



Trustees' Annual Report for the period

Period start date

Period end date

From

1 January 2016

To

31 December 2016

1 January 2016 31 December 2016

Section A

Reference and administration details

Charity name

Swaledale and Arkengarthdale Archaeology Group

Other names charity is known by

SWAAG

Registered charity number (if any)

1155775

Charity's principal address

c/o David Brooks
Scar House
Preston under Scar
Leyburn
North Yorkshire

Postcode

DL84AQ

Names of the charity trustees who manage the charity

Trustee name	Office (if any)	Dates acted if not for whole year	Name of person (or body) entitled to appoint trustee (if any)
1 David Brooks	Treasurer	resigned 25th May 2016	
	Chairman	appointed 25th May 2016	
2 Peter Denison-Edson	Chairman	resigned as chair 25th May 2016	
3 Shirley Gale			
4 Alan Mills		resigned 17th May 2016	
5 Robert Nicholson	Secretary		
6 Michael Keenan	Treasurer	appointed 25th May 2106	
7 Michael Walton			
8 Andrea Dixon			

9 Phillip Bastow

10 Sue Nicholson

elected 17th May 2016

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Names of the trustees for the charity, if any, (for example, any custodian trustees)

Name	Dates acted if not for whole year

Names and addresses of advisers (Optional information)

Type of adviser	Name	Address

Name of chief executive or names of senior staff members (Optional information)

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Section B

Structure, governance and management

Description of the charity's trusts

Type of governing document	Constitution
How the charity is constituted	CIO
Trustee selection methods	Elected by nomination at the AGM, with interim options to co-opt, as per the Constitution

Additional governance issues (Optional information)

You **may choose** to include additional information, where relevant, about:

- policies and procedures adopted for the induction and training of trustees;
- the charity's organisational structure and any wider network with which the charity works;
- relationship with any related parties;
- trustees' consideration of major risks and the system and procedures to manage them.

Organizational Structure. SWAAG is managed by the volunteer Trustees, with specialist groups reporting to the Trustees on the Big Dig Project, fieldwork, and other activities.

Health and Safety: SWAAG has Trustee-approved Health and Safety and Children and Young Peoples Safeguarding Policies in place.

Financial risk: SWAAG has a Trustee-approved Financial Authority and Controls policy in place which is reviewed at least annually.

Data Protection and Privacy: Trustee-approved policies covering these two issue are in place and will be regularly reviewed.

Section C

Objectives and activities

Summary of the objects of the charity set out in its governing document

For the public benefit to advance the education of the public in general and more specifically the residents of, and visitors to, the County of North Yorkshire, particularly the area known as the Yorkshire Dales, in the subjects of archaeology, history, heritage, geology and the natural environment in order to promote a better understanding and management of that local heritage by, for example:

Providing training and experience of a broad range of archaeological investigative techniques which will then be applied to the study of the local heritage;

Undertaking research including fieldwork and excavations into all aspects of the local heritage and publishing and making otherwise available the results of that research;

Providing lectures, guided walks, community projects, activities with local schools and organisations and exhibitions.

Summary of the main activities undertaken for the public benefit in relation to these objects (include within this section the statutory declaration that trustees have had regard to the guidance issued by the Charity Commission on public benefit)

In considering the activities undertaken by SWAAG during 2016, the Trustees have had regard to the guidance issued by the Charity Commissioners on public benefit. Activities during 2016 have included:

The Heritage Lottery Fund funded the Swaledale Big Dig Project comprising documentary research, geophysical survey, test-pit excavation, finds processing and identification, training courses, newsletters, information displays and events, all free of charge to SWAAG members and the public;

A specialist excavation at a Scheduled Monument to look for dating evidence, with support from Historic England and the Yorkshire Dales National Park Authority;

Geophysical survey at Marne Barracks, Catterick Garrison in support of the Ministry of Defence's Operation Nightingale which uses archaeology to help the recovery of injured military personnel;

Geophysical surveying in support of the Long Preston Heritage Group's Heritage Lottery Funded Big Dig Project;

Geophysical surveying Thorns, a medieval monastic settlement, in support of the Dales Millennium Trust's Ingleborough Dales Landscape Partnership Project;

A further exploratory excavation at the West Hagg Farm, Fremington site which was open to members and visitor free of charge and funded from SWAAG reserves;

The Local History Group formed under the aegis of the Big Dig project and open to members and non-member has transcribed the 19th C tithe apportionments for Swaledale and has begun work on the Healaugh and Muker Manor Court Books; all of this work is freely available on the SWAAG web site;

Continued support to the Tyne and Weir Museums' Wall Watch project, a condition survey of Hadrian's Wall;

Finds-processing in support of the follow-up to excavation of a Roman villa site on the line of the Bedale by-pass;

Monthly information and discussion meetings for SWAAG members and guests;

Guided walks led by SWAAG members for the public at intervals during the year, including participation in the annual Swaledale Festival of Music, Arts and Walking; and

Occasional talks for members and the public on aspects of the history of North Yorkshire and surrounding areas, no charge is made.

Additional details of objectives and activities (Optional information)

While excavation is supervised by professional archaeologists, and courses are led by specialists, all SWAAG activities are otherwise devised, managed, supervised and implemented by volunteers.

You **may choose** to include further statements, where relevant, about:

- policy on grantmaking;
- policy programme related investment;
- contribution made by volunteers.

Section D

Achievements and performance

Summary of the main achievements of the charity during the year

Initially 2016 focussed on the completion and closing down of the Big Dig, a project which received Heritage Lottery Fund financing in 2013 and which aimed to involve the local community and schools in a process of discovery to enhance knowledge of the history of the area, particularly of the villages of Reeth, Fremington and Grinton and to increase the skills levels within the local community in understanding and preserving their local heritage.

During the Project more than 160 people were involved in digging 50 test pits. We worked closely with the local schools; over 90 children took part in digging test pits, surveying and other activities enabling them to learn more about their local heritage. We also ran free courses on a wide range of history and archaeology related topics and led 11 free guided walks.

Towards the end of the project, we obtained scheduled monument consent to investigate the Grinton-Fremington Dykes. Excavations revealed more information regarding the construction of the dyke and samples were submitted for radio-carbon dating.

During the Project, there were 429 participants on 24 courses, 136 participants on guided walks, 335 participants working on test pits, 216 primary school pupils at schools events, 642 people present at events and presentations and 557 visitors to the information tent erected on major digging weekends. Initial projections submitted to the HLF for public participation in all aspects of Project activities have been met or exceeded.

The Project closed with a 2 day public meeting to present the results of the work; Professor Carenza Lewis of the University of Lincoln also presented a paper which put the Swaledale results into a wider national context. The full report for the Big Dig is freely available on the SWAAG web site on the OASIS web site.

SWAAG has led a programme of documentary research (through the Local History Group originally formed as part of the Big Dig) which has transcribed and made digitally-searchable Tithe Apportionment Records for the parishes of Swaledale (available on the SWAAG website and in cooperation with the North Yorkshire County Records Office) and has begun to transcribe the Healaugh and Muker Manor Court Books. The work is freely available on the SWAAG web site.

SWAAG members also carried out at the request of the Ministry of Defence DIO Archaeologist geophysical surveys at Marne Barracks, Catterick Garrison to identify sites suitable for an Operation Nightingale archaeological excavation exercise for wounded military personnel.

During October SWAAG members opened several new exploratory trenches at the West Hagg Farm site, a putative Romano-British settlement dating back to at least the end of the 4th C AD. The dig was open to members of SWAAG and members of the public.

SWAAG continues a series of monthly meetings for members and others for discussion and information and an occasional series of public meetings on subjects of broad historical/archaeological interest, now attracting audiences of some 60 people.

The SWAAG website archives Big Dig newsletters, press reports, excavation and local history blogs and links to SWAAG publications, and a local history database; and is backed-up on the British Library system..

Section E

Financial review

Brief statement of the charity's policy on reserves

At the end of the year the charity retained £9,342 in unrestricted cash reserves. Trustees have reviewed the commercial risks to which the charity is exposed - e.g. possible rental of storage space, work required on the web site; repairs to and replacement of equipment - as well as those "risks" that arise as a consequence of the research work that SWAAG undertakes - e.g. requirements for radio carbon dating, environmental sample analyses, finds conservation, archiving - and have reached the view that it would be prudent for SWAAG to aim to retain a level of reserves of some £5000. Cash over and above the reserves will be used to fund small research projects; larger projects will required to be funded through external sources.

Details of any funds materially in deficit

None

Further financial review details (Optional information)

You **may choose** to include additional information, where relevant about:

- the charity's principal sources of funds (including any fundraising);
- how expenditure has supported the key objectives of the charity;
- investment policy and objectives including any ethical investment policy adopted.

The accounts for the financial year ending 31st December 2016 have been prepared on a Receipts and Payments basis. Included in this report is also a summary of the charity's assets. There were no year end liabilities

The accounts have been independently examined by Mrs Flora Smith, whose report is included in this report.

As recommended by the Charity Commission, the accounts are segregated into unrestricted and restricted cash flows, which are considered separately below.

General: The charity ended the year with a net deficit of circa £10,530 due to expenditure incurred in respect of the Swaledale Big Dig activities leading up to the end of the project in April 2016. The deficit was covered by the (restricted) reserves deriving from the associated Heritage Lottery Fund (HLF) grant received in 2014 and the charity ended the year with total reserves of circa £9,340.

Unrestricted Funds: Over the year the charity has generated a surplus of circa £3,480 on an unrestricted turnover of circa £5,100, compared to a surplus of circa £1,620 on an unrestricted turnover of circa £2,270 in 2015.

Key income streams have been consultancy fees received for geophysical surveys amounting to £1,900; membership fees £1,240; donations (eg at public talks and from members) £245; walks for the Swaledale Festival £120 and circa £222 from talks, book sales and the sale of T-shirts.

Costs to the charity in 2016 totalling circa £3,520 have been higher than in 2015 owing primarily to the expenditure incurred in connection with the West Hagg Farm exploratory excavations. The other major item of expenditure has been insurance at £689 which did not this year receive any contribution from Big Dig funds. Catering expenditure in respect of the members' Christmas dinner of £917.50 was balanced by associated receipts totalling £928 from the members attending

Restricted Funds: In 2013 the charity was awarded an HLF grant of £76,000 to support the Swaledale Big Dig, a two year community archaeology project. The second instalment of the grant, £30,400, was paid to the charity at the end of 2014 and, although it was largely spent during the course of 2015, a year end balance of circa £14,000 was available for activities and commitments leading up to the end of the project in April 2016.

The Big Dig project funds were administered in accordance with the budget agreed with the HLF. There was a degree of overspend in some areas and underspend in others. The HLF agreed to the charity moving monies between the budget heads and overall the project remained within budget. A total of circa £9,390 was spent on approved commitments and activities in January to April 2016. After the payment of a refund of £2,719 to the HLF, the agreed balance of circa £2,400 was transferred to unrestricted funds.

Section F

Other optional information

The charity wishes to thank the Heritage Lottery Fund for the grant to fund the Swaledale Big Dig Project 2013-2016.

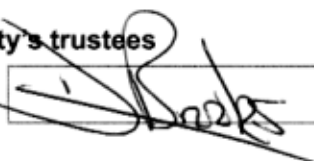
Section G

Declaration

The trustees declare that they have approved the trustees' report above.

Signed on behalf of the charity's trustees

Signature(s)



Full name(s)

David Brooks

Position (eg Secretary,
Chair, etc)

Chairman

Date

24 Jan 2017

Swaledale & Arkengarthdale Archaeology Group
Accounts for the period 1st January 2016 to 31st December 2016

	2016 - Unrestricted	2016 - Restricted	2016- Total	2015 - Total	Notes
<u>Income</u>	£	£	£	£	
Consultancy	1900.00		1900.00	1180.00	
Membership Subscriptions	1240.00		1240.00		
Catering	928.00		928.00		
Donations	245.00		245.00	248.76	
Walks	120.00		120.00	229.50	
Talks	74.40		74.40	34.00	
Book sales	47.09		47.09	161.87	
Fund raising	31.00		31.00	222.00	
Dig fees & Carbon Dating Refund	518.00		518.00		
Gift Aid				192.50	
Total Income	5103.49	0.00	5103.49	2268.63	
<u>Expenditure</u>					
Dig expenses	54.59	4404.00	4458.59	108.00	
Archaeological Support	975.00	2193.75	3168.75	5037.60	
HLF Refund		2719.00	2719.00		
Publicity		2005.64	2005.64	32.00	
Catering	917.50	48.62	966.12	290.14	
Equipment	365.31	490.44	855.75	3477.07	
Insurance	688.76		688.76	526.82	
Research		240.00	240.00	179.00	
Website	179.00		179.00	38.16	
Members Expenses	145.00		145.00		
AGM/Governance	66.00		66.00	25.00	
CBA membership	54.00		54.00	52.00	
Talks	45.95		45.95	97.50	
Fund raising	16.00		16.00	72.00	
Postage & Stationery	5.86	7.25	13.11	35.27	
Bank Charges	10.00		10.00		
Geophysical surveying equipment HLF				3040.83	
Courses				1824.00	
Museum				950.00	
Schools				424.00	
Printing - books, etc				80.92	
Total expenditure	3522.97	12108.70	15631.67	16290.31	
Transfers	-498.00	498.00	0.00		Carbon Dating Fee
	2397.94	-2397.94	0.00		HLF
Excess of income over expenditure	3480.46	-14008.64	-10528.18	-14021.68	
1st Jan 2016 Opening Balance (Bank+Cash)	5862.00	14008.64	19870.64	33892.32	
31st December 2016 Closing Balance	9342.46	0.00	9342.46	19870.64	
Liabilities at 31st December 2016	0.00	0.00			
Debtors at 31st December 2016	0.00	0.00			
Signed:					
Michael Keenan, Treasurer					
Approved by the Trustees and signed on their behalf:					
David Brooks, Chair					
Date	24 January 2017				

A/c's checked by F.E. Smith J.P. Smith DBS, GA, FCIB

SWAAG ASSET REGISTER – DECEMBER 2016

Item no.	ASSET	DATE AC- QUIRED	NUMBER	COST	HELD BY*
1	Digital projector Epson H433B s/n PTJK2900219 and screen	2012	1	£270.00	PDE
2	Dumpy Level kit	2012	1	£82	PB
3	GPS Promark 120	2013	1	£4,434.00	MW
4	RGC sieve grader	2013	1	£840.00	PB
5	Bartington Gradiometer GRAD601-2 Dual Sensor	2013	1	£13,719.00	MW
6	Fujitsu Lifebook N532 Serial No YLLJ011199 plus software, 1TB Seagate drive	2013	1	£1596.00	MW
7	Geoscan Research RM85 Advanced Resistance Meter	2014	1	£11,128.00	MW
8	Tortuga Alabama Tent	2014	1	£955.00	PB
9	Miscellaneous small tools and equipment for digs, see attachment	2014	n/a	£1,400.00	PB
10	Optical Square	2014	1	£87	MW
11	Display Boards	2014	3 sets	£170	PB
12	Snapscan SV600 Scanner	2015	1	£488	SN
13	HP 250 G4 laptop Serial No CND6250RPG and case, for use with scanner, 1TB Seagate drive	2015	1	£429	SN
14	Terrasurveyor ASO1F full license	2015	1	£2844	MW
15	Panasonic Toughbook CF52 Mk5, serial number 5GTCA92185, 1 TB Seagate drive	2015	1	£2274	MW

SWAAG ASSET REGISTER – DECEMBER 2016

16	50m Fisco Ranger tape	2015	2	£83.45	PB
17	100m Fisco Pacer tape	2015	2	£155.95	PB
18	2 Cross-Sight Ranging Pole	2015	4	£145.92	PB
19	Olympus TG-4 Camera & Accessories	2016	1	£307.46	PB
20	Straight Edge Spades	2016	3	£47.85	PB

Notes

1. Held By* indicates the person who stores the equipment and from whom is may be obtained: PDE = Peter Denison-Edson; PB = Philip Bastow; MW = Mike Walton;
2. This list is not exhaustive but records the material assists and those acquired most recently.



Independent Examiner's Report on the Accounts

Section A

Independent Examiner's Report

Report to the trustees/members of

Charity Name

SWALEDALE AND ARKENGARTHDAL
ARCHAEOLOGY GROUP

On accounts for the year ended

3 1 1 2 1 6

Charity no (if any)

1 1 5 5 7 7 5

Set out on pages

(remember to include the page numbers of additional sheets)

Respective responsibilities of trustees and examiner

The charity's trustees are responsible for the preparation of the accounts. The charity's trustees consider that an audit is not required for this year under section 144 of the Charities Act 2011 (the Charities Act) and that an independent examination is needed.

It is my responsibility to:

- examine the accounts under section 145 of the Charities Act,
- to follow the procedures laid down in the general Directions given by the Charity Commission (under section 145(5)(b) of the Charities Act), and
- to state whether particular matters have come to my attention.

Basis of independent examiner's statement

My examination was carried out in accordance with general Directions given by the Charity Commission. An examination includes a review of the accounting records kept by the charity and a comparison of the accounts presented with those records. It also includes consideration of any unusual items or disclosures in the accounts, and seeking explanations from the trustees concerning any such matters. The procedures undertaken do not provide all the evidence that would be required in an audit, and consequently no opinion is given as to whether the accounts present a 'true and fair' view and the report is limited to those matters set out in the statement below.

Independent examiner's statement

In connection with my examination, no matter has come to my attention (~~other than that disclosed below~~*):

(1) which gives me reasonable cause to believe that in, any material respect, the requirements:

- to keep accounting records in accordance with section 130 of the Charities Act;
- to prepare accounts which accord with the accounting records and comply with the accounting requirements of the Charities Act have not been met; or

(2) to which, in my opinion, attention should be drawn in order to enable a proper understanding of the accounts to be reached.

* Please delete the words in the brackets if they do not apply.

Signed

Flora Elizabeth Smith

Date

15-01-2017

Name

FLORA ELIZABETH SMITH

Relevant professional qualification(s) or body (if any)

DBS, BA, FCI B

Address

20 THE GRILL

RICHMOND

MIDDLESEX

DL10 4YP

Only complete if the examiner needs to highlight material problems

Give here brief details of any items that the
examiner wishes to disclose