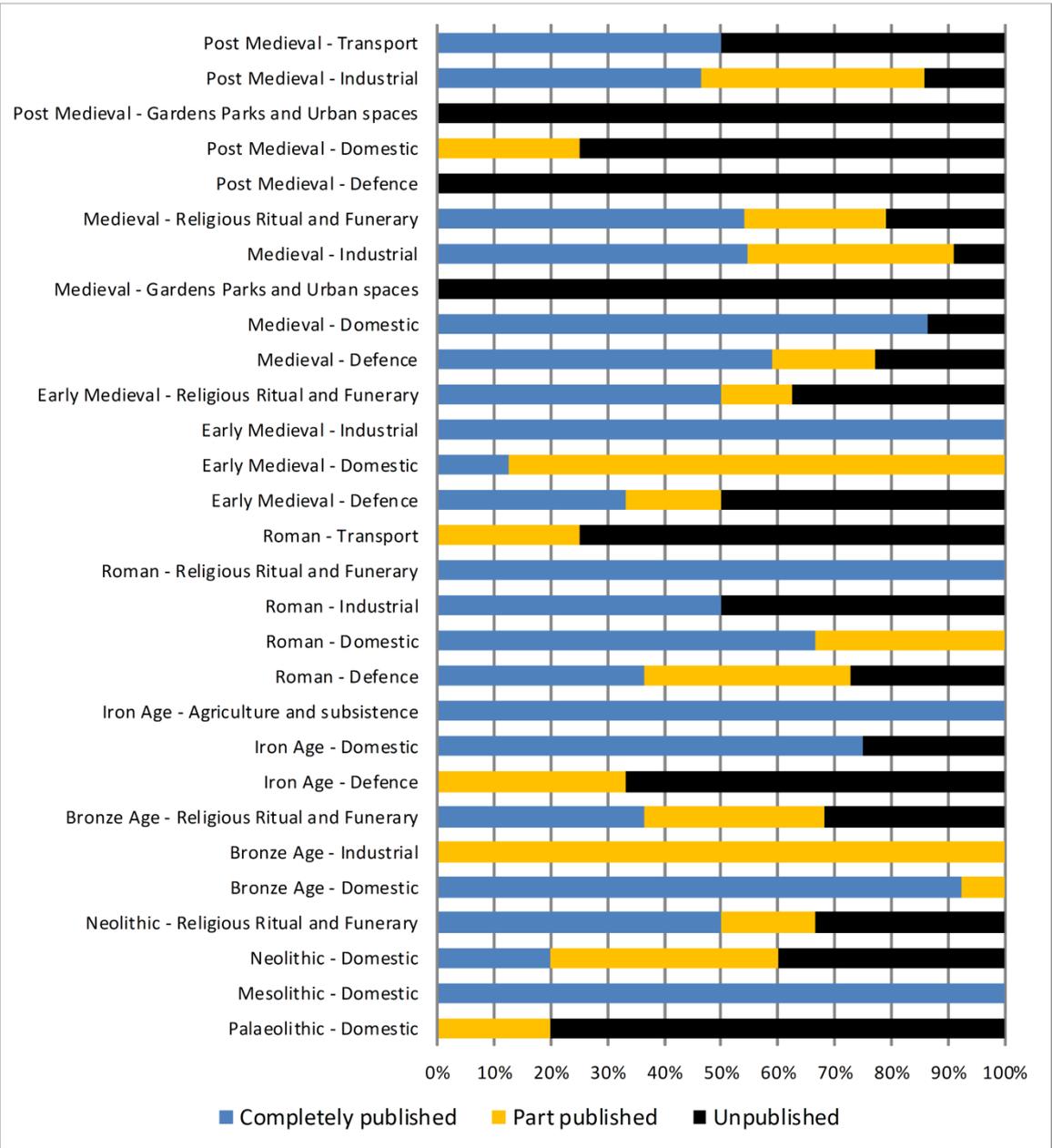


Figure 5.33: Archaeological monuments (by class and period) of part published excavations from Staffordshire. Graph shows part published records as percentage of all regionally and nationally monuments of that type, and in relation to complete and unpublished records

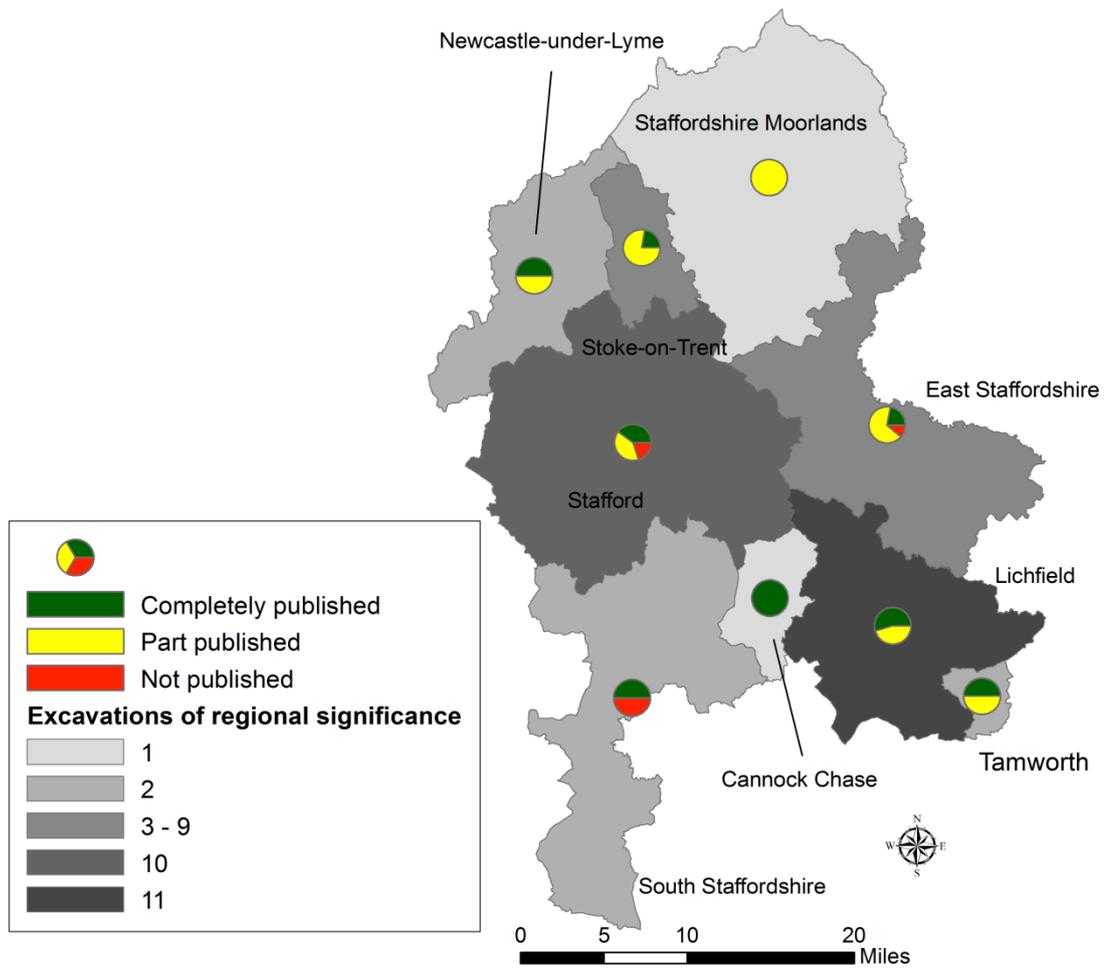


Figure 5.34: Publication status of planning *excavations* of regional or national significance in Staffordshire, by local authority

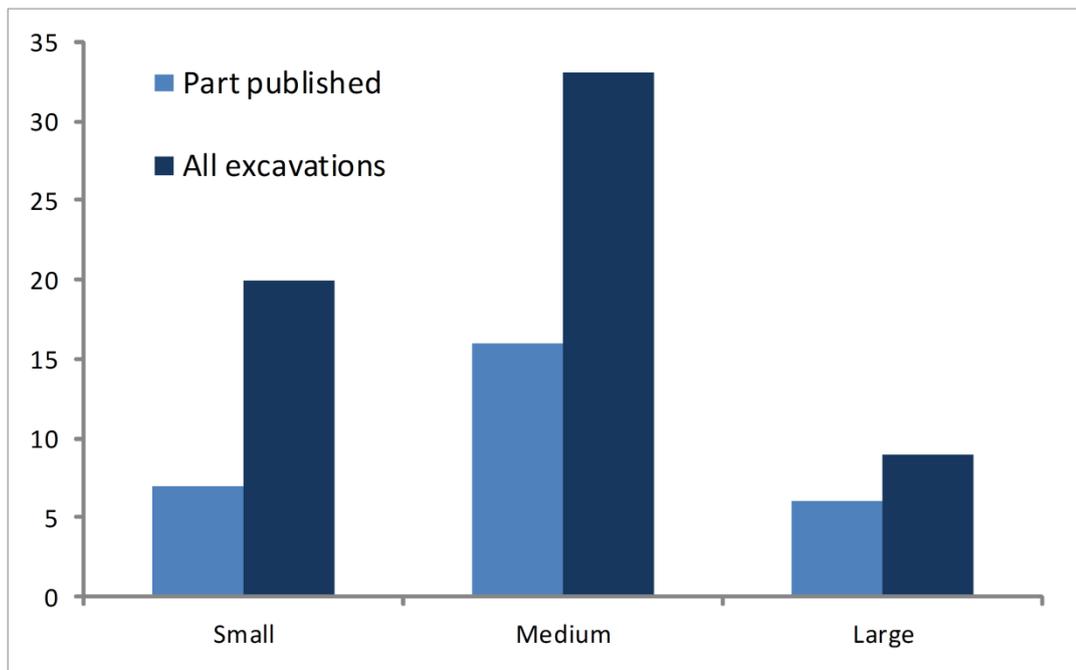


Figure 5.35: Planning *excavations* part published as grey literature from Staffordshire classed by scale and in comparison to all similar events of that scale

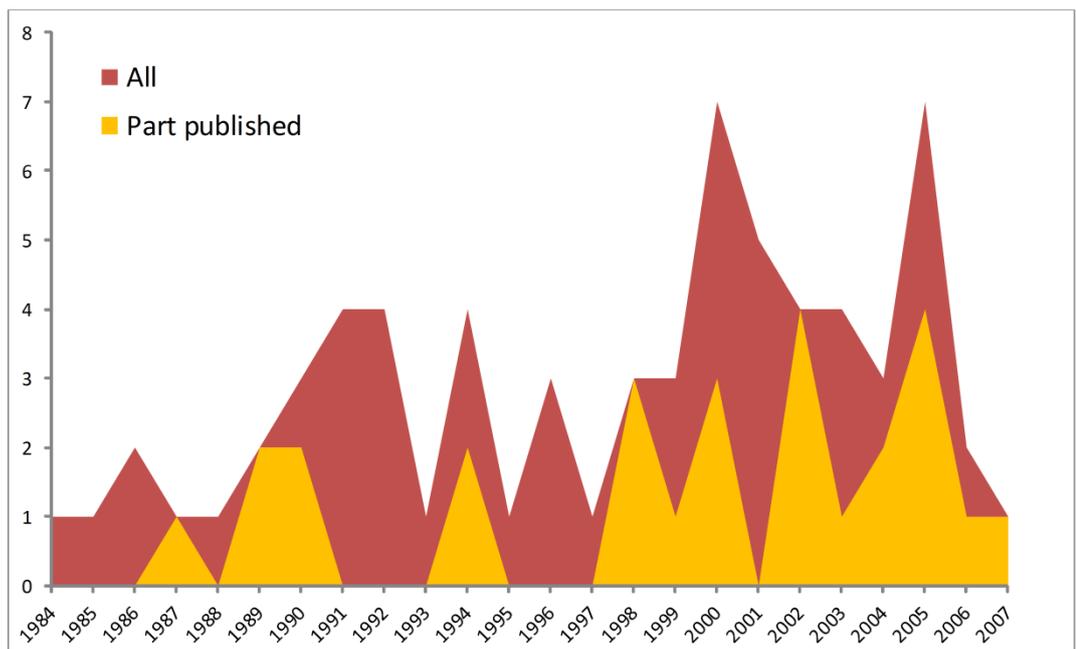


Figure 5.36: Planning *excavations* part published as grey literature from Staffordshire by year of work and in comparison to all *excavations* undertaken that year

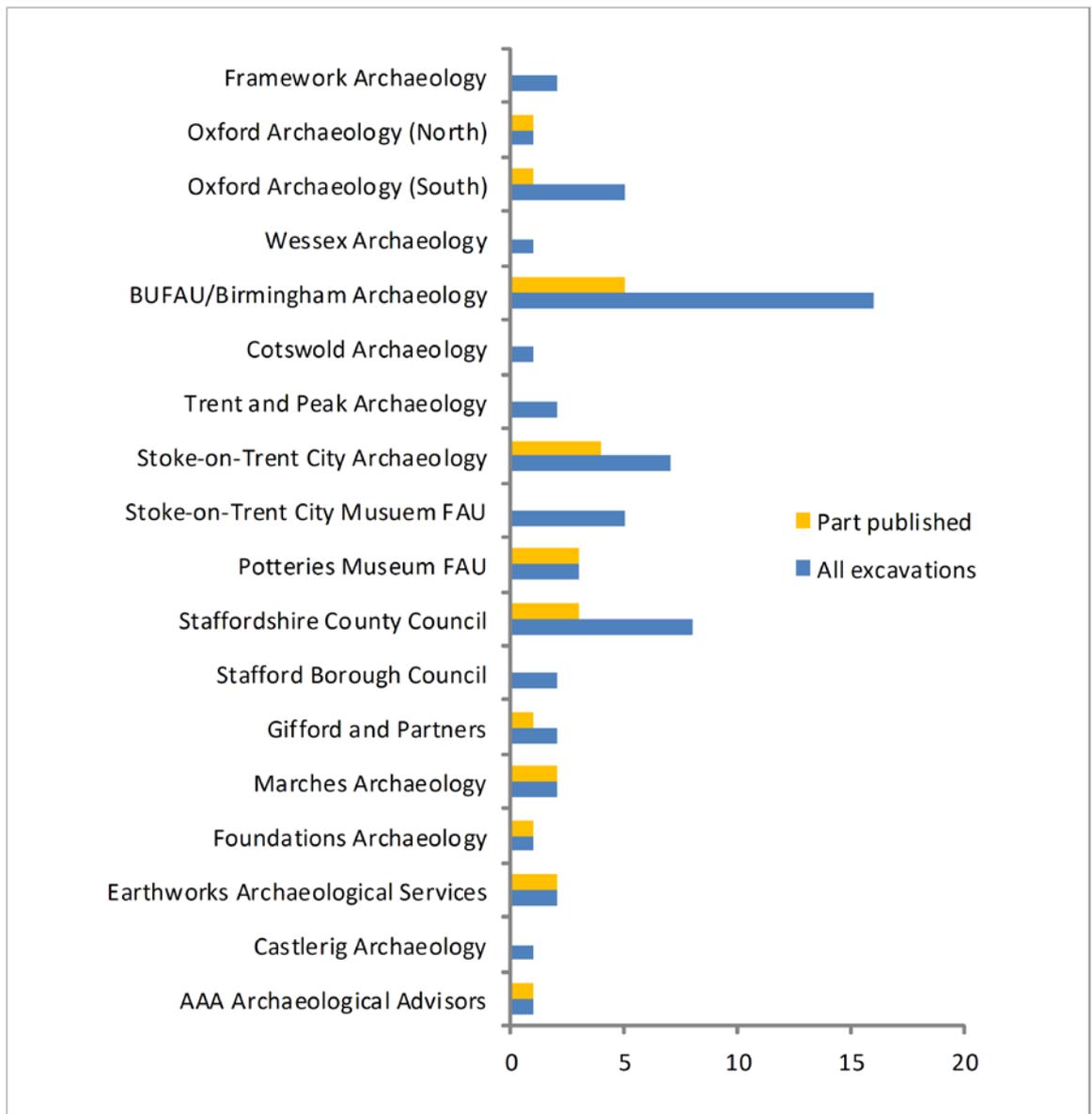


Figure 5.37 Part published planning *excavations* from Staffordshire by organisation, compared to all planning *excavations* undertaken by that organisation

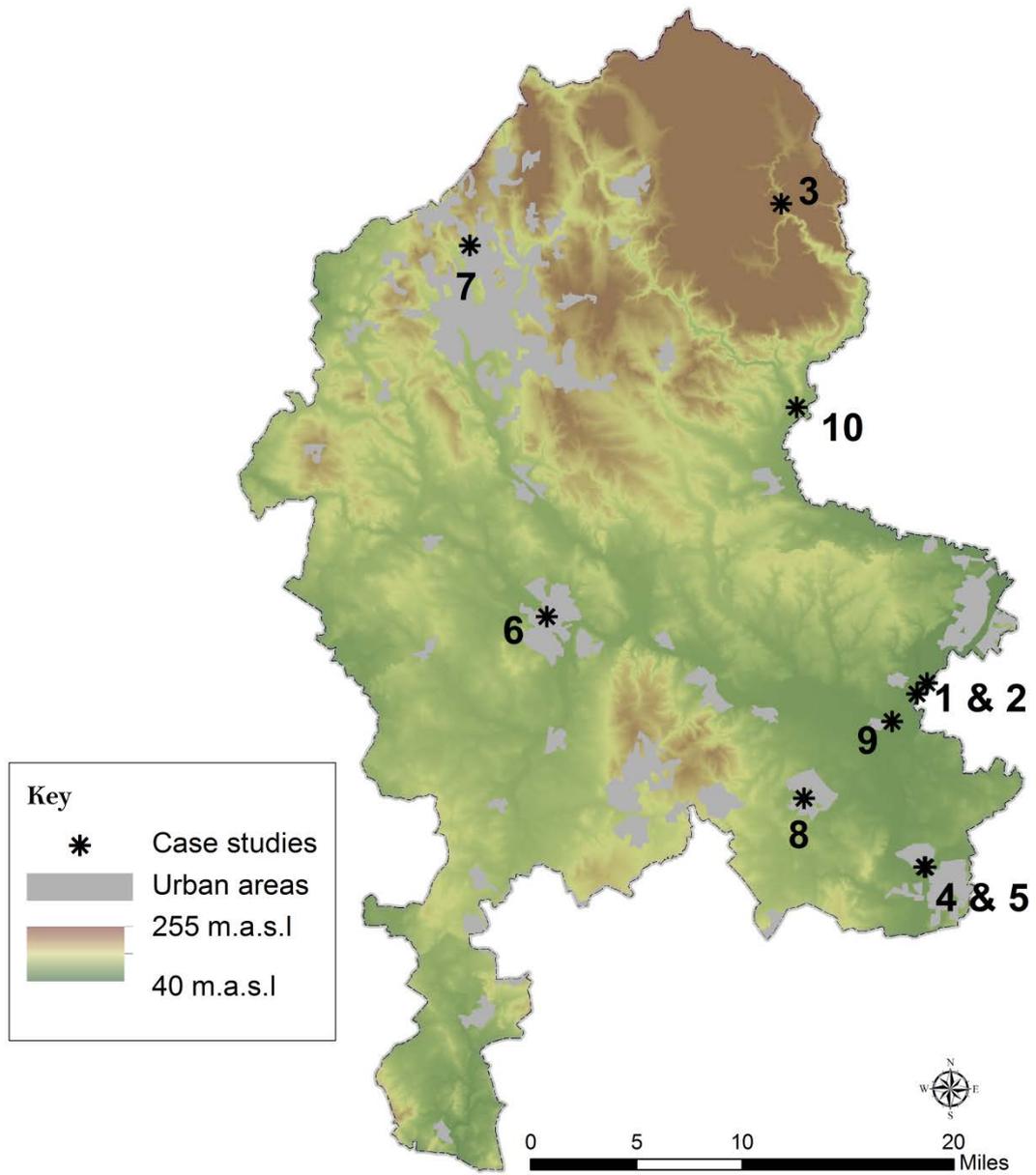


Figure 5.38: Location of Staffordshire case studies mentioned in the text. Number indicates the identifier given in Chapter 5.9

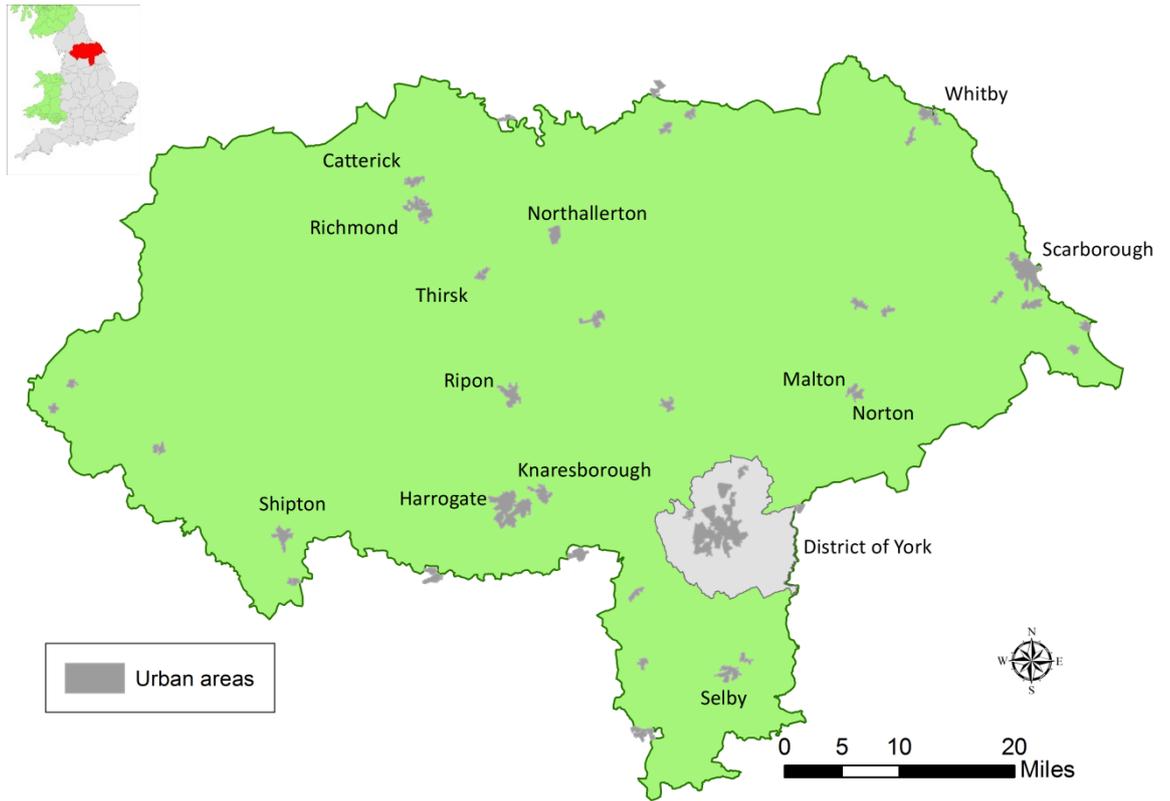


Figure 6.1: The modern county of North Yorkshire with major urban centres. Contains OS data © Crown copyright [and database right] (2015)

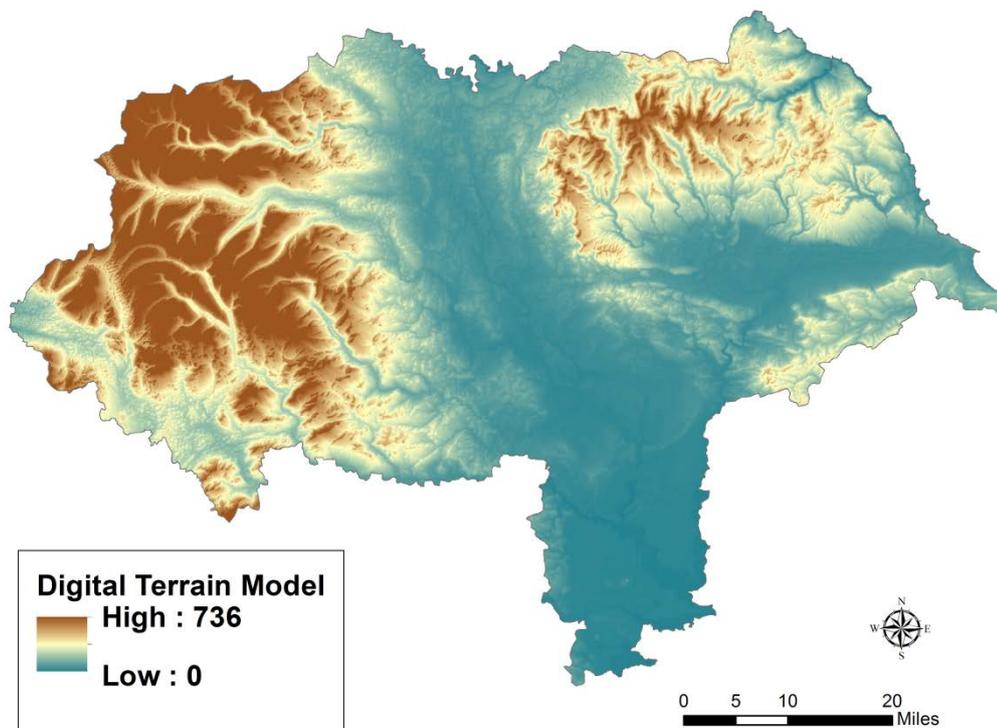


Figure 6.2: Topographical map of North Yorkshire. Contains OS data © Crown copyright [and database right] (2015).

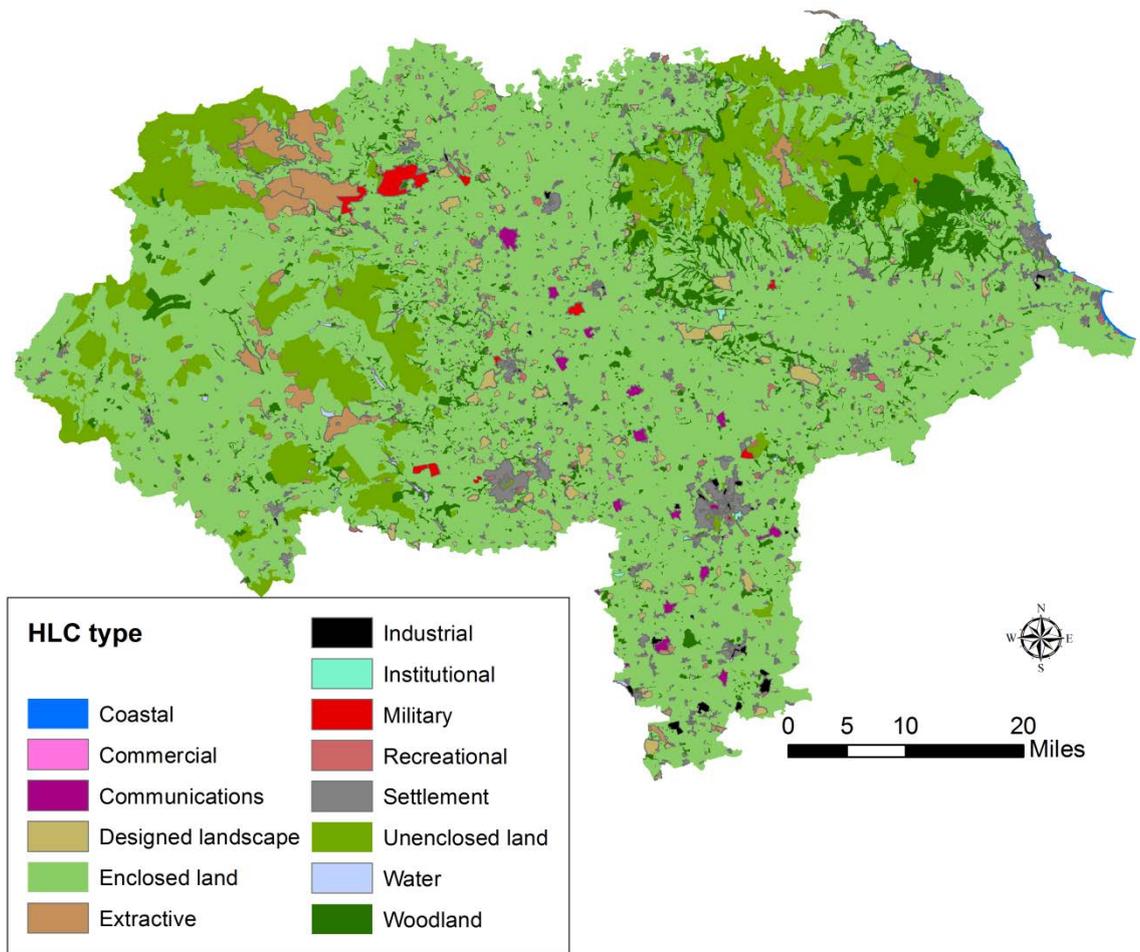


Figure 6.3: Historic Landscape Characterisation of North Yorkshire. Data derived from North Yorkshire, York and Lower Tees Valley Historic Landscape Characterisation (Dalton *et al* 2013)

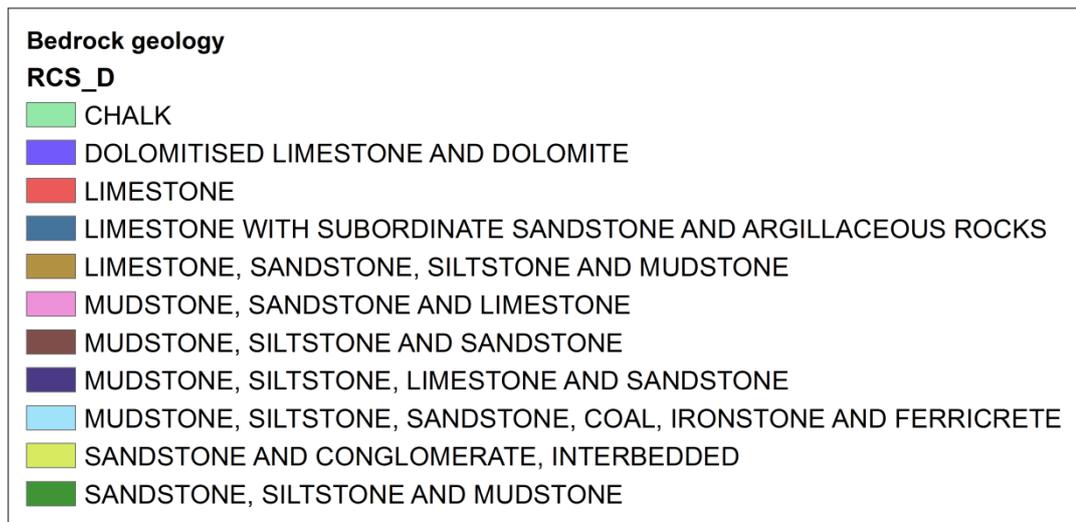
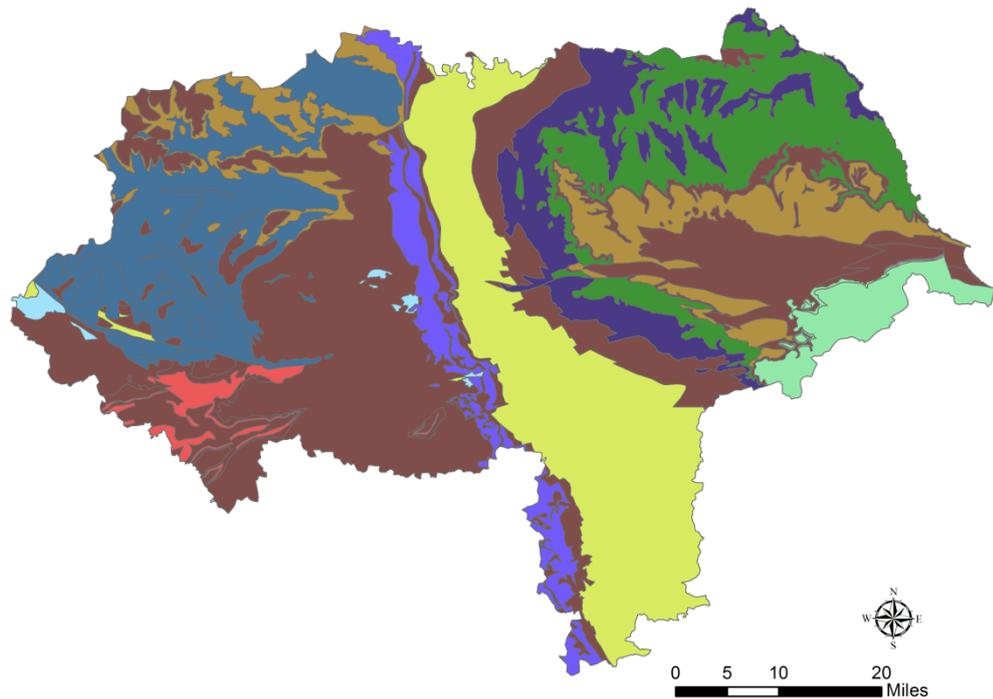


Figure 6.4: Bedrock Geology of North Yorkshire. Based upon ‘The Digital Geological Map of Great Britain’ 1:625 000 [DiGMapGB-625], with the permission of the British Geological Survey

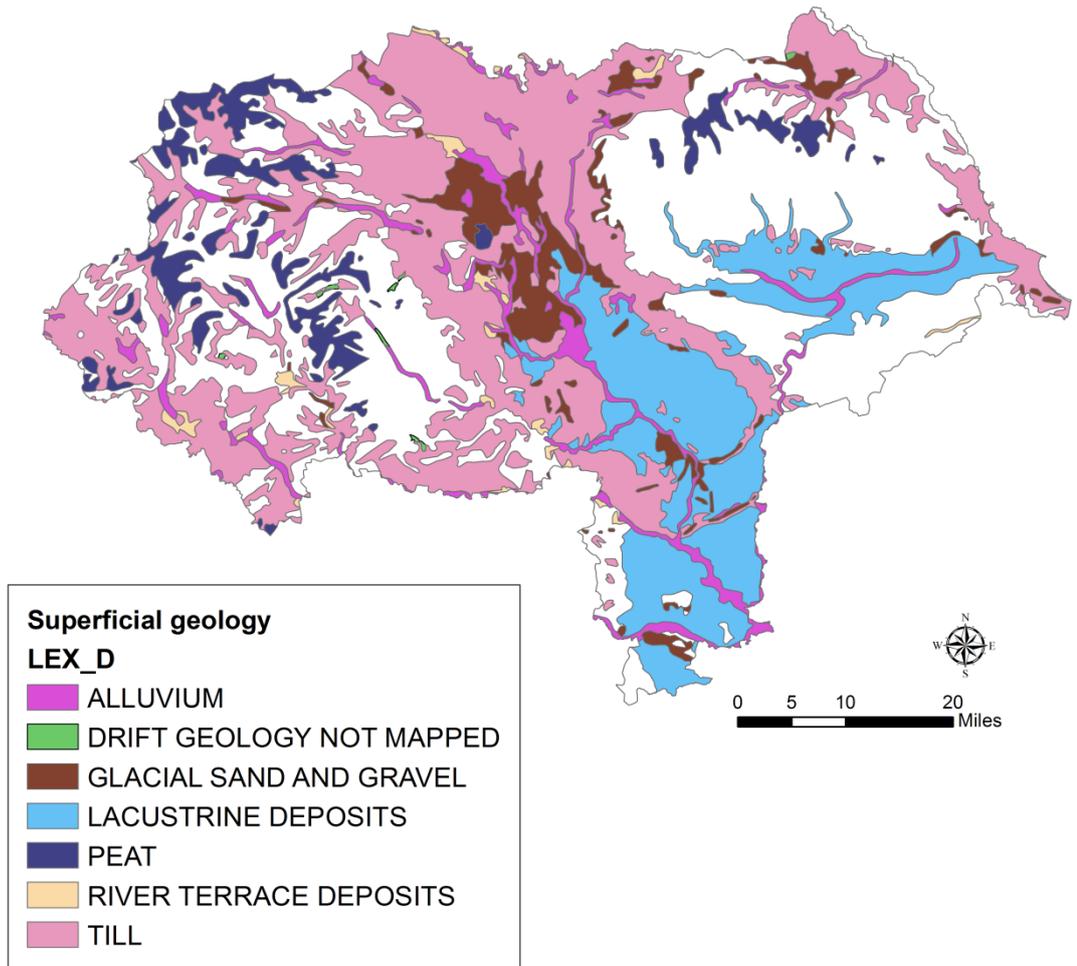


Figure 6.5: Superficial Geology of North Yorkshire. Based upon ‘The Digital Geological Map of Great Britain’ 1:625 000 [DiGMapGB-625], with the permission of the British Geological Survey

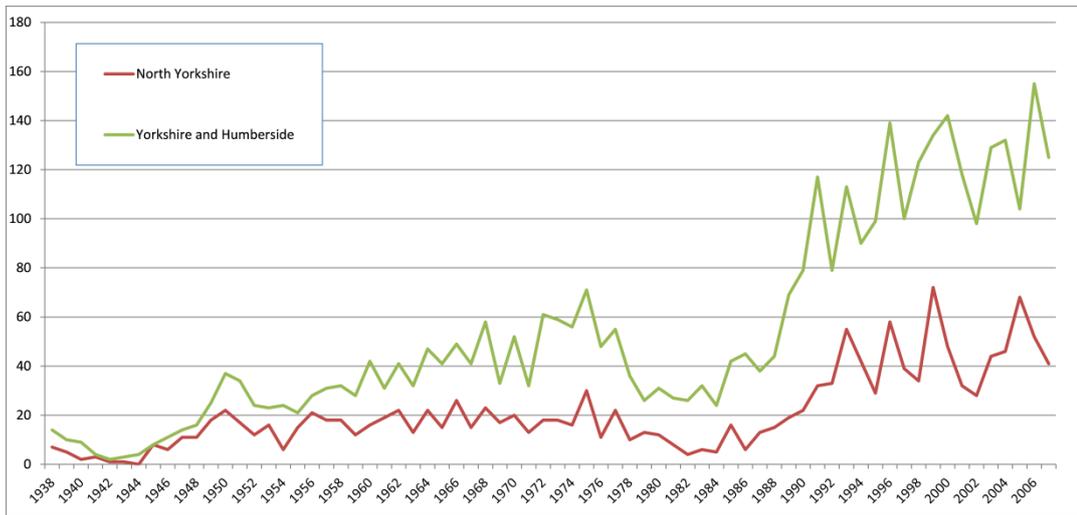


Figure 6.6: Excavations in North Yorkshire (1938–2007) compared to overall number of excavations in the Yorkshire and Humberside region

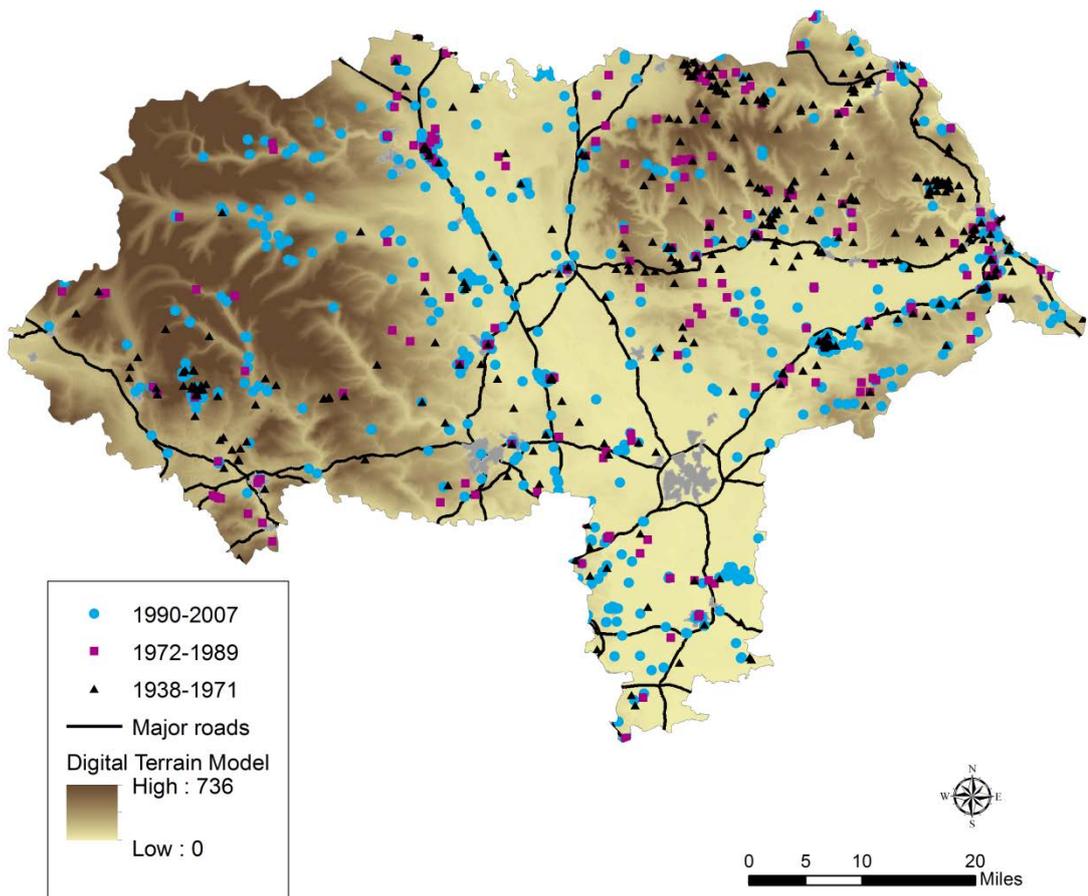


Figure 6.7: Geographic distribution of excavations (1938–2007) in North Yorkshire. Includes A-roads and motorways. Contains OS data © Crown copyright [and database right] (2015)

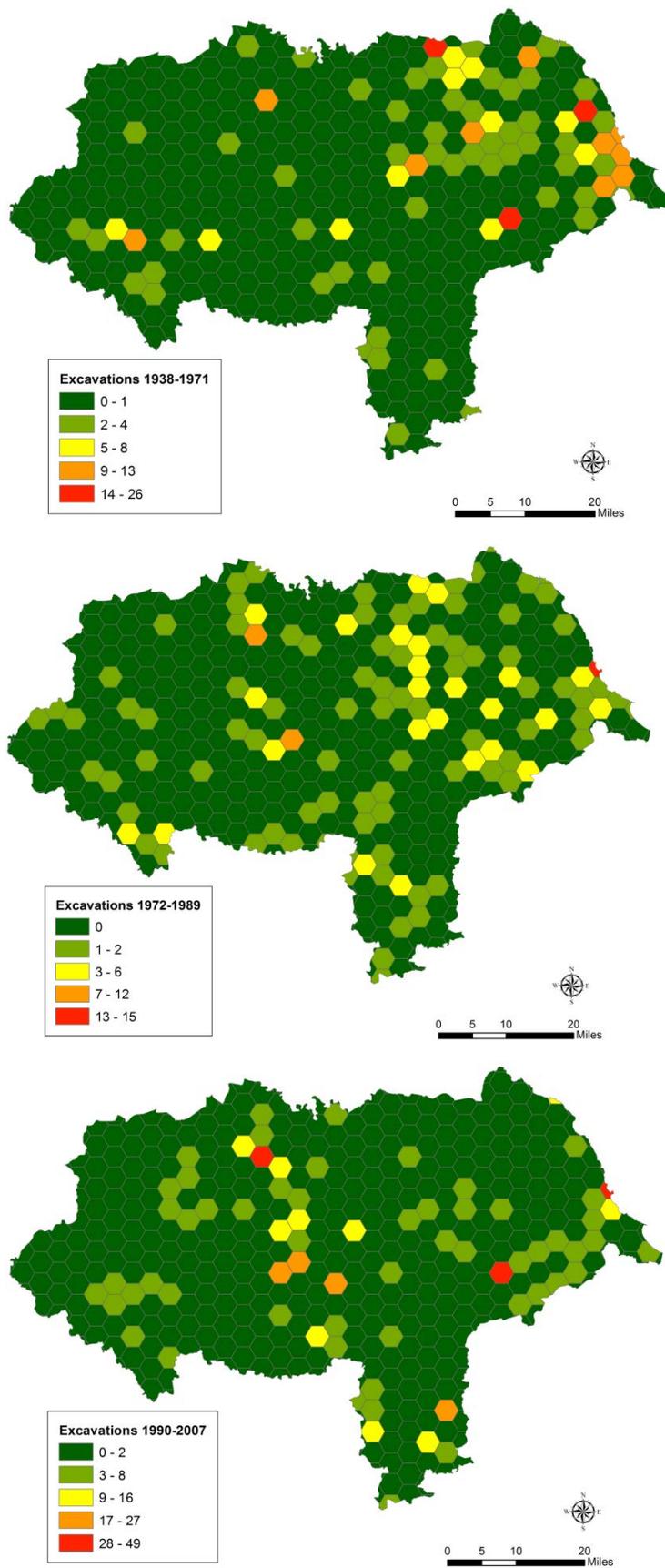


Figure 6.8: Excavations in North Yorkshire (1938-2007) split into the Heroic, Rescue and Professional eras and displayed as 5km sampling polygons

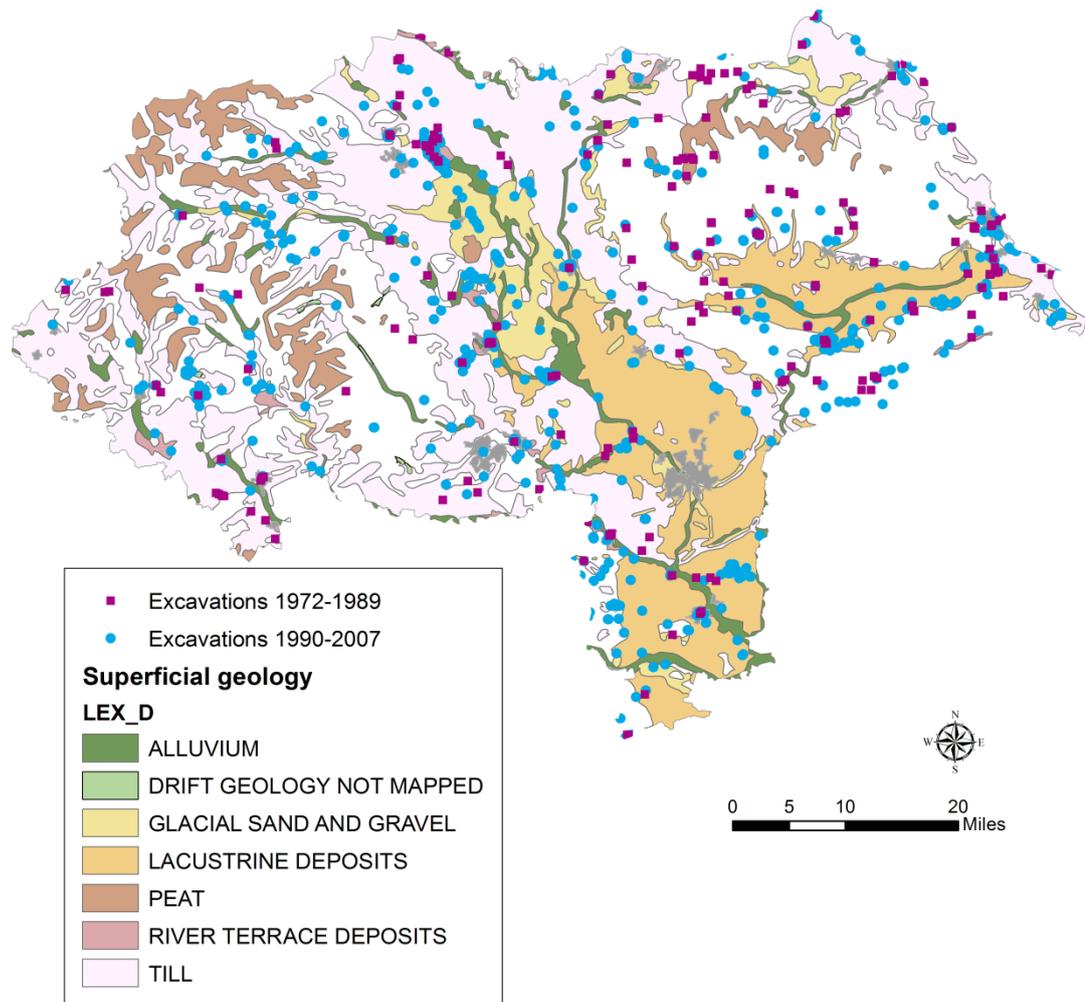


Figure 6.9: Location of excavations in North Yorkshire 1972-2007 in respect to superficial geology. Based upon 'The Digital Geological Map of Great Britain' 1:625 000 [DiGMapGB-625], with the permission of the British Geological Survey

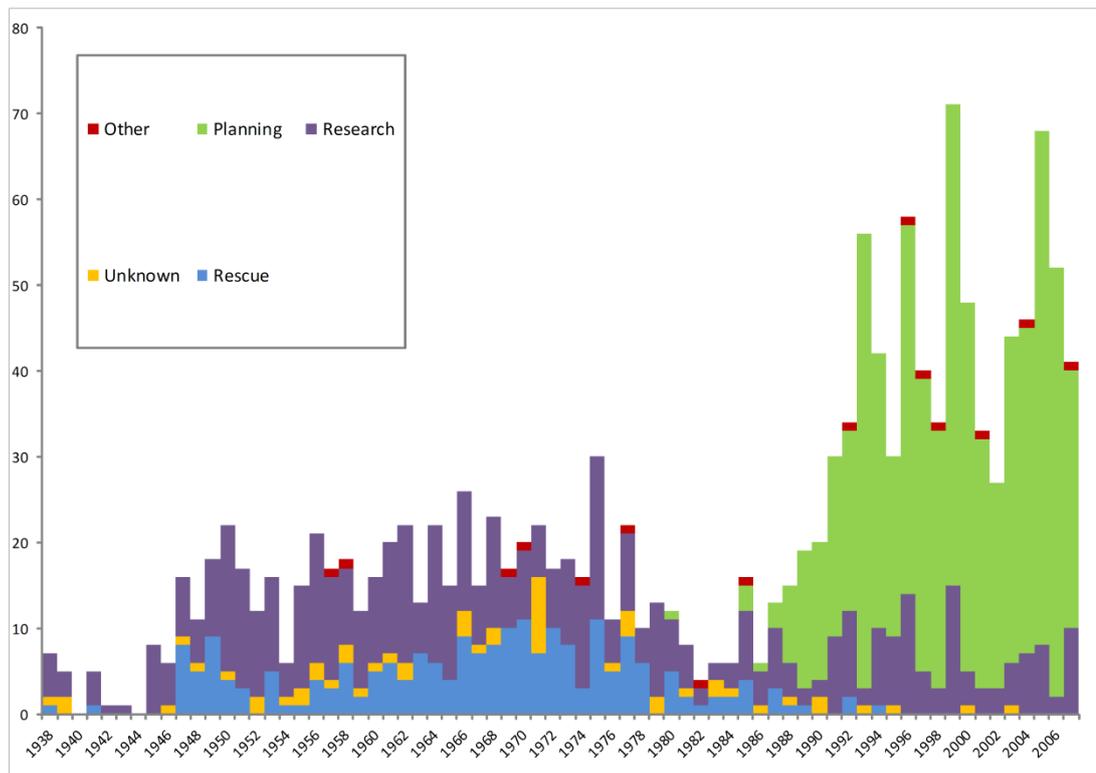


Figure 6.10: Excavations in North Yorkshire (1938-2007) by prompt

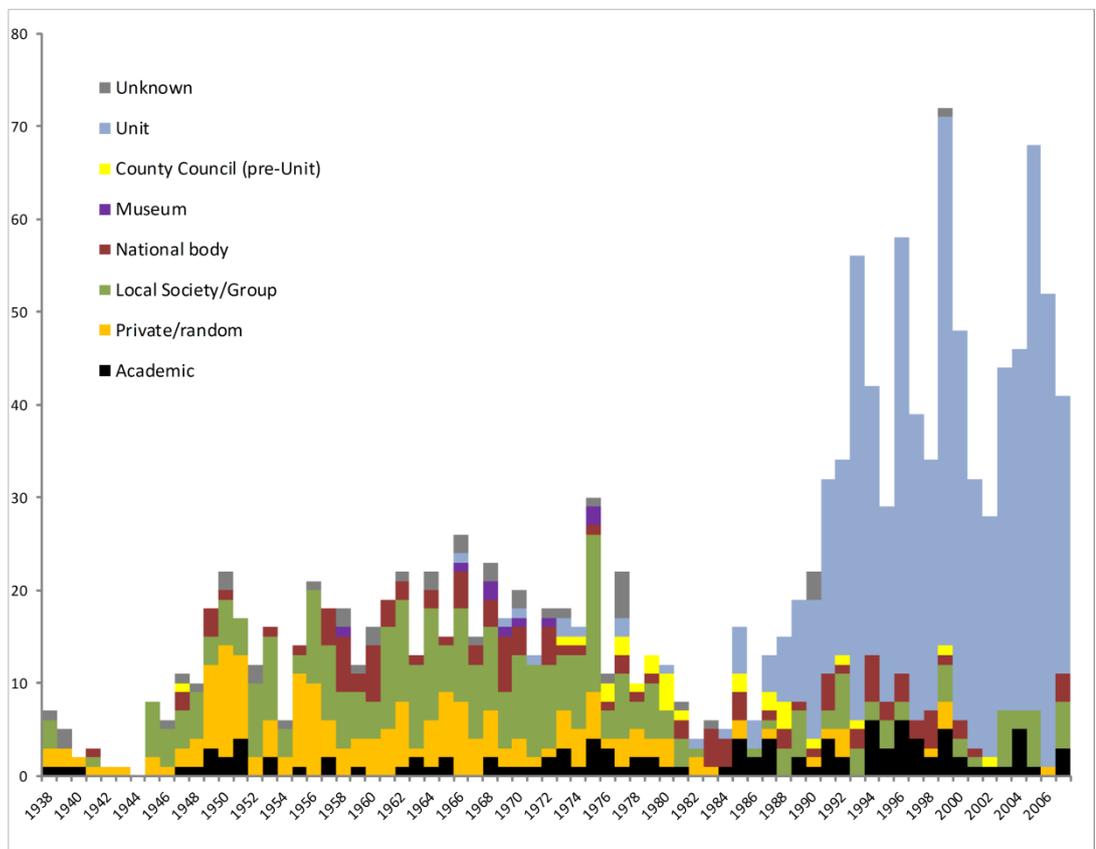


Figure 6.11: Excavations in North Yorkshire (1938-2007) by excavator class

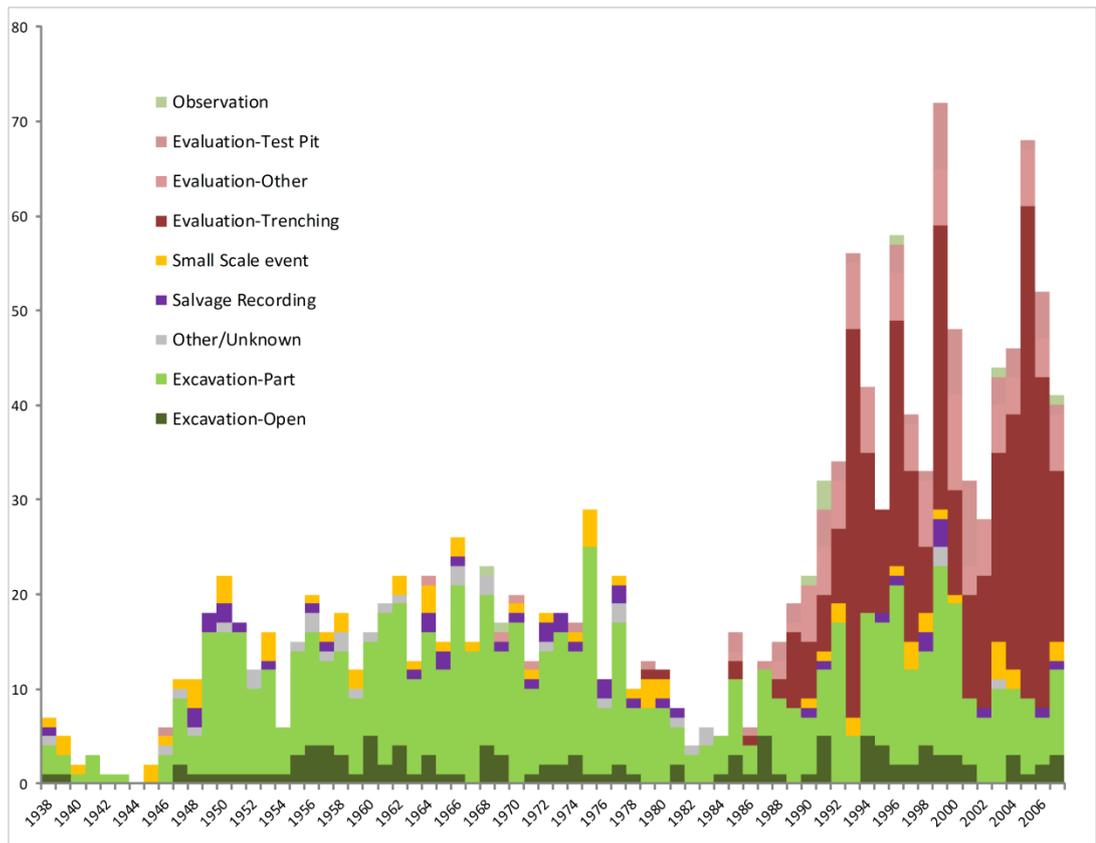


Figure 6.12: Excavations in North Yorkshire (1938-2007) by methodology

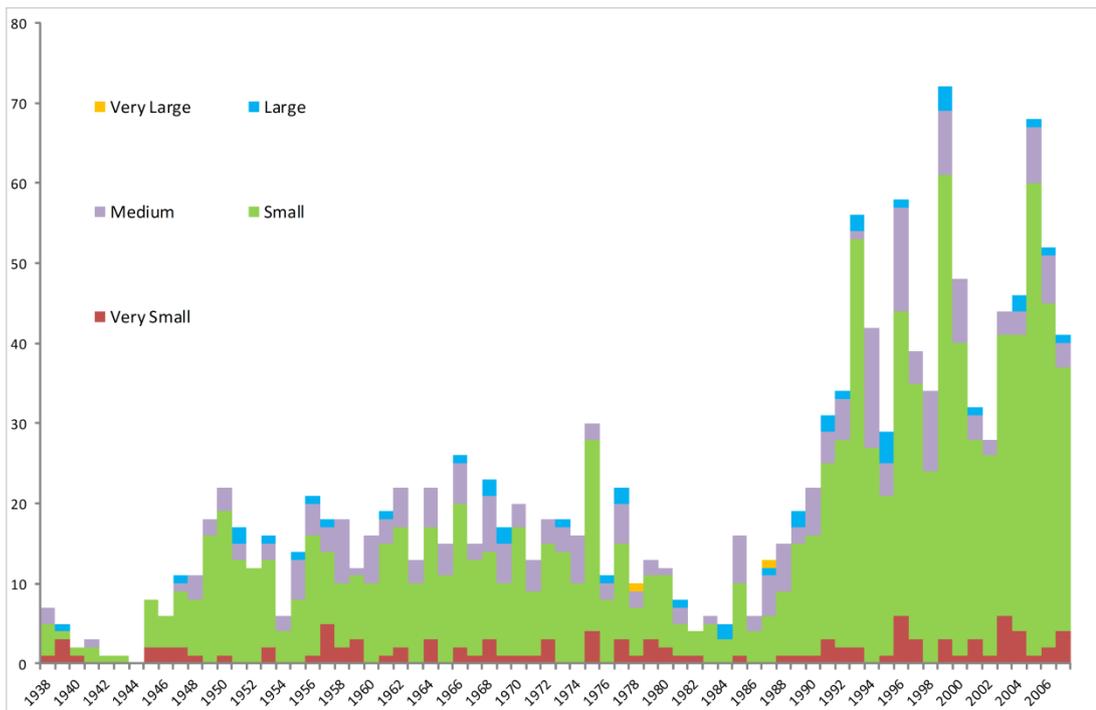


Figure 6.13: Excavations in North Yorkshire 1938-2007 by scale

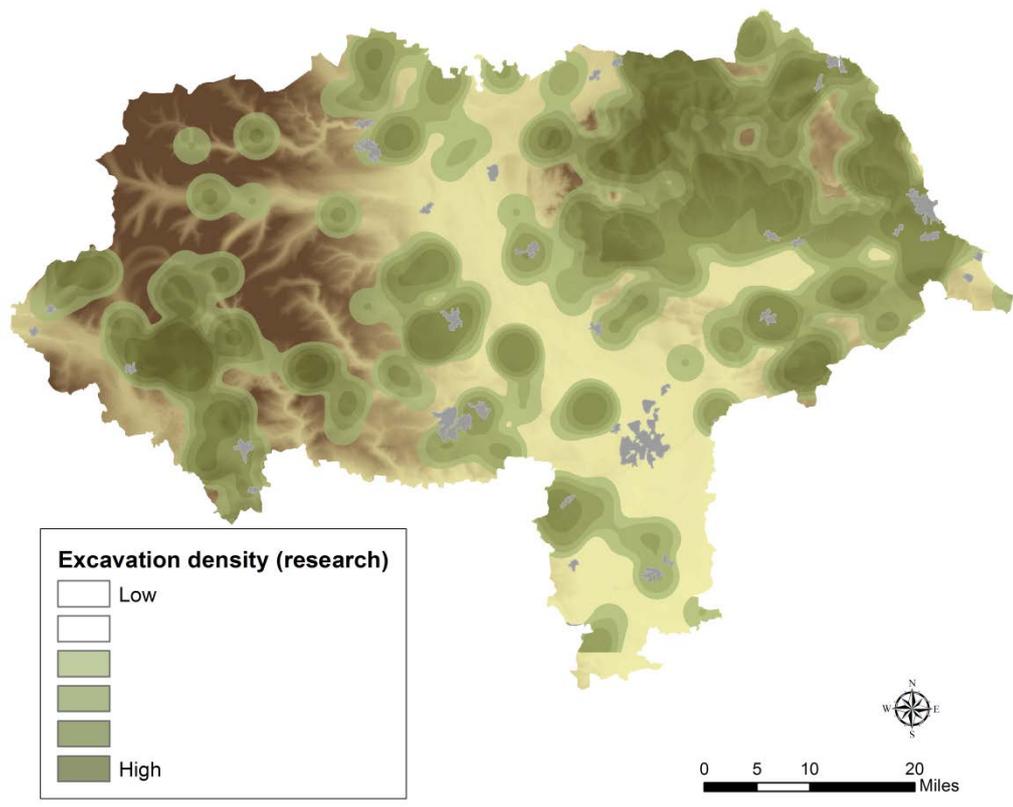


Figure 6.14: Kernel Density (5km radius) surface of research excavations in North Yorkshire

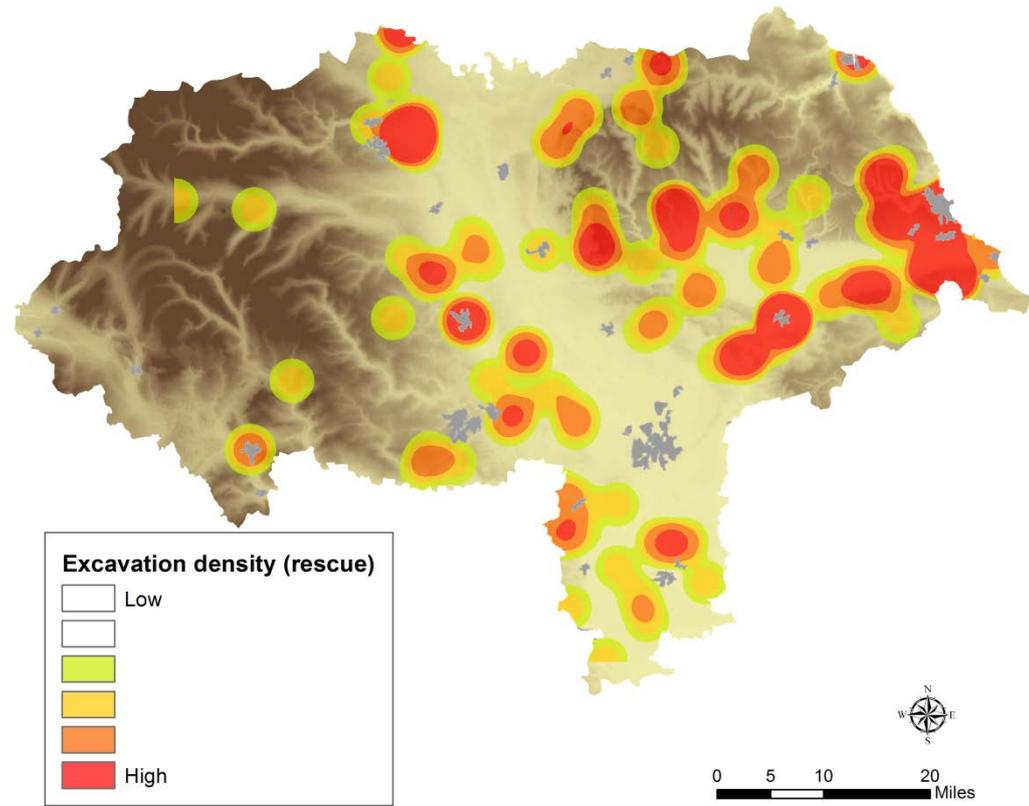


Figure 6.15: Kernel Density (5km radius) surface of rescue excavations in North Yorkshire

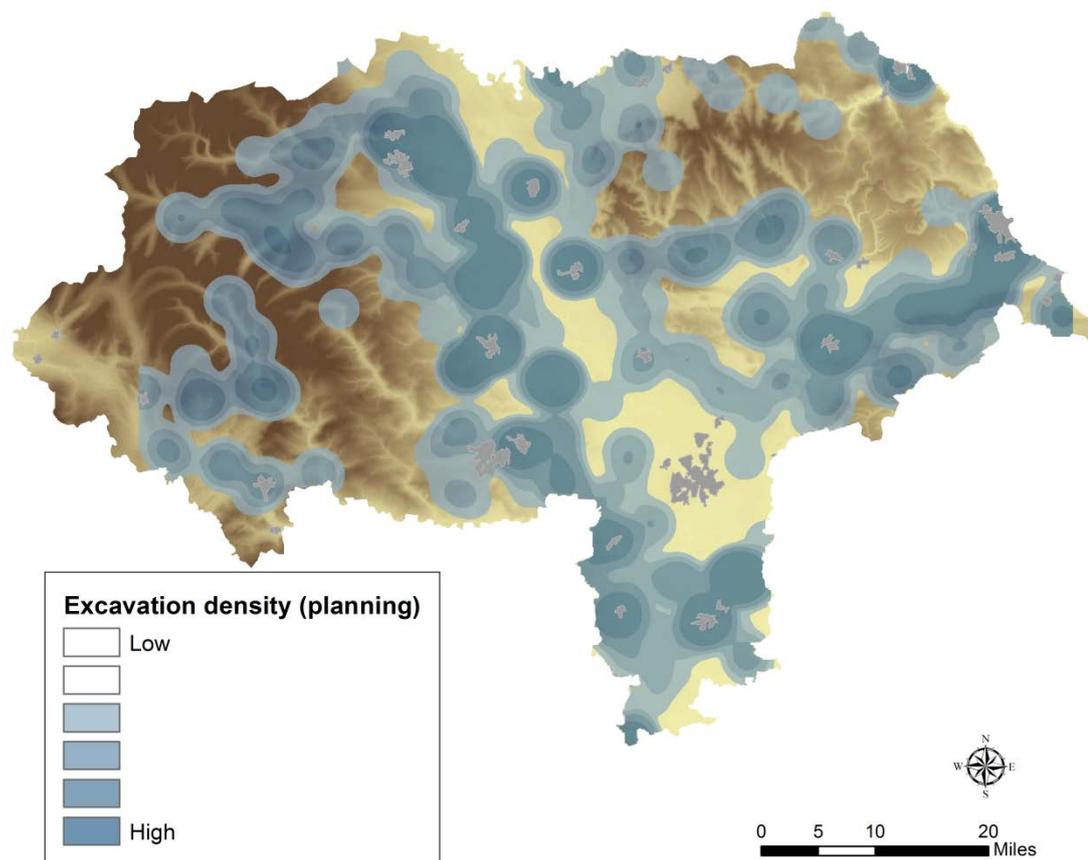


Figure 6.16: Kernel Density (5km radius) surface of planning-led excavations in North Yorkshire

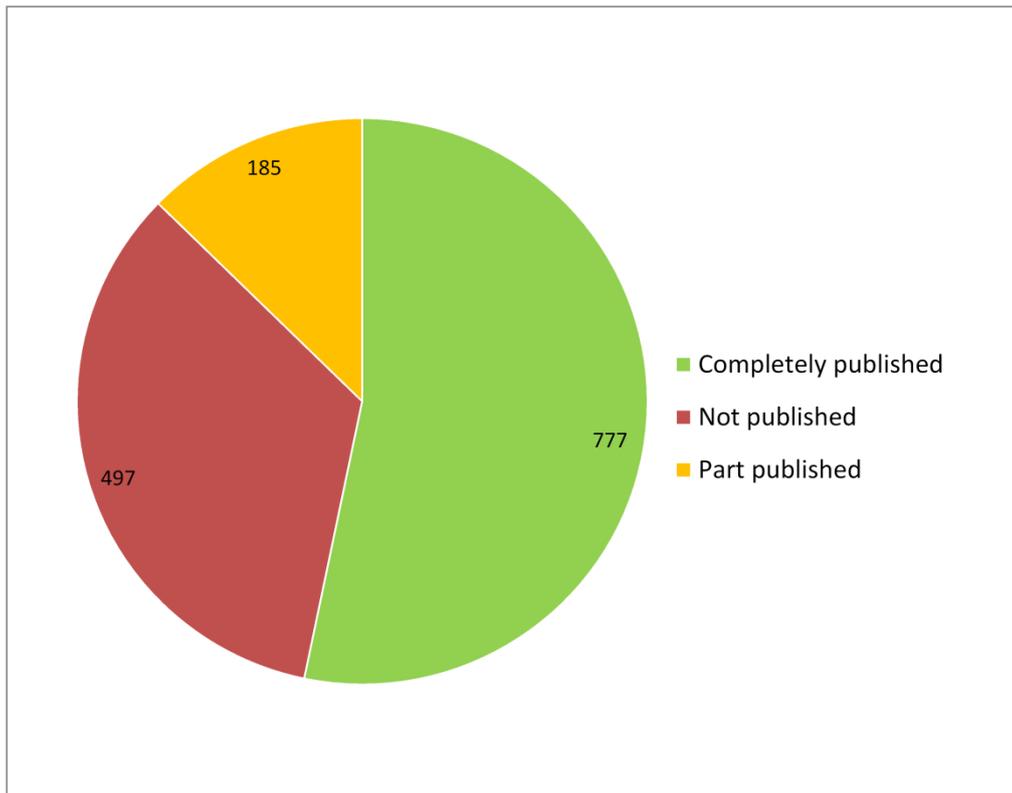


Figure 6.17: Basic publication status of all investigations in North Yorkshire

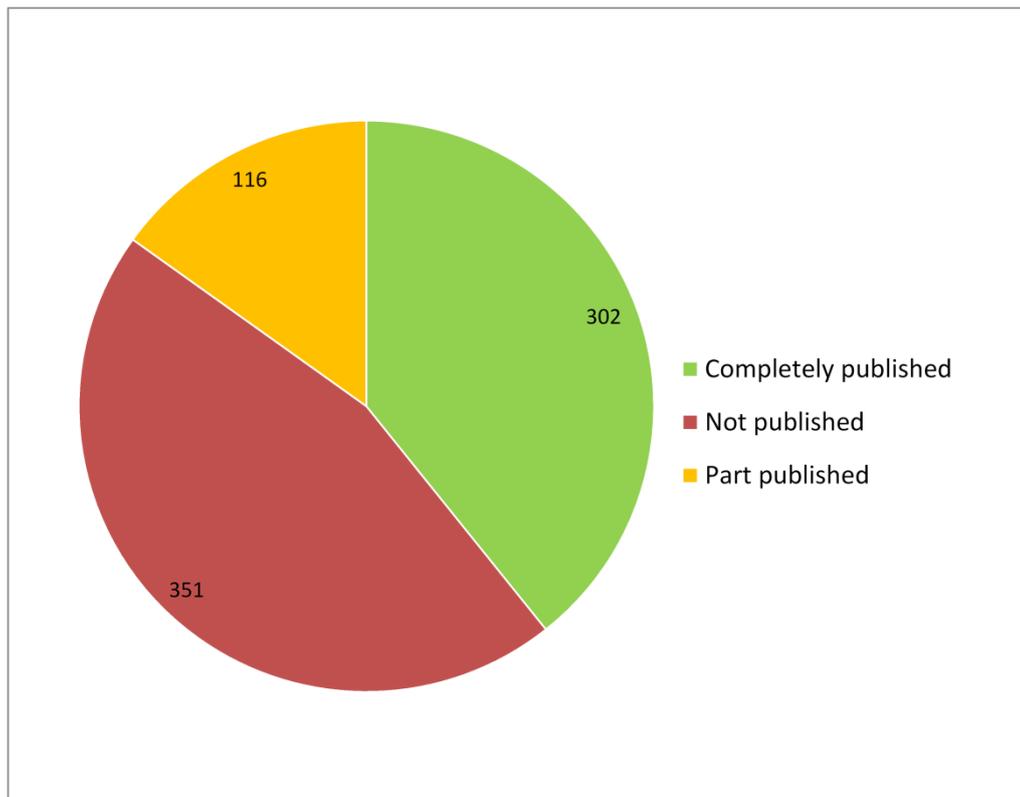


Figure 6.18: Basic publication status of *excavations* in North Yorkshire

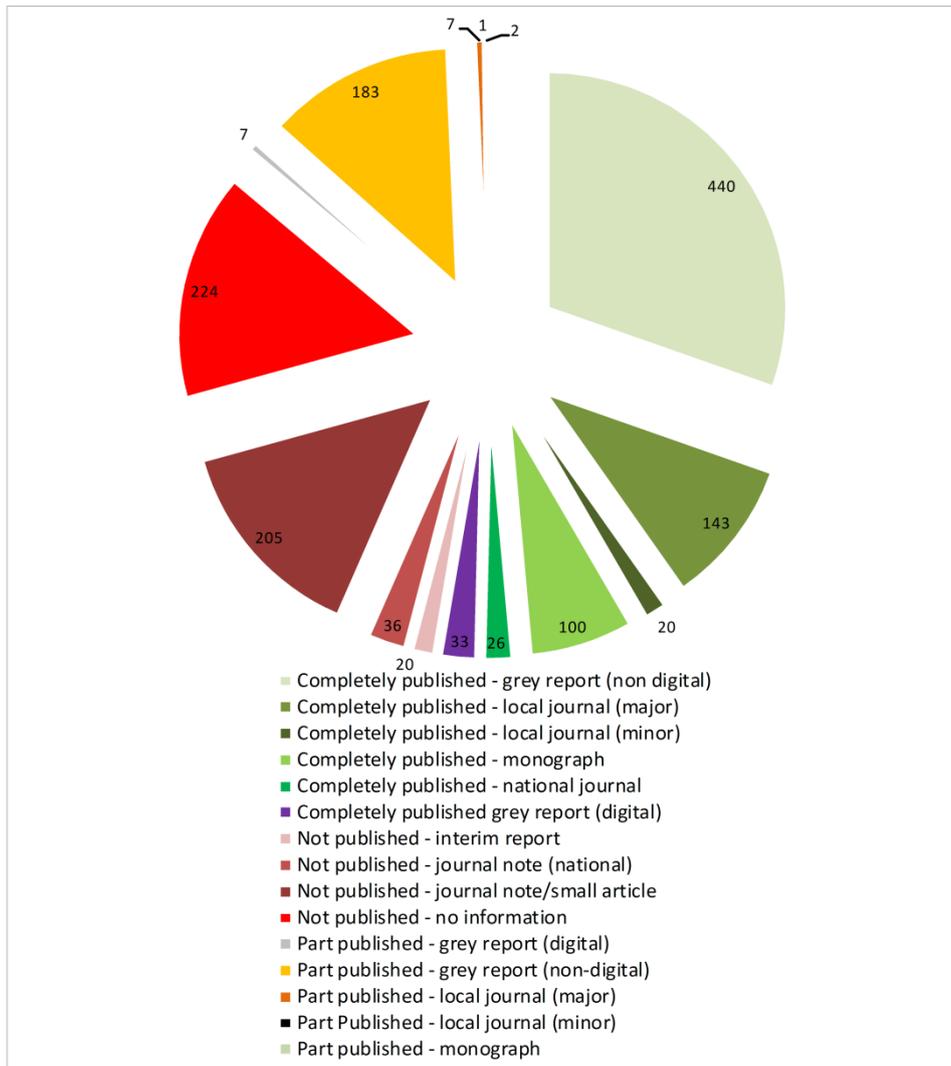


Figure 6.19: Detailed publication status of excavations in North Yorkshire

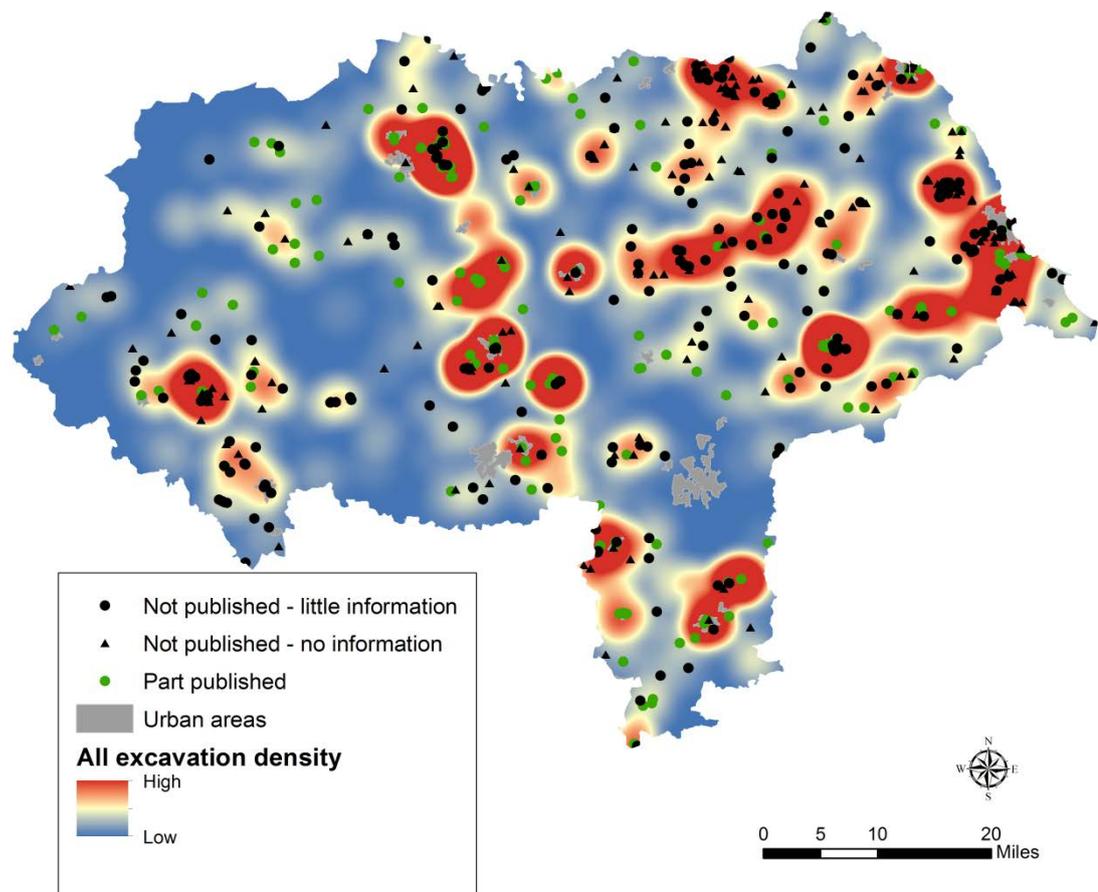


Figure 6.20: Unpublished and part published excavations from North Yorkshire overlying a kernel density (10km) of all investigations

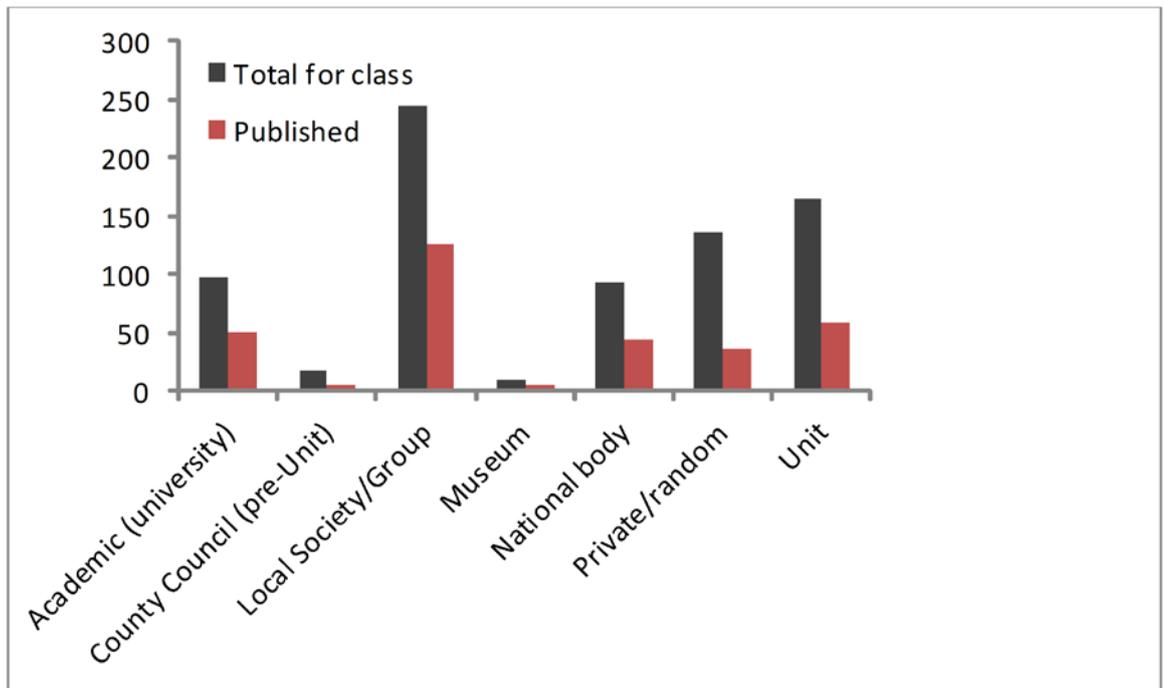
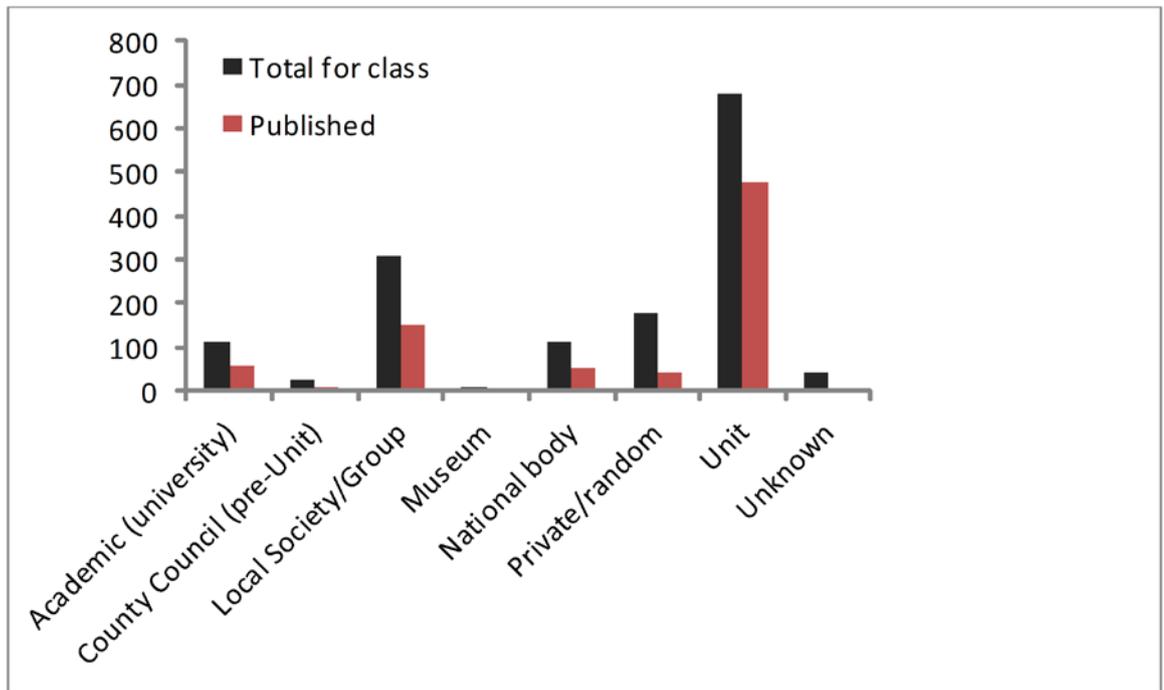


Figure 6.21: Publication rates for excavations in North Yorkshire per excavator class. Published records viewed against total numbers of investigations for each class for all investigations (top), just *excavations* (bottom)

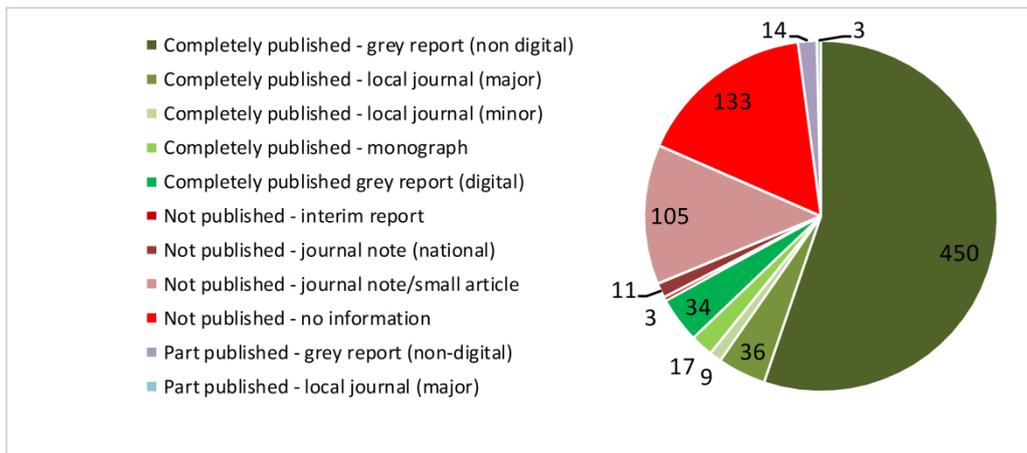


Figure 6.22: Status of excavations from North Yorkshire of local significance

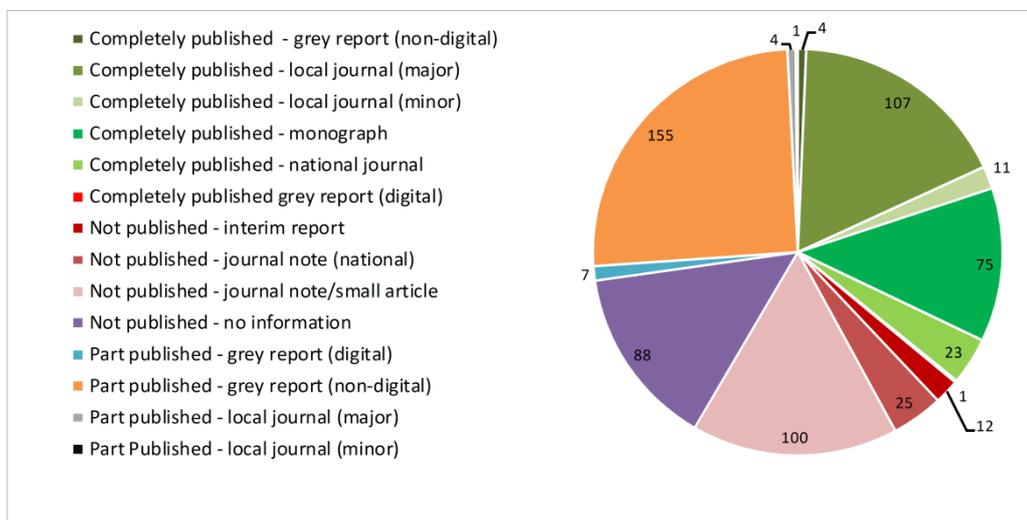


Figure 6.23: Status of excavations from North Yorkshire of regional significance

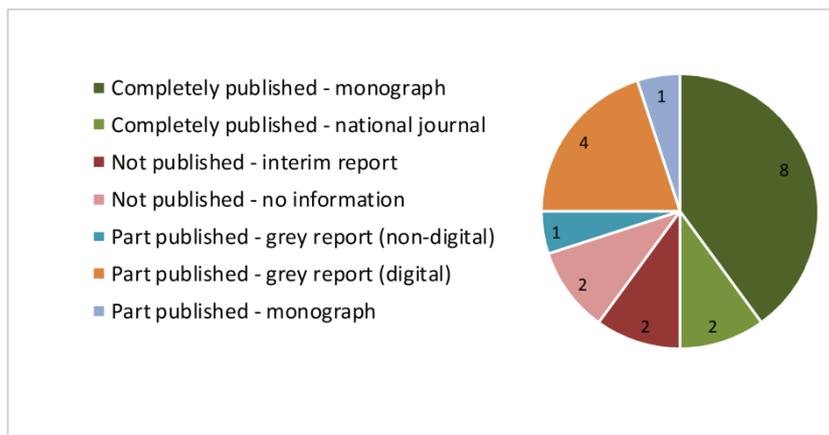


Figure 6.24: Status of excavations from North Yorkshire of national significance

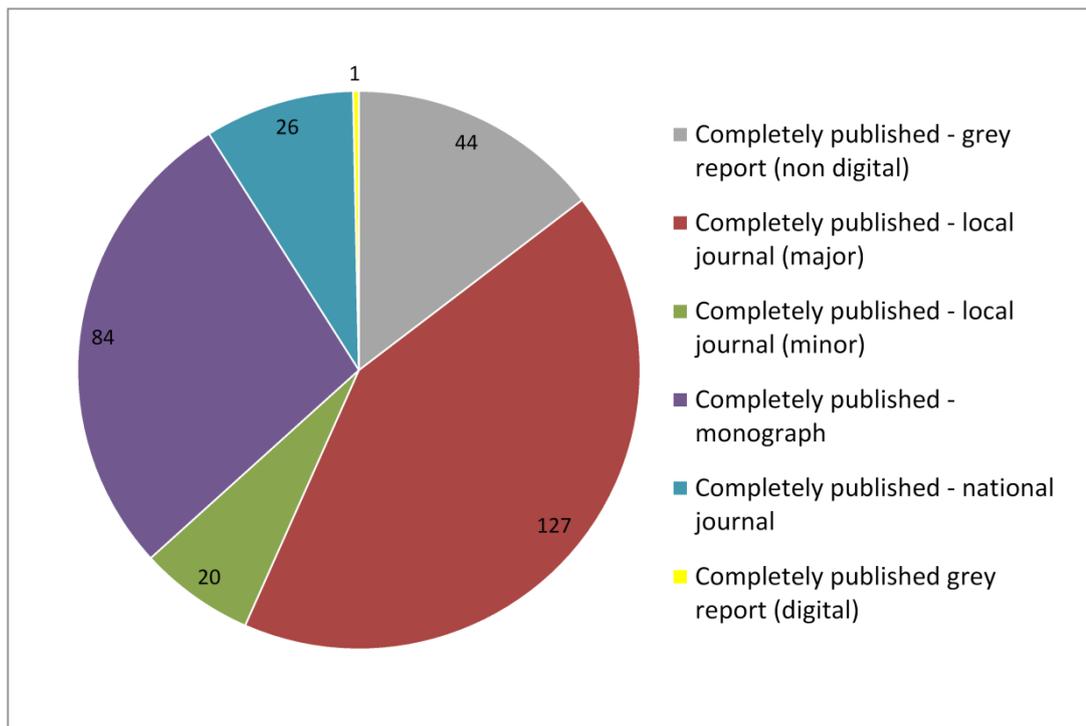
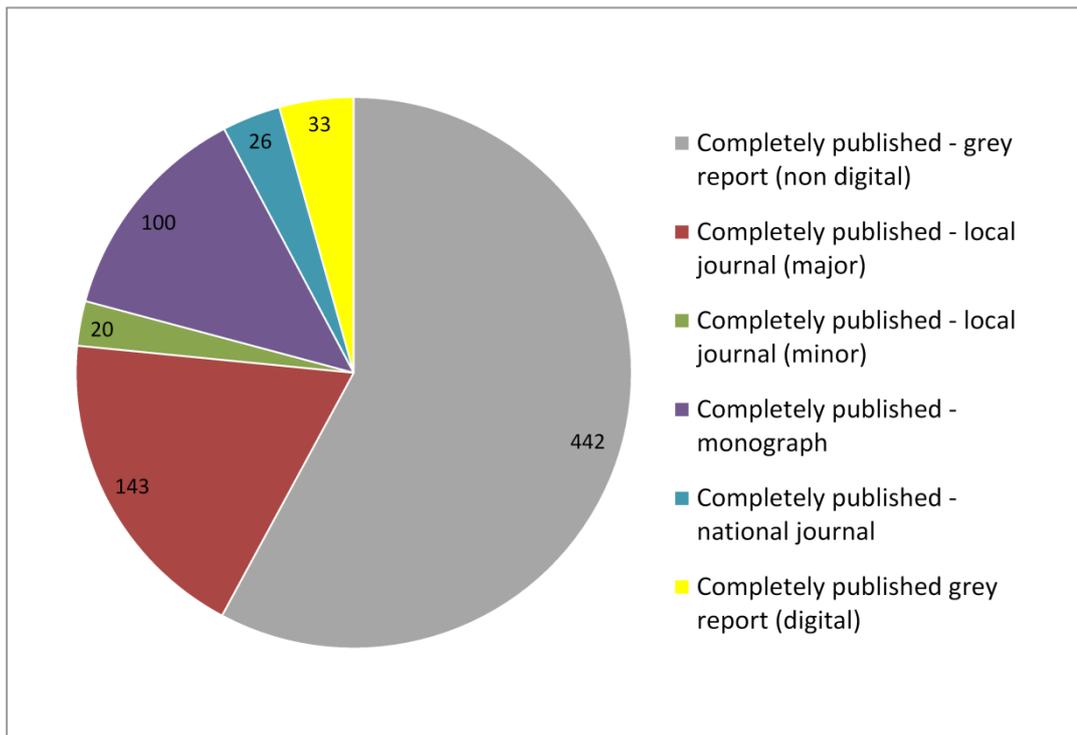


Figure 6.25: Primary media of completely published events from North Yorkshire. All investigations (top), just *excavations* (bottom)

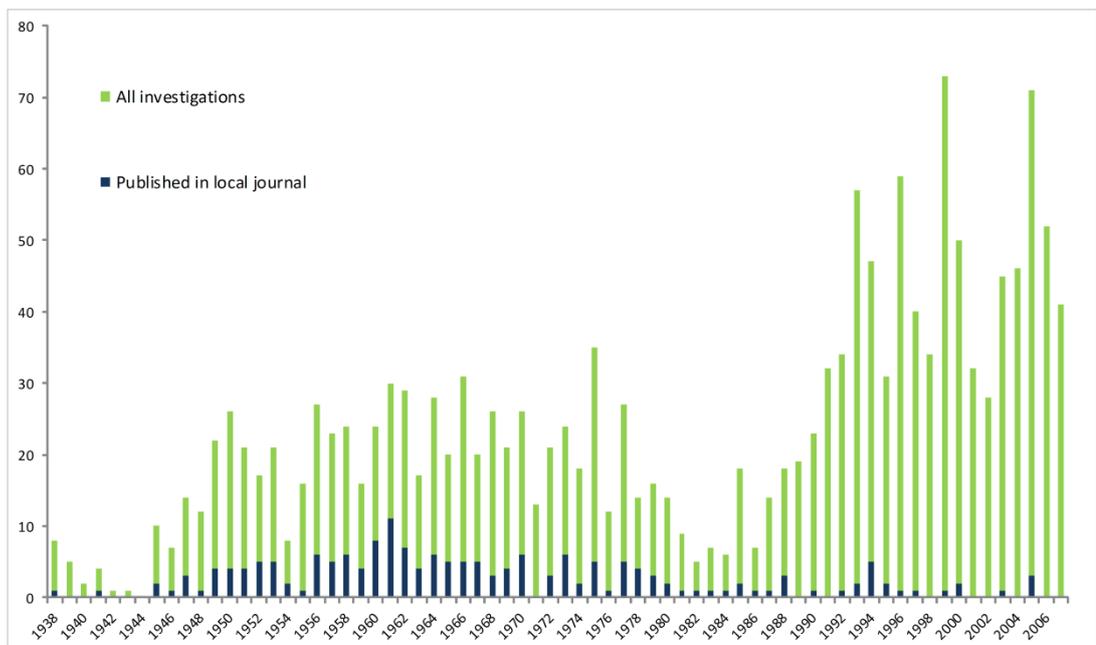


Figure 6.26: Excavations from North Yorkshire published in local journals, compared to total investigations for the year the excavation commenced

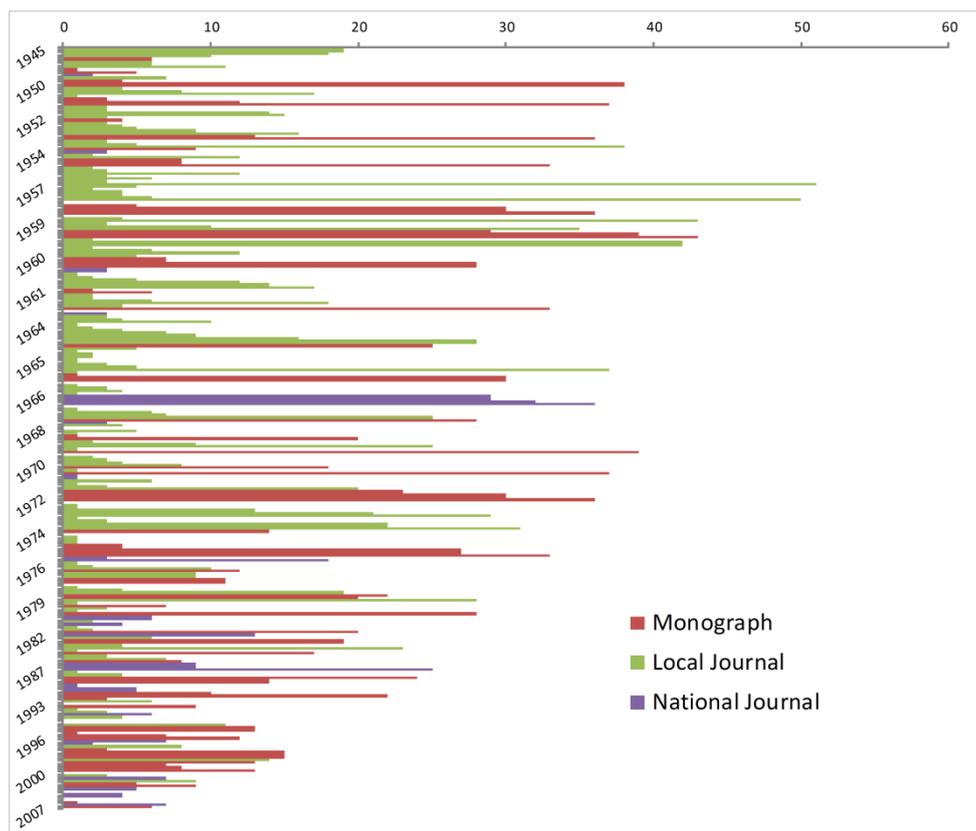


Figure 6.27: Delay between the end of excavation and year of publication of main written output for excavations in North Yorkshire published in monographs and local and national journals

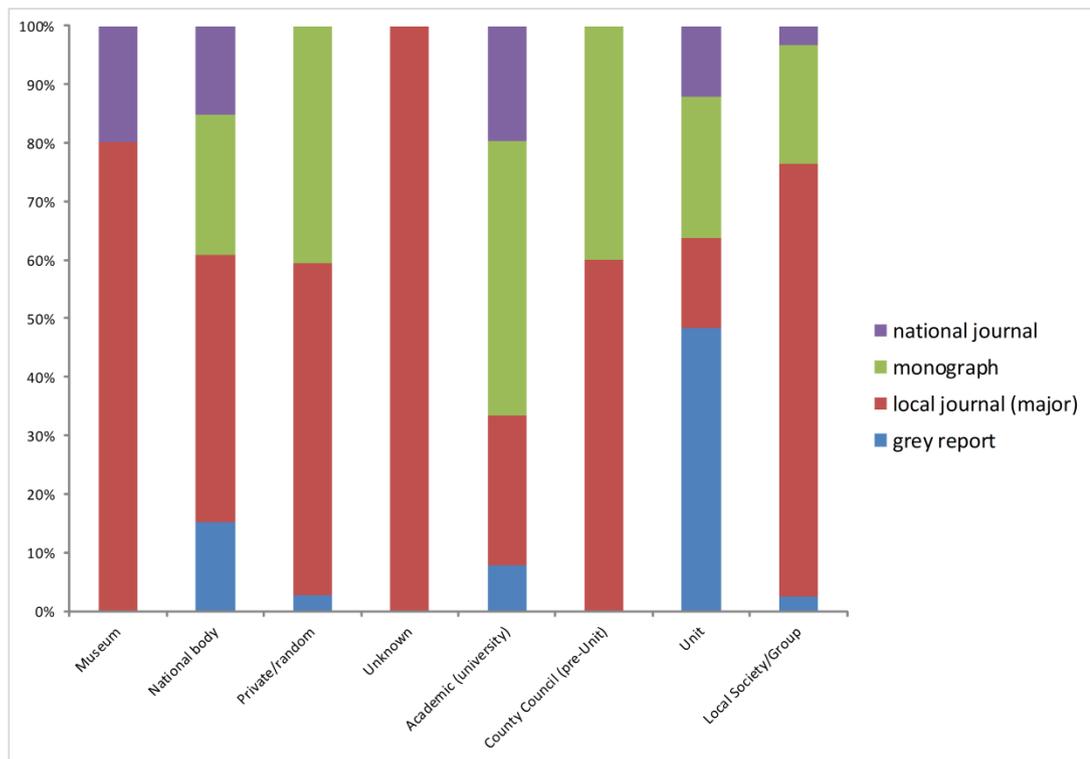


Figure 6.28: Publication media for excavations from North Yorkshire per excavator class
Viewed as a percentage of all publications by that class

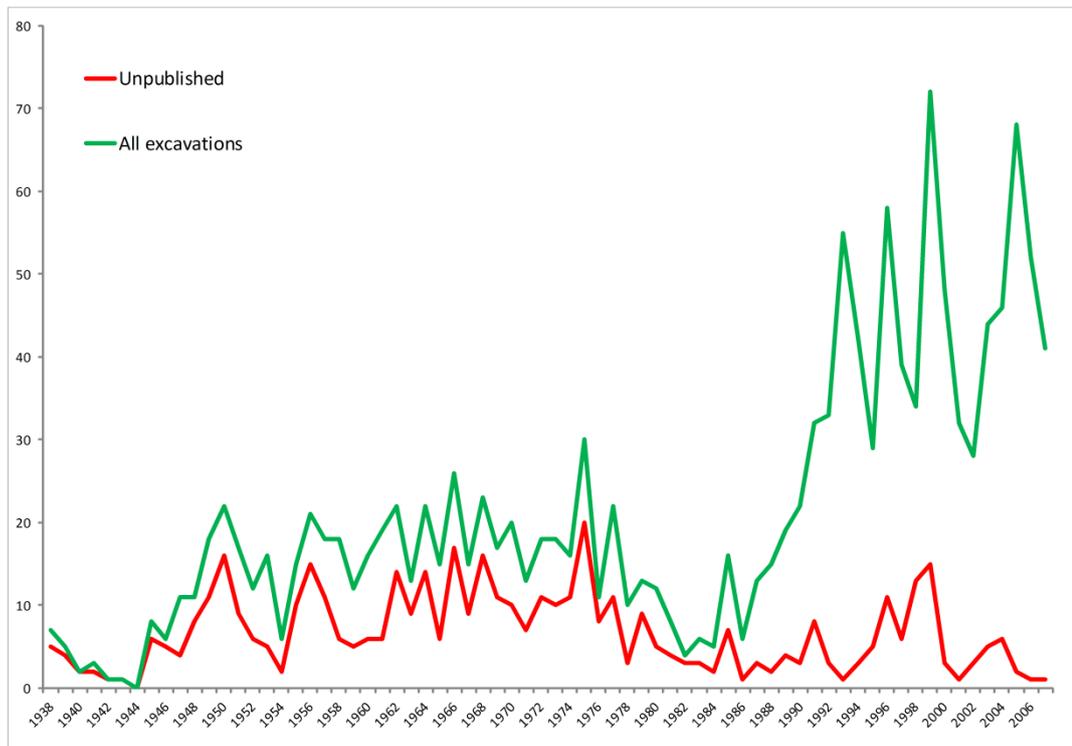


Figure 6.29: Number of unpublished excavations from North Yorkshire per year, compared to overall number of excavations for the county

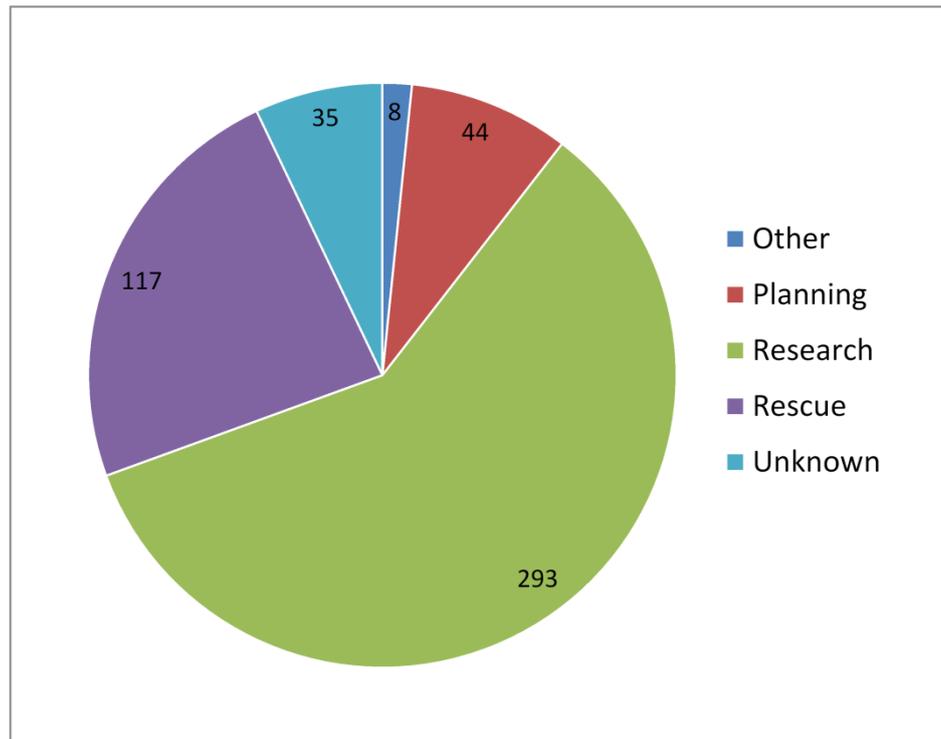


Figure 6.30: Unpublished excavations from North Yorkshire by excavation type/prompt

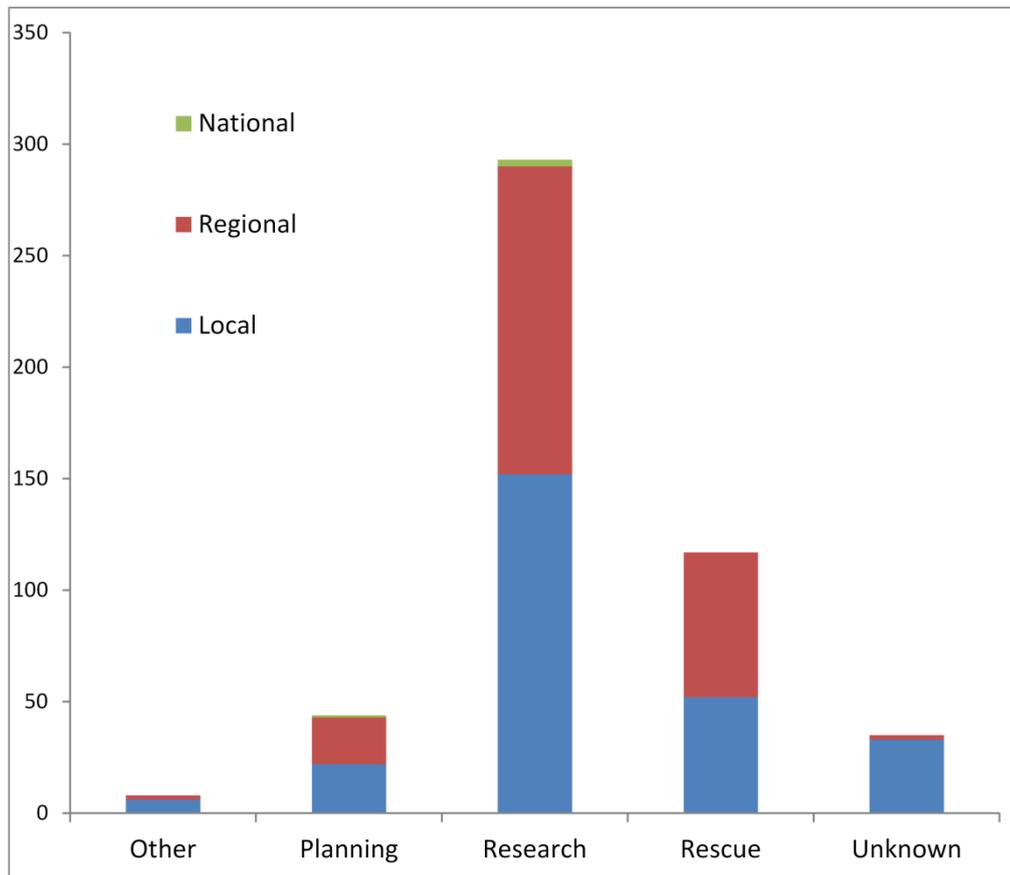


Figure 6.31: Unpublished excavations from North Yorkshire by excavation prompt and significance

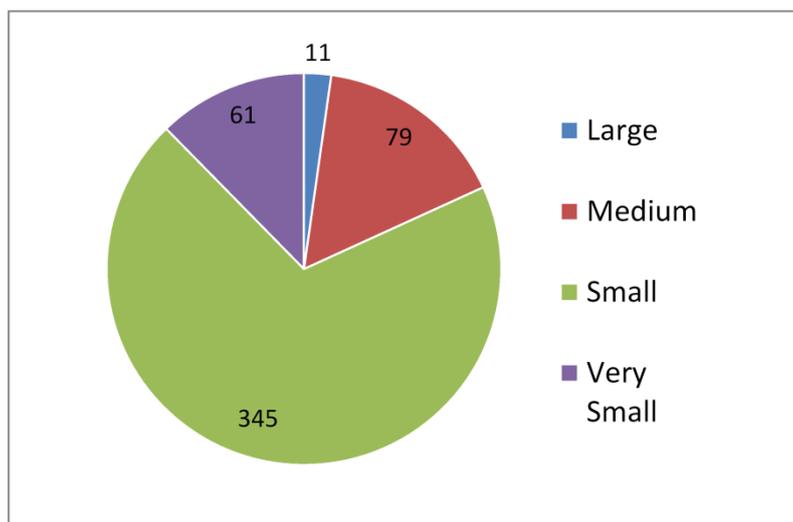


Figure 6.32: Unpublished excavations from North Yorkshire by scale

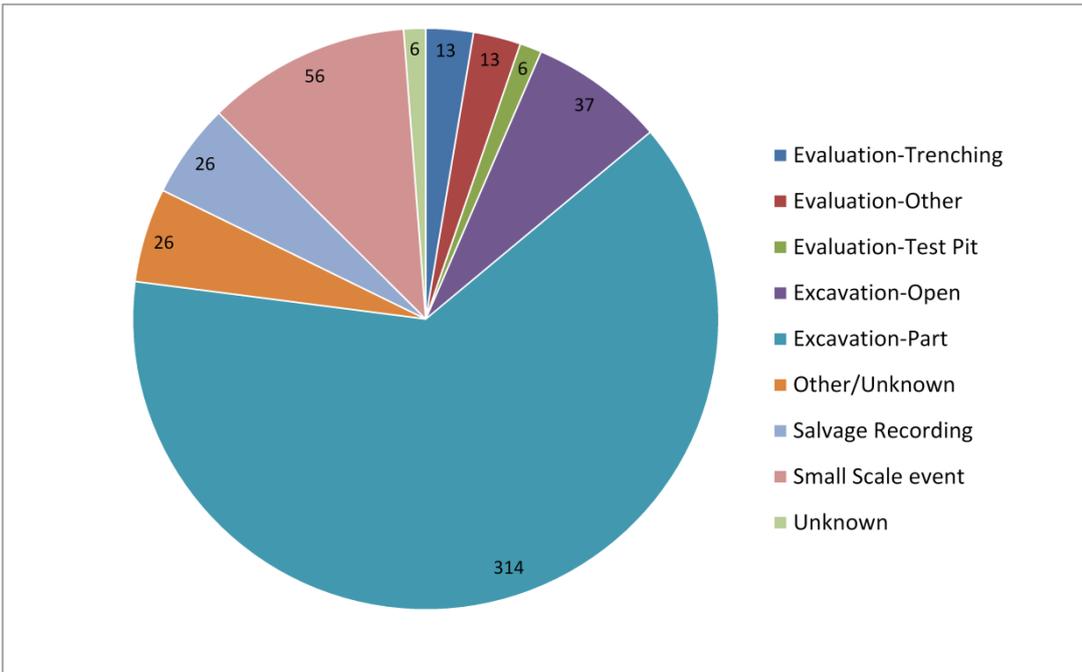


Figure 6.33: Unpublished excavations from North Yorkshire by methodology

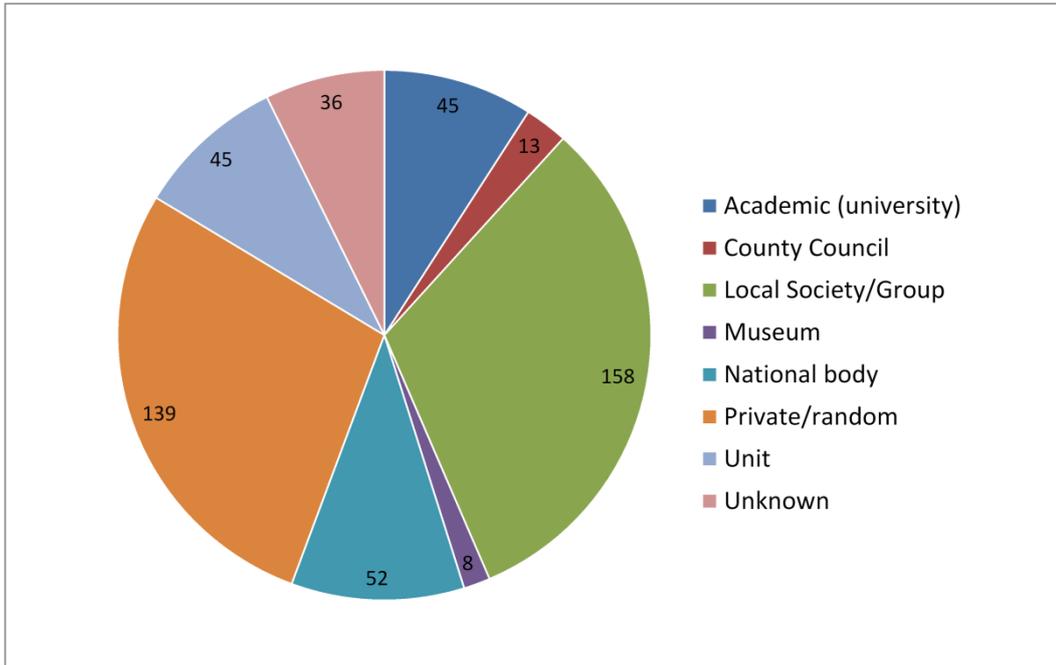


Figure 6.34: Unpublished excavations from North Yorkshire by excavator class

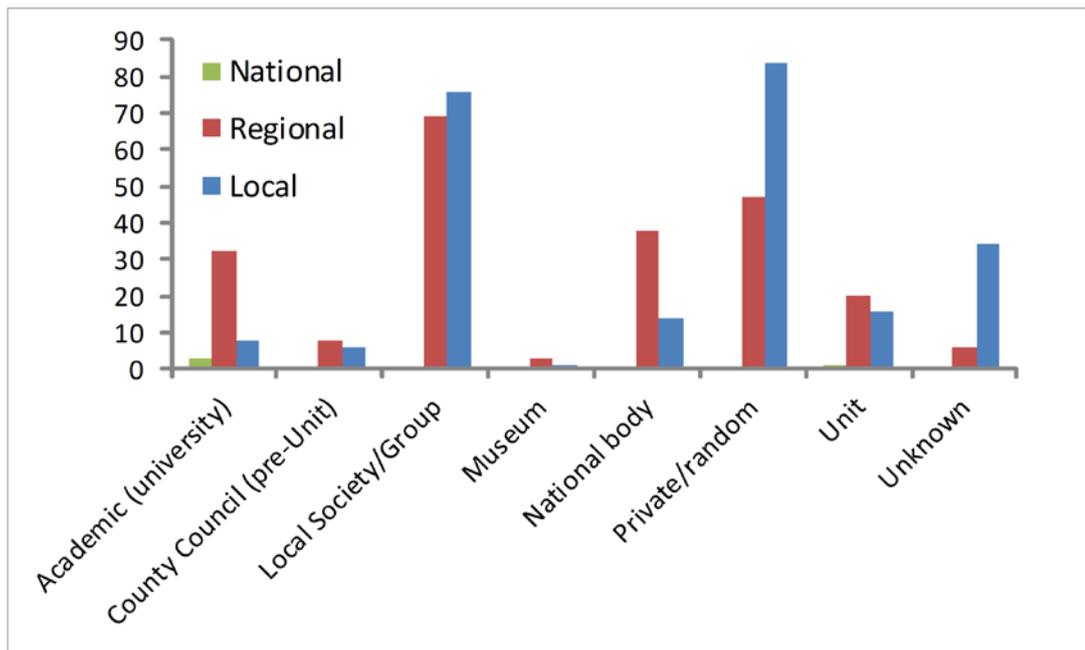


Figure 6.35: Unpublished excavations from North Yorkshire by excavator class, sorted by significance

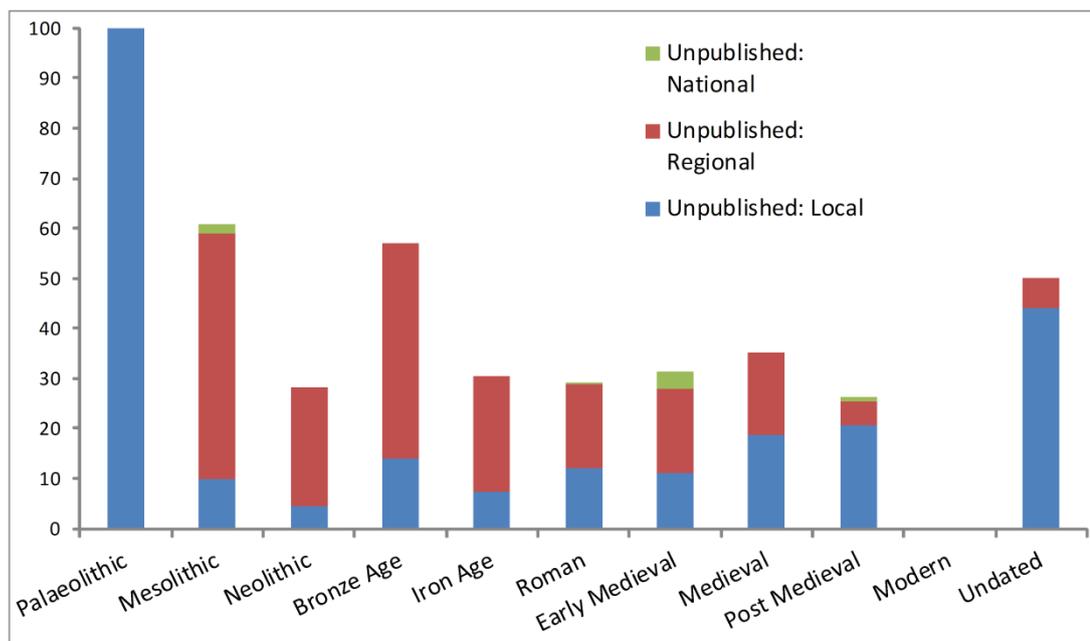


Figure 6.36: The archaeological periods of monuments in North Yorkshire investigated by unpublished excavations. Plotted as a percentage of monuments of the same period encountered by all excavations and further categorised by significance

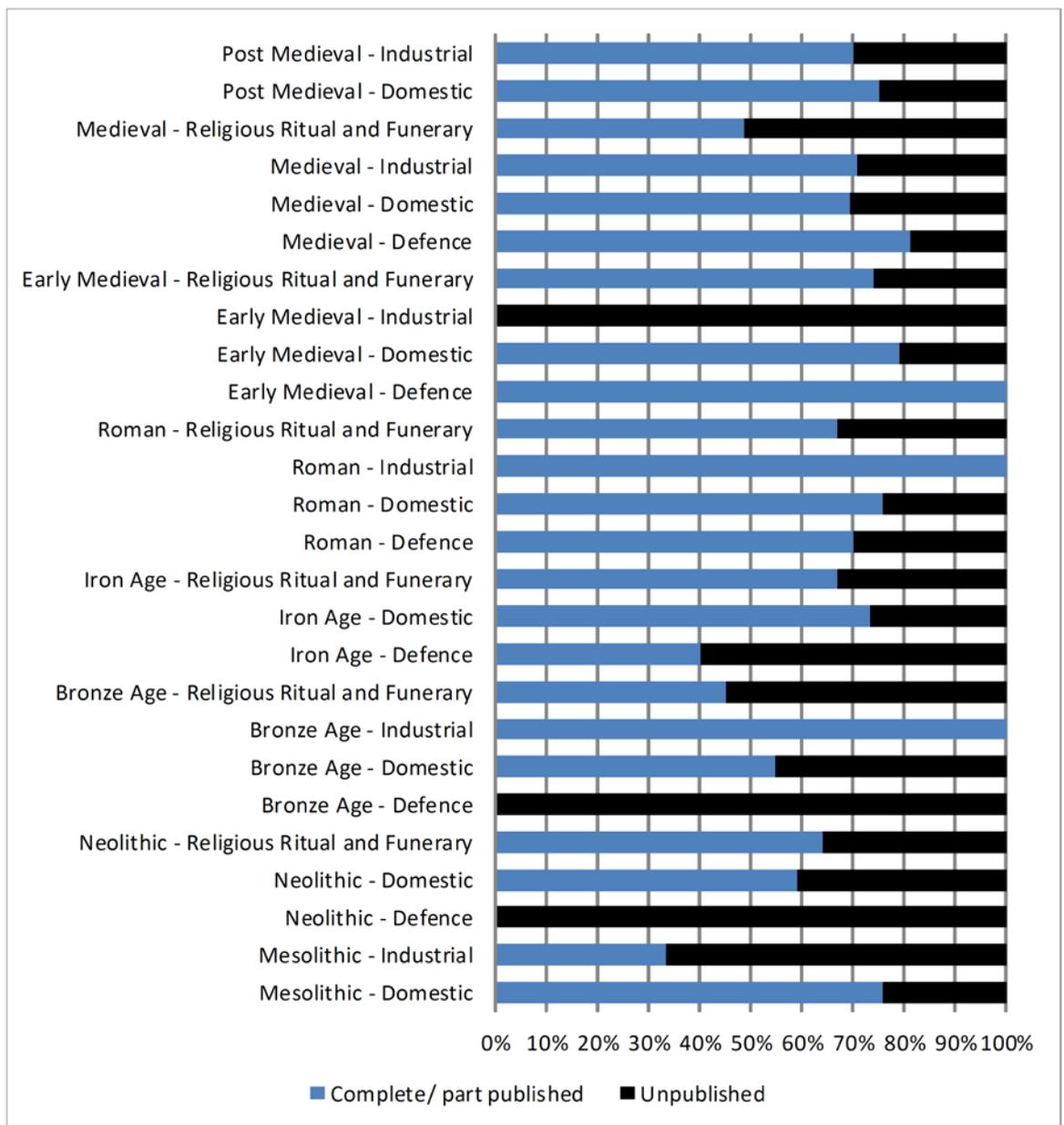


Figure 6.37: Significant archaeological monuments (by class and period) of unpublished excavations from North Yorkshire. Graph shows unpublished records as percentage of all monuments of that type and in relation to complete and part published records (grouped together)

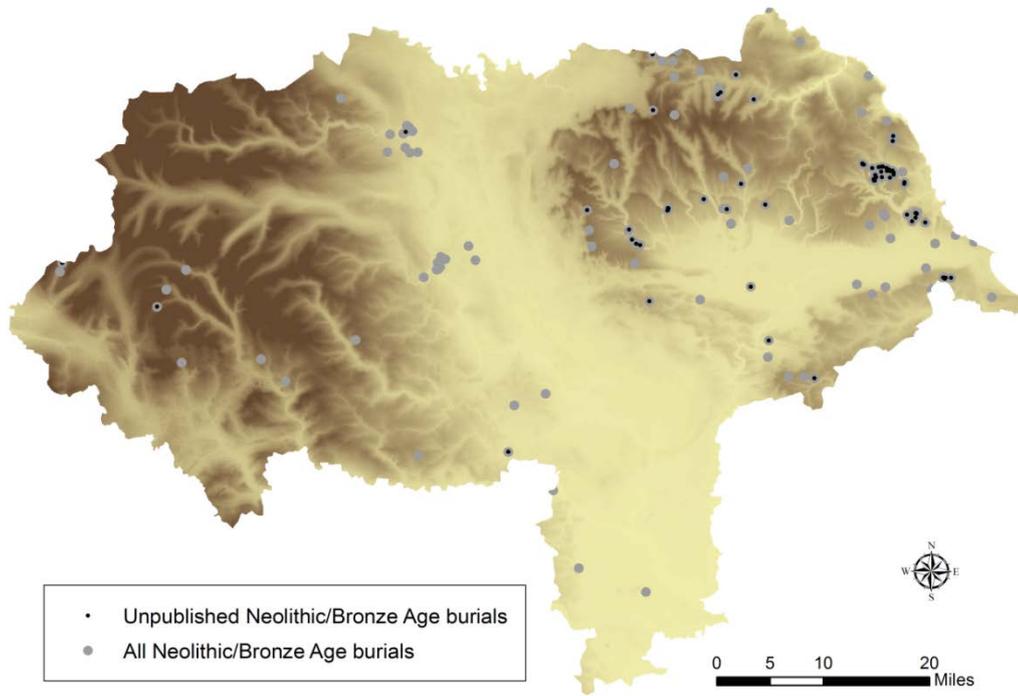


Figure 6.38: Unpublished Neolithic and Bronze Age funerary monuments in North Yorkshire

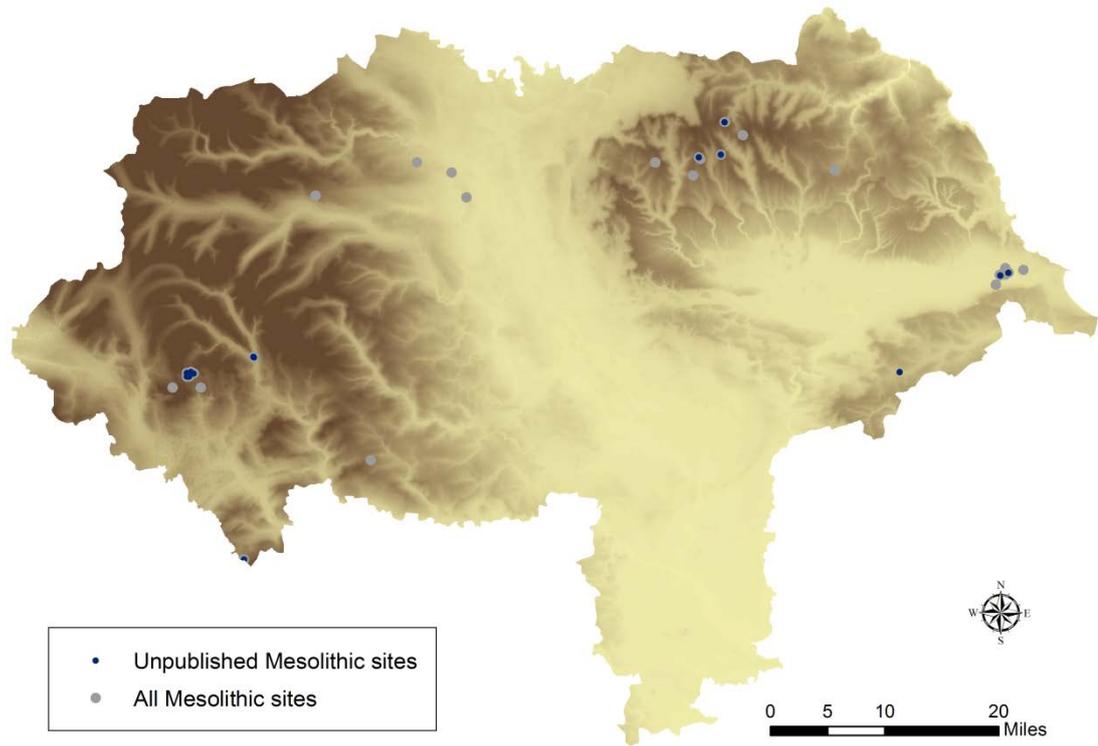


Figure 6.39: Unpublished Mesolithic sites in North Yorkshire (filtered to regional and national significance)

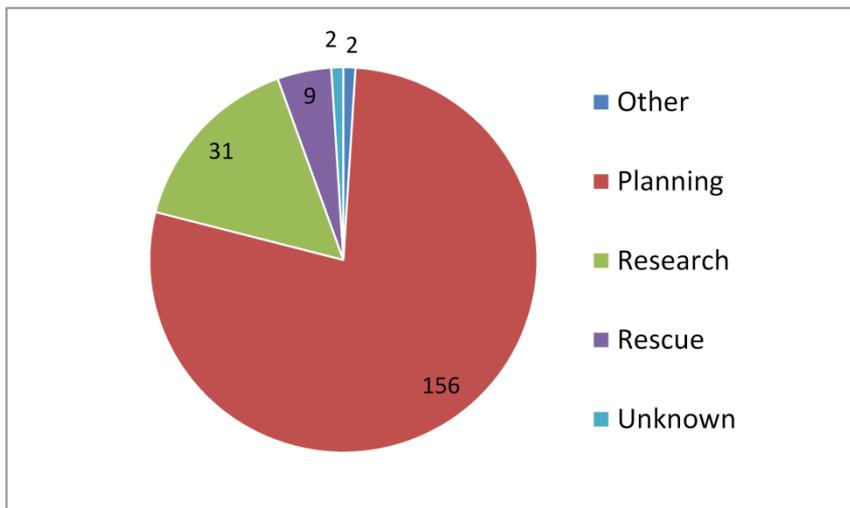


Figure 6.40: Part published excavations from North Yorkshire by excavation prompt

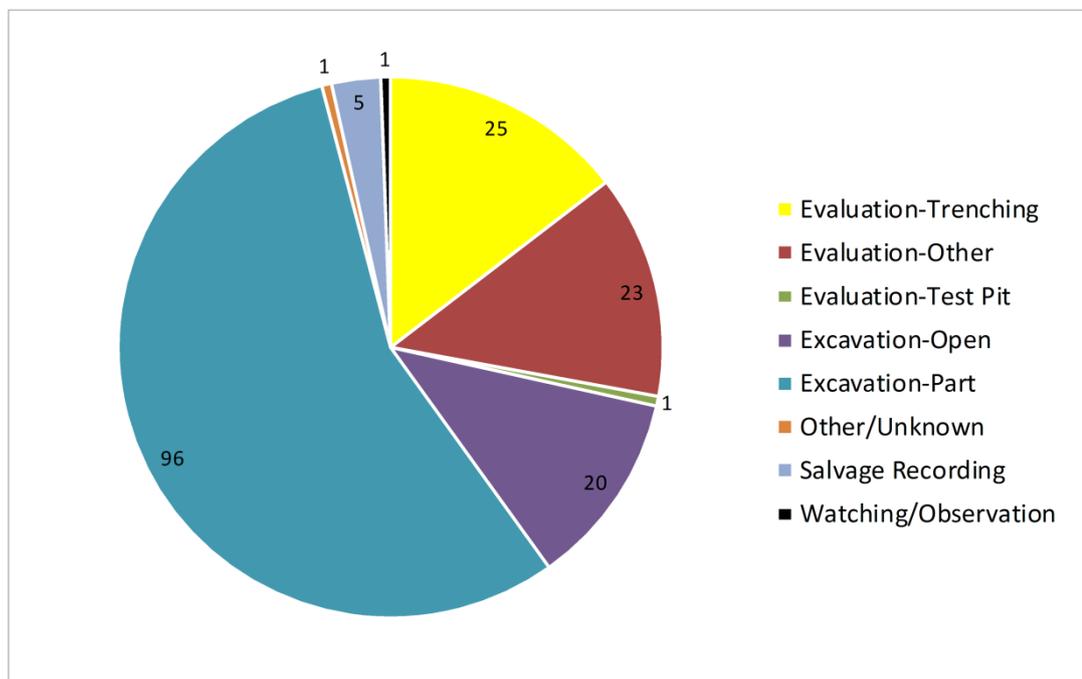


Figure 6.41: Part published excavations from North Yorkshire by methodology

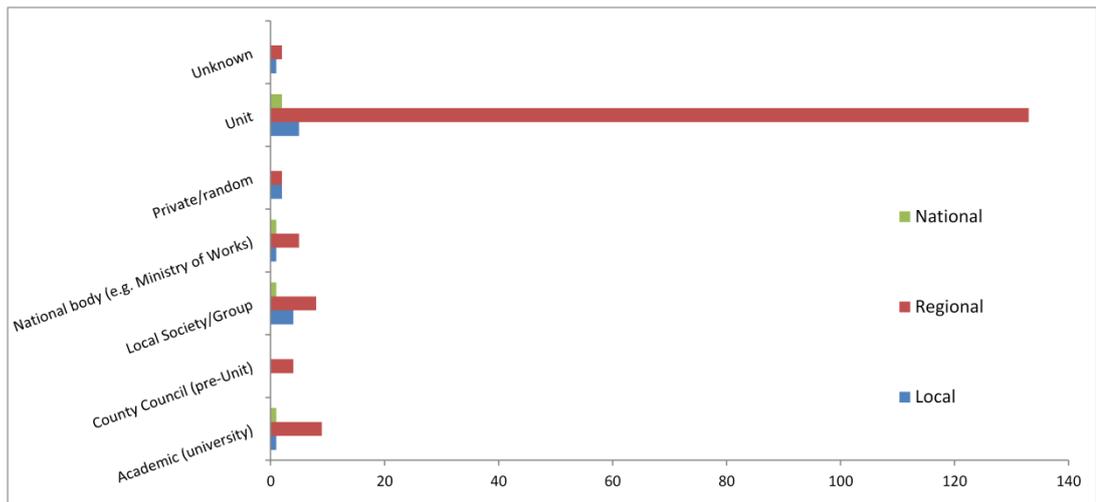


Figure 6.42: Part published excavations by excavator class and significance

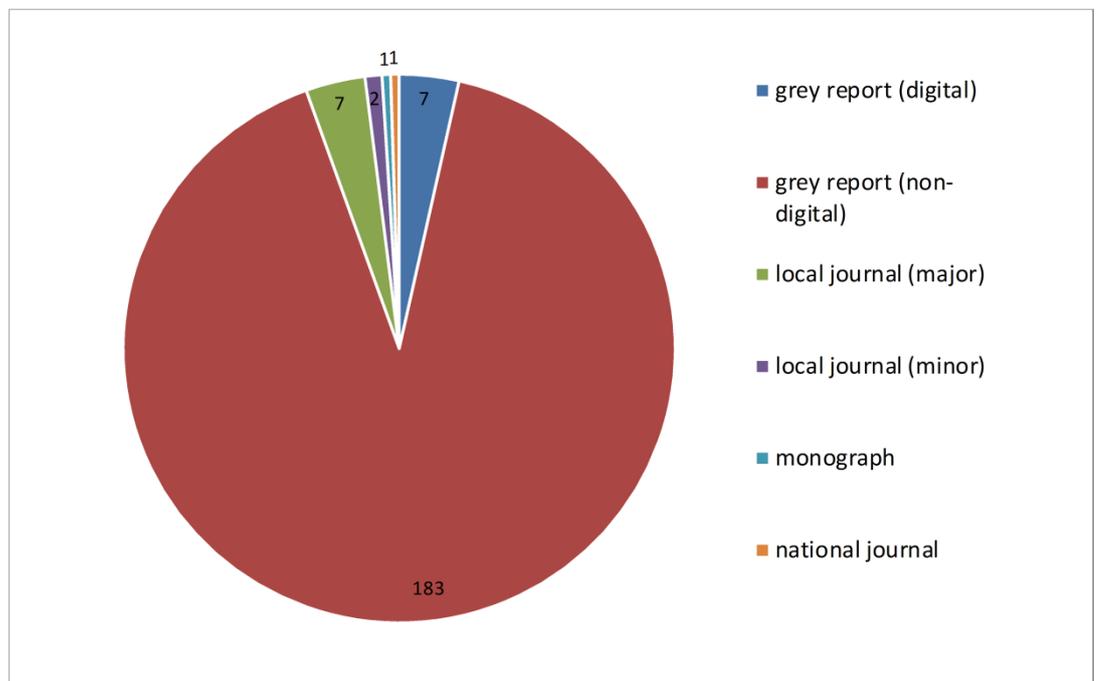


Figure 6.43: Part published investigations from North Yorkshire by medium

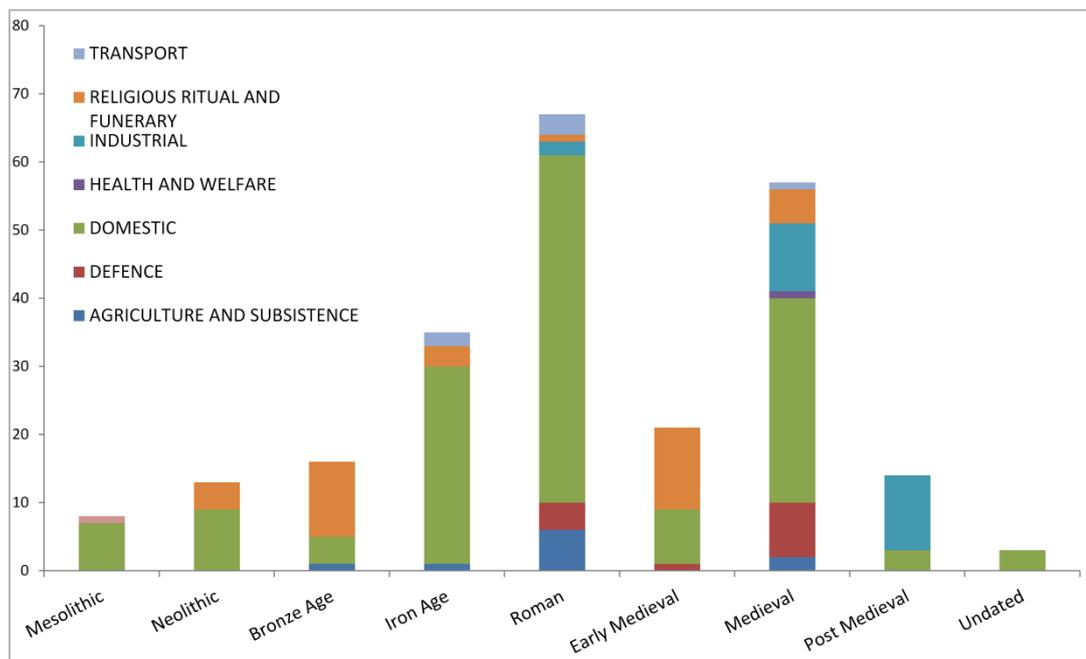


Figure 6.44: Archaeological monuments from part published *excavations* in North Yorkshire of regional or national significance; categorised by class

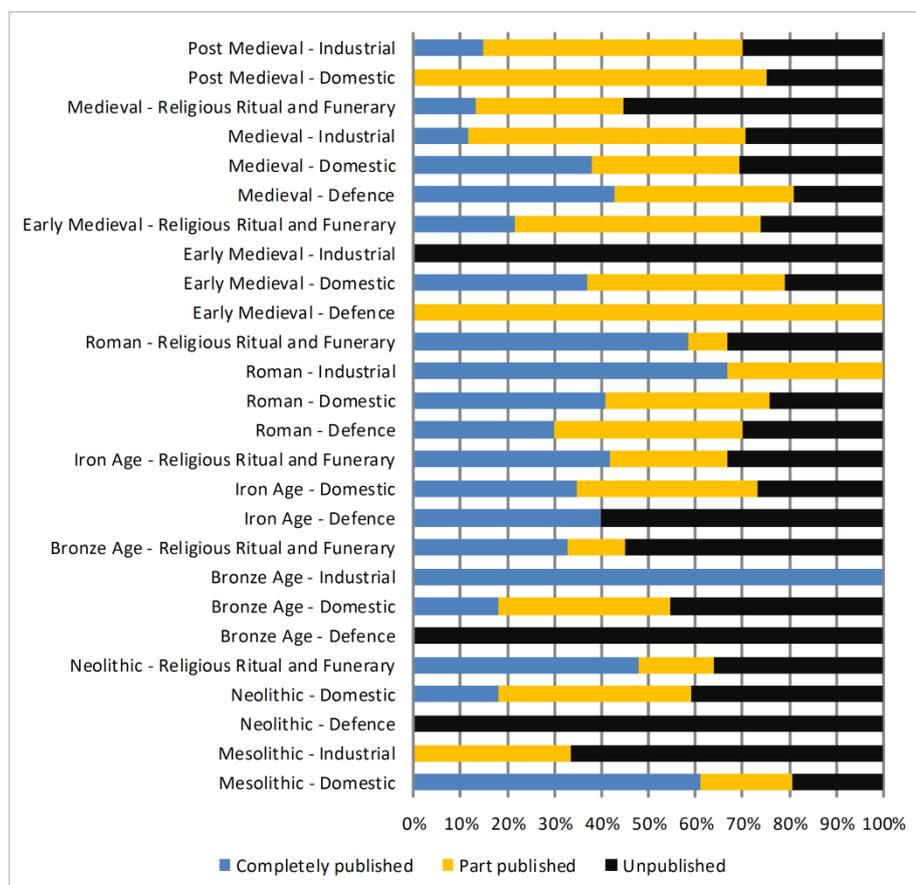


Figure 6.45: Archaeological monuments (by class and period) of part published *excavations* from North Yorkshire. Graph shows part published records as percentage of all regionally and nationally monuments of that type, and in relation to complete and unpublished records

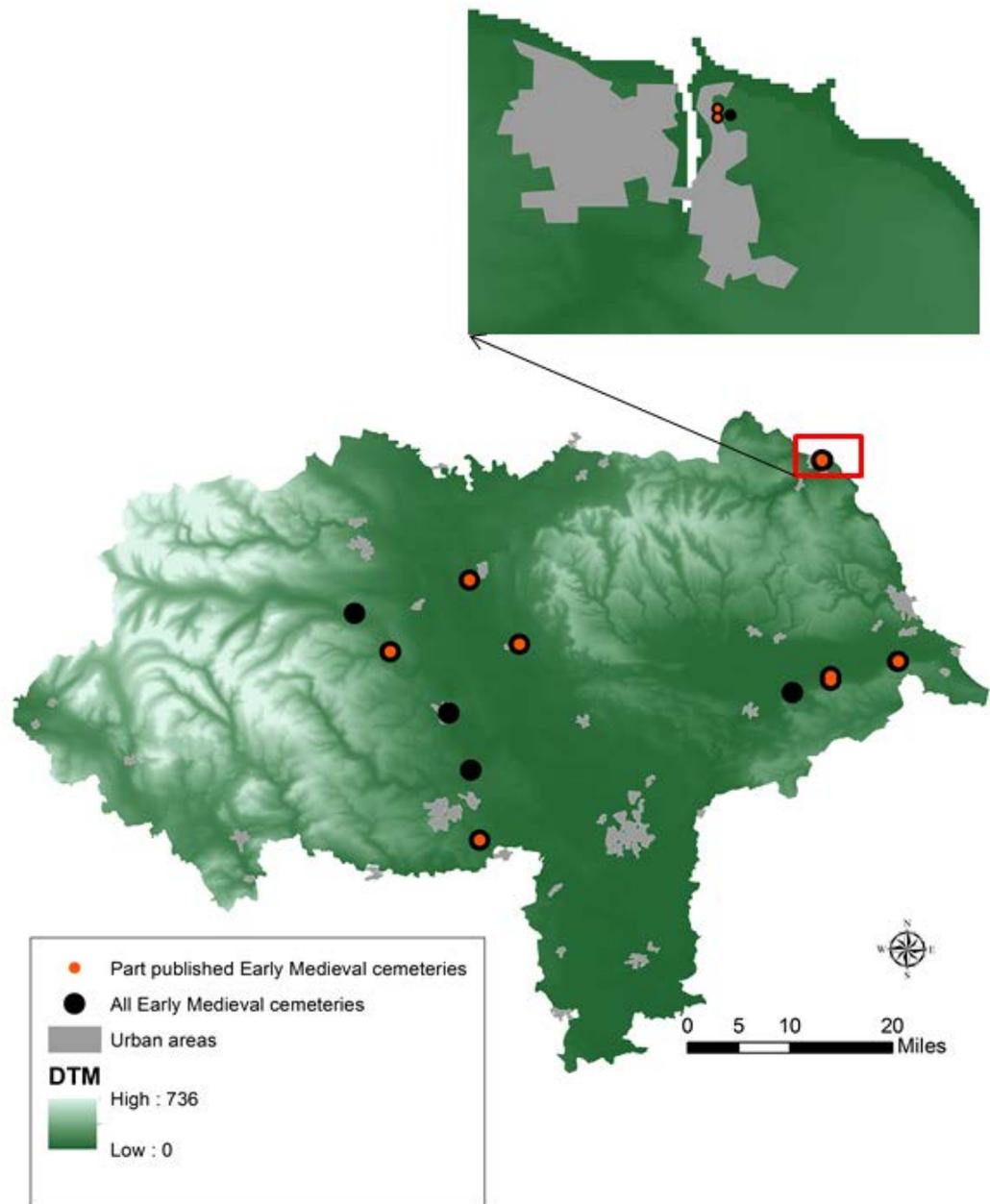


Figure 6.46: Distribution of part published early medieval cemeteries from North Yorkshire

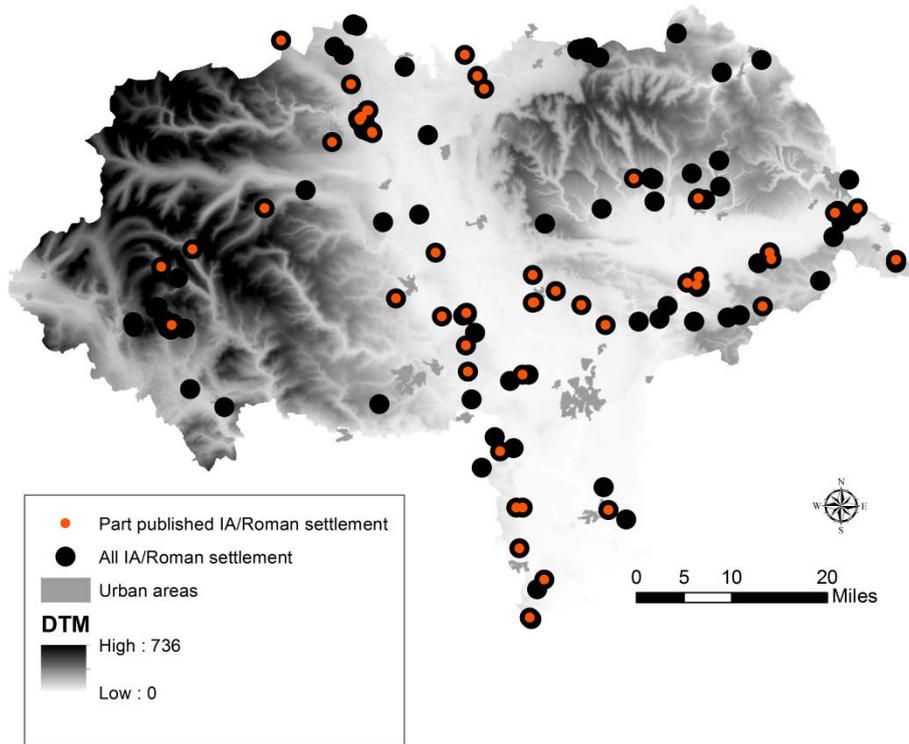


Figure 6.47: Distribution of part published Iron Age/Romano-British settlements from North Yorkshire

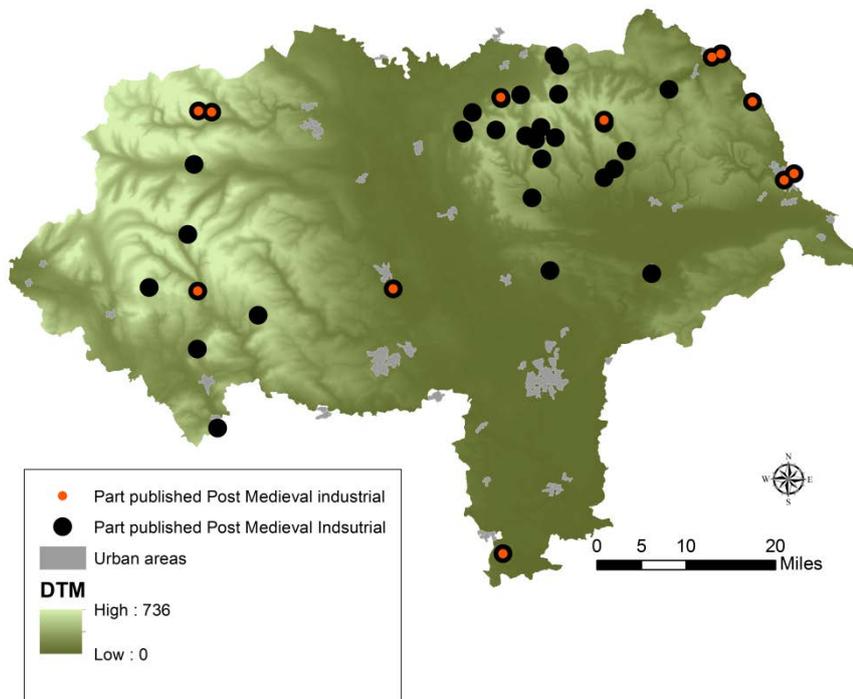


Figure 6.48: Distribution of part published post medieval industrial sites from North Yorkshire

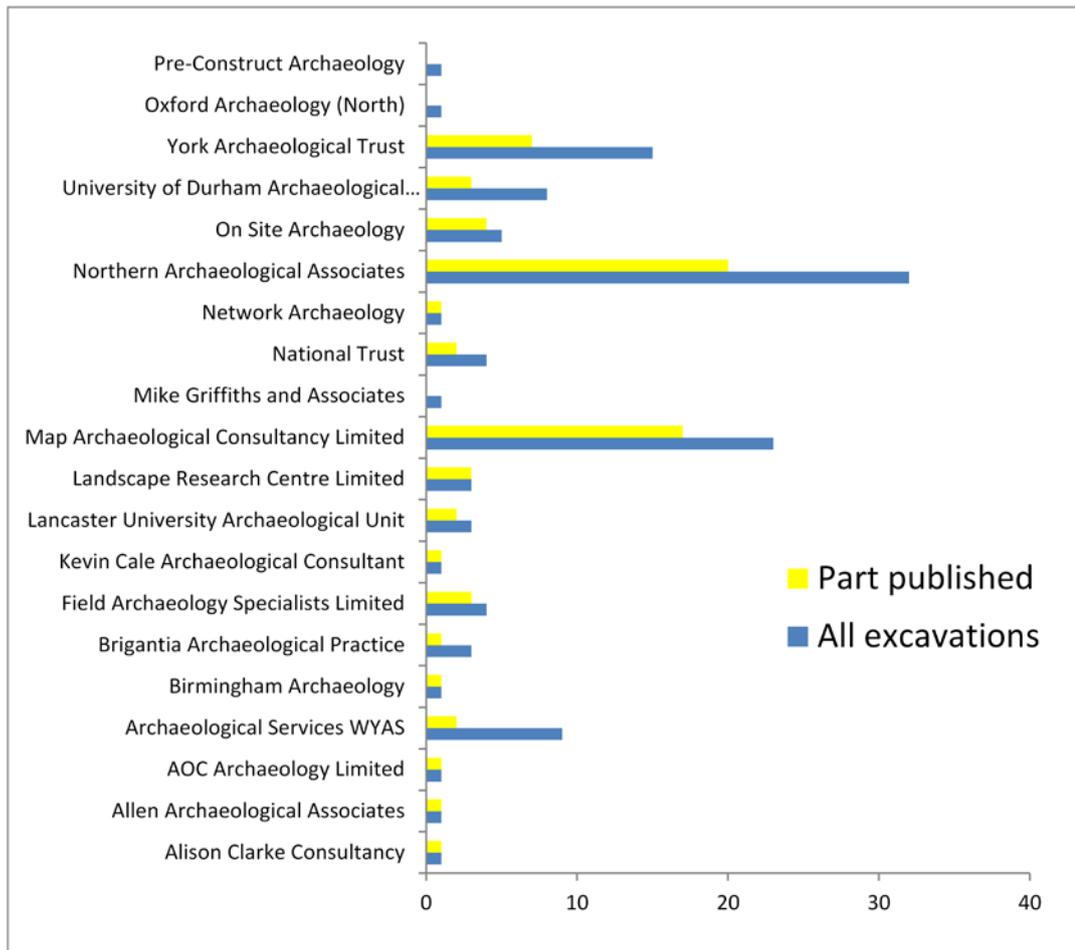


Figure 6.49: Organisations with excavations classed as part published as grey literature from planning-led *excavations* in North Yorkshire. Bars compare the number of part-published sites against all excavations undertaken by that organisation.

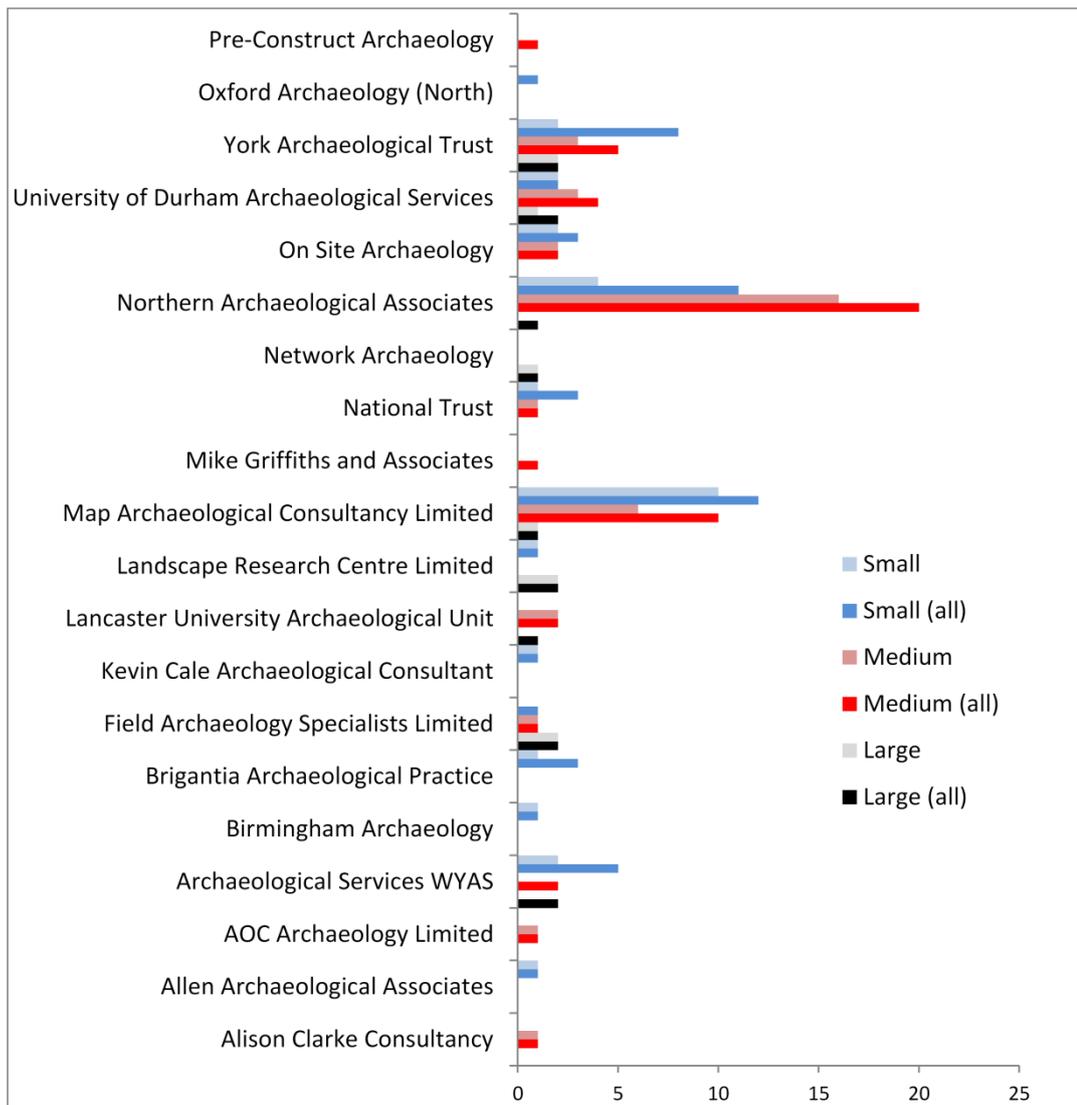


Figure 6.50: Organisations with excavations in North Yorkshire classed as part published as grey literature with investigations grouped by scale. Bars compare the number of part-published sites against all excavations of the same scale investigated by that organisation

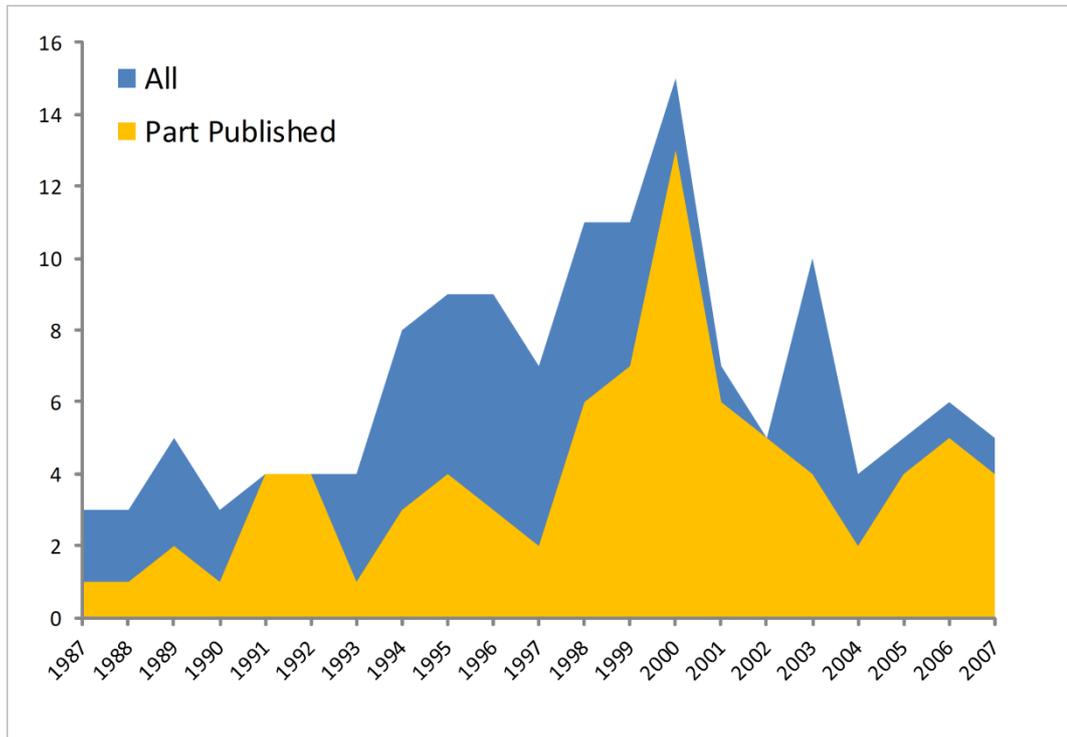


Figure 6.51: Part published *excavations* from North Yorkshire compared to all planning-led *excavations* of that year

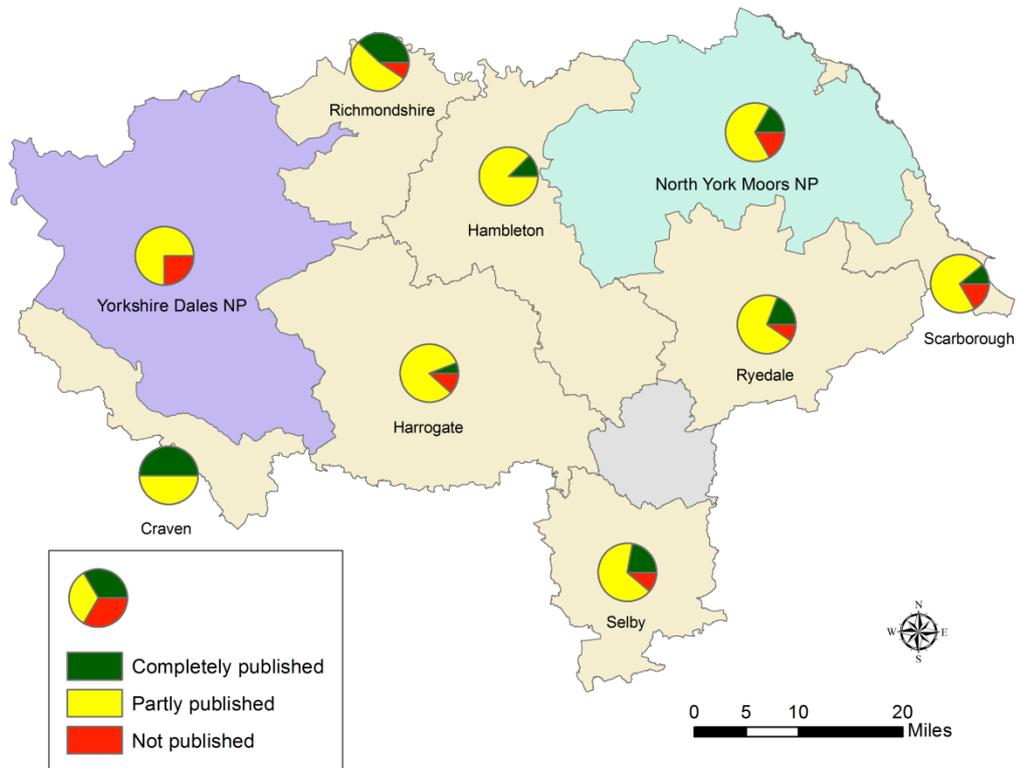


Figure 6.52: Publication status of *excavations* in North Yorkshire of regional or national significance by local authority

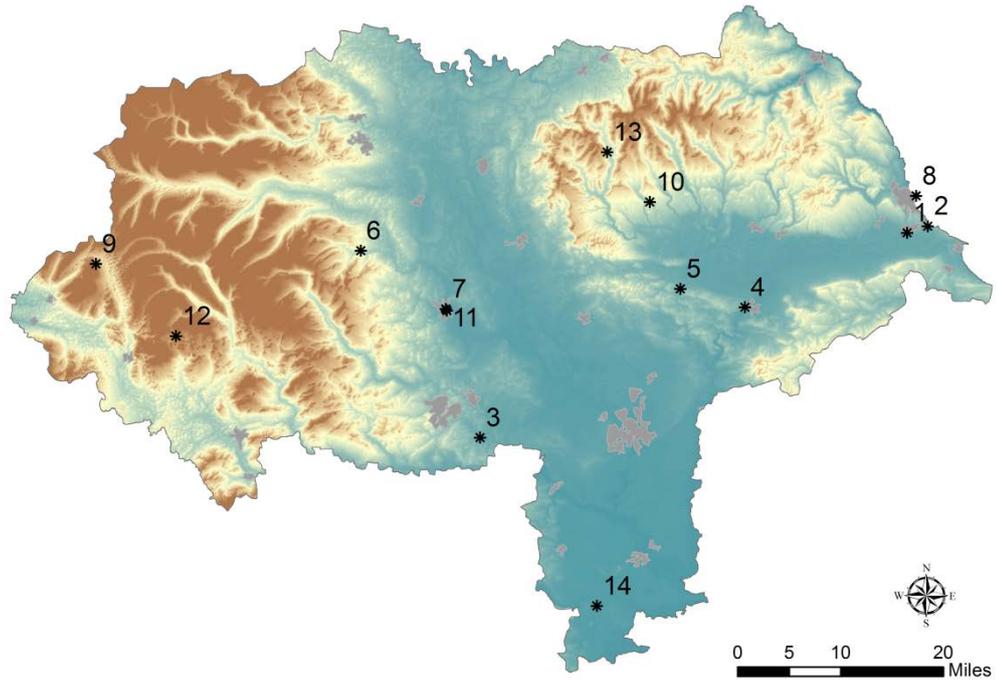


Figure: 6.53: Location of North Yorkshire case studies mentioned in the text

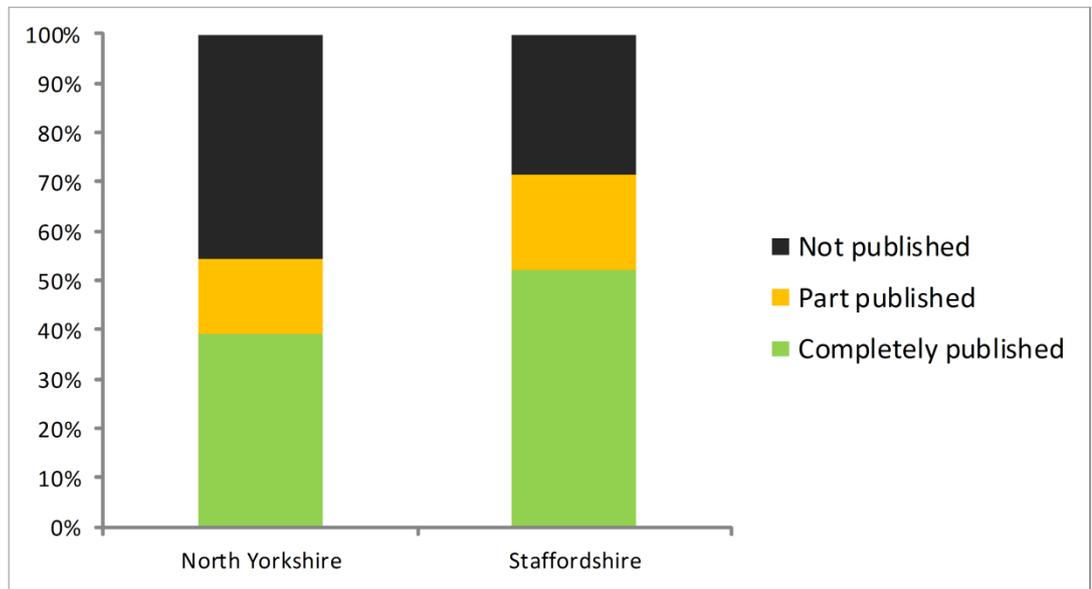
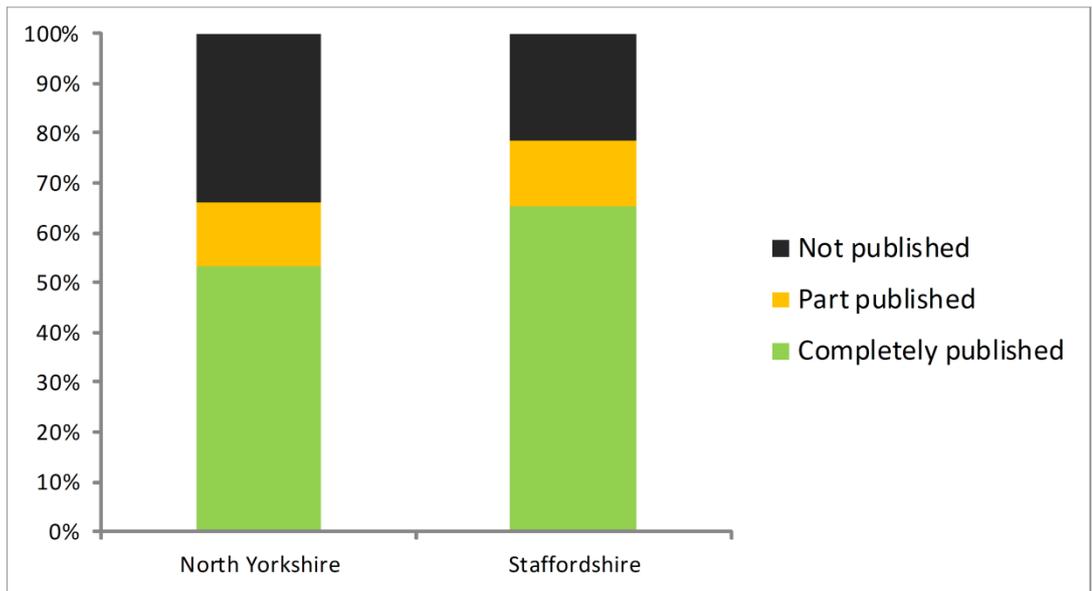


Figure 7.1: Comparative publication rates for the two counties. All investigations (top) and just *excavations* (bottom)

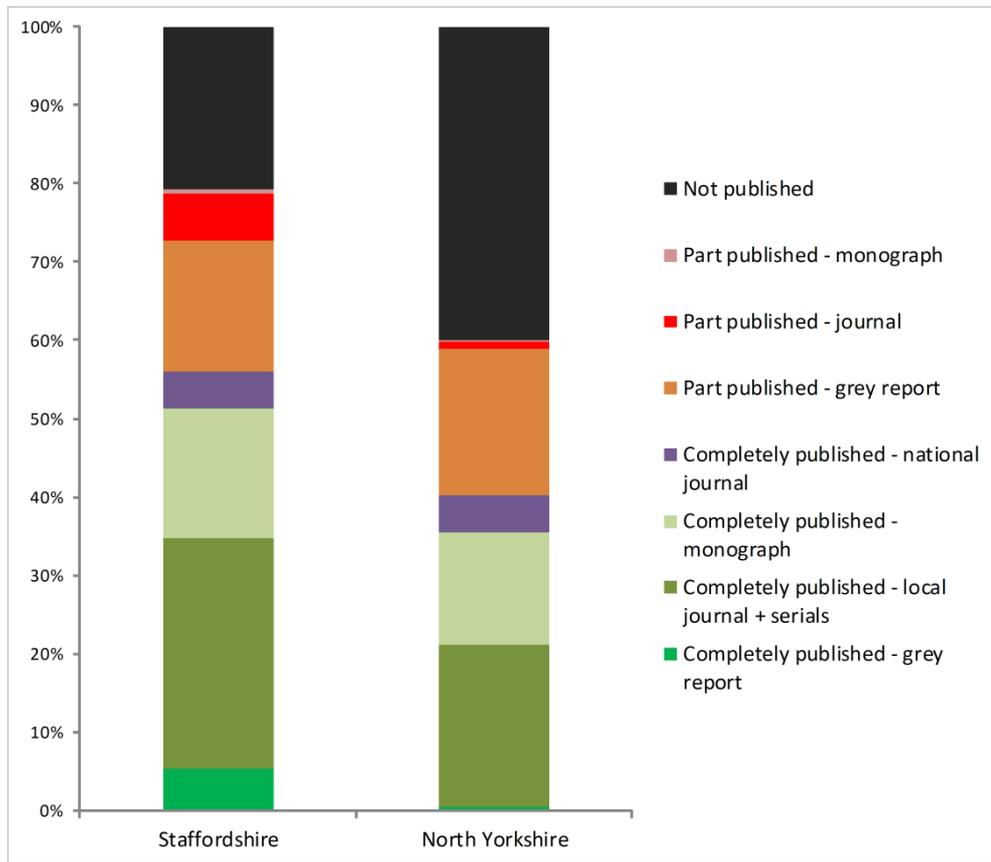


Figure 7.2: Publication rates for *excavations* with results of regional or national significance

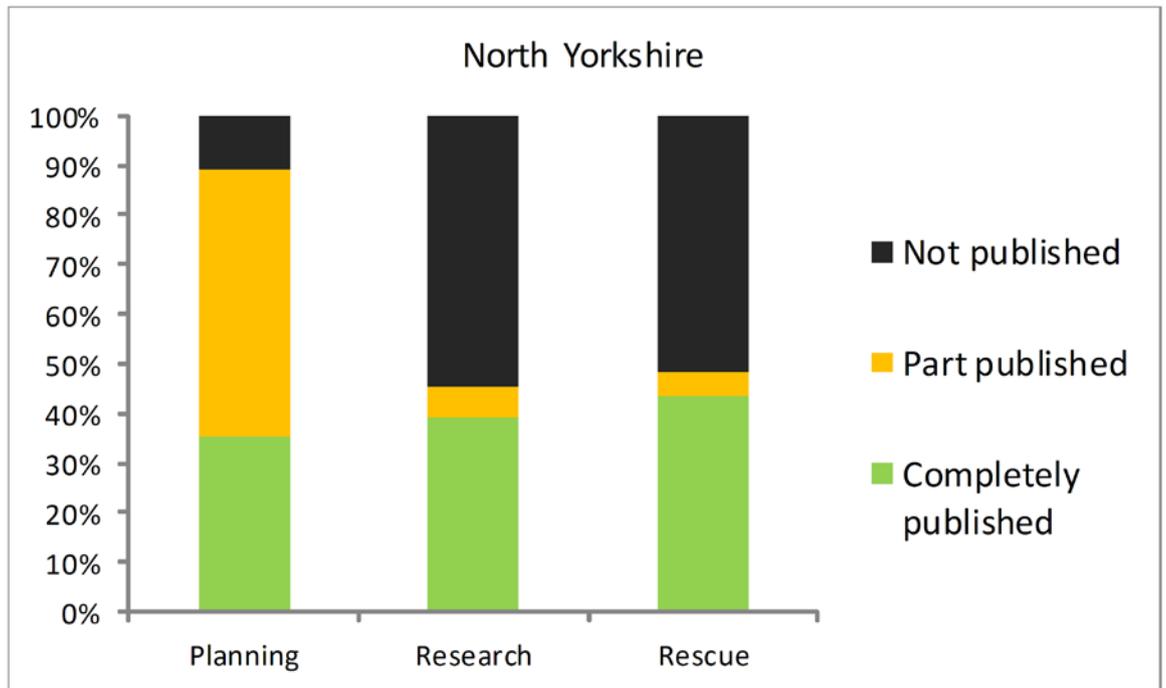
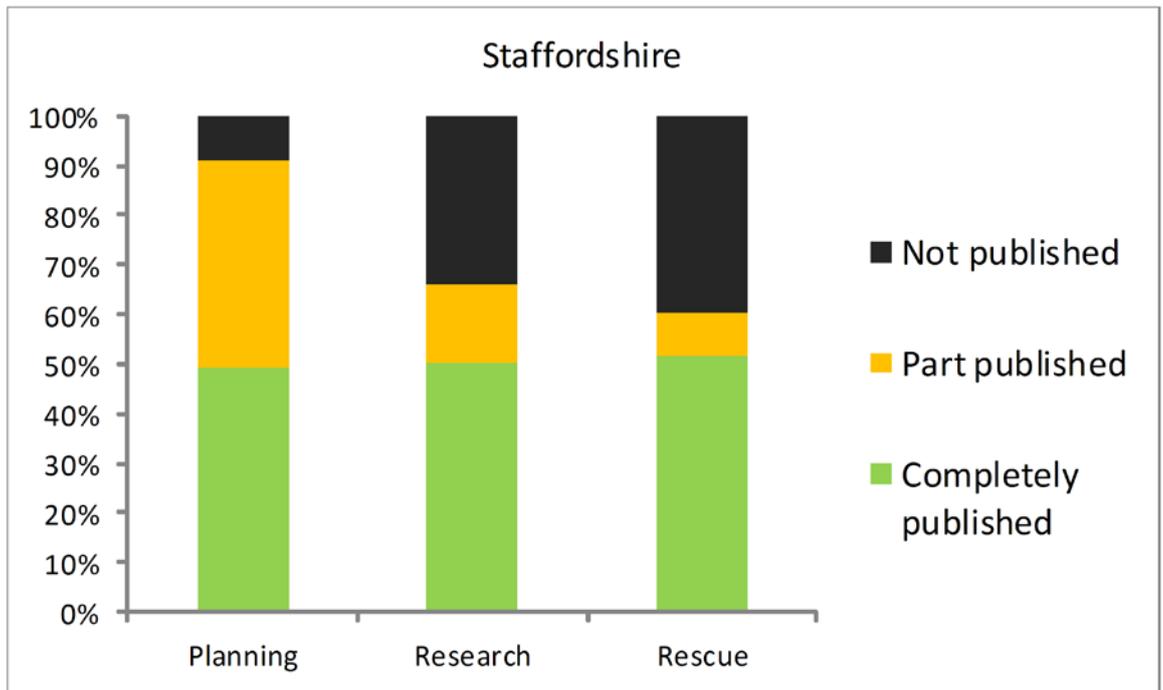


Figure 7.3: Publication rates for all *excavations* from planning, research and rescue prompts

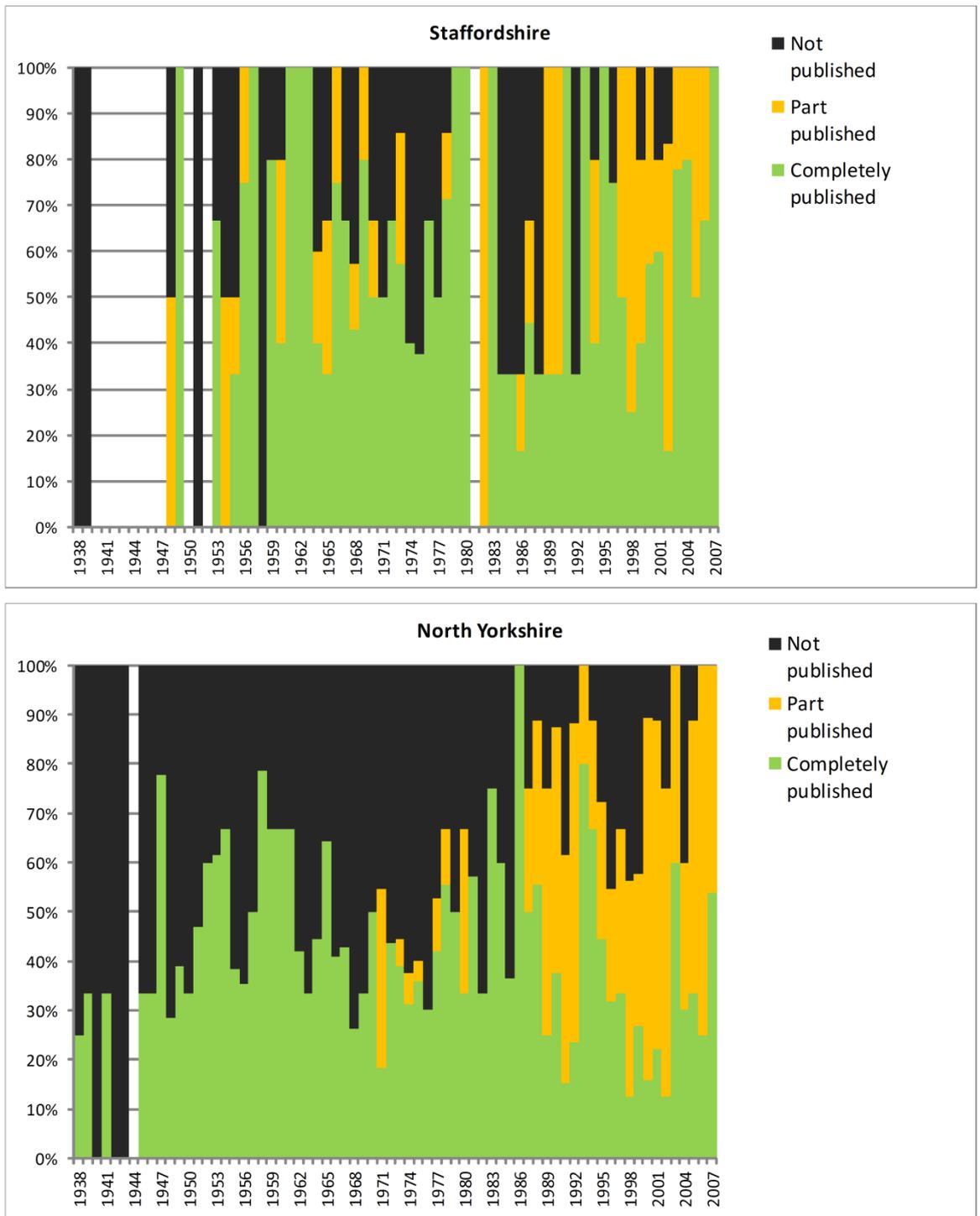


Figure 7.4: Comparative rates of publication for *excavations* of regional and national significance by year

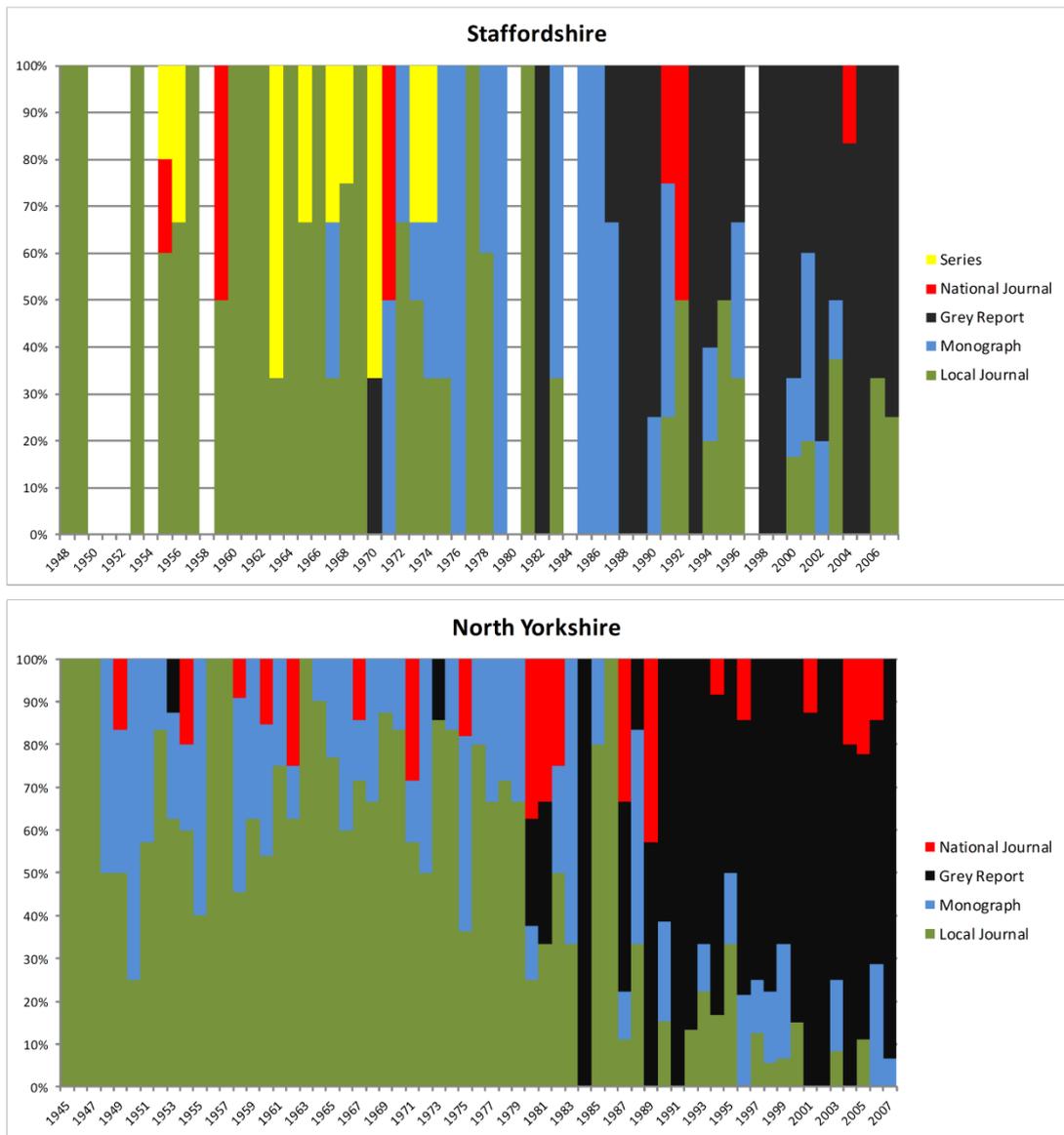


Figure 7.5: Primary written output for *excavations* by year of excavation. Records include full and part published

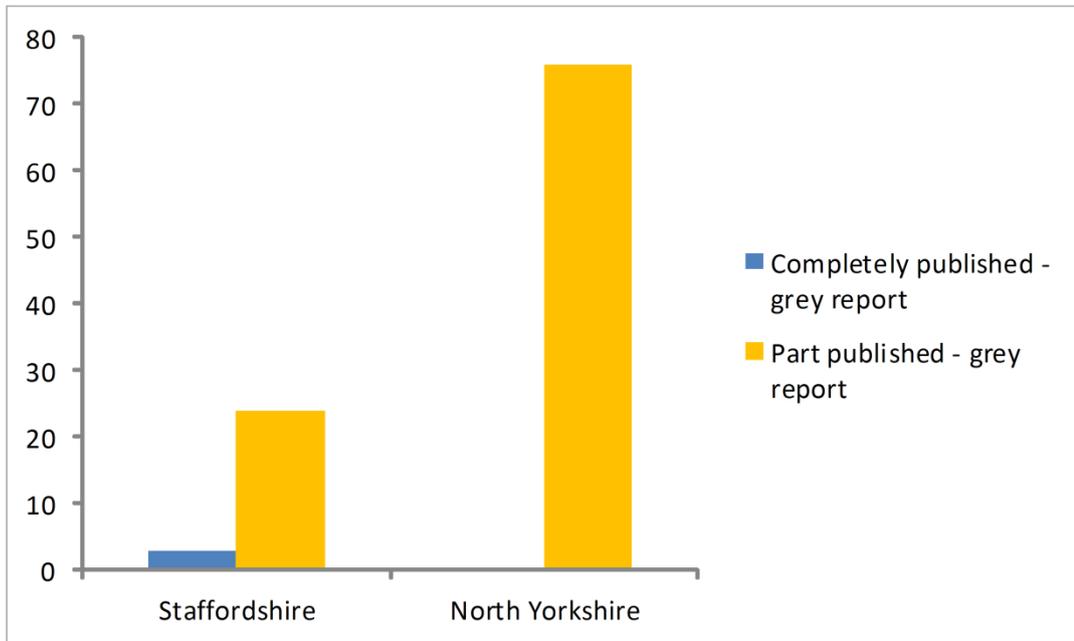
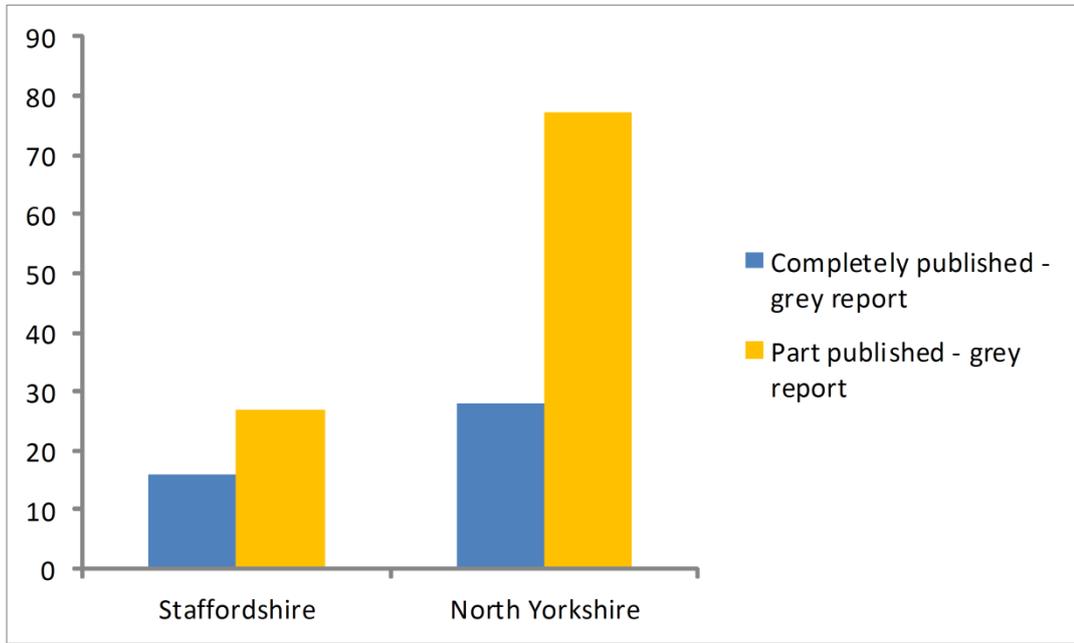


Figure 7.6: Classification of grey literature reports from planning excavations. All excavations (top) and just *excavations* of regional or national significance (bottom)

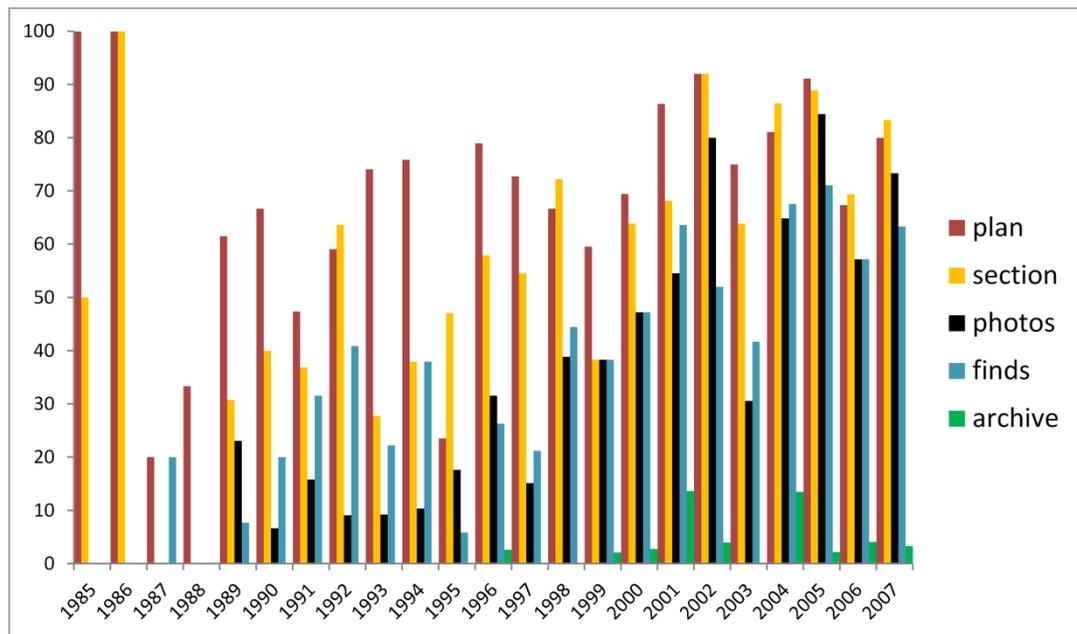
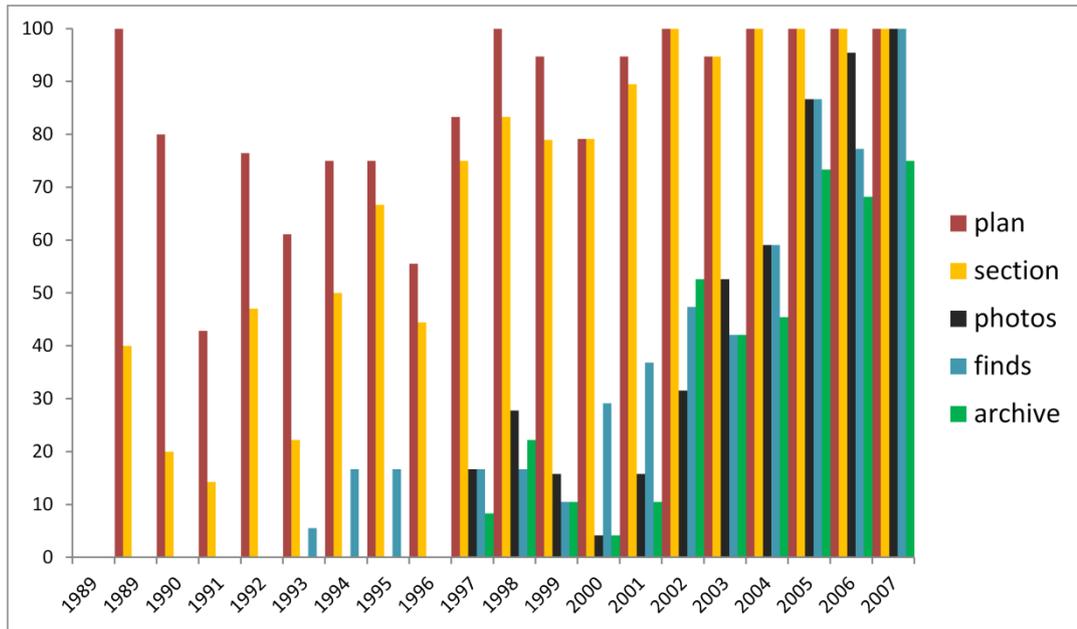


Figure 7.7: Content of grey literature reports from all planning events. Year indicates the year the report was produced, vertical axis shows the percentage of reports produced that have specific elements recorded; Staffordshire (top) and North Yorkshire (bottom). See Appendix 1 for description of content classification

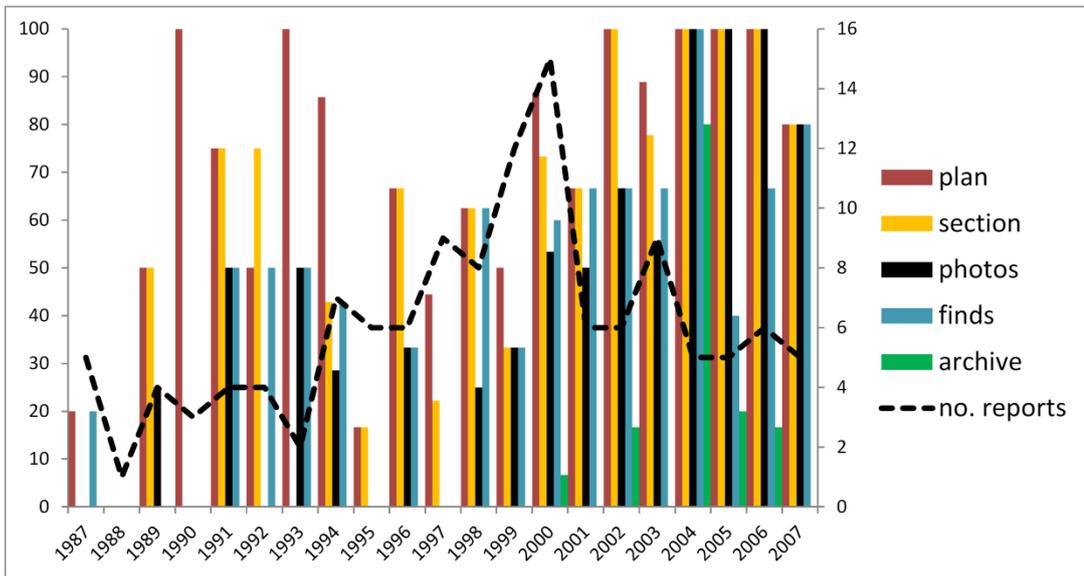
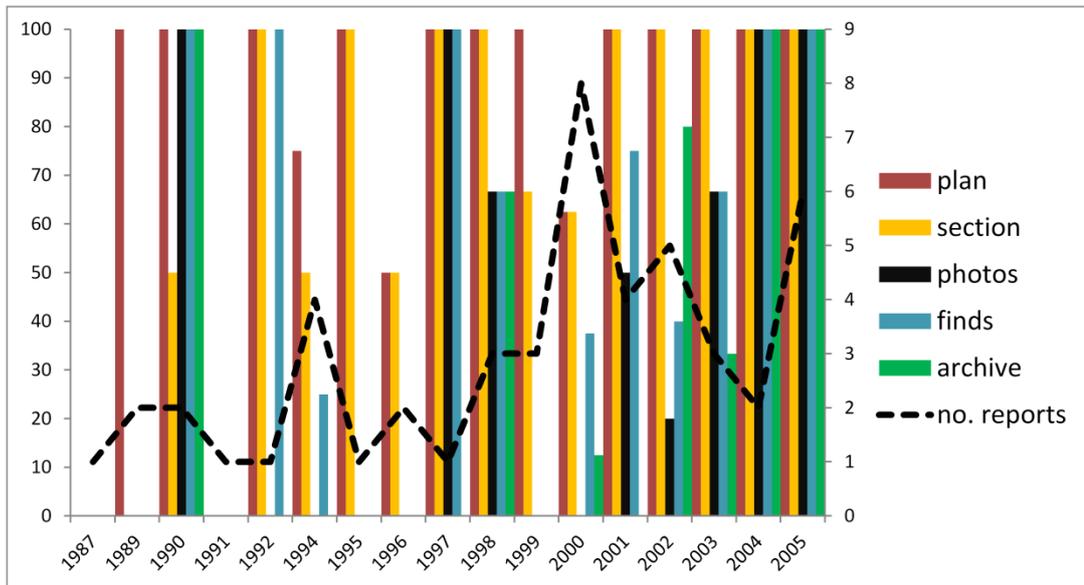


Figure 7.8: Content of grey literature reports from planning *excavations* compared with the numbers of total reports produced that year; Staffordshire (top) and North Yorkshire (bottom)

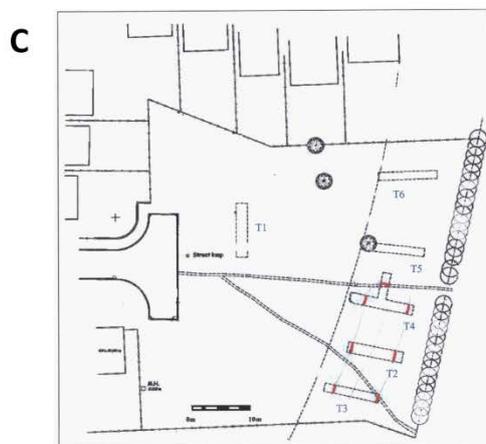
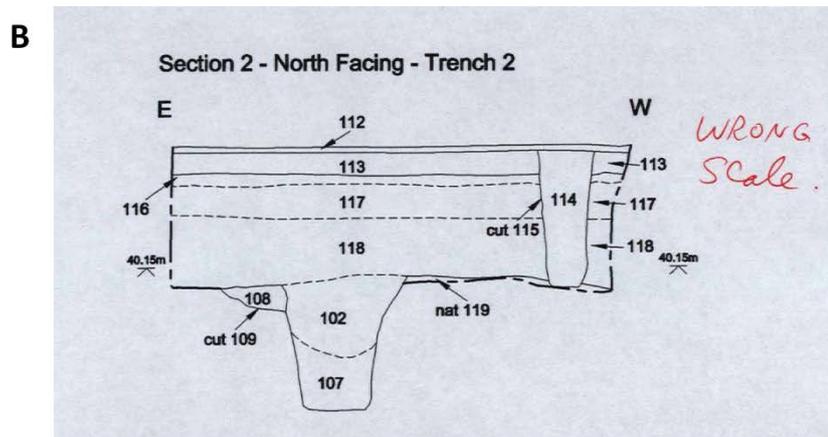
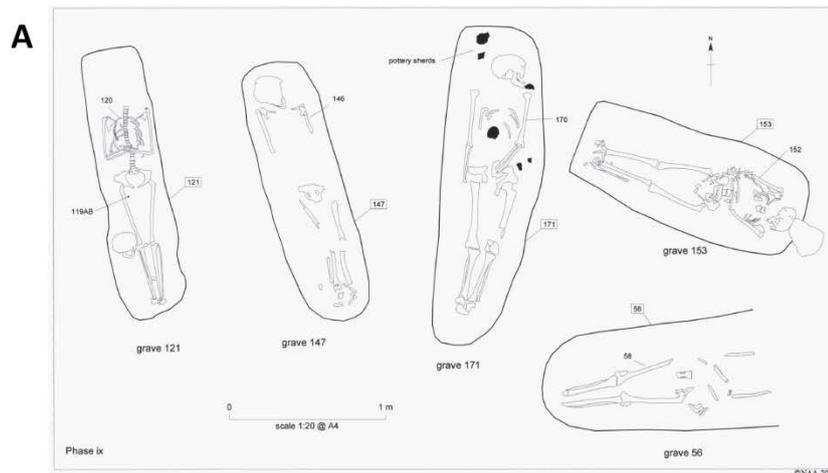


Figure 7.9: Examples of quality in drawn evidence in grey reports from North Yorkshire; a) Detailed plan of inhumations from Bridge Road, Brompton on Swale (NAA 2004, Figure 4), b) Errors in a section from East Road, Northallerton, annotation by HER (Taylor-Wilson 2000, Figure 5), c) Excavated features marked in pen on a location map, St Nicholas Drive, Richmond (Turnbull 2004, Figure 2)

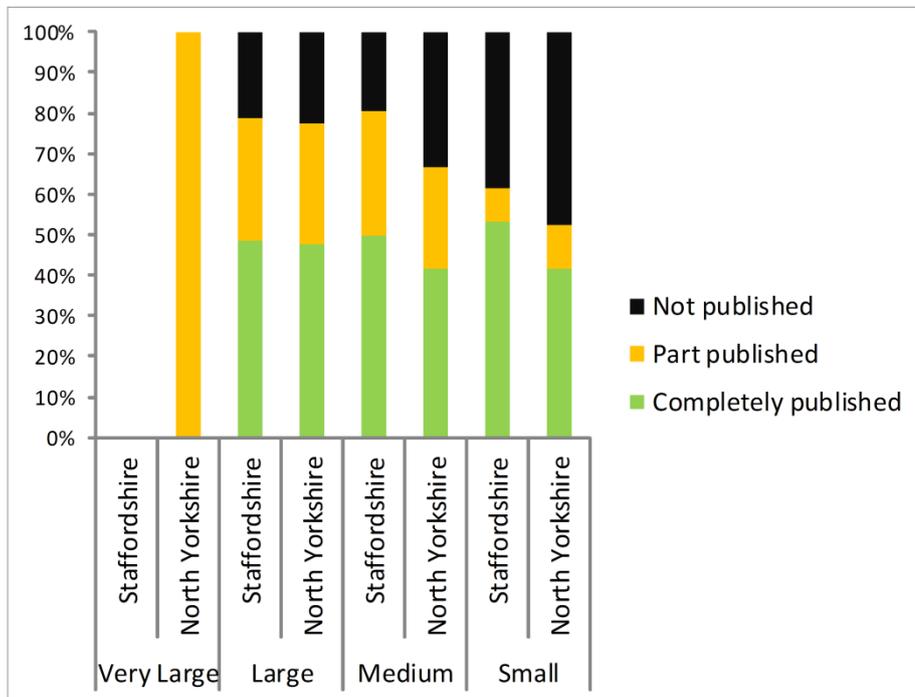
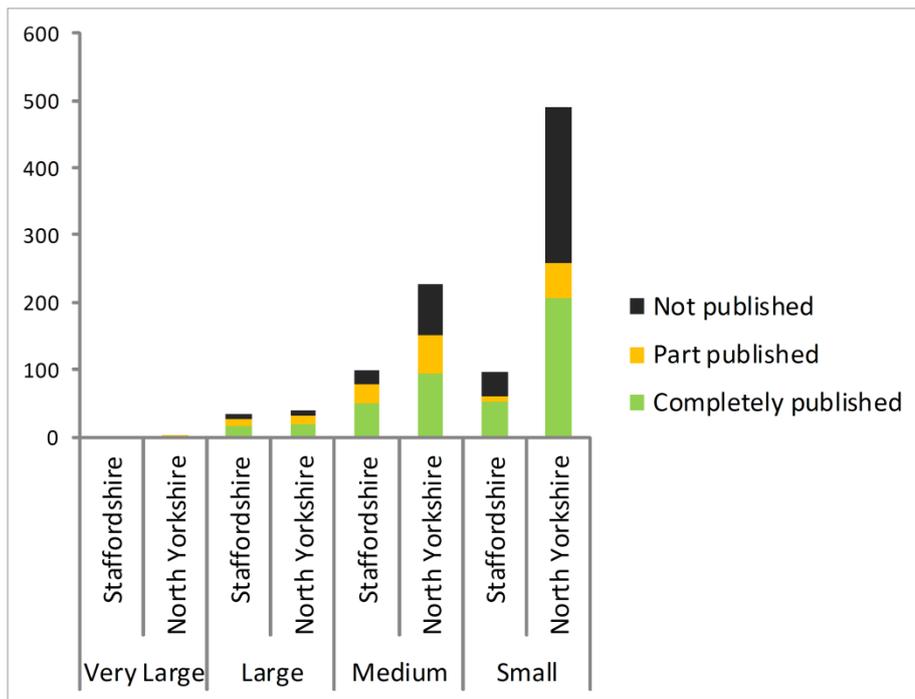


Figure 7.10 Comparative rates of publication for *excavations* of regional or national significance by size of work. Graphs show by total number (top) and as a percentage of all records of that size (bottom)

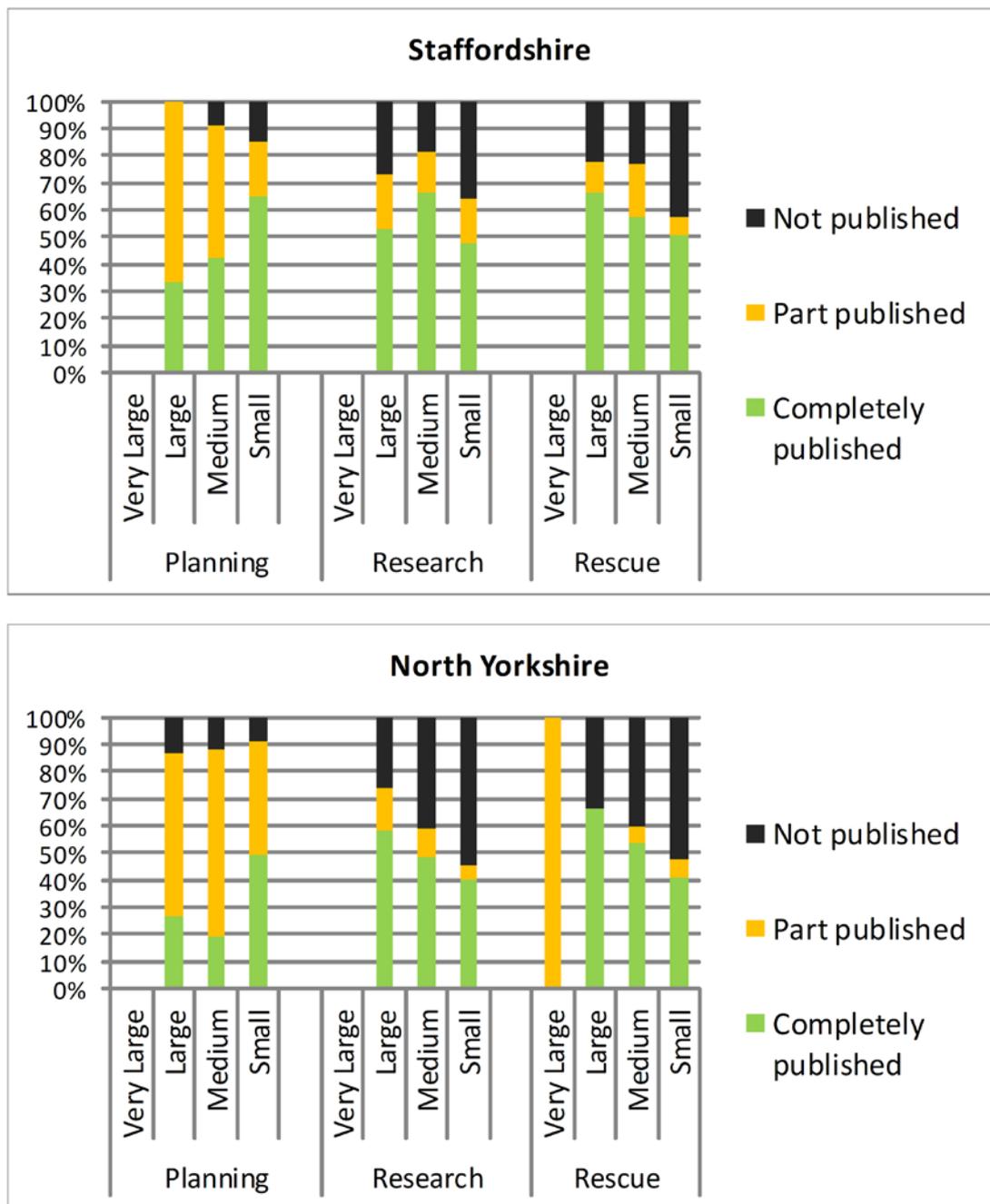


Figure 7.11: Comparative rates of publication for *excavations* by size of work and type of excavation. Graph as a percentage of all records of that type

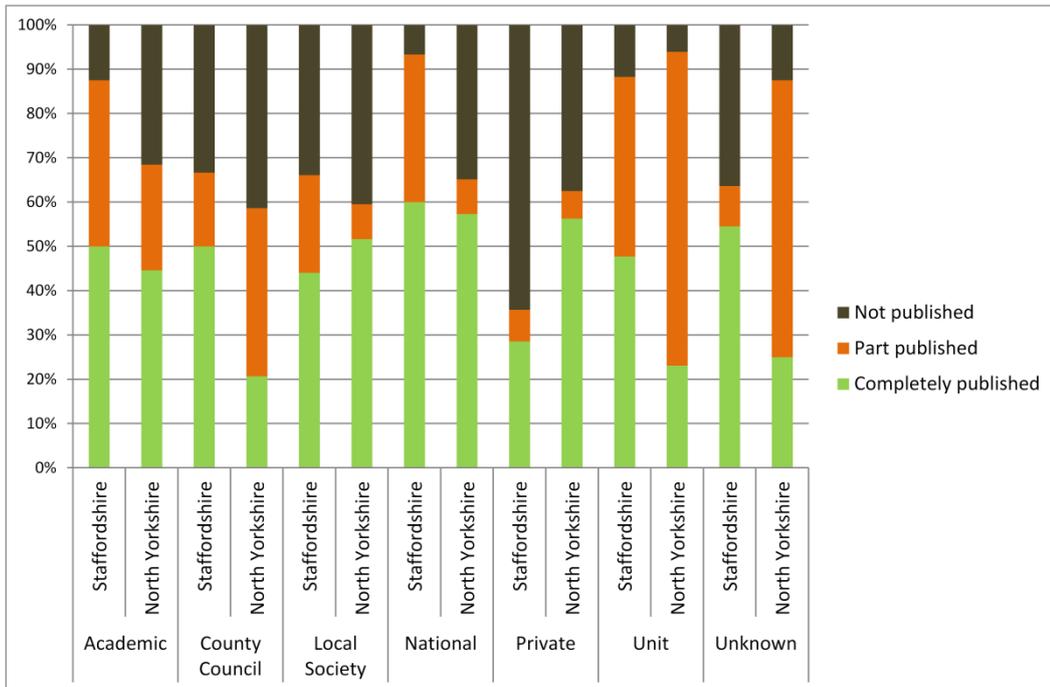


Figure 7.12: Publications rates for *excavations* of regional and national significance by excavator class. Classes displayed as percentages of all records of that type

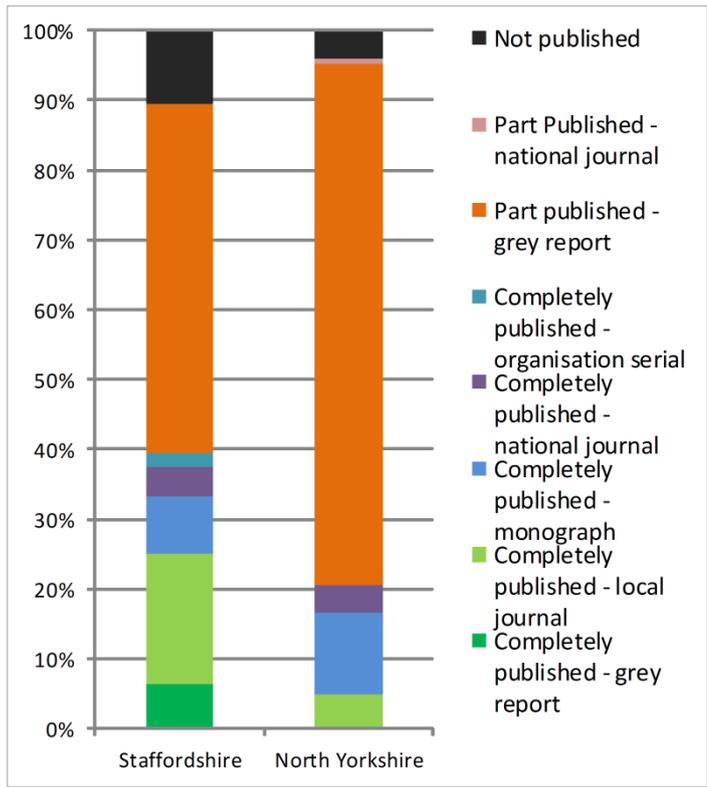
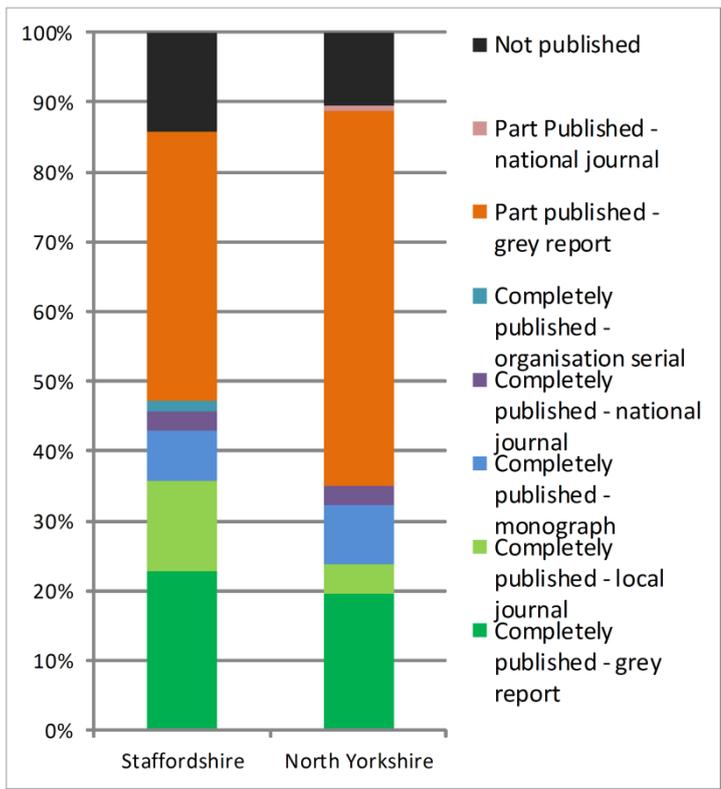


Figure 7.13: Publication rates for all investigations prompted through the planning process. All investigations (top) and *excavations* only (bottom)

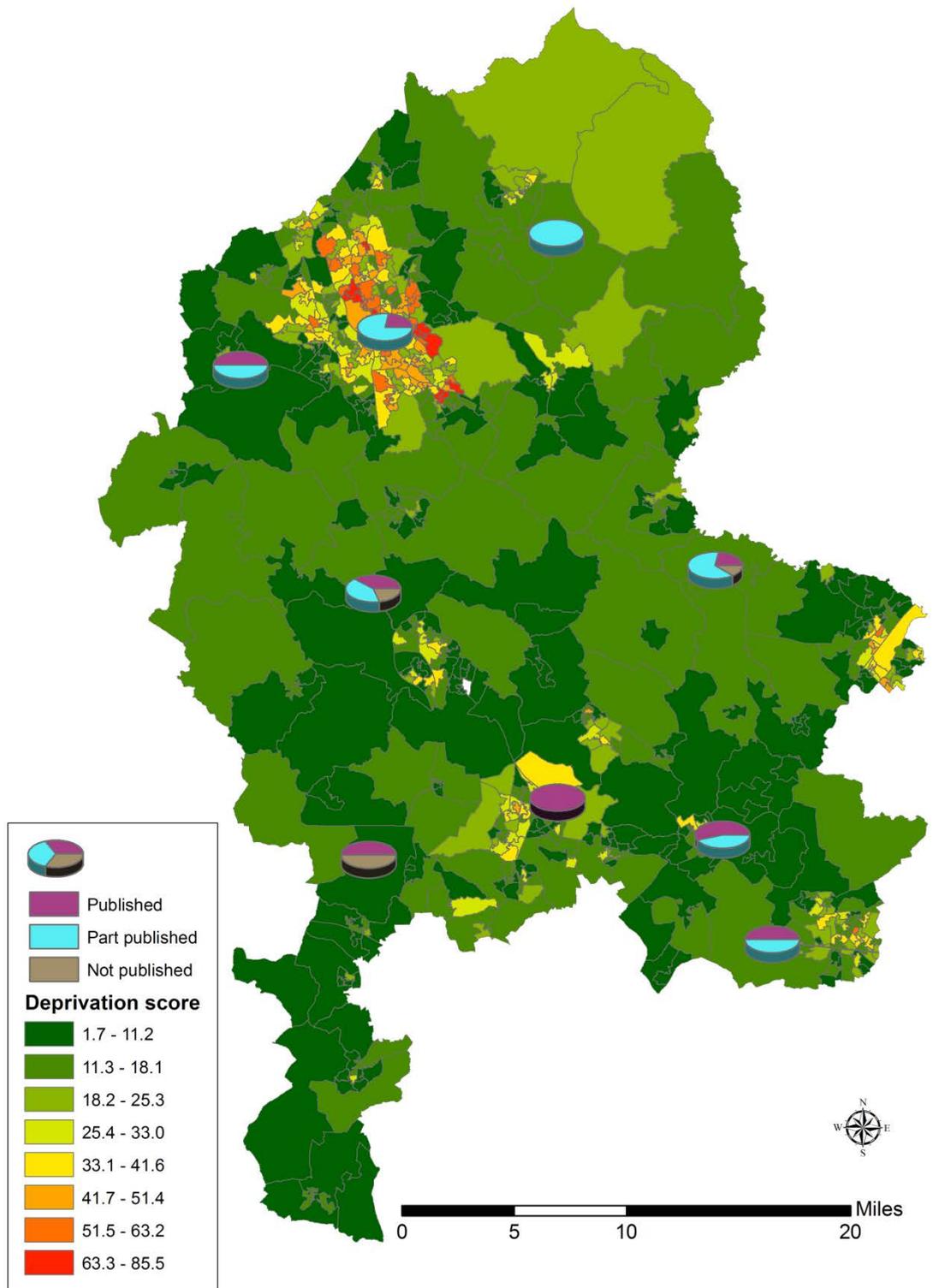


Figure 7.14: Economic deprivation in Staffordshire compared to publication rates for planning-led excavations of regional or national significance from each district/unitary authority

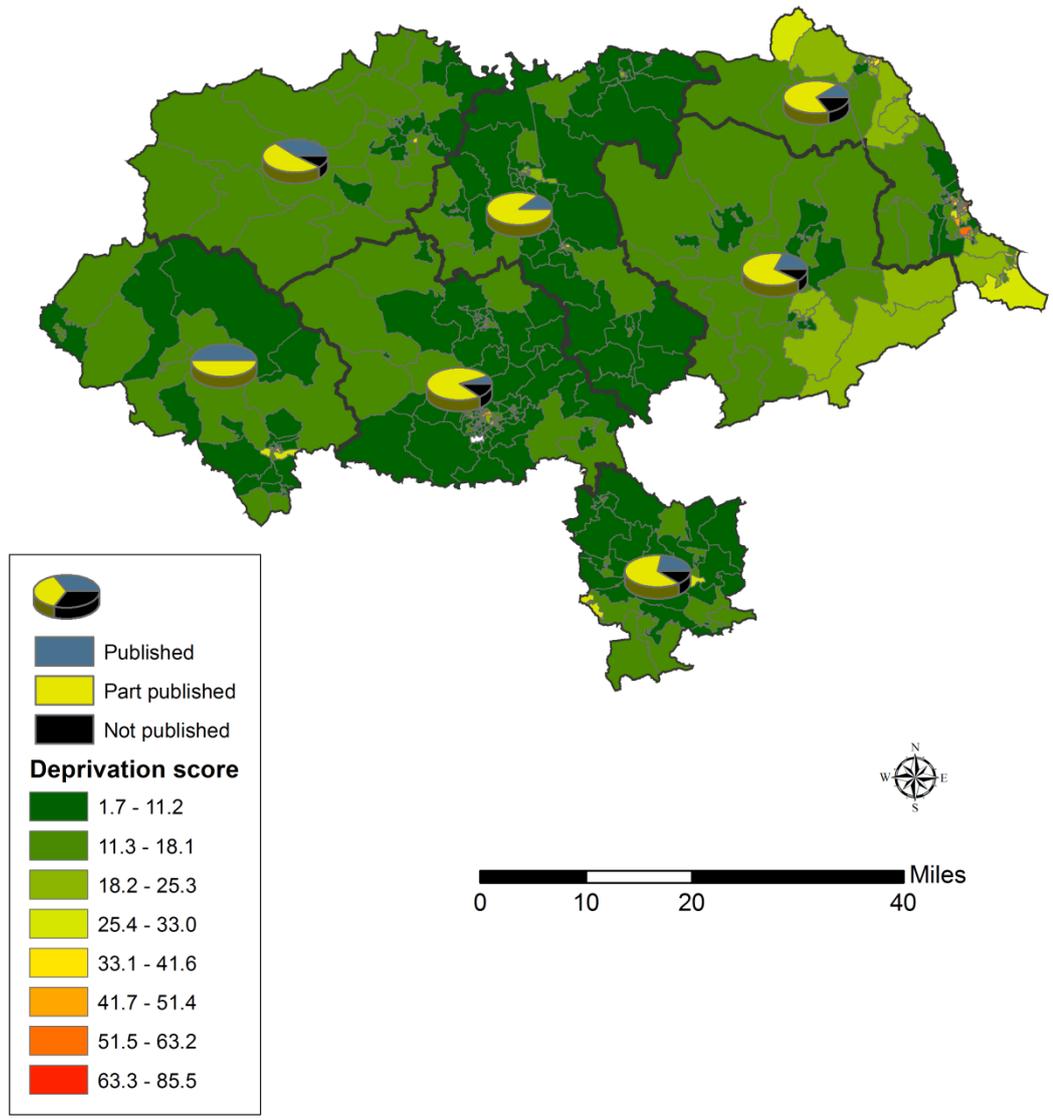


Figure 7.15: Economic deprivation in North Yorkshire compared to publication rates for planning-led excavations of regional or national significance from each district

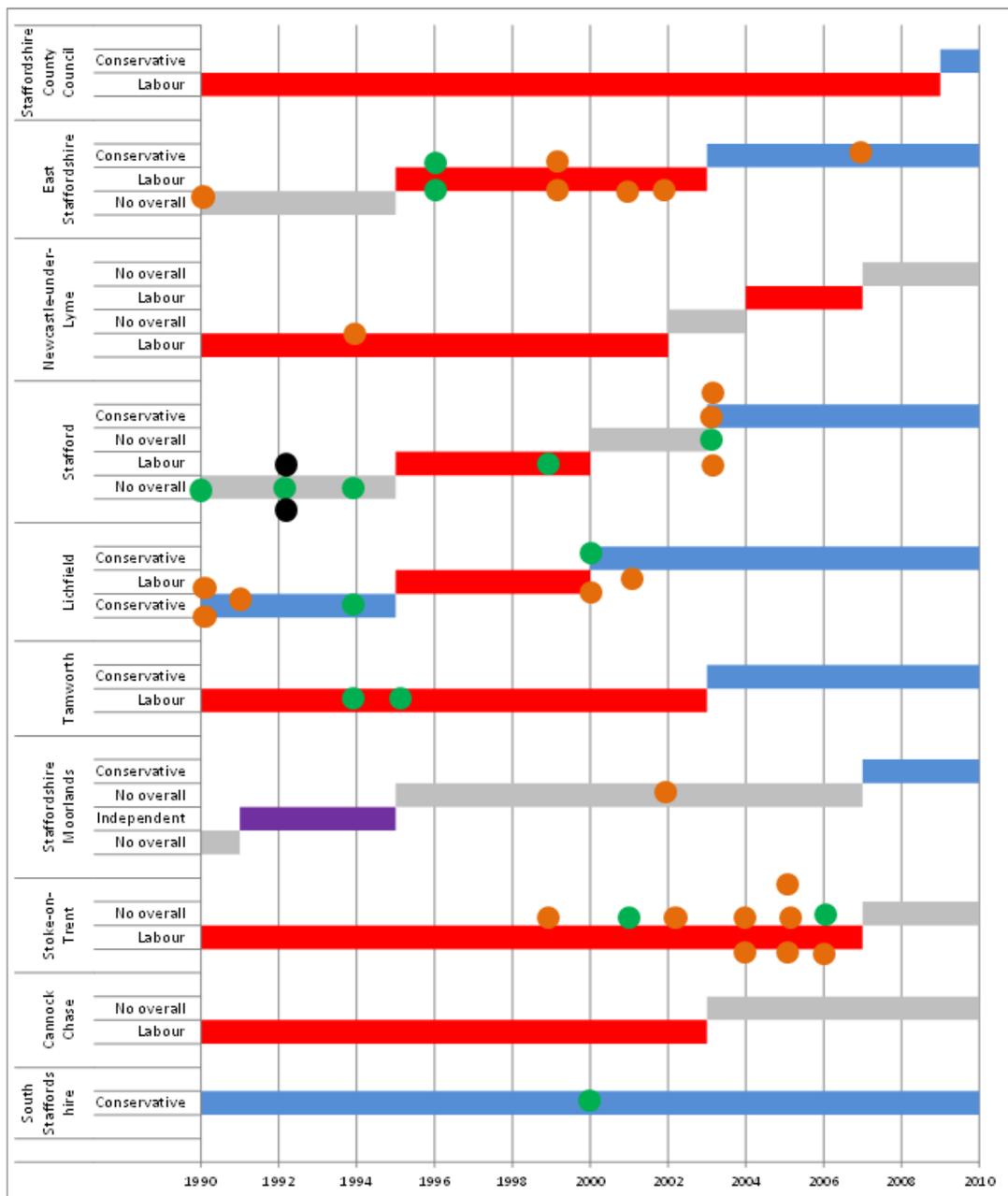


Figure 7.16: Excavation status of planning-led *excavations* from Staffordshire of regional or national significance (excluding road schemes), plotted against political party control of local authorities responsible for planning conditions. Key: [green= published; black = unpublished; orange = part published]

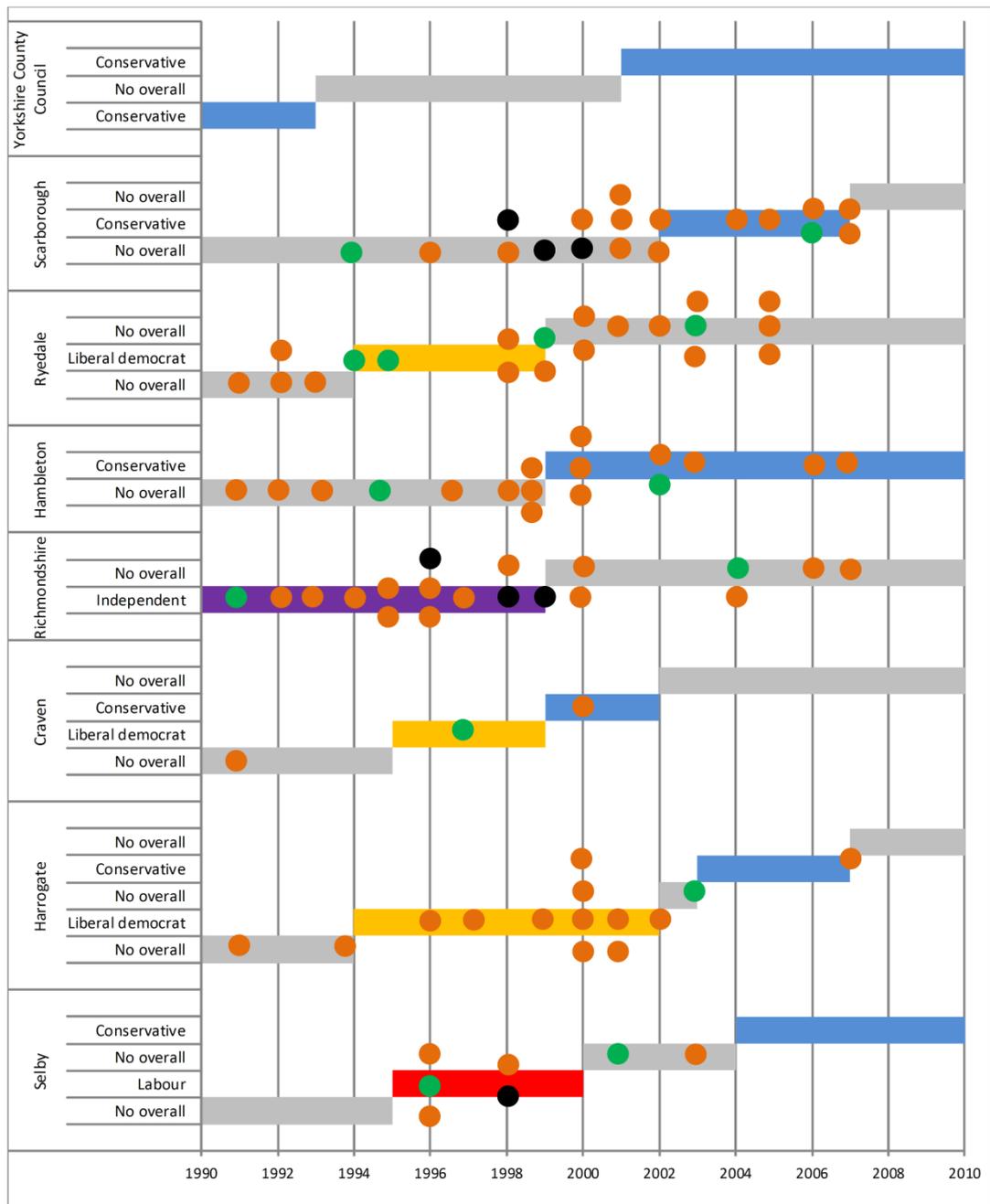


Figure 7.17: Excavation status of planning-led excavations from North Yorkshire of regional or national significance (excluding road schemes), plotted against political party control of local authorities responsible for planning conditions. Key: [green= published; black = unpublished; orange = part published]

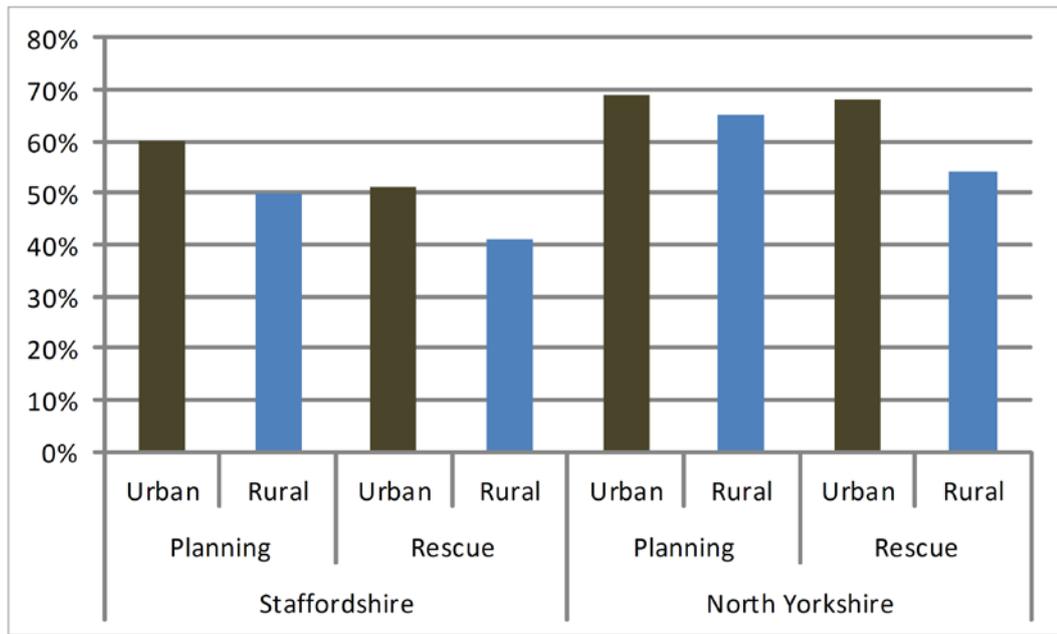


Figure 7.18: Comparison of the percentage of *excavations* not fully published from planning and rescue rural and urban contexts

Appendix 1: Fields in project database

Table: *basic_details*

Description: Main details of the investigation, compiled from Excavation Index, HER and enhanced by the author.

Field	Description
id	Unique id (primary key)
nmr_id	Identifier used by the Excavation Index
her_event_id	HER Event ID
concordance_notes	Any notes on concordance exercise between Excavation Index and HER
aip	If recorded in AIP (yes/no)
oasis	If recorded in OASIS
her_mon_id	HER monument ID (if located)
amie	NRHE monument ID (if located)
title	Name of event as recorded in Excavation Index or HER
yearstart	Year the investigation started
yearend	Year the investigation ended
east	Coordinate for Easting (OSGB36)
north	Coordinate for Northing (OSGB36)
who	Name of organisation or individual responsible for work
status	Classification of publication status (included primary written output)

Table: *archaeology_details*

Description: Designed to record the general nature of the archaeology excavated. The principal monument types were recorded, along with the period and the corresponding monument class.

Field	Description
archid	ID for table (primary key)
id	Project ID (foreign key)
monument	Historic England thesaurus monument
class	The Historic England thesaurus monument class
period	Archaeological Period – from the RCHME Archaeological periods list

Table: *excavation_details*

Description: Used for recording details of the excavation according to a set of classifications used by the thesis; includes short text description of the event.

Field	Description
id	Project ID
excavation_methodology	<p>Type of work undertaken:</p> <ul style="list-style-type: none"> • Excavation – Open: denotes larger open and planned events, where higher sampling of features/deposits is facilitated. • Excavation – Part: refers to those events where total excavation of features/deposits is not undertaken, either for practical or methodological reasons. • Evaluation – Trenching: denotes narrow sampling trenches common in post-PPG16 evaluation work. This term also applies to works outside the planning process (eg ecclesiastical development, coastal erosion, agriculture, forestry and countryside management, works by public utilities and statutory undertakings). • Evaluation – Test Pit • Evaluation – Other: denotes an evaluation not based on trenches. This can be a small area in order to ascertain the depth or survival of archaeological deposits and is most common in urban areas where trenching is impractical. • Salvage Recording: a time-pressured recording/excavation of archaeological deposits prior to destruction. • Small Scale Event: a limited or exploratory investigation, such as the recording of material eroded by a river bank, or uncovering of archaeological remains during renovation of a floor surface. • Observation: as above, denotes a somewhat singular event, but involving only the recording (not removal of) archaeological deposits.
excavation_prompt	<p>Prompt for the fieldwork:</p> <ul style="list-style-type: none"> • Research: any excavation carried out external to planning legislation (or recommendation), rescue conditions or any other scenario where the archaeological resource was under threat. • Rescue: any excavation carried out either prior to, or during, destruction of archaeological deposits and not directed as a planning condition. Any emergency salvage operations funded by the developer and

	<p>directed by the planning authority are not included. Although primarily used to denote projects undertaken by an organisation funded through the rescue budget, it also includes MSC funded works, or investigations part-funded by a local council, museum or a developer or those with no grant. Excavations funded by Historic England as either PPG16 Assistance (where old planning permissions lacked any planning condition) or to facilitate investigation/recording of damaged monuments are included in this class.</p> <ul style="list-style-type: none"> • Planning: any excavation brought about through direction by the relevant local planning authority when making a planning decision, either as a planning condition or by a legal agreement under section 106 of the Town and Country Planning Act 1990. Although mainly covering archaeology as a consideration set out in PPG16, it also includes works required by separate legislation covering energy companies (McGill 1995, 100-101). It also includes sites undertaken prior to the publication of PPG16 and that were negotiated through local government as part of a planning application and without rescue or MSC funding. It also includes developments that fall within special regulations or statute differing from the standard planning process, for example public utilities, statutory undertakings, Crown Commissioners and Ministry of Defence. Events undertaken as part of negotiations between developer and local authority on sites covered by permitted development are also included. • Unknown: any excavation that cannot be classified as one of the above.
excavation_scale	<p>Criteria encompassed the surface area covered, the depth of excavation and the duration of the event in order to give an impression of the amount of information produced:</p> <ul style="list-style-type: none"> • Very small: a brief event with little or no excavation, such as recording/observation of a chance find.

	<ul style="list-style-type: none"> • Small: limited trenching, or partial excavation of features, with no significant depth of stratigraphy, or excavated over a very short period of time. • Medium: significant trenching, or partial/full excavation of significant number of features/significant depth of stratigraphy. • Large: significant excavation (as opposed to evaluation) over a wide area, or over a smaller area but with significant depth of stratigraphy. Also includes excavations that span several seasons/phases. • Very large: as above, but on a much larger scale; examples would be Mucking or Heathrow Terminal 5.
excavator_class	<p>Occupation/function of director and excavators, as well as the source of funds and resources available:</p> <ul style="list-style-type: none"> • Local Society/Group: for example, the South Staffordshire Archaeological and Historical Society. • Academic/University: for example, an individual employed by a university, or a project. Field units associated with a university such as ARCUS, are classed separately as units unless sub-contracted to a university project. • County Council: used to identify the works of County and Borough Councils (primarily works and transport divisions), as opposed to units such as BUFAU or YAT. • National Body: for example, English Heritage Central Excavation Unit or Ministry of Works. • Private: where the excavator is unaffiliated with any organisation. • Unknown: in some cases not only is the organisation not stated but the identity of the person(s) excavating is not clearly stated. • Unit: for example Oxford Archaeology or BUFAU. This includes groups established primarily for the rescue of archaeological sites, and benefitting from rescue grants such as the Trent Valley Rescue Committee. • Museum: used to denote the works of museum staff and

	not clearly operating as a unit.
significance	<ul style="list-style-type: none"> • Local: Negative or limited archaeological evidence. • Regional: Significant archaeological evidence. • National: A major archaeological site.
context	Primarily used to record urban excavations. Classification based on location (i.e. within an urban area) as well as an assessment by the author.
comment	Short description of the investigation

Table: *outputs*

Description: Used to record written sources for each event.

Field	Description
outoutid	Unique id (primary key)
id	Project ID (foreign key)
output_type	<ul style="list-style-type: none"> • Index Record: description of event in Excavation Index, HER, AIP. Used where no other written output was available. • Local journal note: short description in local journal. This is commonly a paragraph or page in an annual round-up of events in a calendar year. • Local journal article: a formal article, distinct from notes (above). • National journal note: short description in national journal such as Britannia, commonly found in annual round-up of excavations • National journal article: formal article in national journal such as Britannia. • Appears in edited volume: detailed description of work in edited volume. • Interim statement: interim description. This is a separate classification to grey literature, as typically these are no longer than one or two pages, and lack context and detail.

	<ul style="list-style-type: none"> • Grey literature: a fieldwork report not published as a monograph or in a traditional journal format. To classify as grey literature the output must in some way place the excavation in context with an overview of the results. A distinction is made between reports produced as paper versions only, and those that were disseminated online at the point of publication. Reports latterly disseminated via backlog scanning initiatives have not been classed as online, reflecting their original status as paper-only media. • Published monograph: such as a British Archaeological Report. • Local gazetteer: such as CBA Regional Bulletins/Newssheets. • Serial: Used to denote an output that forms part of a distinct series, but is not a journal. Primarily used for the outputs of the Stoke-on-Trent Museum Society.
details	Reference for source. Articles, monographs and grey literature have full bibliographic reference. Journal notes have the year and abbreviation of the relevant journal, for example 1968 YAJ.
text_note	Explanation or comment on the source for use by the author
output_plan	If output had useable plans: true/false
output_section	If output had useable section drawings: true/false
output_photos	If output had informative photographs: true/false
finds_rep	If output had adequate finds reports: true/false
archive	If output had location and identifier of physical/digital archive: true/false
quotes	Any insightful quotes recorded here

Appendix 2: Records from Staffordshire

Included in accompanying materials as a Microsoft Excel worksheet.

Appendix 3: Correspondents for Staffordshire case studies

Name	Role of correspondent at time of enquiry	Rationale	Answer	Date	Form
Tucklesholme					
Colm O'Brien	Senior Lecturer, University of Sunderland	Excavator	No	06/06/2015	Email
David Knight	Current head of Trent and Peak	Overview of extant archives / expertise on Trent valley	Yes	19/02/2013	Person
Suzy Blake	Staffordshire HER Officer	Authority on the archaeology of the county	Yes	21/02/2013	Email
Stephen Dean	Current Principal Archaeologist, Staffordshire County Council	Authority on the archaeology of the county	Yes	21/02/2013	Email
Chris Wardle	Archaeologist with Staffordshire County Council (1987-2004)	Authority on the archaeology of the county	Yes	26/02/2013	Email
Fatholme					
Graeme Guilbert	Self-employed	Participated in excavation and post-excavation	Yes	28/08/2013	Email
David Knight	Current head of Trent and Peak	Overview of extant	Yes	19/02/2013	Person

		archives / expertise on TP			
Stephen Dean	Current Principal Archaeologist, Staffordshire County Council	Authority on the archaeology of the county	Yes	21/02/2013	Email
Chris Wardle	Archaeologist with Staffordshire County Council (1987-2004)	Authority on the archaeology of the county	Yes	26/02/2013	Email
Seven Ways Cave					
Suzy Blake	Staffordshire HER Officer	Authority on the archaeology of the county	Yes	21/02/2013	Email
Stephen Dean	Current Principal Archaeologist, Staffordshire County Council	Authority on the archaeology of the county	Yes	21/02/2013	Email
Moulds Yard					
Bob Meeson	Self employed	Site excavator	Yes	17/09/2013	Email
St. Editha's Church					
Bob Meeson	Self employed	Site excavator	Yes	17/09/2013	Email
Sheridan Centre, Stafford					
Stephen Dean	Current Principal Archaeologist, Staffordshire County Council	Authority on the archaeology of the county	Yes	21/02/2013	Email
Roy King	Director, Foundations Archaeology	Site excavator	No	22/09/2013	Email
David Wilkinson	Self employed	Stafford Borough archaeologist at time of excavation	Yes	24/08/2015	Email

Greengates Pottery Works					
Jonathan Goodwin	Senior Planning Officer (Archaeology/HER)	Site excavator and City archaeologist	Yes	19/09/2013	Email
Sandford Street					
Stephen Dean	Current Principal Archaeologist, Staffordshire County Council	Authority on the archaeology of the county	Yes	21/02/2013	Email
Stephanai Ratkai	Barbican Research Associates	Wrote pottery report during post-excavation	Yes	21/02/2013	Email
Tucklesholme					
Bob Meeson	Self employed	Site excavator	Yes	17/09/2013	Email
Rocester					
Eleanor Ramsey	Project Manager Birmingham Archaeology	Overview of extant archives at Birmingham	Yes	27/02/2013	Person
Stephen Dean	Current Principal Archaeologist, Staffordshire County Council	Authority on the archaeology of the county	Yes	21/02/2013	Email
Sam Paul	Research Associate University of Birmingham	Information regarding BUFAU archives	Yes	27/02/2013	Email

Appendix 4: Records from North Yorkshire

Included in accompanying materials as a Microsoft Excel worksheet.

Appendix 5: Correspondents for North Yorkshire case studies

Name	Role of correspondent at time of enquiry	Rationale	Answer	Date	Form
Crossgates					
Graham Lee	Senior Archaeological Conservation Officer, North York Moors National Park Authority	Principal Archaeologist (NYCC) at time	Yes	19/01/2015	Email
Samantha Paul	Research Fellow in Archaeology, University of Birmingham	Overview of BUFAU/Birmingham Archaeology archives	Yes	29/01/2015	Email
Oxclose Farm					
Gail Falkingham	Principal Archaeologist, North Yorkshire County Council	Knowledge of area	Yes	04/02/2015	Email
Terry Manby	Retired	Knowledge of area / contemporary of excavator	Yes	16/02/2015	Email
Park Hill, Osgodby					
Gail Falkingham	Principal Archaeologist, North Yorkshire County Council	Knowledge of area	Yes	04/02/2015	Email
Richard Fraser	Director, Northern Archaeological Associates	Excavator	No		Email
Village Farm, Spofforth					
Gail Falkingham	Principal Archaeologist, North Yorkshire	Expertise/knowledge of area	Yes	04/02/2015	Email

	County Council				
Richard Fraser	Director, Northern Archaeological Associates	Excavator	No	10/06/2015	Email
West Lodge, Malton					
Gail Falkingham	Principal Archaeologist, North Yorkshire County Council	Knowledge of area	Yes	04/02/2015	Email
Mark Stephens	Director, MAP	Excavator	No	10/06/2015	Email
Firs Farm, Healey					
Gail Falkingham	Principal Archaeologist, North Yorkshire County Council	Knowledge of area	Yes	04/02/2015	Email
Lucie Hawkins	Principal Archaeologist, North Yorkshire County Council (2015+)	Knowledge of area	Yes	20/11/2015	Email
Richard Fraser	Director, Northern Archaeological Associates	Excavator	No	10/06/2015	Email
Malham Tarn					
Randolph Donahue	Sr Lecturer in Archaeology & Anthropology, university of Bradford	Excavator	No	19/02/2015	Email
Robert White	Senior Historic Environment Officer, Yorkshire Dales National Park Authority	Knowledge of area	Yes	13/03/2015	Email
Ribblehead					

Robert White	Senior Historic Environment Officer, Yorkshire Dales National Park Authority	Expertise/knowledge of area	Yes	13/03/2015	Email
Marcus Jecock	Archaeological Investigator, Historic England	Knowledge of area	Yes	13/03/2015	Email
David Johnson	Ingleborough Archaeology Group	Knowledge of area	Yes	21/07/2015	Email
Stingamires Gill					
Gerry McDonnell	Gerry McDonnell Archaeometals	Excavator	Yes	28/02/2015	Email
St Mary's Church					
Trevor Pearson	Head of Imaging and Visualisation, Historic England	Knowledge of area	Yes	04/03/2015	Person
Bedern Bank					
Dominic Perring	Director, Centre for Applied Archaeology	Excavator	Yes	29/02/2015	Email
Ripon City Centre Improvement					
Peter Carne	Manager, Archaeological Services University of Durham	Excavator	Yes	27/02/2015	Email
Gail Falkingham	Principal Archaeologist, North Yorkshire County Council	Knowledge of area	Yes	04/02/2015	Email
Wath Quarry					
Mark Stephens	Director, MAP	Excavator	No	10/06/2015	Email
Gail Falkingham	Principal Archaeologist, North Yorkshire	Knowledge of area	Yes	04/02/2015	Email

	County Council				
Kellington					
Harold Mytum	Professor of Archaeology, University of Liverpool	Excavator	No	20/06/2015	Email
Julian Richards	Professor of Archaeology, University of York	Departmental knowledge	Yes	26/08/2015	Person

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