

UNIVERSITY OF LEICESTER ARCHAEOLOGICAL SERVICES**Written scheme of investigation for archaeological work****Location: Land behind 42 and 44 Main Street, Carlton, Leicestershire CV13 OE2****NGR: SK 3985 0505****Client: Mr P. Page****Planning Authority: Leicestershire County Council****Planning Ref: 18/00124/CONDIT*****Proposed start date: tbc*****1 Introduction****1.1 *Definition and scope of the specification***

This document is a design specification for an archaeological strip map and sample excavation on land behind 42-44 Main St, Carlton, Leicestershire, in accordance with National Planning Policy Framework (NPPF) Section 12: Conserving and Enhancing the Historic Environment. The fieldwork specified below is intended to provide an appropriate mitigation strategy to record the heritage assets to be impacted on.

- 1.2 The definition of archaeological excavation, taken from the Chartered Institute for Archaeologists Standards and Guidance: for Archaeological excavations (CifA S&G) is a controlled programme of intrusive fieldwork with defined research objectives which examines, records and interprets archaeological deposits, features, structures, and as appropriate, retrieves artefacts or ecofacts within a specified area or site on land, inter-tidal zone or underwater. The records made and objects gathered during fieldwork are studied and the results of that study published in detail appropriate to the project design.

2. Background***Context of the Project***

- 2.1 Planning permission has been granted for the construction of a bungalow and the redevelopment of an existing derelict brick building into a garage on land behind 42-44 Main Street, Carlton, CV13OE2 (Ref 18/00124/CONDIT). The Planning Archaeologist for Leicestershire requires a programme of archaeological work comprising a strip, map and sample excavation to determine the impact of the proposed scheme on any buried archaeology and produce a mitigation strategy for the site.
- 2.2 The site lies to the east of Saint Andrew's Church and is within the historic settlement core of the medieval and post-medieval village of Carlton, Leicestershire. The church was burnt down and restored in 1764 and then restored again in 1867 but probably has an earlier origin.
- 2.3 Hall Terrace was locally thought to be the site of Carlton Hall, but there is no evidence linking the land or buildings on it to a hall, and the origins of the local title are unknown. The oldest map of Carlton, an 1836 Tithe map, shows Hall Terrace and an attached Cottage called Penwood Cottage. The map also shows a series of buildings along the western boundary of the development area that may have been agricultural buildings or cottages and which were constructed over the remains of a cellar containing a well. The cellar was partly excavated by amateur archaeologists in 2017 (Liddington 2017). The archaeologists were unable to date it, but suggested it might have functioned as a cool storage space for a substantial residence above, that was eventually replaced by the cottages. The buildings are now gone and the land is currently a disused garden area to the rear of Hall Terrace. The archaeologists also opened

several further trenches showing evidence of a cobbled surface and one surviving masonry wall. Unfortunately, although the pottery they found during excavation ranged in date from the Iron Age to the 19th Century, it was all unstratified so could not be used to date the archaeological deposits. There may be further potential for the survival of archaeological remains of at least 18th century date, if not earlier, elsewhere on the site and within the proposed development area.

- 2.4 Hall terrace itself currently comprises three 19th century terraced cottages fronting the Main Street, and the brickwork of the terrace shows evidence of bricked up arrow slit ventilation holes indicating they had originally been agricultural buildings. To the rear of the terrace is an area of open ground/garden with a derelict 'utility block' and a prefabricated modern garage and this forms the development area. A larger building occupying the southwest corner of the site is an engineering workshop. Access to the land at the rear is off the Main Street, through a wooden gate at the western end of the terrace.

Geology and topography

- 2.5 The site lies to the north east of the church towards the northern end of the historic core of the village. The land is relatively level at a height 115.2m OD
- 2.5 The British Geological Survey website (<http://mapapps.bgs.ac.uk/geologyofbritain/home.html>) identifies the bedrock geology of the area as Gunthorpe Siltstone/Mudstone formation, and the superficial geology as sand and gravel.

3. Archaeological Objectives

- 3.1 All work will be considered in light of the National research context (English Heritage 1991 and 1997), the East Midlands Research Framework (Cooper ed. 2006) and strategy (Knight *et al* 2012), along with targeting national research aims. Potential research objectives that this scheme might contribute towards include:

Early Medieval – High Medieval

Review the evidence for developing settlement hierarchies (6C)

Investigate the morphology of rural settlements (7E)

Investigate development of the open field system and woodland management (7I)

Post Medieval

Establish the typology of regional building traditions (8C)

Develop further the study of ceramic assemblages (8I)

Research aims will be reviewed and updated as the work progresses and new information comes to light.

3.2 Objectives

- 3.2.1 The main objectives of the strip, map and sample excavation will be:
- To identify the presence/absence of any archaeological deposits.
 - To establish the character, extent and date range for any archaeological deposits to be affected by the proposed ground works.
 - To produce an archive and report of any results.
- 3.2.2 Within the stated project objectives, the principal aim of the strip, map and sample excavation is to establish the nature, extent, date, depth, significance and state of preservation of archaeological deposits on the site in order to determine the potential impact upon them from the proposed development.
- 3.2.3 The purpose of the archaeological strip, map and sample excavation (if found to be necessary) may be summarised as follows:
- To identify the presence/absence of any archaeological deposits.
 - To establish the character, extent and date range for any archaeological deposits to be affected by the proposed ground works.

- To record any archaeological deposits to be affected by the ground works.
- To advance understanding of the heritage assets
- To produce an archive and report of any results.

4. Methodology

4.1 General Methodology and Standards

- 4.1.1 All work will follow the Chartered Institute for Archaeologists (CIfA) Code of Conduct (2014) and adhere to their *Standard and Guidance for Archaeological excavations* (2014).
- 4.1.2 Staffing, recording systems, health and safety provisions and insurance details are included below.
- 4.1.3 Internal monitoring procedures will be undertaken including visits to the site by the project manager. These will ensure that project targets are met and professional standards are maintained. Provision will be made for external monitoring meetings with the Planning Authority and the Client, if required.

4.2 Strip map and sample excavation methodology

- 4.2.2 The designated area for strip, map and sample excavation will involve the removal of overburden under supervision by an experienced professional archaeologist to determine the presence/absence of any archaeological remains.
- 4.2.3 The archaeologist will control and supervise the topsoil and overburden stripping in order to obtain an adequate record of any archaeological deposits or finds which would be disturbed or exposed by groundworks associated with the development. All top and subsoil stripping should be undertaken so as to avoid damaging and obscuring archaeological remains.
- 4.2.3 The ground reduction will be done using a machine with a flat bladed bucket and machine excavation will cease at the level of the archaeological deposits. No groundworks or tracking will take place in the area of archaeological interest until the on-site archaeologists have given clearance.
- 4.2.4 Any archaeological deposits encountered will be recorded and excavated using standard ULAS procedures (see section 4.3 below).
- 4.2.4 Should significant archaeological remains be identified this will be followed by a programme of excavation and recording, using additional personnel as necessary.

4.3 Recording Systems

- 4.3.1 Any archaeological deposits encountered will be recorded and excavated using standard procedures as outlined in the ULAS recording manual. Sufficient of any archaeological features or deposits will be hand excavated in order to provide the information required.
- 4.3.2. Individual descriptions of all archaeological strata and features excavated or exposed will be entered onto prepared pro-forma recording sheets.
- 4.3.3 A record of the full extent in plan of all archaeological deposits encountered will be made on drawing film, related to the OS grid and at a scale of 1:10 or 1:20. Elevations and sections of individual layers of features should be drawn where possible. The OD height of all principal strata and features will be calculated and indicated on the appropriate plans.
- 4.3.4 An adequate photographic record of the investigations will be prepared illustrating in both detail and general context the principal features and finds discovered using both black and white 35mm and digital formats. The photographic record will also include 'working shots' to illustrate more generally the nature of the archaeological operation mounted.
- 4.3.5 This record will be compiled and fully checked during the course of the project.

5. Finds

- 5.1 The CIfA *Guidelines for Finds Work* will be adhered to.

- 5.2 Before commencing work on the site, a Site code/Accession number will be obtained from the Leicestershire Museums Service and this code will be used to identify all records and finds from the site.
- 5.3 All antiquities, valuables, objects or remains of archaeological interest, other than articles declared by Coroner's Inquest to be subject to the Treasure Act, discovered in or under the Site during the carrying out of the project by ULAS or during works carried out on the Site by the Client shall be deemed to be the property of ULAS provided that ULAS after due examination of the said Archaeological Discoveries shall transfer ownership of all Archaeological Discoveries unconditionally to the appropriate authority for storage in perpetuity.
- 5.4 All identified finds and artefacts are to be retained, although certain classes of building material will, in some circumstances, be discarded after recording with the approval of the Planning Archaeologist and in consultation with the archives curator.
- 5.5 All finds and samples will be treated in a proper manner. Where appropriate they will be cleaned, marked and receive remedial conservation in accordance with recognised best practice. This will include the site code number, finds number and context number. Bulk finds will be bagged in clear self-sealing plastic bags, again marked with site code, finds and context.
- 5.6 Finds which may constitute 'treasure' under the Treasure Act, 1996 must be removed to a safe place and reported to the local Coroner. Where removal cannot take place on the same working day as discovery, suitable security will be taken to protect the finds from theft.

6. Environmental Sampling

- 6.1. If features are appropriate for environmental sampling a strategy and methodology will be developed on site following advice from ULAS's Environmental Specialist. Preparation, taking, processing and assessment of environmental samples will be in accordance with current best practice. The sampling strategy is likely to include the following:
- A range of features to represent all feature types, areas and phases will be selected on a judgmental basis. The criteria for selection will be that deposits are datable, well-sealed and with little intrusive or residual material.
 - Any buried soils or well-sealed deposits with concentrations of carbonised material present will be intensively sampled taking a known proportion of the deposit.
 - Spot samples will be taken where concentrations of environmental remains are located.
 - Waterlogged remains, if present, will be sampled for pollen, plant macrofossils, insect remains and radiocarbon dating provided that they are uncontaminated.
- 6.2 All collected samples will be labelled with context and sequential sample numbers.
- 6.3 Appropriate contexts (i.e datable) will be bulk sampled (50 litres or the whole context depending on size) for the recovery of carbonised plant remains and insects.
- 6.4 Recovery of small animal bones, bird bone and large molluscs will normally be achieved through processing other bulk samples or 50 litre samples may be taken specifically to sample particularly rich deposits.
- 6.5 Wet sieving with flotation will be carried out using a York Archaeological Trust sieving tank with a 0.5mm mesh and a 0.3mm flotation sieve. The small size mesh will be used initially as flotation of plant remains may be incomplete and some may remain in the residue. The residue > 0.5mm from the tank will be separated into coarse fractions of over 4mm and fine fractions of > 0.5-4mm. The coarse fractions will be sorted for finds. The fine fractions and flots will be evaluated and prioritised; only those with remains apparent will be sorted. The prioritised flots will not be sorted until the analysis stage when phasing information is available. Flots will be scanned and plant remains from selected contexts will be identified and further sampling, sieving and sorting targeted towards higher potential deposits.
- 6.6 Where evidence of industrial processes are present (eg indicated by the presence of slag or hearth bases), samples will be taken for the analysis of industrial residues (e.g hammer scale).

7 Report and Archive

- 7.1 A draft version of the report will normally be presented within four weeks of completion of site works. The full report in pdf/A-1a format will usually follow within eight weeks. Copies will be provided for the client and the Local Planning Authority and deposited with the Historic Environment Record.
- 7.2 The report will include consideration of:
- The aims and methods adopted in the course of the evaluation.
 - The nature, location and extent of any structural, artefactual and environmental material uncovered.
 - The anticipated degree of survival of archaeological deposits.
 - The anticipated archaeological impact of the current proposals.
 - Appropriate illustrative material including maps, plans, sections, drawings and photographs.
 - Summary.
 - a summary of artefacts, specialist reports and a consideration of the evidence within its local, regional, national context.
 - Recommendations for the retention and discard of the material
 - The location and size of the archive.
 - A quantitative and qualitative assessment of the potential of the archive for further analysis leading to full publication, following guidelines laid down in *Management of Archaeological Projects* (English Heritage).
- 7.3 A full copy of the archive as defined in the IfA Standard and Guidance for archaeological archives (Brown 2008) will normally be presented to Leicestershire County Museum Service within six months of the completion of fieldwork. This archive will include all written, drawn and photographic records relating directly to the investigations undertaken and will follow the LCC guidelines.
- 7.4 The following procedures will be followed:
- 1) Contact will be made with Leicestershire County Museum Service as part of the WSI submission and an Accession Number will be allocated to the project.
 - 2) The paper/digital archive from the work will be deposited with the Leicestershire Museums Service and the report will be submitted to the LCC HER
 - 3) The OASIS record including uploading the report will be submitted
 - 4) If the work generates significant results then a Leicestershire Museum Service accession number will be drawn and deposited in line with their guidelines.
 - 5) The LCC Development Control archaeologist will be notified by email on final deposition.
- 7.5 The copyright of all original finished documents shall remain vested in ULAS and ULAS will be entitled as of right to publish any material in any form produced as a result of its investigations.

8 Publication and Dissemination of Results

- 8.1 A summary report will be submitted to a suitable regional archaeological journal following completion of the fieldwork. A full report will be submitted to a national or period journal if the results are of significance.
- 8.2 University of Leicester Archaeological Services supports the Online Access to the Index of Archaeological Investigations (OASIS) project. The online OASIS form at <http://www.oasis.ac.uk> will be completed detailing the results of the project. ULAS will contact the HER prior to completion of the form. Once a report has become a public document following its incorporation into the HER it may be placed on the web-site.

9 Acknowledgement and Publicity

- 9.1 ULAS shall acknowledge the contribution of the Client in any displays, broadcasts or publications relating to the site or in which the report may be included.
- 9.2 ULAS and the Client shall each ensure that a senior employee shall be responsible for dealing with any enquiries received from press, television and any other broadcasting media and members of the public. All enquiries made to ULAS shall be directed to the Client for comment.

10 Copyright

- 10.1 The copyright of all original finished documents shall remain vested in ULAS and ULAS will be entitled as of right to publish any material in any form produced as a result of its investigations.

11 Monitoring arrangements

- 11.1 Unlimited access to monitor the project will be available to both the Client and his representatives and Planning Archaeologist subject to the health and safety requirements of the site.
- 11.2 All monitoring shall be carried out in accordance with the *CIfA Standard and Guidance for Archaeological Field Evaluations (2014)*
- 11.3 Internal monitoring will be carried out by the ULAS project manager.

12 Timetable and Staffing

- 12.1 A start date is to be arranged. The work is likely to take two 3-5 days to complete and a minimum of one experienced archaeologist will to be present during the work.
- 12.2 The on-site director/supervisor will carry out the post-excavation work, with time allocated within the costing of the project for analysis of any artefacts found on the site by the relevant in-house specialists at ULAS.

13 Health and Safety

- 13.1 ULAS is covered by and adheres to the University of Leicester Statement of Safety Policy and uses the ULAS Health and Safety Manual (revised 2010) with appropriate risks assessments for all archaeological work. A draft Health and Safety statement for this project is in the Appendix. The relevant Health and Safety Executive guidelines will be adhered to as appropriate.

14. Insurance

- 14.1 All ULAS work is covered by the University of Leicester's Public Liability and Professional Indemnity Insurance. Employers Liability Insurance and Public/Products Liability Insurance Allianz Insurance plc Policy No. SZ/21696148 Professional Indemnity Insurance – Newline Underwriting Management Ltd Policy No. WD1100541

15. Contingencies and unforeseen circumstances

- 15.1 In the event that unforeseen archaeological discoveries are made during the project, ULAS shall inform the site agent/project manager, Client and the LCC Development Control Archaeologist and Planning Authority and prepare a short written statement with plan detailing the archaeological evidence. Following assessment of the archaeological remains by the Planning Archaeologist, ULAS shall, if required, implement an amended scheme of investigation on behalf of the client as appropriate.

16. Public Benefit

- 16.1 Subject to the results of the archaeological work provision may be made for an open day, and /or society/school visits. Following completion of the archaeological work a talk and/or display at a local venue may be organised.

17. Bibliography

Brown, D., 2008 *Standard and guidance for the preparation of Archaeological Archives* (Chartered Institute for Archaeologists).

CifA, 2014 *Codes of Conduct and Standards and Guidance for Archaeological Field Evaluation*. (Chartered Institute for Archaeologists).

Cooper, N.J., (ed) 2006 *The Archaeology of the East Midlands An Archaeological Resource Assessment and Research Agenda*. Leicester Archaeology Monograph 13.

English Heritage 2010, *English Heritage Thematic Research Strategies. Research Strategy for Prehistory*. Consultation Draft June 2010.

Knight, D., Vyner, B., Allen, C., 2012, *East Midlands Heritage. An Updated Research Agenda and Strategy for the Historic Environment of the East Midlands*. Nottingham Archaeological Monographs 6, University of Nottingham and York Archaeological Trust.

Liddington, R and R. 2017. *Investigations into the Site of Carlton Hall*. Unpublished.

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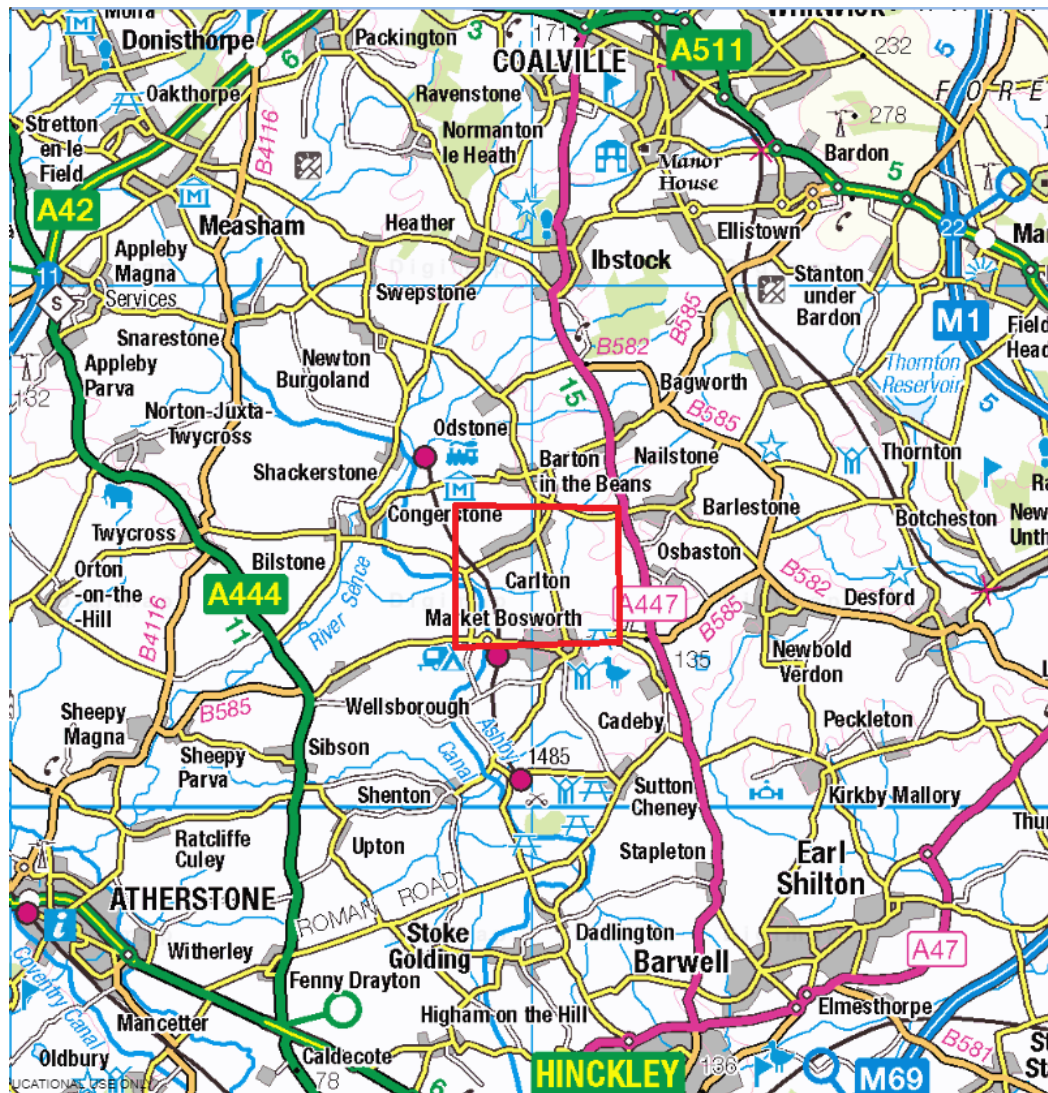


Figure 1: Location of the proposed site

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Figure 2: Google Earth Image 2018



Figure 3: Detail of proposed development. (Plan provided by client)

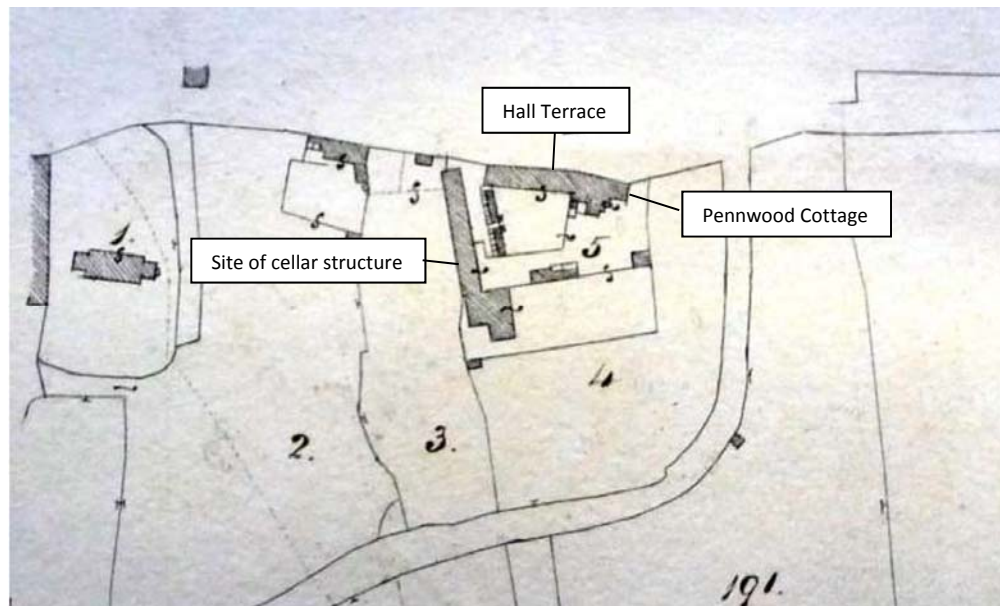


Figure 4:1846 copy of 1836 Tithe map showing Hall Terraces

ARCHAEOLOGICAL STRIP, MAP AND SAMPLE EXCAVATION METHOD STATEMENT & RISK ASSESSMENT

Site Name	Job No	PM	Contact
Land behind 42 and 44 Main Street, Carlton, Leicestershire	18/724	John Thomas	0116 252 2848
Site Director	Site Contacts		Team (Nos)
tba			1

SITE WORKS & METHOD STATEMENT

Evaluation trenches are to be machine excavated as detailed in the specification to look at archaeological deposits

Excavation Method Statement

- Access and parking will be gained via authorised routes to be arranged with the land owner/tenant.
- All staff will be inducted by the site director prior to starting work on site (Appendix 3).
- **Services:** A CAT Scanner may be used in both POWER and RADIO mode to scan trench lines for services prior to excavation. [The CAT must be in calibration and used by a competent person and used in both POWER and RADIO mode.
 - Trenches will not be excavated within 15m of known water mains or sewers or in the vicinity of other underground services or electrical cables without a separate SSOW. Any known services will be marked on the ground and avoided. All machine excavation will be carefully monitored.
 - No work will be undertaken beneath overhead cables. If a tracked machine is required to pass below an overhead cable a separate SSOW will be followed.
- **Excavation:** Trenching we conducted as per the *Trial Trenching Methodology* in the specification. Machining will be conducted using ULAS SSOW1. Excavation of trenches will be undertaken according to ULAS SSOW3 (Appendix 1). All trenches will be inspected each day by an appointed person and noted on the trench sheet (Appendix 4).
- Any lone working on site will be undertaken according to ULAS SSOW2 (Appendix 1).
- A first aid kit and a site phone will be available on site at all times. At least one member of staff will have first aid training.

Equipment

A mechanical excavator will be used for trench excavation. The site director will ensure that the appropriate certification is carried.

ULAS vehicles or personal cars will be used (all appropriately insured and maintained).

Besides the plant, equipment will include a variety of hand tools (e.g. shovels, mattocks, trowels), recording materials (e.g. photographic equipment, computers, levels etc.), survey equipment (e.g. EDM, DGPS) CAT scanners and metal detectors may be used.

Personnel

The site director will be responsible for the day to day running of the site. Specialists and visitors may be invited to visit the site during fieldwork. It is expected to hire plant and operators from a reputable local company.

All personnel are experienced in working with plant and in the excavation of trenches. All site staff hold CSCS cards and many also hold a SPA quarry passport. All site staff have some first aid training.

Normal working hours are 7 hours a day between 8am and 6pm Monday to Friday.

Monitoring and communications

ULAS management and site staff details are as above.

Work will be monitored internally by the ULAS Project Manager and/or Health & Safety Co-ordinators.

ULAS method statements are prepared following standard guidelines and after consultation with the University Safety Services Department. Communication of the contents of the method statement to site staff is the responsibility of the Site Director. The risk assessment will be updated weekly or when conditions change.

Accident Reporting

All accidents will be logged using ULAS accident forms and report to the ULAS Main Office (0116 2522848) and if necessary to the University of Leicester Safety Services Dept (Appendix 2).

INSURANCE DETAILS

Public Liability Insurance and Employers Liability Insurance Allianz Insurance plc Policy No. SZ/21696148
Professional Indemnity Insurance – Novae Underwriting Ltd. Policy No. 702610MMA120

28th July 2017

TO WHOM IT MAY CONCERN

We, the undersigned Insurance Brokers hereby certify that we have place the following Insurance:

VERIFICATION OF INSURANCE

Unique Market Reference: B1262FI0675317

Type: Professional Indemnity Insurance

Insured: University of Leicester and/or subsidiaries

Period: From: 01st August 2017
To: 31st July 2018 Both days inclusive at Local Standard Time.

Interest: This Policy will indemnify/cover the Insured in respect of their Legal Liabilities arising out of the Insured's activities and as more fully disclosed within the Policy Wording.

Limit of Indemnity: GBP 10,000,000Any One Claim and GBP 10,000,000 in the Aggregate, including costs and expenses

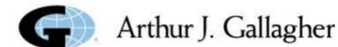
Excess: GBP 10,000 Each and Every Claim, including costs and expenses

Underwriter: 100.0000% Newline Syndicate 1218

This document is for information only and does not make the person or organisation to whom it is issued an additional Insured, nor does it modify in any manner the Contract of Insurance between the Insured and the Insurers. Any amendment, change or extension to such Contract can only be affected by specific endorsement attached thereto.

Should the above mentioned Contract of Insurance be cancelled, assigned or changed during the above policy period in such manner as to affect this document, no obligation to inform the holder of this document is accepted by the undersigned or by the Insurers. The information provided is correct at the date of signature.

Authorised Signatory
Arthur J Gallagher



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SWINDON
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Telephone
Fax

Email timothy_phillips@ajg.com
www.ajginternational.com/gh

27th July 2017

Our Ref: 11017548

TO WHOM IT MAY CONCERN**University of Leicester**

We act as Insurance Brokers and Consultants to University of Leicester and hereby certify that the following described insurance is in force at this date.

Type of Insurance: EMPLOYERS LIABILITY

Limit of Indemnity: £10,000,000

Insurers: Allianz Insurance plc

Policy Number: SZ/21696148

Period of Insurance: 1st August 2017 to 31st July 2018

This Letter is provided for you as a matter of information only. The issuing of this document does not make the person or organisation to which it has been issued an additional Insured, nor does it modify in any manner the Contracts of Insurance between the Insured and Insurers. Any amendment, change or extension of such contracts can only be effected by specific endorsements attached thereto.

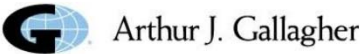
Should the above-mentioned Contract of Insurance be cancelled, assigned or changed during the above policy period in such a manner as to affect this document, no obligation to inform the holder of the Document is required by Arthur J. Gallagher (UK).

If you have any further queries regarding our client's insurance cover, please do not hesitate to contact the undersigned.

Yours sincerely

Timothy Phillips
Client Service Advisor

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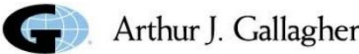
TO WHOM IT MAY CONCERN

University of Leicester

We act as Insurance Brokers and Consultants to University of Leicester and hereby certify that the following described insurance is in force at this date.

Type of Insurance: CONTRACTOR'S PLANT
Insurer: Allianz Engineering
Policy Number: NJ/16603815
Period of Insurance: 1st August 2017 to 31st July 2018
Insured Property: Hired in Plant – Tools, tackle, plant and equipment, site huts and other temporary accommodation hired by the Insured and for which they are responsible under the terms of their hiring agreement or other wise but not plant on hire purchase or subject to a lease agreement or on free loan.
Limit of Indemnity: £500,000
Excess: £500 each and every loss
Territorial Limits: Great Britain, Northern Ireland, the Isle of Man and the Channel Islands.

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University of Leicester

We act as Insurance Brokers and Consultants to University of Leicester and hereby certify that the following described insurance is in force at this date.

Type of Insurance: PUBLIC & PRODUCTS LIABILITY
Limit of Indemnity: £10,000,000 any one claim / in the aggregate for Products Liability
Insurers: Allianz Insurance plc
Policy Number: SZ/21696148
Period of Insurance: 1st August 2017 to 31st July 2018

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If you have any further queries regarding our client's insurance cover, please do not hesitate to contact the undersigned.

Yours sincerely

Timothy Phillips
Client Service Advisor

EMERGENCY NOS**IN AN EMERGENCY DIAL 999****Local Police - 01162 222222****Gas:** Gas Emergency Contact Number: **0800 111 999****Electricity**

- Central Networks Eastern Region: 0800 056 8090
- Npower: 0845 331 331
- Yorkshire Electricity DL: 0800 375 675

Water

- Severn Trent Water
Water services and emergencies (including Leakline): 0800 783 4444
- Anglian Water: 0345 145145

RISK ASSESSMENT**Possible Outcomes based on levels of Estimated Risks**

	Likely	Probable	Possible	Remote	Improbable
Fatal	Intolerable	Intolerable	Substantial	Substantial	Significant to Moderate
Major Injury/ Permanent Disability	Intolerable	Substantial	Significant	Moderate to Acceptable	Acceptable
Minor Injury	Moderate	Moderate	Acceptable	Trivial	Trivial
No injury					

Likely – Occurs repeatedly/to be expected; **Probable** – will occur several times/not surprising; **Possible** – could occur sometimes; **Remote**

Risk Levels/Actions

RISK LEVEL	ACTION AND TIME-SCALE
TRIVIAL	No action is required to deal with trivial risks, and no documentary records need to be kept
ACCEPTABLE	No further preventive action is necessary, but consideration should be given to more cost-effective solutions, or improvements that impose no additional cost burden. Monitoring is required to ensure that controls are maintained
MODERATE	Efforts should be made to reduce the risk, but the costs of prevention should be carefully measured and limited. Risk reduction measures should normally be implemented within three to six months, depending on the number of people exposed to the hazard.
SIGNIFICANT	If an extremely harmful situation may arise, even if highly unlikely, a specific re-evaluation of the task should be undertaken to establish more stringent controls. Work should be closely monitored until the risk has been significantly reduced. This reduction in risk should be achieved within a short time period.
SUBSTANTIAL	Work should not be started until the risk has been reduced. Considerable resources may have to be allocated to reduce the risk. Where the risk involves critical work in progress, the problem should be remedied as soon as reasonably practicable but within one to three months, depending on the number of people exposed to the hazard.
INTOLERABLE	Work should not be started or continued until the risk level has been reduced. While the control measure selected should be cost-effective, legally there is an absolute duty to reduce the risk. This means that if it is not possible to reduce the risk even with unlimited resources, then work must not be begun, or must remain prohibited.

Derived from BS8800

unlikely though conceivable; **Improbable** – freak event, so unlikely that probability is remote

Site Name: Land to the rear of 42-44 Main Street Carlton Activity: Strip, map and sample excavation;		Completed by JST Date: 24/04/2018	
HAZARDS	RISK	CONTROL MEASURES	Residual Risk
<i>Hazard = A condition or practice with the potential to cause damage, ill health, injury or other loss</i>	<i>Likelihood x Severity = Risk</i>	<i>A short summary of the control measure and standards/guidance.</i>	<i>Likelihood x Severity = Risk</i>
Site Access/Egress Entering/Leaving site and parking vehicles	Substantial	1. Only use designated access onto site. 2. Only park in designated areas on site parking facilities. 3. Hi Vis clothing to be worn. Roads only to be crossed at safe locations. 4. Be aware of obvious hazards and take care when entering/exiting gateways.	Moderate
Driving Tiredness driving to and from site	Substantial	1. Have 2 drivers where possible. 2. Limit of 1 ½ hours drive to site on a regular basis before risk is reassessed.	Moderate
Existing Services Contact with service - electrocution, fire, explosion Damage to service	Substantial	1. All services to be located before excavation using plans and CAT scanner 2. Move trenches to avoid services where known. 3. Be aware of changes in the soil that may indicate services	Moderate
Members of the Public, Visitors & Others Inexperienced people on site, unsuitable clothing, Falling, tripping slipping	Moderate	1. Agreed and supervised visitors only allowed on site. 2. Trenched area to be assessed for security to avoid unauthorised visitors and appropriate actions taken (e.g. extra fencing etc.)	Acceptable
Excavations Deep/unstable trenches - Sections liable to collapse, Falling into trenches, Spoil heap collapse, Working in small spaces.	Substantial	1. All trenches regardless of depth will be risk assessed by a competent person with regard to collapse and the use of stepping/battering. 2. All sections to be checked every day by supervisor and after bad weather for potential problems. 3. Backfilling to be done as soon as possible. 4. Fencing and warning signs to be used as required 5. ULAS SSOW3: <i>Safe working with Trenches</i> to be followed.	Moderate
Spoil Unmanaged spoil heaps - collapse or falling into trenches	Significant	1. Spoil heaps to be kept away from trench sides 2. No walking on or digging beneath spoil heaps. 3. ULAS SSOW3: <i>Safe working with Trenches</i> to be followed.	Moderate
Plant & Machinery Collisions with plant, persons Contact with moving parts Over turning of machines	Substantial	1. Use certificated personnel for machine operations. 2. A competent banksman to be used during excavations. 3. ULAS SSOW 01: <i>Working with plant</i> to be followed	Moderate
Hand Tools Incorrect Use, Strains and muscle injuries	Significant	1. All tools to be used correctly and broken tools replaced. 2. Store tools carefully when not in use.	Acceptable
Slips, Trips & Falls Untidy site Hidden obstacles	Moderate	1. Visual awareness on site 2. Site to be kept tidy – particularly around trenches 3. Agreed access to trenches to be used 4. Suitable PPE	Acceptable
Manual Handling Musculoskeletal injuries Falling/tripping Trapping toes/fingers	Substantial	1. Use correct lifting procedures 2. Apply mechanical assistance where possible or tandem lifting. 3. Be aware of heavy loads when shovelling 4. ULAS Manual Handling Assessment 1 to be followed	Acceptable
Noise Excessive noise from machinery, Industrial deafness/tinnitus, Noise pollution, Inability to hear other things	Substantial	1. Use Ear protection when ever the excavator is running. 2. Ear plugs to be available at all times .	Moderate

Infection & Disease From contact with soil, water etc. and minor cuts and scrapes.	Significant	1. Adequate washing and toilet facilities available. 2. First aid kit and first aider on site 3. PPE available if needed	Acceptable
Working Close to Water Potential flooding due to high water table, proximity of rivers etc, bad weather. Falling into water, drowning, infection	Substantial	1. Keep well clear of water wherever possible and be particularly careful when working close to water sources. 2. If trenches are filling with water assess safety and act accordingly - fence, backfill if necessary 2. Never use still/stagnant water for any purpose. 3. Good personal hygiene -washing hands, carry wet wipes	Acceptable
Weather Heat exhaustion, sunburn, sunstroke, cold, hyperthermia, damp.	Moderate	1. Suitable clothing to be worn for conditions. 2. PPE available if required. 3. Drinking water to be available 4. Personnel to be aware of tetanus, leptospirosis etc.	Acceptable
Human / Animal Remains Contamination and infection – from deer, cattle, pigeons, rats, human remains etc.	Substantial	1. Set up proper procedures for recovery/excavation 2. Wear necessary PPE 3. Stay away from any animal remains 4. Be aware of Leptospirosis	Acceptable
Waste Management Damage to health through contact Damage to the environment	Acceptable	1. Place all waste in appropriate waste containers. Do not litter.	Acceptable
Lone Working Risk of illness, accidents, assault	Substantial	1. No Lone working on site unless approved 2. ULAS SSOW:02 Lone working to be followed 3. Mobile phones to be carried & buddy system to be set up.	Acceptable
SITE SPECIFIC RISK ASSESSMENT			
	Substantial		Acceptable

This form is to be checked and kept up to date during time on site.

Form checked by..... Date.....

Amended by:..... Date.....

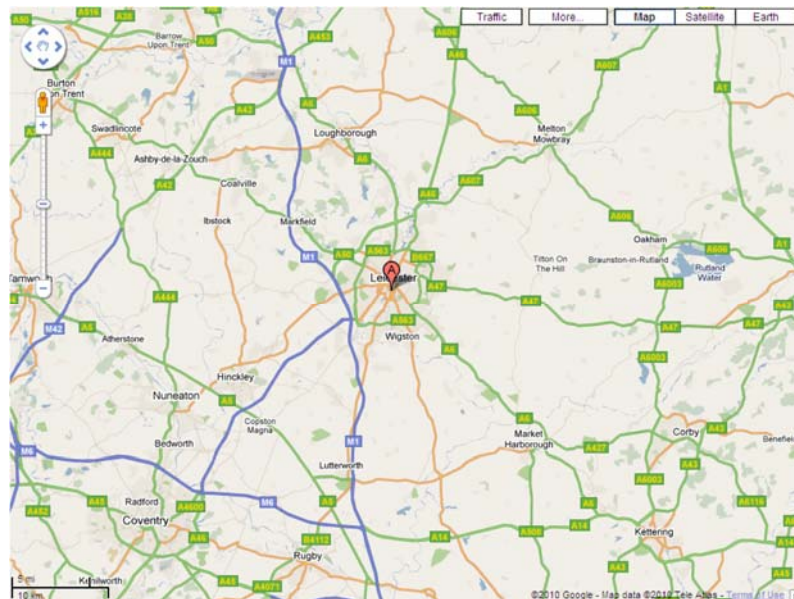


Figure 3: Location of nearest Accident and Emergency services

Leicester Royal Infirmary

Infirmary Square, Leicester LE1 5WW

Phone: 0300 303 1573

Start: Congerstone Ln, Nuneaton CV13, UK
Head north-east on Congerstone Ln towards
Shackerstone Walk

Continue onto Main St

Turn left onto Barton Rd

Slight right onto Nailstone Rd

Turn right onto Lount Rd

Continue onto Barton Rd

Barton Rd turns left and becomes W End

Turn right onto Newbold Rd

Continue onto Barlestone Rd/B585
Continue to follow Barlestone Rd

Continue onto Desford Rd/B582
Continue to follow B582

At the roundabout, take the 1st exit onto Leicester
Ln/B582

Turn left onto Hinckley Rd/A47

Red Cow Hinckley Rd Leicester

VINTAGE
— I B B S —

AA Members save 20%

Turn right onto Braunstone Ln

Turn left onto Narborough Rd/A5460

Turn right onto Upperton Rd

Turn left onto Walnut St

Turn left onto Aylestone Rd/A594
Continue to follow A594

Turn left
Destination will be on the left

Arrive: Dept of Histopathology, Sandringham Building,
Leicester LE1 5WW, UK

Section time: 38 min 30 s, Total time: 38 min 30 s

Appendix 1: Safe Systems of Work (SSOW)**ULAS – SSOW1-Working with plant and heavy machinery****Guidance Used: FAME Manual Section 4.1 – 4.3**

1. All machine operators must be competent in their operation and must have correct certification for the work.
2. PPE must be worn by all persons while machinery is working on site. Minimum PPE includes, high visibility clothing, hard hats and suitable footwear. Ear protection should be available if required. Note – ear plugs are better at noise reduction than ear defenders.
3. Plant should not be left running where exhaust gases can build up.

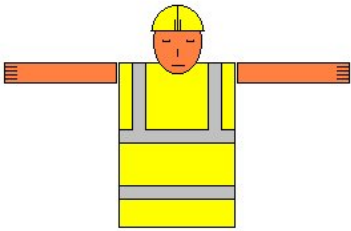
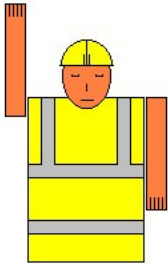
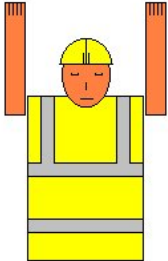
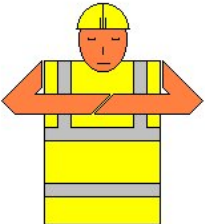
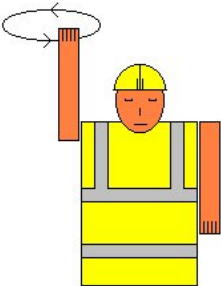
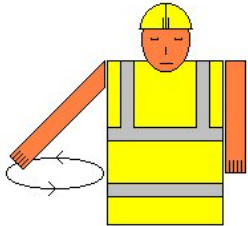
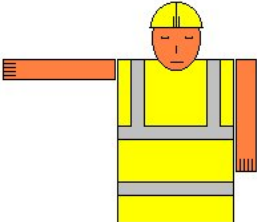
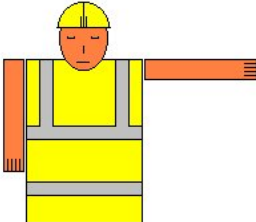
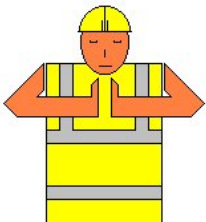
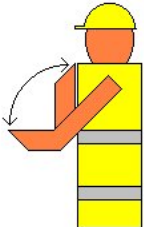
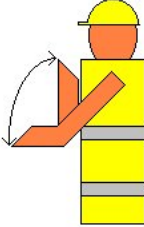
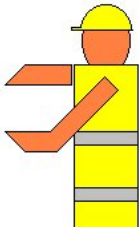
Excavators

4. At least one member of staff should act as a banksman to supervise the machine during all archaeological work. All other staff should keep away from the working area.
5. Members of staff working with the machine should stand at a safe vantage point, away from the radius of the bucket arm and in full view of the driver. They should make sure that the driver has fully stopped the machine and is aware of their intentions before inspecting the stripped ground.
6. Basic signals should be agreed with the driver before work commences (See below).
7. Passengers are not allowed on the machine at any time unless on a seat or safe riding position.
8. Do not approach machinery particularly from behind unless you are sure that the driver has seen you.
9. Banksman should be particularly aware of the dangers involving the changing of buckets/breakers. The machine operator should confirm the bucket/breaker has been attached properly by crowning (lifting) the attachment away from other people before work re-commences (see ULAS safety alert 10/04/06)
10. Members of staff should be aware that the weight of machinery can affect the stability of the sides of an excavation.
11. Members of staff should also be aware of the possibility of unforeseen hazards in the ground (such as services) or any overhead hazards (as for example power cables, telephone wires etc).

Dumper trucks

12. Dumpers are not to be used on roads unless they comply with the Road Traffic Acts.
13. Loading should be even and the load should not obscure the driver's vision.
14. Loads must not be tipped while the machine is in motion. During loading/unloading, the handbrake must be applied and the gears put in neutral. Adequate means of preventing an overrun should be provided on all edges.
15. Dumpers require more room to manoeuvre than is often realised. The driver should be aware of local gradients, obstructions and ground conditions and reduce speed when necessary.

BANKING: AN INTRODUCTION TO COMMONLY USED SIGNALS

 START	 STOP	 DANGER
 END	 RAISE	 LOWER
 MOVE TO THE LEFT	 MOVE TO THE RIGHT	 HORIZONTAL DISTANCE
 MOVE FORWARD	 MOVE BACKWARDS	 VERTICAL DISTANCE

ULAS SSOW2- Working alone in Safety**Guidance used: HSE Leaflet INDG73 (rev). Working alone in Safety****Definition**

Lone workers are those who work by themselves without direct supervision.

Examples of this type of work include

- Site visits
- Site/building recording
- Walkover surveys
- Some watching briefs
- Office work out of hours
- Starting early/finishing late on site without the team or other contractors.

Procedures for lone working on site

16. No personnel are to work alone on site without their line manager being aware of it.
17. Pregnant women should not work alone.
18. A mobile phone and personal first aid kit should be carried at all times on site (not buried in the site vehicle parked miles away!).
19. Emergency procedures (e.g. location of nearest A&E, office contacts) should be set out on the risk assessment form.
20. A risk assessment should be carried out prior to work taking place and hazards identified that might pose a risk to lone workers. Special consideration should be given to
 - the use of any substances, goods and heavy objects.
 - the risk of violence
 - risks to young or female members of staff
 - medical conditions of the staff involved
 - what training has been given
21. All lone workers should be assigned to a 'buddy'. Depending on the circumstances, a system needs to be set up to ensure adequate communication. At the very least this should involve
 - knowing when the lone worker is on site (e.g. phone call or text to let the buddy know they are on/off site)
 - A failsafe means of regular contact (e.g mobile phone/radio)
 - An emergency procedure for the buddy to follow should the lone worker not make contact at the appropriate time.
 - Checks that the lone worker has returned home or to base after completion of the work.

The procedures set up **MUST** be documented either in the risk assessment or as an attachment to the risk assessment.

Procedures for lone working in the office

1. Anyone working in the office outside normal hours (7:30am – 6:00pm), should sign the Out of Hours book located at Reception in the Front Lobby.
2. A mobile phone or land line should be available when working alone.

ULAS SSOW3- Safe Trenches and Excavations**Guidance used: HSE Construction Information Sheet No 8 (Revision 1)****Fame Section 3****Before any trenches are excavated or entered you should always plan:**

- A preferred entrance/exit.
- Any measures needed to support the sides or excavate the trench safely (e.g. steps or battering).
- Weather or localised conditions (e.g. flooding) that might compromise the trench sides.
- Where machinery will be positioned to excavate further.
- Where spoil is going to be stored.
- The location of any services/building or other constraints.
- How you would get out if there was an emergency.
- Whether the trench is accessible to members of the public.

Procedures for trenches

1. Access – the ends of each trench will be battered to a safe angle. One end will be designated as the entrance/exit/

2. Trench depth - For any trenches over 1m deep or in unstable soil/overburden consideration should be given to the need for shoring/ battering / stepping.

Any trenches over 2m deep should be protected by substantial barriers e.g. toe boards and guard rails. Deep trenches in unstable ground may require a separate method statement.

3. Vehicles - should be kept well away from any excavations once they are open.

Exhaust fumes can be dangerous. Do not site petrol or diesel-engined equipment such as generators or compressors in, or near the edge of an excavation.

4. Working in excavations - even work in shallow trenches can be dangerous.

Consideration should be given to whether trenches should be supported or hard hats worn. All staff should be aware of how best to exit the trench in an emergency.

Consideration should also be given to the best method of removing spoil from the trenches.

5. Spoil - Do not store spoil or other materials close to the sides of excavations. The spoil may fall into the excavation and the extra loading will make the sides more prone to collapse.

Spoil should be stored safely and managed regularly to avoid collapse. No one should climb on spoil heaps.

6. Public –Fence off all excavations in public places or where the public has access.

7. Inspections - A competent person must inspect excavations at the start of each shift before work begins, after any event likely to have affected the strength or stability of the excavation and - after any accidental fall of other material and sign the inspection sheet.



REPORT OF A

Safety Services Office: 0116 252 2426

No:

A - TYPE OF REPORT BEING MADE

Please tick appropriate box:

1 ☒	2 ☒	3 ☒	4 ☒	5 ☐	6 ☒	7 ☐
Fatality	Major Injury (as defined in attached Guidance)	Violence at Work	Work-Related Illness	Other Injury (as defined in attached Guidance)	Dangerous Occurrence (as defined in attached Guidance)	No Injury (where an incident occurs that could have led to an injury but did not - and was not a "dangerous occurrence" as

Telephone 2426 IMMEDIATELY: • if you have ticked shaded boxes 1, 2, 3, 4 or 6, or

Information on accident/incident reporting can be found at: www.le.ac.uk/safety/forms/accident-report-form-04.doc

(10) B - ABOUT THE INCIDENT (AND THE INJURED PERSON, WHERE APPLICABLE)

Date: Time:
dd mm yyyy

Place where incident occurred (Room/Lab Number, Department and Building/Hall of Residence, etc.):

Forename(s) & Surname

Address and
Postcode

Age Gender: (F=Female, M=Male)

Status
(tick box)

☐	☐	☐	☐	☐	☐
Employee	Undergraduate Student	Postgraduate Student	Visitor	Contractor	Other

Job Title +
Department

C - DETAILS OF THE PERSON MAKING THE REPORT

Where possible, the person completing this section should be the Departmental Safety Officer, Supervisor or other Manager - **not** the injured party. They should also be the person responsible for initiating remedial action where this is required to prevent a recurrence of the incident.

Name: _____ Position: _____

Department: _____ Date of Report: _____

Telephone & Email: _____

Signature: _____

(NOTE: Completing and signing this report does not constitute an admission of liability of any kind, either by the person making the report or any other person.)

Continued overleaf

D - DETAILS OF THE INCIDENT AND SUBSEQUENT ACTION

Briefly describe any injury or injuries, and the part(s) of the body affected, e.g. 'Cut to index finger, right hand'.

Both in the case of a non-injury incident, or an event where an injury was sustained, please give relevant details of what was happening leading up to, during and after the incident. Please feel free to add a diagram or sketch if this will help:

In the case of an accident involving injury:

What First Aid treatment was given, and by whom?

.....

Did the injured party continue working following the accident? Yes No

(tick box)

Did the injured party go direct to hospital (eg. the A&E at the LRI)? Yes No

(tick box)

NOTE: Follow up and advise Safety Services if an injury causes subsequent time off work, even if the injured party originally returned to, or carried on working immediately following the accident.

In the case of an incident - whether involving injury or not - please summarise any action taken and/or planned to prevent a recurrence:

By signing the your name in the table below you confirm that you have been briefed by the Site Director/Supervisor, are aware of the proposed safe system of working and the hazards associated with the site and the planned works.

Briefing Given by:

Briefing Received by:

[illegible]

Appendix 4: ULAS Trench Monitoring Sheet

[illegible]

