DYFED ARCHAEOLOGICAL TRUST

HERITAGE MANAGEMENT – ARCHAEOLOGICAL CONTRACTING AVOIDING CONFLICTS OF INTEREST POLICY

Current since: November 2007

Adopted at the Management Committee [board] Meeting of: 23 July 2015

Date of review following first adoption: 2018

Revised following review:

Re-adopted at the Management Committee [board] Meeting of:

Date of review following re-adoption:

DYFED ARCHAEOLOGICAL TRUST (DAT)

HERITAGE MANAGEMENT – ARCHAEOLOGICAL CONTRACTING AVOIDING CONFLICTS OF INTEREST POLICY

Definition

A conflict of interest is a situation in which a person or organisation is involved in multiple interests, one of which could possibly corrupt the motivation of the individual or organisation.

Risks

A conflict of interest introduces risks to the employee, the employer and the client. In the case of an employee it could lead to dismissal and loss of professional standing. An employer could suffer direct loss (for example being sued for compensation) and indirect loss (such as loss of reputation). A client could suffer by being given inappropriate advice.

Damage to reputations can occur if there is an apparent or perceived conflict interest.

The Trust

The Trust has numerous roles but essentially it is divided into three sections, Central Services (administration), Heritage Management, and DAT Archaeological Services.

The Heritage Management section maintains the regional Historic Environment Record for south-west Wales. It provides extensive information, research services and regional curatorial advice for a wide variety of users and has long established working relationships with national heritage agencies. This includes the provision of information and advice to the local planning authorities and other statutory authorities, agencies and private developers on the implications of development on the historic environment, and on the formulation of strategic policies and plans. Advice is also provided within broader schemes such as Welsh Assembly Government agri-environment schemes. The Trust Director (CEO) has responsibility for managing the Heritage Management Section of the Trust. The Trust Director has no involvement with DAT Archaeological Services work that has arisen out of advice provided by the Heritage Management Section.

DAT Archaeological Services provides an extensive range of archaeological services to the private and public sector. These services include desk-top assessments, evaluations, excavations, geophysical surveys, building surveys, watching briefs and topographic surveys. Some work undertaken by Archaeological Services results from advice provided by the Heritage Management section of the Trust. The Head of DAT Archaeological Services manages this section.

Situations where conflicts of interest may occur

One area in particular, but not exclusively, where apparent and actual conflicts of interest could occur is in development control where archaeological planning staff define the requirements for archaeological works which DAT Archaeological Services may be employed to carry out.

The Trust has taken care to ensure that conflicts of interest do not occur most notably through the publication of the Curators' Code of Conduct and in ring-fencing the archaeological planning services. This means that the Trust's archaeological planning

staff who provide advice have no involvement in the procurement and delivery of projects arising from their advice. Similarly, DAT Archaeological Services staff can have no involvement in determining the requirements of archaeological work arising out of advice provided by archaeological planning services. In simple terms, planning staff provide advice and DAT Archaeological Services staff may undertake work resulting from that advice.

Staff also need to be aware that third parties may try to exploit the several roles of the Trust and draw a Trust staff member into a position where a real or apparent conflict of interest arises.

For roles that do not involve providing advice, such as record keeping and clerical work, it is permissible for a member of staff to work in both the Heritage Management Section and in the Archaeological Services Section.

Avoiding actual, apparent and potential conflicts of interest

Staff must stay within the parameters of their areas of responsibility. A member of staff in an actual, and to a lesser extent a potential, conflict of interest is compromised and cannot act in the best interest of the Trust, the client and the wider profession. Where staff are known or suspected to have been compromised this must be brought to the attention of senior management and/or the Board of Trustees. This can be done by any member of staff who knows of or suspects a compromising situation has or may occur.

A member of staff entering into an actual conflict of interest risks action under the company's disciplinary procedures.

External standards and practices

Avoiding conflicts of interest is not new to archaeological practice, and nationally accepted professional guidance (CIfA codes and standards, ALGAO) has been drawn up with such considerations in mind. The Trust always adheres to this guidance.

Archaeological Contractors

Heritage Management does not advise developers, planning authorities or others as to which archaeological contractor they should use. When requested, Heritage Management in the first instance refers developers and others to the list of CIfA Registered Organisations http://www.archaeologists.net/ro and then to the British Archaeological Jobs Resources website http://www.bajr.org/WhoseWho/

Complaints procedures

A complaint concerning a real or potential conflict of interest will be referred to the Board of Trustees, or a delegated committee of the Board. During the course of any investigation arising from a complaint, the Trust Director will continue to manage the Heritage Management section and the Head of DAT Archaeological Services will continue to manage that section, unless they are the subject of the complaint, in which case the Board of Trustees will arrange appropriate management of the section/service.