Application Documents

From Guidance for Grants (https://historicengland.org.uk/images-books/publications/guidance-grants-projects/)

# 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](http://www.ukrlp.co.uk)) |  |
| 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 objectives 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 of Guidance for Grants), 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 with 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](http://www.ukrlp.co.uk)) |  |
| 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](https://historicengland.org.uk/about/contact-us/press/) 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 you are 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).

How will these 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](https://historicengland.org.uk/content/docs/grants/nhpct-contact-listpdf/) 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 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*.* 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 should calculate your costs according to this guidance and set them out by financial year (see below).

## 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 below).

# Preferred format for costs

|  |
| --- |
| Direct Costs |
| **Core Staff** |
| Role | Name | Day Rate | Days | Cost | Total |
| Project Executive |  | £400 | 5 | £2,000 |  |
| Project Manager |  | £300 | 10 | £3,000 |  |
| Expert/Project Officer |  | £250 | 15 | £3,750 |  |
| Expert/Project Officer |  | £250 | 10 | £2,500 |  |
| Support/Project Admin |  | £140 | 5 | £700 |  |
| Total core staff salary costs for year | **£11,950.00** |
| **Non-staff Costs** |
| Transport | £1,000 |  |
| Computer Consumables | £350 |  |
| Total non-staff costs | **£1,350.00** |
| Overheads on direct costs @ 25% | **£3,325.00** |  |
| Indirect Costs |
| **Subcontractor staff** |
| Expert (archaeobotany) |  | £300 | 4 | £1,200 |  |
| Expert (GIS) |  | £200 | 10 | £2,000 |  |
| Expert (academic) |  | £250 | 2 | £500 |  |
| Pump hire | £1,250 |  |
| Total subcontractor costs for year (including any irrecoverable VAT) | **£4,950.00** |
| Grant applicants handling charge overhead on subcontract costs @ 10% | **£495.00** |  |
| Capital Equipment |
| Laptops x 4 | £2,000 |  |
| Total capital equipment (including any irrecoverable VAT) | **£2,000** |
|  |  |  |  |  |  |
| TOTAL 2022/23 | **£24,070.00** |

#  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: Publications |
| 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

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 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. |