Guidance for Grants Projects

Heritage Protection Commissions and Capacity Building Programme

Summary

This guide will help you apply for grant funding from Historic England through the Heritage Protection Commissions and Capacity Building programme. It is written for those considering an application for funding. It will provide you with information on how to apply, the approval process and the management of your project to its conclusion.

This document has been prepared by the Grants Team (contact: grantsbusinessimprovement@historicengland.org.uk). It is one of two guidance documents to assist in the preparation of an application for grant funding or a tender for projects where Historic England has issued a project brief. The other document is:

- *Guidance for Tendered Projects*

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Please refer to this document as: Historic England 2025 *Guidance for Grant Projects*.

Front cover: Project 8675 Everyday Heritage: The Work Furnace, picture of the street parade © Eastern Angles Theatre Company.

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Introduction

The Grants Team are based at Historic England's Swindon Office. We work with others to develop a strategic understanding of our shared historic environment, to develop innovative ways to protect it from harm and to enrich skills and expertise to help care for it. Please see our Corporate Plan, Public Value Framework or Research Strategy, which sets out our broad research themes.

Our Corporate Plan 2023-26 sets out our six priority areas:

1. Better Places
2. Inclusive Opportunities
3. Planning, Listing, Conservation Advice and Investment
4. Climate Action
5. Stewardship of the National Collections
6. Developing Historic England

As an organisation that uses public funding when awarding grants, we have to follow the code of conduct for grant recipients and expect all Historic England staff and our grant recipients to meet the expectations as set out in this code.

We offer funding for strategic research and to build skills and capacity in our historic environment. The research we fund will help us to know what our historic environment comprises, which aspects of it are the most significant, how people value and interact with it, and what innovations in science and approach will help us to look after it for the future.

Who can apply?

All organisations including local authorities, universities, charitable trusts and limited companies are eligible for funding. As part of the process you will be asked for your Company Number, Charities Commission Number or VAT Number.

Individuals are also eligible provided they can demonstrate that they are registered as self-employed.

All grant recipients funded by Historic England must be IR35 compliant. This means that you should be able to demonstrate that the correct tax is paid, and that National Insurance Contributions are attributed correctly.

1 Preparing your application

1.1 How and when to apply

For grants projects there are two ways to apply for funding:

- We run an Open Proposals Programme which means applications can be submitted at any time.
- We also issue more specific Calls for Proposals where the subject for a grant is specifically defined but where your own creativity and expertise can shape your application. New calls are added throughout the year, so please check our website regularly.

All initial applications should be in the form of a project proposal (PP). PPs should be based on the format given in Appendix 1. The PP should be no more than a few pages of text, with illustrations if appropriate and should provide enough information to help us to make a decision on the significance of the project and its relevance to the Historic England Corporate Plan, Public Value Framework and if relevant, our Research Strategy and the compact. You should show a consideration of the possible public value of your project and how you could assess its impact.

At PP stage we only require outline costs for the project, but you should let us know the timetable and cost of producing your full detailed project design (PD).

On the basis of the PP, we will decide whether to request a full PD from you. We will pay for you to write the PD if your PP is successful.

1.2 Who to contact

We recommend that you discuss any ideas for projects with the appropriate Historic England lead and/or the Head of Grants, before you send us your PP. Projects with a local scope should also be discussed with the relevant staff in the Historic England Local Office before a PP is submitted.

1.3 Submitting your application

Your PP should be submitted by email (preferably in Word or PDF format) to the Grants Team Project Officers at grantsbusinessimprovement@historicengland.org.uk. We will write to acknowledge receipt. We aim to respond to all PPs within two months.

If your PP is not approved, we will contact you to explain the reasons for not taking the proposal forward to the detailed PD stage.

2 Preparing your project design

The project design (PD) is the document that we will use to monitor the management of your project. PDs should be based on the format given in Appendix 1.

We will assign you a Project Assurance Officer (PAO) and you should liaise with them while preparing your PD. Your PAO is responsible for monitoring the progress of your report on our behalf (see Section 3).

2.1 Things to remember while preparing your PD

You should ensure that you have contacted all appropriate stakeholders before you submit your PD.

If you are producing a draft text for publication, you should identify the agreed publisher in your PD.

In all cases the digital and physical archiving strategy must be set out explicitly in your PD. The tasks and costs associated with the preparation of the digital archive should also be included in your PD. We recommend an early discussion with a publicly accessible Trusted Digital Repository, e.g. the Archaeology Data Service (ADS), for projects that are expected to create digital archives and early discussions with an appropriate repository for physical archives.

PDs for projects that include contributions from subcontracted specialists (including Historic England staff) should not be submitted until agreement in principle has been achieved on:

1. The scope and nature of their contributions
2. The level of involvement at each stage of the project
3. Cost and timetable for the agreed contributions

PDs for projects which may:

4. Involve data from third parties (e.g. Historic Environment Records) should have confirmed the availability of the data prior to submission
5. Have databases as a final product must make sure that they are MIDAS compatible
6. Require physical access (either terrestrial or marine) should include written confirmation of how this will be achieved

Provisional start dates should be estimated as accurately as possible. We aim to respond to all PDs within 30 working days of receipt, but this will vary with casework loads and the complexity of the project. You should be aware that we may request revisions to a PD before agreement is reached and you should allow for this when estimating your project start date.

We aim to respond as rapidly as possible to urgent or emergency cases.

2.2 Copyright and public information disclosure

Copyright on grants funded through the Heritage Protection Commissions and Capacity Building Programme will normally rest with you, but will be subject to a licensing agreement with us. For further information or advice on individual cases please contact the Grants Manager at Grantsbusinessimprovement@historicengland.org.uk.

Please be aware that we are subject to the Freedom of Information Act (2000) and the Environmental Regulations Act (2004) and we have a policy of access to information and provide services in accordance with these Acts. All project documents can be requested under these Acts. Commercially sensitive information will be redacted by our Information Rights Team.

Information on all grants funded will be added to the Government Grants Information System (GGIS). This facilitates the recording and reporting of grant information across the government, providing accurate data to enable departments to manage grants efficiently and effectively, while actively reducing the risk of fraud.

2.3 Calculating project costs

We will fund projects with costs calculated using the Commissions and Capacity Building Costs Spreadsheet. We will only consider costs calculated differently or presented in another format in exceptional circumstances and when agreed in advance by us.

If you are receiving Historic England funding for other project work (see *Guidance for Tendered Projects*) day rates should be consistent between projects.

Costs should distinguish between direct costs (core staff and non-staff costs), indirect costs (subcontracted staff costs), overheads and capital equipment. Please see the Commissions and Capacity Building Costs Spreadsheet.

All costs should be rounded up to the nearest Pound Sterling.

2.4 What are direct costs?

Direct costs consist of:

1. Gross salary costs of all core staff (including administrative support staff), with a ‘hands on’ involvement in the project. These should be calculated according to the staff costs guidance below
2. Travel and subsistence costs which are directly attributable to the project
3. Consumable items and materials necessary for the project
4. Project-specific training
5. Other direct costs are covered in overheads (see below for details of what is included in this) and should not be detailed in separate costs lines.

2.5 What are indirect costs?

Indirect costs consist of:

1. Gross salary costs for subcontractors
2. Plant and equipment hire

2.6 How to calculate staff costs

The names of all staff to be employed on the project, with their job title/specialism, relevant experience, day rate, the number of days they will work on the project and their cost to the project should be included in the PD.

Costs for core staff (those directly employed by you) should be shown separately from subcontractor costs. The number of working days per year (normally 220) should be calculated to allow for paid leave, estimates for sick and special leave, staff appraisal and training.

Our strong preference is for the cost per day of all staff contributing to the project to be calculated as follows:

$$\text{Day rate} = \frac{\text{(Annual salary + National Insurance + Superannuation)}}{\text{Number of working days per year}}$$

Consultancies, subcontractors or individuals who are not paid an annual salary should use the above formula with day rates based on estimated annual income.

2.7 Overheads

You can add up to 25% to the net total of direct costs (staff salaries and other direct costs, but not including indirect costs) to cover overheads (rent, utilities, insurance, legal, audit etc).

2.8 Handling charges

You may also add a handling charge (overhead) up to a maximum of 10% for managing any indirect costs such as subcontracted specialist services and equipment hire cots. Overheads may not be charged on single service hires of more than £2,000 (e.g. boats).

2.9 Contingencies

Contingencies should not be built into the costs of project. Possible contingency requirements should be identified in the risk log and applied for by way of variation request if necessary (see section 3).

2.10 Capital equipment

Capital equipment should include all items purchased specifically for the project up to the value of £2,000. Invoices or receipts of any capital costs over £250 will need to be submitted as part of regular reporting. You will need to provide justification for these costs in your Project Design.

2.11 In-kind contributions:

When considering your application, we can take into account any in-kind contributions in order to gain a complete picture of your project or activity.

List any in-kind contribution that you receive e.g. free office space, materials and/or equipment, and the value of these in this section.

In-kind (cash) contributions may include the value of donated materials.

List each in-kind contribution on a separate line, add lines as necessary.

If in-kind contributions are not applicable put zero in the amount section.

2.12 Volunteer contributions:

When considering your application, we can take into account any voluntary contributions in order to gain a complete picture of your project or activity.

Volunteers' time can only be considered if the work they are doing is specific to the project. It does not include volunteers being trained but it can include those who offer training or labour.

List the type of work the volunteers are doing (e.g. survey or training). Include the number of volunteers undertaking the type of work and the total days that the volunteers will be working on the project.

If volunteer contributions are not applicable put zero in the amount section.

2.13 Inflation and VAT

Costs should be entered onto the Commissions and Capacity Building Costs Spreadsheet.

For projects which span more than one financial year inflation at 2% can be built into the costs for the second and third years of the project as required.

As a grants scheme that awards funding normally in response to unsolicited proposals, we wouldn't anticipate direct VAT being added to funding requests: please see HMRC guidance about VAT and grants. Any irrecoverable VAT should be included as set out in the preferred format for costs. Irrecoverable VAT could include VAT charged by sub-contractors that you use in your project and which you have to pay direct to them. If necessary, seek advice from us.

Project 8369 CBA Executive Director Neil Redfern, CBA President Raksha Dave, Mary Glindon MP, and Anne Johnson, artist with North Tyneside Art Studio revealing a banner made by members of the Wallsend community for the launch of the 2022 CBA Festival of Archaeology at Segedunum Roman Fort and Museum ©Archaeology UK.

3 Agreeing and carrying out your project

3.1 Submitting your project design

Your project design (PD) and costs spreadsheet should be submitted by email (preferably in Word or PDF format) to the Grants Team Projects Officer at grantsbusinessimprovement@historicengland.org.uk. We will write to acknowledge receipt and advise you of the timetable for a response.

You should submit an A2 form with your PD for the agreed PD cost. We will pay you if the PD meets the specifications of the project proposal (PP) and accords with this guidance. We will not pay you for work that has not been commissioned.

We may request revisions to your PD before an agreement is reached. If this is the case, your PAO will collate our comments on the PD and pass them on to you. Revision may require some discussion between you, your PAO and Grants Team staff.

3.2 Your funding agreement with us

When all outstanding issues have been resolved you should submit a digital copy of your project design (PD) and the costs spreadsheet, along with an A1 form, to the Grants Team.

Your PAO will contact you to agree the details for the funding agreement, which will include the project milestones along with the dates and amounts for payments.

Funding agreements and purchase order information (where applicable) will be issued to you by email. Agreements should be signed and returned to us within five working days. If you have any queries you should contact the Grants Manager at grantsbusinessimprovement@historicengland.org.uk. We prefer agreements to be signed, scanned and returned to us by email. If this is not possible, hard copies should be returned to our Swindon Office.

The funding agreement will only be binding when it has been signed by you and returned to us. You should not undertake any expenditure on your project prior to this point. We cannot accept liability to reimburse any funds spent in advance of the agreement being signed.

3.3 Reviewing progress

Your PAO will monitor progress on our behalf. The format and scheduling of meetings will normally have been set out in the funding agreement and the milestone and instalment schedule. These meetings provide an opportunity for you to raise any issues or concerns.

You should provide your PAO with a written highlight report (see Appendix 2) before any meetings and where necessary, update your risk log.

You should compile and retain expenditure records for your project. Records of staff time spent on your project should also be kept. These records should be made available to your PAO on request.

After each meeting, your PAO will prepare a monitoring report which will be circulated to you and all relevant staff at Historic England.

Quality of draft grey literature reports and products

Grey literature reports (RRS and non-RRS – please see section 4.1) and other products will need to be submitted to Historic England in draft form so that Historic England staff (and other stakeholders where relevant) can review and comment on the material. The draft report or other product must be of sufficient quality to be accepted for review and comply with all relevant guidance, where applicable. The draft report or product must:

- be comprehensible throughout;
- be well-argued and constructed;
- be internally consistent in terms of ideas expressed;
- have been proof-read with simple grammatical errors, spelling mistakes and other typos corrected as much as possible.

Historic England will provide feedback and comments on the content of draft documents so that appropriate revisions can be made if necessary. Please note that proof-reading for spelling and typos etc. is not the responsibility of Historic England. Grantees should allow sufficient time and resource for the drafting and revision process in their Project Design.

3.4 Variations to your funding agreement

You should make every effort to achieve the objectives of your project within the time and costs specified in your funding agreement.

We recognise however that emerging results or unforeseen circumstances on occasion require changes to the objectives, costs or timetable of a project. This will require a formal variation to the funding agreement.

You should inform your PAO of any possible timetable or financial variation requests at the earliest opportunity and before any changes are initiated. We will not retrospectively issue a variation to your funding agreement.

If your PAO feels that a variation may be warranted, you should prepare a written variation request which should be sent by email to the Grants Team and copied to your PAO. The Grants Team or your PAO can provide advice on the format of variation requests.

Three forms of variation are possible:

1. Change to the scope of the project
2. Change to the completion date
3. Change to the overall cost of the project

Changes to the completion date or costs may require updated project milestones and stage payments. If approved by the Grants Team, we will issue a variation order which you will need to sign and return to us as soon as possible.

Minor changes to the project are defined as tolerances and include the transfer of resources between activities: these do not need formal approval from us, although your PAO should be informed.

3.5 Payments

All payments will be made by bank transfer. We ask for bank details to be included on the A1 form and if you have never received Historic England funding before we will also need proof of bank details in the form of a statement/paying slip/ copy of a cheque.

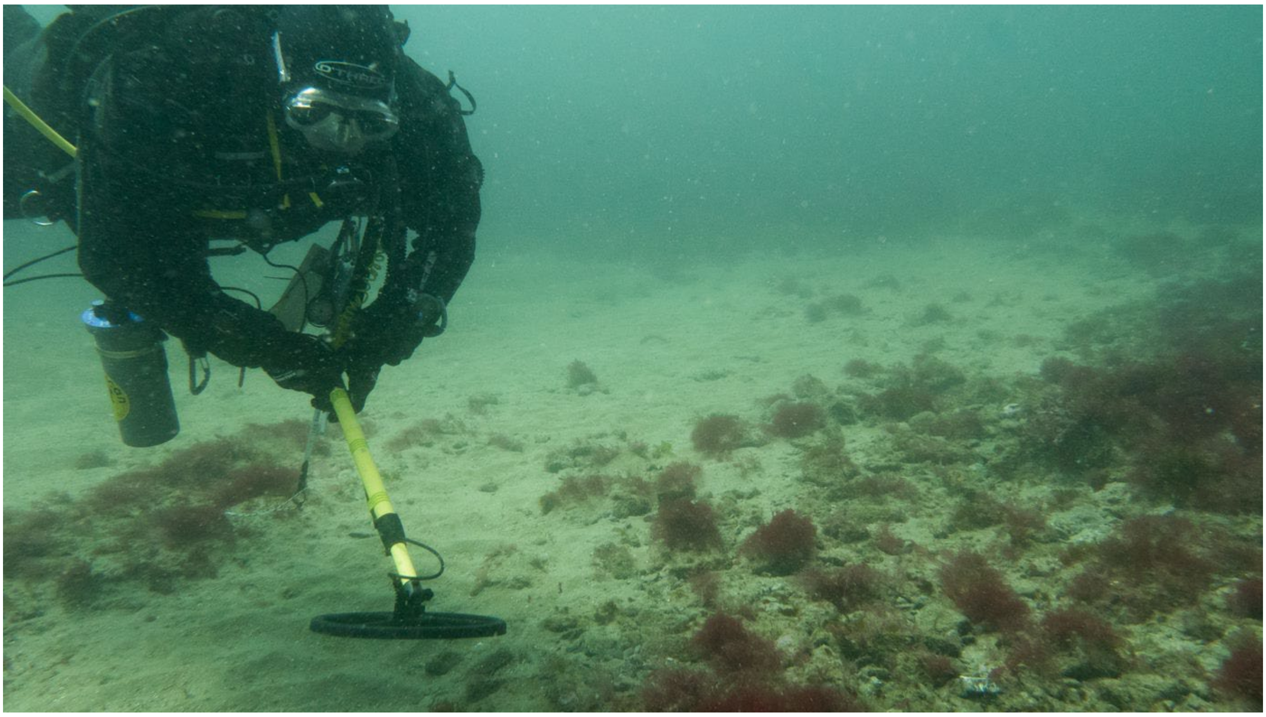
The payments (in instalments) which have been agreed with your PAO will be set out in the funding agreement and the milestone and instalment schedule. Payments are normally made in arrears, although a start-up payment to cover initial costs is usually agreed.

Application for each instalment will be made by submission of an A2 form.

Each instalment will be paid subject to the instalment schedule and satisfactory project progress based on highlight reports and the recommendation of your PAO. Payment requires the authorisation of the Head of Grants. There is no need to submit a statement of expenditure unless this is specifically requested.

3.6 Publicity

If you are planning to promote the project (at any stage) by issuing a press release or using social media, please refer to our webpages on planning grant acknowledgment - using our brand and make your PAO aware. As well as the Historic England branding the ‘Funded by UK Government’ logo should also be used as funding comes from the UK Government. Logos are available from our visual acknowledgment toolkit.



Project 7867 Affiliated volunteer project showing a volunteer diver using a metal detector on the Salcombe Cannon protected wreck sites following training on land by members of SWMAG ©MSDS Marine.

4 Completing your project

The final products and outcomes of your project should be specified in your detailed project design (PD) and will be set out in your funding agreement.

All final products should be submitted to your Project Assurance Officer (PAO) and the appropriate Grants Team Project Officer at grantsbusinessimprovement@historicengland.org.uk. You will also need to submit a project stage closure report (see Appendix 2).

The Grants Team and your PAO will discuss whether the final payment can be made, and if it can, your PAO will request an A2 form.

4.1 Grey literature reports, draft monograph texts and other project products

Research Report Series (RRS) Reports

For most research projects, final grey literature reports will be published on Historic England's Research Report Series (RRS) database. RRS reports must be produced in Historic England's RRS template in line with the associated guidance provided. RRS templates and guidance are available from the Grants Team.

- The reports must be accessible (see Appendix 5) and confirmation that accessibility checks have been carried out must be provided to Historic England when the final report is submitted.
- If copyright permission is required for any images or other material this must be obtained and a copy provided to Historic England, as per the details in the RRS guidance. If there are any restrictions on the copyright licence this should be discussed with Historic England before the image or material is used.
- Reports must include the 'Funded by UK Government' logo (see section 3.6).

Other reports and products

If a grey literature project report is to be produced in a format other than an RRS report, this will be agreed at the project design stage and requirements and standards for the final report should be clearly defined. Likewise, the format of other products, such as guidance or toolkits, should be agreed and defined at project design stage.

- Non-RRS reports and other products must still be accessible (see Appendix 5) and confirmation that accessibility checks have been carried out must be provided to Historic England when the final product is submitted.
- All digital files must be produced in standard file formats accessible to Historic England (e.g. .docx, .xlsx, .pdf, .jpg, .tiff). Requests for alternative submission formats must be discussed with Historic England and agreed before files are prepared and submitted.
- If copyright permission is required for any images or other material, this must be obtained and a copy provided to Historic England. If there are any restrictions on the copyright licence that would affect Historic England using or disseminating the information this should be discussed with Historic England before the image or material is used.
- The 'Funded by Historic England' and 'Funded by UK Government' logos must be used on all project products (see section 3.6).

Submission of final grey literature reports and products

Final versions of reports and products must be submitted in the agreed format with all accessibility checks, quality checks and proof-reading completed.

Draft monograph texts

Some projects will produce draft text intended for formal publication as a monograph. At the end of the relevant project stage this draft material should be submitted to Historic England in digital format ready for peer review as per the following requirements:

- Chapters for main text should be together in one document where possible. If this is not possible (due to document size for example) all documents for individual chapters and sections must be clearly labelled so that reading order is apparent.
- The main text should include correct references to relevant figures. If the figures are provided in a separate document or file collection these must be organised in reading order with each figure labelled correctly and clearly identifiable. Where a large number of figures are included in the submission, a separate figure checklist to guide the reviewer is recommended.
- All documents must include page numbers.
- Document font should be Arial, size 12.
- All digital files must be produced in standard file formats accessible to Historic England (e.g. .docx, .xlsx, .pdf, .jpg, .tiff). Requests for alternative submission formats must be discussed with Historic England and agreed before files are prepared and submitted.
- A basic proof-read for grammatical errors, spelling mistakes and formatting issues must have been carried out.
- If there are any issues that the reviewer needs to be aware of this information must be provided in an explanatory note accompanying the draft material.

Once the draft monograph text has been reviewed, subsequent editorial work and publication costs will be subject to a new funding agreement with us.

5 Editorial work

Draft reports destined for journal publication should be refereed by the journal itself. We do not normally provide editorial grants for journal publications.

Draft reports destined for monograph publication will be refereed for Historic England by a reader with the appropriate expertise and authority. Your Project Assurance Officer (PAO) will collate refereeing comments and forward them on to you. If no revisions are requested, publication can proceed.

If revisions are requested, you should produce a short project design (PD) for editorial work. Please be aware that draft reports should be of an appropriately high standard (see section 4.1). We will not pay either for completion of work which should have been done as part of a previous stage, or for revision of work which could reasonably have been expected to be of a higher quality. We do not pay for editorial PDs.

Editorial PDs should be based on the format given in Appendix 1, although some sections may not be required, or may only require brief statements. All editorial PDs should include the collated comment as an appendix. You may wish to respond to comment paragraph by paragraph and relate these responses to the task list. Advice on editorial PDs can be provided by your PAO.

When your editorial PD has been completed it should be submitted digitally along with an A1 form to the Grants Team.

A single payment will normally be made on completion of the editorial work.

Referees

Historic England uses external referees with relevant knowledge and expertise to review draft publications and offers a standard fee of £500 to undertake this work. Publications that are exceptionally large or complicated may justify an enhanced fee and/or require more than one referee.

Referees are kept anonymous. They must not have any conflict of interest regarding the draft publication that they are reviewing.

Any person with knowledge and expertise relevant to Historic England's work who wishes to register their interest in being a potential referee can e-mail: grantsbusinessimprovement@historicengland.org.uk . Please include details of your specialist subject area and your professional background. We will need to keep this information and your contact details on record so please give your consent for us to do so.

6 Publication grants

6.1 What funding is available?

Publication grants are only usually available for projects where data collection or analysis was previously funded by Historic England (HE) or its predecessors. Grants are available for monographs, popular publications, guidance documents and journal articles.

Publication grants are normally paid directly to the publisher who should apply for the grant.

Digital dissemination via websites is encouraged and supported through the publication grants procedure. We ask that applicants think carefully about the likely demand for hard copies and therefore the size of the print run (see Appendix 3).

6.2 How and when to apply

Applications for publication grants are accepted year-round as part of our Open Proposals Programme. You should submit an application to the Grants Team identifying the name and number of the original Historic England project.

If you are applying for support for a journal article, you should submit a P2 form and a P2a form: for anything else you need to submit a P1 form and a P1a form and two printing quotes if relevant.

If you are applying for a publication grant where the original data collection or analysis was not previously funded by HE or its predecessors, you will need to submit an initial project proposal (PP) based on the format given in Appendix 1.

Payments for publication grants are usually made on receipt of the final product. To claim a payment you should submit a P3 form.

6.3 What we expect from your publication

Copies for Historic England

It is a condition of grant that four copies of the publication (if printed) or a PDF of the journal article should be provided to us free of charge: this is to enable us to distribute to our libraries for public access. Print copies of publications should be sent to us at the Swindon Office. You should provide all contributing members of Historic England (HE) staff with print copies of the final publication independently of the four copies you send us.

Working links must be provided for all online digital publications.

Funding logos

All published reports, whether journal articles or monographs must include, as a condition of grant, appropriate acknowledgement of HE funding. This includes the 'Funded by' HE logo and the 'Funded by UK Government' logo as funding comes from the UK Government. For monographs these should be placed on the back cover. You must e-mail us a PDF of the draft cover, including the funding logos, for approval six weeks before printing/online publication. Digital versions of the logo and brand guidelines are available in our visual acknowledgment toolkit.

Monograph Account

Monographs are eligible for a grant of 100% of the report preparation and printing costs. You must either keep the receipts from sales in a separate account, or ring fence them within existing accounting structures. Sales income (after deductions for postage costs) should be used to reduce the grant requested from us for future publications. You must keep accurate sales figures as we will ask you to provide data from this account annually. We refer to this as a monograph account. If you don't wish to keep a separate account, you can apply for a grant to cover the printing costs alone.

Please also note:

- For monograph applications, costs relating to report preparation should include additional information in the 'comments' box identifying who will be undertaking the work: please see the P1a form.
- Monographs should be indexed.
- We do not fund foreign language summaries as standard: any costs for these must be accompanied by strong justification for their inclusion.
- We can consider costs for copyright fees if necessary, but these must be fully explained and justified, with confirmation that the related image or information is essential to the text.
- A maximum mark-up of 50% can be added to the unit cost of publications to determine the cover price unless otherwise agreed with Historic England.
- We strongly encourage the publication of digital Open Access versions of monographs. For projects where print copies are considered appropriate a hybrid approach, which includes Open Access and a small print run, is often preferable. We can also consider print-on-demand publishing models: please contact the Grants Team at grantsbusinessimprovement@historicengland.org.uk if you wish to discuss this.
- Open Access journal articles are eligible for a grant of 100% of report preparation and publication costs. Journal articles that are not Open Access are eligible for a grant of 75% of report preparation and publication costs.
- You must inform us of any delays to the publication timetable and a new publication date must be agreed with Historic England.

Please see **Appendix 3** for more information and guidance about publishing.

Digital twin image of Christ Church from community engagement project 8274 Surveying Heritage in Rossendale © Valley Heritage

7 Storage grants

7.1 What funding is available?

Grants are available for the storage of physical archives from projects funded wholly or partly by Historic England (HE) or its predecessors. These are one-off payments to secure the future of the archive and will only be paid to museums or repositories that take full ownership of the archive via a formal Transfer of Title.

7.2 How and when to apply

Storage Grant funding is currently under review. Any museum or repository wishing to apply for a Storage Grant should contact the Grants Team at: grantsbusinessimprovement@historicengland.org.uk so that we can advise on making an application.

We would normally ask for the grant request to be submitted once the museum/repository is ready to accession the archive.

Please note:

- Storage grants are normally paid directly to the receiving museum/repository.

- We would expect best practice guidance to be followed in relation to archiving – please see Archaeological Archives: A Guide to best practice in creation, compilation, transfer and curation for a guide to the process of archaeological archiving for materials and documentary archives.
- Some projects may require a proposal and/or project design: the Grants Team will advise if this is the case.
- We reserve the right to review storage facilities before offering a grant.

8 Digital archiving

For research projects, we ask you to ensure that digital archives are deposited with a publicly accessible Trusted Digital Repository approved by Historic England e.g. the Archaeology Data Service (ADS). Grants are only available for projects funded wholly or partly by HE or its predecessors.

8.1 What is digital archiving?

Digital archiving is distinct from digital dissemination. By asking for deposition of a digital archive we are ensuring that the data is preserved for the future in a format that can be migrated as and when operating systems and software usage changes. A technical guide on digital archiving is available on the ADS website.

8.2 Preparing for digital archiving

Advice should be sought at an early stage in the project from the digital archiving organisation that will receive the archive. You should prepare and organise the datasets so the exact number of files, the format of files, and the size of files can be calculated as part of any final reporting or archiving stage. You also need to ensure that you have agreed any issues relating to copyright. Ideally, the full dataset from all project stages should be prepared and archived to a similar standard and particularly with a view to the data's suitability for reuse by others. Priority should be given to digital preservation of data records which *only* exist in digital format. Please see section 11 on Data Management Plans for more information about managing data.

8.3 Digital storage grants

Applications for a grant to cover the costs of storing the digital archives can be made by using the S2 form and sending this to the appropriate Grants Project Officer at grantsbusinessimprovement@historicengland.org.uk. Payment of the grant will be made following submission of an S3 form.

9 Online access to OASIS

9.1 What is OASIS?

OASIS is an acronym for Online Access to the Index of Archaeological Investigations and is an online recording system that provides an index to information and reports about historic environment investigations and links to associated Historic Environment Records (HERs).

Completing an online OASIS form for a project helps improve access to, and distribution of, any grey literature reports that are produced in the course of historic environment investigations.

9.2 When should you use OASIS?

You should complete an online record using the OASIS form for all investigative projects funded through Heritage Protection Commissions. Guidance on completing the form can be found on the OASIS website.

Project types that automatically need an OASIS entry include:

1. Desk-based assessments
2. Field evaluations
3. Environmental assessments
4. Recording projects (excavations)
5. Research projects
6. Estate management surveys
7. Building recording
8. Publication projects
9. Archiving projects

Confirmation that the OASIS form has been completed will normally be a formal project milestone in your funding agreement.

10 National Planning Policy Framework assistance cases

10.1 What is the National Planning Policy Framework?

The National Planning Policy Framework (NPPF) replaces all previous Planning Policy Statements, including PPS5. Its central theme is the ‘presumption in favour of sustainable development’. The NPPF places the responsibility for funding any historic environment work necessary to mitigate the effects of development on developers.

We suggest you look at paragraph 44 of our *Good Practice Advice in Planning: Managing Significance in Decision Taking in the Historic Environment*, which notes that where a new heritage asset proves to be more significant than foreseen at the time of application, the local planning authority is advised to work with the developer to seek a proportionate solution that protects the significance of the new discovery, so far as is practical, within the existing scheme. Developers are advised to incorporate the potential for unexpected discoveries into their risk-management strategies.

10.2 Emergency investigation funding under the NPPF

We recognise that the best-planned and informed scheme can result in entirely unexpected discoveries of national significance. Therefore, it may be possible to provide ‘funding of the last resort’ to ensure that a suitable record is made prior to destruction or loss of significance.

We will only consider financial assistance towards the investigation, analysis or dissemination of such discoveries if:

1. The desk-based assessment and field evaluation were appropriate and sufficient, and the discovery is genuinely unexpected and could not reasonably been predicted. We cannot provide funding if the threat to the historic environment could have been predicted but was missed because desk-based assessment or field evaluation was inadequate or inappropriate, whether as a result of poor practice by a contractor or inadequate brief

2 The asset discovered is of national significance. We will look to our Local Office, the local government heritage officer and expert opinion to provide a judgement on the significance of the case

3 The planning process set out in the NPPF has been followed. We cannot fund cases where the NPPF has not been followed by the local planning authority or where appropriate and reasonable conditions were not placed upon the developer. We normally expect to be provided with copies of permissions and briefs

4 Every effort can be demonstrated to have been made to accommodate unexpected discoveries within the available resources. We cannot underwrite developers who are not prepared to meet the full costs of the conditions placed upon them. Statements on the mitigation strategies that have been explored following unexpected discoveries are essential

10.3 How and when to apply

We must be consulted as soon as it appears that unexpected discoveries have been made. We will not consider retrospective applications to cover costs already incurred when we have not been consulted or agreed to the response and its cost implications. Your first point of contact should be the relevant Local Office, or if time is critical the Grants Team and/or Head of Grants at grantsbusinessimprovement@historicengland.org.uk.

The request for funding must come from the appropriate local government heritage officer with responsibility for the case. Contractors or consultants should not make direct funding requests. If necessary, the local heritage officer should coordinate any contribution that they make to the submission.

If initial discussions indicate that there is a good case for NPPF assistance, the local government heritage officer will be asked to submit an Application Questionnaire to the appropriate Grants Team Project Officer at grantsbusinessimprovement@historicengland.org.uk.

We will endeavour to respond as rapidly as necessary; the local government heritage officer should draw attention to any potential time constraints.

If we approve the application, we will ask the local government heritage officer to produce a brief for the additional work. We may specify conditions such as the focus of the work or the scale of recording to be undertaken.

If a contractor is already engaged for the work, the local government heritage officer should ask them to prepare a project design (PD) against this brief. If no contracting organisation has already been engaged, the work will usually be awarded by competitive tender.

Additional works should normally be based on the existing brief, written scheme of investigation and PD(s) with appropriate revisions. The original recording and sampling strategies should be reconsidered in the light of unexpected discoveries and new strategies put in place as necessary.

The PD should be sent to the Grants Team and copied to the local government heritage officer who must be satisfied that any proposed work constitutes an acceptable scheme of investigation.

We will normally issue an agreement directly to the contracting organisation. Projects will then be handled in accordance with our usual procedures as outlined above.

If we decline to assist, the Head of Grants will contact the local government heritage officer to explain the reason for this decision.

11 Data Management Plans and Statements

All projects creating data will need to have a Data Management Plan (DMP) in place at the start of the project which is maintained and updated during the life of the project. This will set out how project data will be collected, stored managed etc. A Data Management Plan template is available on our website. Further advice on DMPs is available from the HE funded Dig Digital project. This was developed for archaeological projects but the general principles apply to most other projects.

You should ensure that the time and associated costs for implementing the data management plan are included in your project design.

All projects which update Historic Environment Records require the HER to have a Data Management Statement (DMS). If the project is directly funding the HER and it does not already have a DMS HE will consider the inclusion of time to complete a DMS for the HER as part of a project. Where the project is external to the HER and the HER does not already have a DMS this should be flagged, and HE will assist the HER in completing one prior to the end of the project.

12 Research Ethics

As a Public Sector Research Establishment recognised by UK Research and Innovation as an Independent Research Organisation, Historic England is expected to conform to the highest standards in the research we conduct, whether done internally by our own staff, through commissioned projects and tenders or in partnership with external bodies.

Historic England has a responsibility to ensure that all research we support has been rigorously assessed in terms of any ethics implications arising from the research design, methodology, conduct, dissemination, and the archiving, future use, sharing and linkage of the data produced. Please see our Research Ethics Policy and Procedures.

As such, it is expected, where necessary, that research carried out through commissioned grants will require ethics approval. Any such approval application will be submitted by Historic England, but you must provide details of any Ethical considerations for your project in your PD: please see the PD template in Appendix 1 for further details. If you have already received ethical approval from an external ethical body, you will need to include the ethical approval along with the application submitted as supporting documents to your PD, so we can review to ensure that it aligns with our ethical approval process.

13 Climate Change

Historic England strongly supports urgent climate action. Heritage has a crucial role to play in helping society to mitigate, manage and adapt to the impacts of climate change, ensuring communities can reduce their environmental impact, transition to Net Zero, and improve resilience, to future change.

Our Corporate Plan sets out our Climate Action Priorities, and our Heritage and Climate Change Strategy describes Historic England's response to the climate crisis. It includes our Vision and Aims, what we are doing as an organisation, and how we will prioritise our work. It also explains how we will work in partnership, and support and empower people outside Historic England to combat climate change.

Historic England has committed to achieving net zero and has set an ambitious target to be net zero by 2040. Our Carbon Reduction Plan sets out our focus areas and how we will achieve our target.

We are keen to raise awareness of environmental issues and ask applicants to consider these when applying for a grant from Historic England. Projects must consider how the current and future climate-driven risks and impacts could affect the outcomes and must ensure projects are designed with these risks/impacts in mind. We realise that not all these issues will be applicable to every project, and that you may not be able to change your ways of working, but when applying for a grant please consider the following:

1. Day-to-day operations
- Will any greenhouse gas emissions be produced by your activities e.g. through the burning of fossil fuels whilst running a gas boiler, or fuel combustion from using vehicles or equipment? Can these be reduced, if so how?
- Will you be working from an office/site which uses electricity and is this renewable or non-renewable? Can energy consumption be changed or reduced, if so how?
- Can you reduce the number of journeys required as part of your project and/or could you use lower carbon modes of transport e.g. walking, cycling, public transport, electric vehicles etc?

2. Purchase of goods, materials and services and the supply chain
- What will you need to purchase to deliver your project, and what types of materials are these things made of? Has there been any consideration to the use of sustainable and/or recycled materials? If yes, please detail.
- Do you have any plans to reuse any materials throughout the duration of your project? If yes, please detail.
- Has there been any consideration of transport costs associated with goods and material supply and/or construction techniques? If yes, please detail.

3. Will you be producing any waste? If yes, what kind of waste? Please consider the waste hierarchy.

4. Are there any other ways you can reduce environmental impacts?

14 Modern slavery

Historic England has a zero-tolerance policy for any form of modern slavery, coerced labour or human trafficking, both within its own business, within its supply chain and amongst grant recipients.

Further details about our policy can be viewed on our website.

Our standard grant conditions, which will be issued to you should your application for funding be successful, include a reminder to you about your obligations under the Modern Slavery Act 2015.

15 Equality and diversity

Historic England is committed to diversity and inclusion and ensuring our grant projects can deliver outcomes for people and communities as well as heritage. You can read more about this is in our strategy for inclusion, diversity and equality.

16 Complaints procedure

We aim to establish an open and transparent procedure.

If you have a complaint or grievance about the handling of your project, or the behaviour of Historic England staff, then you should discuss these with your Project Assurance Officer (PAO) in the first instance.

If satisfactory resolution is not achieved, or if the complaint relates directly to the behaviour or performance of your PAO, the complaint should be made in writing and by email to the Head of Grants at our Swindon Office. The Head of Grants will acknowledge receipt of complaint and will set out a deadline (normally no more than 10 working days from receipt) for a substantive response to be made.

If the complaint relates to the behaviour of the Head of Grants, it should be made in writing to the Director of Strategy and Business Development at our Swindon Office.

Further information on complaint procedures is available from Historic England at our Swindon Office.

The Senior Officer Responsible is ultimately accountable for a programme meeting its objectives, delivering the projected outcomes and realising the expected benefits. They are the owner of the business case and accountable for all aspects of governance.

The Senior Officer Responsible for this grant stream is Melanie Lewis, Director of Strategy and Business Development.

Appendix 1

Application documentation

Suggested format for project proposals

Project Proposals (PPs) should be no more than a few pages of text, with illustrations (if appropriate) and should provide sufficient information to enable us to appraise the significance of the project and its relevance of the Historic England Corporate Plan, the Public Value Framework, and if relevant, the Research Strategy.

Document control grid

Document control grid	
Project Name	
Organisation applying for funding	
Company Number	
VAT Registration Number (if applicable)	
Charities Commission Number	
UK Educational Institute ID (see UKRLP website)	
Author(s) and contact details	
Other funding: Have you applied, or are you intending to apply, for funding from other sources in relation to this project? If 'Yes' please list.	
Origination date	
Version	

Background

The background should set out how we have got to the current position; it allows you to set out in brief the context for the work.

Aims

Project aims are the things you want to achieve or enable, the outcomes you want or the questions you want to answer.

Aims and objective should not be confused with the business case.

Business case

Why should the project be undertaken at this time, and by the proposed team?

Reference should be made to the Historic England Corporate Plan and/or other frameworks, including our Research Strategy and Public Value Framework (see Appendix 4), but you should also add your own justification for the project.

Who are the stakeholders and who will benefit?

Methods

Outline in brief the methods to be used to meet the project's aims and assess its impact. Does the project need breaking down into stages?

Products, communication, engagement and archiving

Outline in brief the main project products; how will these be disseminated and archived? How will you ensure any digital products are accessible?

Project team

Who are the key members of the Project Team?

Estimated budget

What is the estimated overall cost?

Estimated timetable

How long will the project take or when will it be completed?

Project design cost and timetable

Set out the cost and time required to produce a full project design

Suggested format for project designs

The project design (PD) is the key project management document. It should be a comprehensive, free-standing document that assumes no prior knowledge on the reader's part.

Document control grid

Document control grid	
Organisation and contact details	
Project Name	
Organisation applying for funding	
Company Number	
VAT Registration Number (if applicable)	
Charities Commission Number	
UK Educational Institute ID (see UKRLP website)	
Author(s) and contact details	
Other funding: Have you applied, or are you intending to apply, for funding from other sources in relation to this project? If 'Yes' please list.	
Origination date	
Version	
Policy details (these may be requested)	
Do you have a H&S statement, and will you conform to all relevant H&S legislation? (mandatory)	
Will you adhere to our modern slavery policy? (mandatory)	
Do you have a net zero policy (not mandatory) – have you addressed climate change when putting together the PD and/or are you working towards a net zero policy? (mandatory)	
Do you have a research ethics policy? (not mandatory)	

Project summary

This section should briefly focus on:

- The need for the project
- The overall aims of the project
- The work that will be done to achieve this aim

Your summary should be in plain English and avoid any unexplained acronyms. If there are any confidentiality requirements, they should be set out here.

Background

The background should set out how we have got to the current position and it allows you to set out the context for the work. You might want to consider previous related work, and how the project relates to the current political, economic, social, climatic or heritage sector context.

Aims

Project aims are the things you want to achieve or enable, the outcomes you want, or the questions you want to answer. Think about what success will look like.

The aims of the project are the changes you are hoping to effect in the historic environment as a result of this work. They are not a list of products.

It may also make sense to split the aims into different sections, for example, management aims, methodological aims, outreach and dissemination aims. For some projects, it may be easier to set out a series of research questions in this section.

Aims should not be confused with tasks.

Business case and Public Value Framework

Why should the project be undertaken at this time, and by the proposed project team?

Reference should be made to the Historic England Corporate Plan, and if relevant, the Research Strategy, but you should add your own justification for the project. This should be a convincing case that the project will make a real and positive impact on England's heritage.

- Should the project address any other frameworks or strategies?
- How will the project represent a good return on investment for England's heritage?

Historic England has adopted a Public Value Framework (PVF) to provide assurance to its stakeholders, including the taxpaying public, that it invests public money in ways that optimise value. Authors should make assiduous efforts to respond to the PVF; particular weight will be placed on the alignment of PDs with our Corporate Plan strategic activities and goals. PDs should set out clearly how the project will return a good investment.

Stakeholders and interfaces

Who is going to be involved, e.g. Historic Environment Records? Do you need any stakeholders to be involved in the project, i.e. to comment on draft reports?

Who is the project going to benefit? Whose attitude and behaviours is the work seeking to change?

Who else will be interested and want or need to be informed? Are there any opponents?

Will the project impact or benefit diverse audiences?

Are there any connections which need to be established between this project and other projects, preceding, concurrent with, or following on from it?

Methods and scope

You will be expected to demonstrate a clear methodology that will meet the project's aims. What is in and out of scope? What techniques or approaches will be employed and are specific sources of information to be used?

Where appropriate, reference should be made to professional standards and guidelines relevant to the work to be done (such as those published by the Chartered Institute for Archaeologists for archaeological investigation). How will you publicise and promote your project while it is underway, and do you need to talk to Historic England Communications (see website for further details). It may be appropriate to link paragraphs in the methodology to numbered tasks in the task list.

Assessing impact

It is important that all projects commissioned by Historic England make an impact. You should, where practical, attempt to assess this as part of your project. This evaluation should be comprehensive but proportionate.

You should address impact evaluation at the planning stage of your project and set out how you will do this. You will need to work out how this evaluation will be designed and managed and should set out:

- Where are you at present (e.g. what you already know or what tools or information already exist)
- Your planned outputs (products) and outcomes (the impact these products will have) – it is important to demonstrate a link between your outputs and outcomes
- How you will determine if your outcomes/impact have been achieved
- When and how often you will assess outcomes/impact
- How you will present the evidence

Kinds of outcomes/impacts which might be recognised are:

- Skills will be developed (product) to allow more effective responses to unavoidable changes in the historic environment (outcome/impact)
- Local authority strategic plans and marine plans are better informed (product) about the heritage impacts of significant threats leading to reduced developer risk (outcome/impact)
- Nationally important heritage at risk assets are investigated (product), resultant knowledge is secured and shared with the public, leading to better understanding (outcome/impact)

Products, communication, engagement and archiving

What will the project produce in terms of both hard and soft products (reports, databases, mapping, meetings etc), and how will these contribute to the project's ultimate aims? You should provide product descriptions for the main products and/or a synopsis. You may wish to include these in tabular form as an appendix (see below).

If the project will produce a Research Report Series (RRS) report this should be agreed with Historic England. Reports in another format should likewise be agreed and specified (see section 4).

Please consider how you will make sure that the products meet accessibility requirements (see appendix 5) and include sufficient time and budget for this.

How will products be disseminated and archived?

Include relevant tasks in the task list.

Stages and tasks

Does the project need to be broken down into stages? A task list which includes days per person, per task (including administration tasks and staff) must be included (see below) in all PDs. This should link to the methods.

Ownership and copyright

Copyright on the final products will, in most instances, rest with you. However, an in-perpetuity licence will be granted to Historic England to ensure wider public benefit and dissemination.

Project Team

What are the roles and responsibilities of the Project Team (including subcontractors)? You may wish to include short biographies or CVs.

Recording volunteers

Will any volunteers be involved in the project? Historic England is collecting information about who is involved in the work we fund. We would be grateful if you could collect some anonymous information on volunteering for us. Please contact the team Project Coordinator at grantsbusinessimprovement@historicengland.org.uk. for more information.

Communications, review and evaluation

How will the Project Team communicate both internally (meetings, emails, discussions etc) and externally (with Historic England and other stakeholders)? How will progress be reviewed and who will be responsible for grant applicant's quality assurance? You should specify the frequency and format of review meetings and highlight reports.

Health and Safety

All PDs should include a Health and Safety statement. Safeguarding policies should be included for any projects dealing with young/vulnerable people.

Research Ethics

If advised by the Grants Team or you consider it relevant, your PD should include a section where research ethics are considered along with details of:

- the risks and potential harm that may arise from the research and how it will be addressed, including the potential risks to the researcher and/or research team, participants and/or cultural heritage

- where applicable, how personal and/or sensitive data will be processed, stored, and destroyed, and who will have access to the data

If necessary, you will be asked to complete a Commissions Grants Research Ethics proforma as part of your Project Design.

If appropriate, on completion of the project, you will be required to provide answers to two ethics questions, these will form part of your project closure report (please see Appendix 2). These questions allow you to note ethical issues, apart from those noted in the PD, that arose over the lifespan of the project and how they were dealt with.

Budget

You will need to complete the Commissions and Capacity Building Costs Spreadsheet.

You must calculate your costs using this template and set them out by financial year.

Timetable

You should include a Gantt chart and/or detailed timetable.

Risk log

You should include a risk log. You may wish to include this in tabular form as an appendix (see the following page).

Suggested format for task lists

Task No.	Task Details	Staff shown by initial	No. Days
Project Management			
1	Project management (including highlight reports)	CD	2
2	Team meetings	TC/CD/GB	1/2/1
3	Publication synopsis	KB	0.5
4	Updated project design	TC	3
Stage 1: Liaison with HE/Specialists			
5	Liaison with HE illustrator	CH	1
6	Digitising relevant specialist reports (OCR scan)	CH	0.5
7	Liaison with relevant staff and specialists, including collation and distribution	CD	2
8	Arrange delivery/collection of finds to specialists	CD	1
Stage 2a: Artefacts			
9	Small finds	FY	14
10	Glass	FY	0.5
11	Wall plaster	FY	11
12	Roman pottery	PW	35
13	Anglo-Saxon pottery	CD	4
14	Medieval and post-medieval pottery	CD	11
Stage2b: Environmental analysis			
15	Animal remains	CW	14
16	Insects	K	11
17	Plant macrofossils	K	2
18	Pollen	K	19
19	Re-prepping pollen	KB	2
Stage 2c: Scientific reports and dating			
20	Radiocarbon dating	CB	4
21	Dendrochronology	CB	4
Stage 3: Mapping and illustration			
22	Digitising base site plan	PB	2
23	Lidar	D	2
24	Update site illustrations and include photos	D	15
25	Produce updated and additional finds illustrations	AS	10
26	Finds photography	FY	1
Stage 4: Publication			
27	Collate publication draft	CD	25
28	Internal edit and dispatch for refereeing	TC	5
Stage 5: Archiving			
29	Prepare archive for deposition and deposit archive	DB	15
TOTAL			220.5

Suggested format for risk log

A risk log should be included in your detailed project design. It should help you monitor project risk (uncertainties in outcome).

It should be checked when you are reviewing progress to assess whether the likelihood of each risk has changed, and whether any anticipated risks are occurring. The risk log will generally take the form of a table with the following columns:

Risk Number	Description	Probability	Impact	Counter-measures	Estimated time/cost	Owner	Date this entry last updated
	Description of the risk	Probability of the risk occurring (high, medium, low)	Likely impact of the risk (high, medium, low)	Agreed action(s) to avoid or reduce the impact or probability of this risk	An estimate of time and cost for agreed counter-measures for each risk; if a risk occurs and there is a need for either additional time or funds then this should be discussed with your PAO and a request for a variation prepared (see section 3)	The member of your Project Team responsible for monitoring this risk and notifying the Project Manager if it occurs. This should be someone 'close to the problem'	The risk log should be reviewed as the project progresses

Suggested format for product descriptions

Product descriptions for the main products should be included in your project design. Highlight reports and project stage closure reports do not need product descriptions.

Product descriptions generally take the form of tables with the following headings:

Product Number	
Product Title	
Purpose	What is the aim of the product?
Composition	What will the product consist of? This section allows you to include a detailed report synopsis if necessary.
Format	
Allocated to	Who on the Project Team will undertake the work? Where this is not known, the required skills should be documented.
Quality criteria and method	How will the quality of the product be checked? Quote relevant standards or guidelines.
Person/group responsible for quality assurance	Who in the Project Team (or Stakeholders) will be involved in checking the quality of the product? Who on the Project Team will approve the final version of the product?
Planned completion date	Estimated dates for the first draft or prototype, and planned date for delivery or completion.

Appendix 2

Progress documentation

Suggested format for highlight reports

Highlight Reports should be written by the Project Manager. They should be emailed to your Project Assurance Officer (PAO) at least one week in advance of meetings. They should address general progress, as well as specifically covering any project milestones due during the review period.

Headings generally include the following, although complicated projects may require additional headings and considerable detail.

Project name and number	
Author	
Date	
Circulated to	
Period covered (normally since the last project meeting or last highlight report)	
General progress	
Timetable (is the overall project on schedule, ahead of schedule or falling behind?)	
Budget (is the overall project on budget, underspent or overspent?)	
Resources (does the overall project have the resources; staff, time, equipment etc, it needs?)	
Products and tasks completed during this period, i.e. since the last highlight report	
Products and tasks to be completed during the next period, i.e. before the next highlight report	
Project risks – have there been any changes in the status or likelihood of risks documented in the risk log? Have any new risks been noted?	

It may be useful, for long and complicated projects, to include a report by task as listed in the project design, giving amount of time used and estimating percentage of task complete. This will demonstrate any risks associated with the timetable or costs. A comments section should also be included which notes how problems will be addressed.

Task No.	Days allocated in PD	Days already undertaken	Estimated % complete	Comments
Task 4	8	6	85%	Completion to plan is expected.
Task 5	10	7	50%	Although this is behind schedule, initial problems with the database have been addressed and recording is proceeding faster than expected.

Suggested format for end of project stage closure reports

Project stage closure reports should be written by the Project Manager. They should be emailed to your Project Assurance Officer (PAO) and to the Grants Team at Historic England at the end of each agreed project stage.

Reports should summarise the project and must include a statement on the impact and public value it has or will have in the future (see Appendix 4). They should also set out highlights, challenges and recommendations which might help you or Historic England when planning future projects.

Headings generally include the following, although innovative, complicated or problematic projects could require additional headings and considerable detail. Some questions you may wish to consider are set out in the following table but you should think about your project and address its specific issues.

Project name and number	
Author	
Date	
Project summary and impact statement	A short description of the project, and its outcomes. Some questions to consider should be: 1) What did it achieve and/or produce and how did it do this? 2) How was the project publicised, disseminated and promoted? 3) What will change as a result of the project? 4) What or who will benefit from the project outcomes and outputs (products) and how will this benefit be realised? 5) Will the project make a huge difference to a few historic buildings or places/people/groups, or will it influence a lot of things/people to some degree? 6) How do you, or will you, know if your outcomes/impact have been achieved, and do you need to assess the outcomes/impact of your project in the future? If so when? 7) Has sustainability been addressed, how will the project continue to make a difference, and are any systems or agreements in place which ensure this happens? 8) It is a Historic England corporate priority to enrich the National Heritage List for England. Can this project contribute to this?
Highlights	Which processes, tools, techniques and methods worked well and why?
Challenges	Which processes tools, techniques and methods encountered problems and why? Some questions to consider could be:

	1) Did the project achieve its aims, or more/less than intended? 2) Were there any exceptional outputs (e.g. photographs, specific reports, new methods)? 3) Did anything not work as planned? 4) Did project management processes work well? 5) Was communication good (between project staff and external experts, with stakeholders, with Historic England?) 6) Did you get good buy-in from stakeholders or owners? 7) Were information sharing methods in place, and did they work? 8) Were expectations of colleagues and stakeholders realised? 9) Was dissemination and promotion good; what was publicity and press coverage like? 10) Was the project team sufficiently skilled, trained and empowered? 11) Were sufficient risk strategies in place and managed? 12) Did quality-assurance procedures work well? 13) Were allocated time and resources sufficient? 14) Did the project complete on time?
Research Ethics (if applicable to the project)	1) Were there any significant change(s) to the project that had ethical implications? If *Yes*, what was the outcome of this amendment? 2) Were there any unanticipated serious adverse effects on participants, the environment and/or cultural heritage? If *Yes*, please provide details of the action taken to address them
Recommendations	Were any lessons learned, and can you make recommendations which will improve similar projects in the future?

Appendix 3

Disseminating and publishing your work

Who is the advice for?

This document is aimed at organisations considering applying for a grant to publish the results of work funded through the Heritage Protection Commissions (HPC) Programme or its predecessors.

What's the best way of disseminating and publishing your work?

We ask you to think very carefully about suitable methods for disseminating and publishing the results of your work at the outset of your project. These methods should be outlined in your project design (PD). If circumstances change, for example, if a project does not produce the expected results, methods can be updated.

Who are the likely audience of your work? How will they want to access the information? Digital publication is strongly encouraged as this is the best way to reach the most people, but there may be times when printed copies are needed. The case for printing should be made in your PD.

Digital publication

Publishing through websites, mobile devices, digital formats (downloadable PDF) and eBooks is a common and effective form of dissemination.

Do you need traditional print copy publication? If so why? Would a combination of the two approaches be best? If printing is deemed appropriate and justified we suggest a hybrid approach; the use of web-mounted low-resolution PDFs combined with a short print run and/or print on demand for additional copies.

Research resources (Research Frameworks and Reference Resources) and Advice and Guidance publications should always be available electronically (e.g. PDF). In some circumstances, you may also want printed copies. For Research Resources an interactive web-based approach may also be appropriate.

Sustainability

In line with our guidance on Climate Change (see section 13) publishers are encouraged to consider sustainability. Please see the Publishers Association website for more information about sustainability in publishing.

Accessibility

As a government body, any digital service, website or app Historic England provides, or funds must meet government accessibility requirements. Where an applicable product or service is being provided, suppliers must provide evidence that they are able to meet

WCAG 2.1 at level AA as part of their tender return. Suppliers are also made aware that their product or service may also be subject to 3rd party testing of the deliverables. Further information on the regulations is available on gov.uk and in Appendix 5.

Print publication

If there is a strong case for printing, we ask you to think about the following before applying to us for a publication grant:

- Is the print run appropriate for the likely demand of copies?
- Will you need a significant number of free copies, and if so, who for?
- Have you got an appropriate marketing strategy in place?
- How would you deal with the on-going storage issues of possible unsold copies?
- Would you need to discount unsold copies in the future?
- Do you want to use traditional litho printing (where the image is transferred from a plate to the surface), or do you want to use digital printing, which eliminates many of the mechanical steps required for litho printing as you print directly from the file?

In the past, the quality of digital printing has been an issue, but this has improved significantly in recent years. The main advantages of digital printing are the reduced set-up cost and time, the possibility of short print-runs and the potential for follow-on print on demand, even one at a time, but digital printing in colour is still expensive.

If you want to publish using litho printing, we ask you to demonstrate why litho printing is appropriate as opposed to digital printing.

Please be aware that the lifetime demand for excavation reports rarely exceeds 300 copies and is often much less.

Further advice and help

Do you need to promote your work in other ways? For example, do you need a press release, a social media campaign or other resources such as leaflets or postcards?

If you are producing an electronic publication, please keep the original files as it is easier to edit these if updates to the document are needed in the future. It is also easier to satisfy requests for documents in alternative formats.

At the design stage, ask the designers to create PDFs at suitable resolutions for:

- Web dissemination – this will require chapter and section headings ‘bookmarked’ to aid navigation, web links activated so the reader can click through to online sources, and accessibility tagging so the file reads correctly when used by a screen reader. Please ensure that the Accessibility legislation noted in Appendix 5 has been addressed
- Software
- Printing, if this is required

We suggest that if you do not have in-house expertise you should discuss digital printing and print on-demand options with the publishers/printers you normally use.

Alternatively, please contact your PAO or the Grants Team for further advice.

Appendix 4

Business case and Public Value Framework

What is the Public Value Framework?

Historic England has adopted a Public Value Framework (PVF) to provide assurance to its stakeholders, including the taxpaying public, that it invests public money in ways that optimise value. Our PVF is based on *Delivering better outcomes for citizens: practical steps for unlocking public value* (2017) and uses 20 challenges to assess the extent to which proposed projects create public value across four 'pillars' – 'Assured Alignment', 'Appropriate Resourcing' , 'Public Support' and 'Capacity Development'. Not all projects will be able to respond to all the challenges positively and practically. Particular weight will be placed on the alignment of project proposals with our Corporate Plan strategic activities and goals. Authors are advised to take particular care to show how the project as designed will not only address the goals of the organisation but will also stay aligned with those goals through the use of effective performance measures.

In the case of projects valued under £50K we may use a more proportionate 'PVF Lite' approach. This requires only four of the challenges to be addressed; these are the ones labelled '(PVF Lite)' and highlighted in green in the table below. Projects will need to respond well to these four challenges in all cases if they are to be funded, and we recommend that all 20 challenges are considered. There should be a convincing case that the project will make a real and positive impact of England's heritage.

- How will the main project represent a good return on investment?
- Why should the project be undertaken at this time, and by the proposed team, and what happens if it doesn't?
- Does the project need to address other strategies, e.g. local research frameworks or local government plans? If this is a research project it should also include a reference to one of more of the research topics in our Research Strategy.

Historic England's Public Value Framework 20 challenges in full

PILLAR 1 – Assured Alignment	**PILLAR 2 – Appropriate Resourcing**	**PILLAR 3 – Public Support**	**PILLAR 4 – Capacity Development**
Clarity of goals (PVF Lite): How well does the project* address the published goals of HE?	**Measurement of unit costs (PVF Lite)**: Has good use been made of unit costs to allow easy assessment of efficiency?	**Stakeholder needs (PVF Lite)**: Have key stakeholders been identified clearly and are their needs well understood?	**Well-designed evaluation (PVF Lite)**: Is a proportionate evaluation built into the project* to enable learning about what works and for whom?
Appropriate KPIs: Is performance measurable at different points in the delivery chain?	**Detailed resource plan:** Does the financial plan show how costs will be met, including unexpected costs?	**Public perceptions:** Are the drivers of public support understood and is support evidenced?	**Use of new technologies:** Has the project* looked for opportunities to experiment and improve?
Links to other work: Are interdependencies recognised and any consequent risks managed?	**Timely information to managers:** Will decision-makers be given the right information at the right time?	**User experience:** To what extent does the project* demonstrate an appreciation of the value of great user experiences?	**Clear accountability:** Is everyone involved going to be clear about their roles and responsibilities?
Quality of track record: Are any concerns about project* staff addressed appropriately?	**Optimised funding mix:** Have funding options been properly explored?	**Public participation:** Has enough effort been made to enable public participation?	**Cross-boundary collaboration:** Has the potential for collaboration been properly explored?
Measures drive good behaviour: Might the measures create perverse incentives?	**Awareness of knock-on costs**: Has the risk of cost-shifting been assessed and mitigated?	**Stakeholder influencing:** How will stakeholders be made aware of the project* and its results?	**Resilience:** Is it clear how the system is going to be fitter for the future as a result of the project*?

*The term 'project' is used here, but can be substituted with 'programme' where appropriate

Appendix 5

Accessibility

Definition of accessibility

New regulations mean that public sector websites, intranets and mobile apps have a legal duty to meet accessibility requirements. Failure to comply will be reported departmental ministers (DCMS for Historic England) and can lead to fines. The Cabinet Office views this legislation to be as significant to the public sector as GDPR.

Accessibility means more than putting things online. It means making your content and design clear and simple enough so that most people can use it without needing to adapt it, while supporting those who do need to adapt things.

The definition of accessibility in this context can include impaired vision, motor difficulties, cognitive impairments or learning disabilities and deafness or impaired hearing. At least 1 in 5 people in the UK have a long-term illness, impairment or disability. Many more have a temporary disability.

Legal obligations

We have a requirement to meet the WCAG 2.1 Level AA standard. The Government Digital Service has produced a primer checklist which can help with understanding the standards. This obligation includes intranets and external facing sites, third party tools we have procured and websites/information on websites which we have funded via grants. It does not include third party channels such as Facebook or LinkedIn.

Each resource should have a statement which needs to include:

- Whether the website or app is ‘fully’, ‘partially’ or ‘not’ compliant with accessibility standards
- If it is not fully compliant, which parts of the website or app aren’t currently meeting accessibility standards and why
- How people can get alternatives to content that’s not accessible to them
- How to contact you to report accessibility problems – and a link to the government website they can use to complain if they’re not happy with the response

A sample statement is available here.

The regulations will be enforced by the Equality and Human Rights Commission (in Great Britain) and the Equality Commission for Northern Ireland.

Make sure new features are accessible

We must make sure new content or features meet the standards. This includes:

1. Making sure any new PDFs or other documents are accessible
2. Writing good link text

3. Structuring content well
4. Publishing accessible images and videos
5. Making sure new features work on assistive technologies

It's much easier to make things accessible from the start than it is to go back and fix them.

Further accessibility resources

Please see the links below for government guidance on accessibility:

- https://www.gov.uk/guidance/accessibility-requirements-for-public-sector-websites-and-apps
- https://gds.blog.gov.uk/2019/05/21/accessibility-update-sample-accessibility-statement-monitoring-and-enforcement/
- https://www.gov.uk/guidance/make-your-website-or-app-accessible-and-publish-an-accessibility-statement
- https://alphagov.github.io/wcag-primer/checklist.html#checklist

Historic England guidance on making accessible content is available here:

- Explanation of accessibility and how to make documents accessible: Document accessibility - Using our brand
- Publishing accessible web content: https://historicengland.org.uk/content-design/accessibility/
- How to prepare image content for the Historic England website: https://historicengland.org.uk/content-design/preparing-image-content

From the extraordinary to the everyday, our historic places matter to us all. That's why at Historic England we work together with people across England to discover, protect and bring new life to our shared historic environment – so the heritage that surrounds us lives on and is loved for longer.

Please contact guidance@historicengland.org.uk with any questions about this document.

Website: historicengland.org.uk

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Tel: 0370 333 0607
Email: customers@historicengland.org.uk

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