

Norfolk Museums Service

Due Diligence – Archaeological Fieldwork Archive Checklist

This is a part completed generic checklist for the acceptance of archaeological archives from fieldwork in Norfolk. It explains which sections of the checklist are not relevant, and which sections are covered by other departments, and other paperwork. It is anticipated that Due Diligence will be shown by these other sources.

Essential details: loan requests and acquisitions will not be made without this information	
Accession Number	NWHCM :
Owners name and address	
Place of excavation	
ENF Number	
Grid Reference	
Dates of excavation	
Name of Excavating Organisation	
Responding “yes” to any of the following questions may indicate a higher risk of object being illicitly traded or imported.	
Owner wishes to remain anonymous?	No
Owner refuses to disclose permanent place of residence?	No
Owner refuses to complete due diligence questionnaire?	This should be completed by excavator, not the owner

Essential checks:	
Did you visit the source* in person? (See Visit check list below)	Checks are carried out by Norfolk County Council Environment Service
Did you examine the work? (See Visit check list below)	Signed off by Norfolk County Council Environment Service
Responding “no” to any of the following questions requires further research to be carried out.	
Are you happy that you are borrowing / acquiring from a reputable source?	Most excavations take place within the National Planning Policy Framework.
If the source* is a dealer or auction house, are they a member of a recognised trade organisation?	All commercial excavators working in Norfolk should be Registered Archaeological Organisations with, or individual members of, the Chartered Institute for Archaeologists.

<p>Has the owner confirmed they have legal title to the work and is unaware of any third party claims to the work?</p>	<p>Confirmed by signing of <i>Transfer of Ownership Form</i></p>
<p>Has the source* confirmed that they have the authority to lend/ donate/ sell the work?</p>	<p>Confirmed by signing of <i>Transfer of Ownership Form</i></p>
<p>Has the source* provided any documentary evidence to support their account of the object's provenance?</p>	<p>Contained within Excavation Report</p>
<p>Have you evaluated the information provided about the object and carried out your own research as necessary? <i>Please specify further research undertaken.</i></p>	<p>Basic evaluation carried out as part of issuing an accession number.</p>
<p>Can the source* vouch for the whereabouts of the object between 1933 and 1945?</p> <p>If the source* cannot vouch for the items' whereabouts, or it is known to have been in an occupied country during 1933-45, please confirm that you have checked the following sources (provide date of check):</p> <ol style="list-style-type: none"> 1) The Central Registry of Looted Cultural Property 1933-1945 http://www.lootedart.com 2) The Lost Art Internet Database http://lostart.de/Webs/EN/Datenbank/Index.html 3) Other (please specify) _____ 	<p>If an excavation post-dates 1945 then by implication the objects must have been in the ground prior to this.</p> <p>Not relevant</p> <p>Not relevant</p> <p>Not relevant</p>
<p>Are you happy that there are no significant gaps in the object's provenance from the time of creation or excavation?</p>	<p>Excavation archive should be transferred from the excavator to the museum 140 working days after the sign-off of the excavation report by Norfolk County Council Environment Service</p>
<p>For items that originate from outside the UK, has the lender provided evidence that the item was in the UK prior to 1970 or confirmed the legitimate export of the item to the UK after 1970?</p>	<p>The excavation report will contain details of date of deposition, it is extremely unlikely that this will post-date 1970. This will be checked during the Accession Number application process.</p>
<p>Can you confirm that the item does not originate from an ICOM Red List country (http://icom.museum/resources/red-lists-database/)?</p>	<p>We only accept excavation archives from Norfolk.</p>
<p>Are you satisfied that the object does not originate from a region or country which has experienced a significant amount of illicit excavations?*</p>	<p>We only accept excavation archives from Norfolk.</p>
<p>Are you satisfied that the object was not created in or removed from a region at a time of armed conflict?</p>	<p>While many objects may fall into this category, the armed conflicts are likely to pre-date the 20th century. This will be checked during the Accession number application process.</p>

<p>Are you satisfied that there are no materials derived from endangered species of flora or fauna present in the object (CITES check https://www.cites.org/)?</p>	<p>Any worked material will likely pre-date 1947, unworked material is likely to be ancient in date. This will be checked during the Accession Number application process.</p>
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Provided these initial checks have given you no cause for concern the loan or acquisition may proceed and the checklist be signed off here. If your initial investigations have raised some concerns please continue with additional checks below.

Completed by (print name):

Alan West
Curator of Archaeology

Signature:

Date:

*Source denotes lender, donor, vendor, or agent acting on their behalf

** Such as Afghanistan, Iraq, South East Asia or South America? Other less obvious countries to consider include Turkey, Italy and Greece

Visit check list:

Does the object show signs of being restored or changed from its original condition?	Yes – This is to be expected from excavated material.
Does it have any inscriptions or distinctive marks?	Not relevant
Does the object have old labels that suggest possible former collections or exhibitions?	No
Are there any signs that the object has been recently excavated and more likely illicit?	Yes – This is to be expected, and in this case does not imply anything illicit.
Are there any signs that the object is part of a larger object or from a building or monument?	Yes – This is to be expected from excavated material.

Further checks:

Where provenance information provided is not comprehensive enough extra checks should be made. If the following information has not already been obtained please indicate what further research has been undertaken:

Documents relating to the object's history:

Please indicate which documents have been obtained

- A will specifically mentioning the object
- X An inventory or catalogue specifically mentioning them
- Receipt of purchase
- X Photographic evidence
- Any correspondence specifically mentioning the object
- Auction house sales catalogues
- Catalog raisonne mentioning the object
- Exhibition or collections catalogue
- Articles in reputable journals mentioning the object
- X Excavation field notes
- Export licence from country of origin