

Unlocking Our Past

Guidance from English Heritage's National Monuments Record (NMR) and the Association of Local Government Archaeological Officers (ALGAO) for Historic Environment Records (HERs) on applying for grants from the Heritage Lottery Fund (HLF)



Acknowledgements

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Contents

<u>Section</u>	<u>Page</u>
1) Purpose of Guidance	4
2) Heritage Lottery Funding Schemes and HERs	6
3) Frequently Asked Questions	10
4) Audience Research	16
5) Outreach	20
6) Project Planning and Management	21
7) Important Areas to Remember	24
8) Examples of Successful HER Projects funded by the HLF	26
9) Further Reading	28
10) Useful Contacts, Addresses and Websites	30

1) Purpose of Guidance

In 1998 the Heritage Lottery Fund (HLF) identified Sites and Monuments Records (SMRs, now known in England as Historic Environment Records or HERs) as a target of funding for the specific purposes of increasing public access, education and interpretation. It was recognised that, for historic reasons, HERs were much underdeveloped in these areas and the HLF agreed that HERs could apply for grants of up to £100,000 to develop these aspects of the records.

The criteria for applications were set out in guidance from the HLF, developed in conjunction with ALGAO and English Heritage, titled: ***Unlocking Britain's Past : A strategic framework for support from the Heritage Lottery Fund for Sites and Monuments Records (HLF 1999)***. This set out two levels of access to which HERs could aspire, a basic and an advanced level based on the degree and methods of public access which were to be developed (section 5).

English Heritage has advised HERs in England on the preparation of bids. Since 1999 a number of local authority HERs have been successful in obtaining grants under this funding scheme.

In 2002 the HLF issued new guidance for grant applicants. They also announced that HERs would no longer have their own specific requirements and guidance. In the future, applications for grant aid from HERs would be considered in the same way as every other application and there should be no limit on the level of grant for which they could apply.

Coverage

This guidance is specifically designed for HERs in England. Scottish and Welsh SMRs (the term HER applies to England only) are also eligible for support from the HLF and the information contained in this document may be of some interest to them, although written from an English perspective. Some of the general principles may also be of use to HERs applying for funding from other grant awarding bodies.

Purpose

The purpose of this document is to outline the main changes in the process since the changes in 2002 drawing on the experiences gained since and to answer some of the frequently asked questions that have been raised by HERs. In addition more detailed advice is given on audience research, project management and outreach. Further detail about how to apply is of course contained in the relevant HLF documents.

This document is designed to supersede both the HLFs previous guidance ***Unlocking Britain's Past: A strategic framework for support from the Heritage Lottery Fund for Sites and Monuments Records*** (HLF 1999) and the DSU Information Sheet ***Guidance for SMRs Applying for HLF Grants*** (English Heritage 2002).



*Launch of the previous DSU Guidance
at Warwick in 2002*

2) Heritage Lottery Funding Schemes and HERs

The HLF published revised application packs for its schemes in June 2002 including Heritage Grants and Your Heritage. This was in line with the aims set out in its *Strategic Plan 2002-2007*, which are:

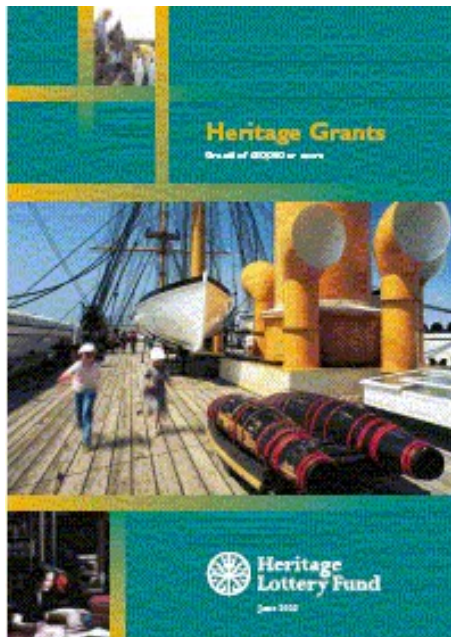
- Encouraging more people to be involved in and make decisions about their heritage
- Conserving and enhancing the UK's diverse heritage
- Ensuring that everyone can learn about, have access to and enjoy their heritage
- Achieving a more equitable distribution of grants across the UK

HERs making bids should consider how their application fits in with these four strategic aims.

Heritage Grants

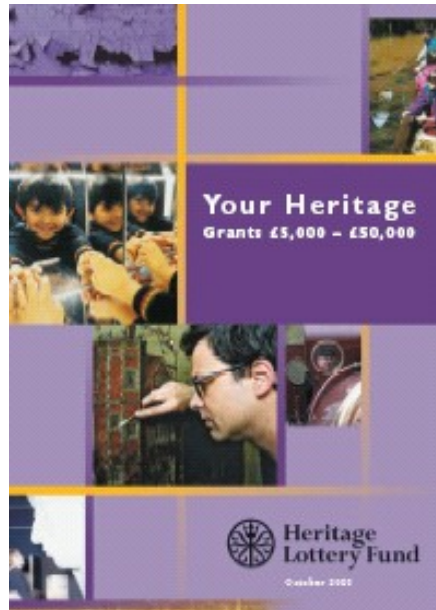
The main grant scheme, called **Heritage Grants**, is concerned with grants of over £50,000. The **Heritage Grants** pack contains two application forms (**Project Planning Grants** and **Heritage Grants**) as well as detailed guidance notes that set out what will and will not be funded.

Project Planning Grants are available to help with the costs of putting together a bid including the specialist studies required in advance of a **Heritage Grants** application.



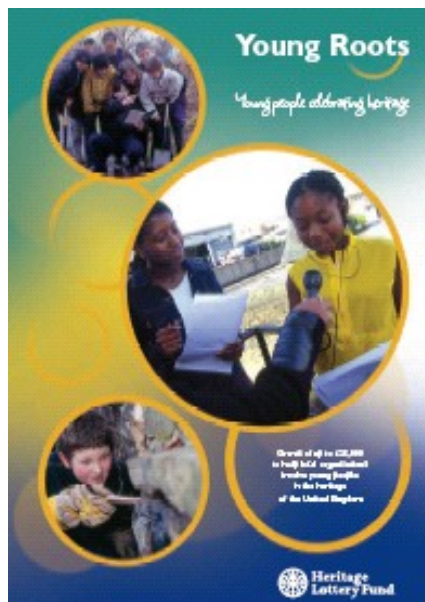
Your Heritage

A separate scheme **Your Heritage** awards grants of between £5,000 and £50,000. Details of this are set out in a separate application pack.



Young Roots

An additional HLF Scheme that might be of use to HERs is **Young Roots**. This promotes the involvement of young people (aged 13-20 years old), in their heritage. It awards grants of between £5,000 and £25,000.



The **Heritage Grants** guidance identifies a number of areas which the HLF are willing to fund that are relevant to bids from HER:

- activities designed to widen knowledge and understanding of the heritage;
- work which improves access to the heritage through a range of physical, intellectual, cultural or economic means;
- recording which promotes access to information about the heritage where it forms part of a wider access or information project;
- digitisation (collecting and ordering records and archives electronically on computer), if this leads to improvements in public access and conservation benefits.

If a project proposed by an HER fits any of these criteria then it will be considered for funding.

As noted above there are now two levels of grant which can be applied for with **Heritage Grants**:

Your Heritage covers grants of between £5,000 and £50,000 which require no match funding. A decision on the application will be forthcoming in 3 months.

Heritage Grants are effectively unlimited but HER projects will fall into the first level of £50,000 to £1 million. 10% match funding is required which can be in cash or in kind.

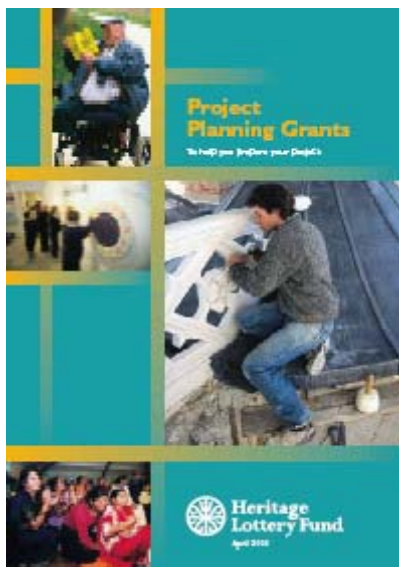
With these grants there is a choice of a one or two stage process. If an applicant elects for a one stage process they will need to present a fully worked up project design with the application. Alternatively they can choose to pursue a two stage process for which the first stage is to apply for a **Project Planning Grant** (see below). If successful this can be followed up with a main application (**Heritage Grants**, 5-6) for grants between £50,000 and £1million

Project Planning Grants

As mentioned above the HLF have introduced a level of grant to allow the development of projects, the form with guidance notes is included in the **Heritage Grants** pack. This outlines the process involved in applying for these grants and what will and will not be funded. Grants of up to £50,000 can be made in order to commission specialist reports necessary to develop a project.

A **Project Planning Grant** can provide resources to develop an audience development plan for instance. If a project development grant is awarded

then it will be expected that an application for a **Heritage Grant** of over £50,000 will be submitted.



The new guidelines from HLF allow for a much more flexible approach to developing HER projects and remove the restrictions which previously applied to HER grants.

3) Frequently Asked Questions

1. Which HLF grant scheme should I apply to?

There are two grant schemes applicable to Historic Environment Records, 'Your Heritage', which awards grants of £5,000 to £50,000 and 'Heritage Grants', which awards grants of over £50,000. 'Heritage Grants' is probably the most appropriate for HERs as an outreach programme involving an on-line database will be hard to deliver with the funding ceiling of the 'Your Heritage' scheme. 'Heritage Grants' will also enable you to apply for a grant for project planning including your audience research. 'Your Heritage' may however, be suitable for smaller projects involving the HER and has the advantage of not requiring any matching funding, however some contribution to the project to demonstrate commitment would normally be expected though this could be in kind. There is also the 'Young Roots' scheme for projects involving children in heritage. For further information on the schemes and information packs see www.hlf.org.uk

2. I have already received a grant from HLF, can I apply for another?

Yes, however it may prove more difficult to justify a bid once you have already received funding. Also it is best to complete one project successfully before submitting a follow up although you can start planning your subsequent bid in advance. This is particularly relevant for HERs which have had a bid accepted under the former ceiling. In this instance a further bid under 'Your Heritage' or 'Heritage Grants' would be appropriate.

3. I don't think that we will be able to meet the first HERs benchmark at present. Can we still apply for HLF funding?

Yes, Benchmarks for Good Practice only applies to England and currently has no official status. English HERs that do not meet the first benchmark can commit their HER to attaining it in the bid to demonstrate commitment to the future of the record. It may be possible to include some of the tasks required in your bid such as limited backlog input, filling in gaps and editing to meet current data standards. The main part of the bid must remain focussed on outreach as the HLF is not willing to fund the core functions of HERs as these are seen as the parent organisation's responsibility.

4. Can I apply for a grant to carry out audience research?

Yes. It is important to ensure you are providing information that users and potential new users want in the format they require. The HLF also needs to be certain that it is funding something that people will use. This can be part of a project-planning grant under the 'Heritage Grants' scheme.

5. Can my matching funding be in kind?

Some of the matching funding can be in kind, although this must not be costs you would incurring during the normal running of the HER. As the parent organisation should have a commitment to the future maintenance

of the HER to ensure sustainability there might be concerns if the HER was providing a large part of its contribution in kind.

6. Can my matching funding be a grant from another organisation?

It can but 'Heritage Grants' only requires 10% match funding. Considering that the parent organisation should have a commitment to the future maintenance of the HER to ensure sustainability it might be seen as worrying if the HER had to find its matching funding from an outside source. Other sources of funding for HERs may become available in the future and HERs may wish to take advantage of new funding opportunities that occur, HLF support does not prevent this.

7. Can I employ a project manager with my Project Planning Grant?

For the majority of HERs the answer is no. This is because public sector organisations are expected to have this expertise in house already. If the HER is not managed by the public sector then someone may be employed from the Project Planning Grant to plan the project. There is one other condition on this: it can only be for a maximum of one year.

8. Should I include a contingency in my project bid and, if so, how much?

Contingency is included in the other costs section on the form. Amounts depend upon how risky the project is (see the risk log), how new or radical the IT strategy is and the length of the project as yearly inflation should be calculated. As much as 10-15% of the total cost might be required.

9. Can I include IT or project management training costs as part of the bid?

The cost of training required for the project can be charged. This includes IT and project management.

10. Can I make a bid with another organisation such as the local museum?

Joint bids are welcomed. Examples might include bids with neighbouring HERs (including UADs) or local museums, records offices or environmental records.

11. What supporting documentation should I include with my bid?

In addition to the compulsory items (such as accounts) you should include anything you think might help to support your bid and give a better impression of the HER and the planned project. Examples of things to include are:

- *Audience Research Report/Development Plan*
- *Detailed project Plan including a timetable, detailing deliverables, allocating resources preferably in the form of a Gantt Chart*
- *Audit Report and EH response*
- *HER Development Plan*

- *Management or Business plan for the section of the host organisation and/or the whole organisation*
- *HER Access Policy*
- *Job Descriptions of staff involved in the project including new posts*
- *Accounts for the current and last 3 financial years*
- *Parent Organisations constitution and policy documents on areas heritage and equal opportunities*
- *Letters of support for the project from local societies, museums, HER users etc.*

12. I haven't carried out an audit. Do I need to?

You don't have to have carried one out in advance but it would assist you with what needs to be done to make the record comprehensive. If you haven't undertaken an audit the HLF may make it a condition of the grant.

13. Can I bid for money to improve the quality of my records?

Yes, however, the main focus of the bid must be an outreach programme. It is important to improve the quality of records where necessary as data standards are essential to the retrievability and interoperability of records.

14. Can I apply for money for my backlog input or to collect more data?

Yes, however, the main focus of the bid must be an outreach programme. It is important that access is being provided to an up-to-date and comprehensive record.

15. Do I have to recruit for the project if there are suitable candidates within my organisation?

The HLF is committed to equality of opportunity and expects any new posts to be open to competition.

16. Can funding be used to extend existing contract posts?

No, the HLF will not fund the continuance of existing posts as these are seen as the responsibility of the parent body. Failure to continue funding HER posts could be seen as a threat to the sustainability of the project. The HER is required to show a commitment to this.

17. At present we don't operate a public service. How can I ask for funds to improve something we haven't got?

All outreach programmes have a starting point. Some HERs already have a public service, others don't and some are more developed than others. If you don't operate a service you can put in a bid to start from scratch. How developed your service is might dictate how advanced or ambitious your outreach programme will be.

18. Will the HLF support the creation of a website/online database?

The HLF have said they will not fund the creation of stand-alone websites or CD ROMs. Websites can be funded as part of a wider outreach

programme. Indeed placing the HERs online would constitute a very valuable part of an outreach programme.

19. How can I estimate the numbers of people who will benefit from my project, as well as their ethnic origins?

As the majority of HERs are local authority-based and hold a record of benefit to the whole community, statistics from the parent authority can be used. Remember that social inclusion will need to be addressed as part of developing new audiences.

20. How long will it take to:
(a) prepare my bid?
(b) receive a response from the HLF?
(c) complete my project?

*(a) Preparing a **Project Planning Grant** application will probably take two or three months to six months in total. A full **Heritage Grant** is likely to take six months to a year in total. This depends on the amount of time actually being devoted to the preparation of a bid over a given period.*

*(b) For grants of £5,000 to £50,000 (i.e. **Your Heritage** grants) you should normally hear the HLF's decision within three months. For larger grants (i.e. **Heritage Grants**) decisions should be made within six months.*

(c) HER outreach projects normally run for about one to two years, but this depends upon the complexity of what you are planning to do, the amount of data you have etc.

21. Where can I get advice and guidance on putting my bid together?

The HLF expects HERs applying for grants to discuss their plans in advance with EH. This should be done through Heritage Information Partnerships at the NMR.

The regional HLF office should be contacted and you can also complete the pre-Application advice form which can be found in the application packs.

The ALGAO HER Committee can provide advice as can other members of the HER Forum (e.g. those that have made successful bids to the HLF). Many organisations have an officer or section dedicated to making funding applications, advice could also be sought from others in your organisation that have made bids to the HLF in other areas.

In 2002 the NMR ran a brief series of training seminars for HER officers on HLF applications. These may be repeated in the future if there is sufficient demand.



HLF training seminar for HER Officers taking place in the EH offices in York

22. Where can I get technical advice (e.g. concerning IT) for my bid?

The first point of contact should be the IT section at your parent body. Advice on some of the technical aspects of making bids is available from the Archaeology Data Service and their "Guides to Good Practice" series. The NMR can advise on issues of data standards and interoperability.

23. How do I carry out audience research?

This is covered in more detail in section 4 of this publication. Essentially there are two choices:

- *write a brief and employ a specialist company*
- *carry it out yourself.*

There are two forms of audience research: qualitative and quantitative. Both give different types of information and a combination of the two should be used to demonstrate demand and find out what information/resources people want and how they wish to access it.

24. How will my project be monitored?

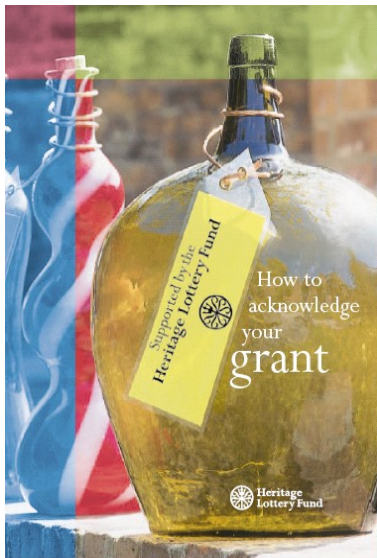
The HLF may appoint a case officer to liaise with you and monitor your project once it starts. In addition, the NMR can continue to offer advice if required during the life of the project.

25. How will my grant be paid?

The grant will be paid directly into the nominated bank account of the parent organisation. This will be paid in instalments following completion of different stages of the project.

26. How should I acknowledge my grant (e.g. in project publicity)?

It is important that the HLF receive credit for supporting the project. The HLF produces a booklet on how to acknowledge the grant, which is available from its website. You should also promote the project through publicity material, local media etc., advice on this is also available from the HLF.



Heritage Lottery Fund

hitting the headlines

Coverage in the local media can be a great way of letting people know about your project, and the fact that you've been given a grant by HLF is an ideal opportunity to get in touch with them. Below is a simple guide on how to do this.

When to announce your grant

Now that you've received the letter giving you formal notification of your grant, you are free to publicise it.

The best way of notifying the media about your grant is by sending them a news release (see the example enclosed for advice on drafting one). Please note that we can provide you with an HLF logo for inclusion in your publicity in both English and Welsh.

It is worth noting that we are obliged to make public (via the HLF website) all grants which we award. Although, in our experience, it is unlikely that the media will pick up on your award on the website, it is advisable not to wait too long before making the announcement.

Most local weekly papers come out on a Thursday or Friday and won't accept information for that week's issue any later than Tuesday or Wednesday. If there's a particular paper that you're really keen to get into, then you might want to call the Newsdesk in advance to check when their editorial deadline is.

For some grants we will want to issue our own news release, so please contact your HLF Press Officer before undertaking any publicity.

Tip: HLF often sends out its releases a day in advance with an embargo of one minute past midnight on the day that we want the grant to be announced. This means that breakfast news and evening papers can cover the grant on the same day as everyone else.

Who to send it to?

Look to see what papers are on sale in your area and what free papers are delivered. Newspapers usually list a telephone number for the newsdesk. Don't forget local radio and (if you've got a really good story with strong potential) television.

Speaking to the local media can further your chances of getting coverage. Ask for the Newsdesk (sometimes referred to as Forward Planning at television stations). Tell them about the grant and say that you'd like to send over a copy of your release (and then if they'd prefer it emailed or faxed if you have the ability to do so).

Tip: If you are enthusiastic and to the point, you are more likely to get a positive response.

Giving radio interviews

Giving interviews on the radio doesn't have to be a nerve-racking experience. If you are asked to take part in one, try to find out whether the interview will be live or pre-recorded, which programme it will feature in, what kind of questions you will be asked, and who else will be involved. Don't feel rushed into agreeing. If in doubt, say you will call them back.

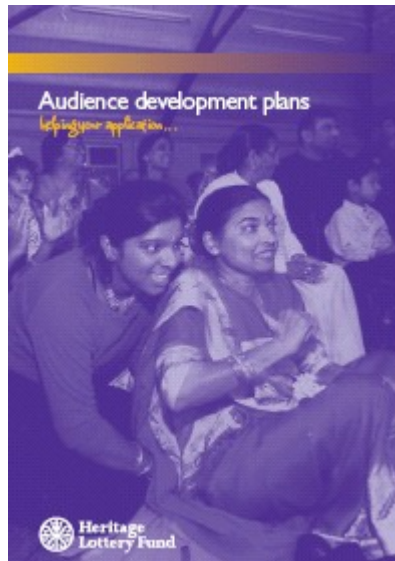
Advice from the HLF on acknowledging and advertising your grant

27. How can I make sure that my project is sustainable?

Sustainability is vital to ensure that the investment in the project produces long term benefits. You should get support for the HER from your parent body with a commitment to maintain the HER service funded by the HLF for a period of several years after the end of the project.

4) Audience Research

The HLF have produced a very detailed booklet ***Audience Development Plans, Helping Your Application (2003)*** (available from the HLFs web site).



The object of this section is not to replicate the content of this very useful document but to discuss a number of areas/issues of particular relevance to HERs. HERs are recommended to consult ***Audience Development Plans, Helping Your Application*** when designing or commissioning audience research and whilst preparing ***Project Planning Grant*** applications.

Why Carry Out Audience Research?

It is important to demonstrate that your bid is providing something for which there is a demand and in a format that your users want. Audience research is the way this should be addressed and will lead to an Audience Development Plan. This can be funded by a ***Project Planning Grant***.

How is Audience Research Carried Out?

There are many forms of audience research but they broadly adopt one of two approaches and aspects of both are recommended.

- Qualitative analysis is good for getting opinions and ideas from interested parties, such as the users and potential users of HERs. This is often best undertaken through interviews and focus groups.
- Quantitative analysis involves getting a large number of responses to mainly closed questions.

Taken together these two approaches can give you information concerning what users want and will enable you to gauge demand.

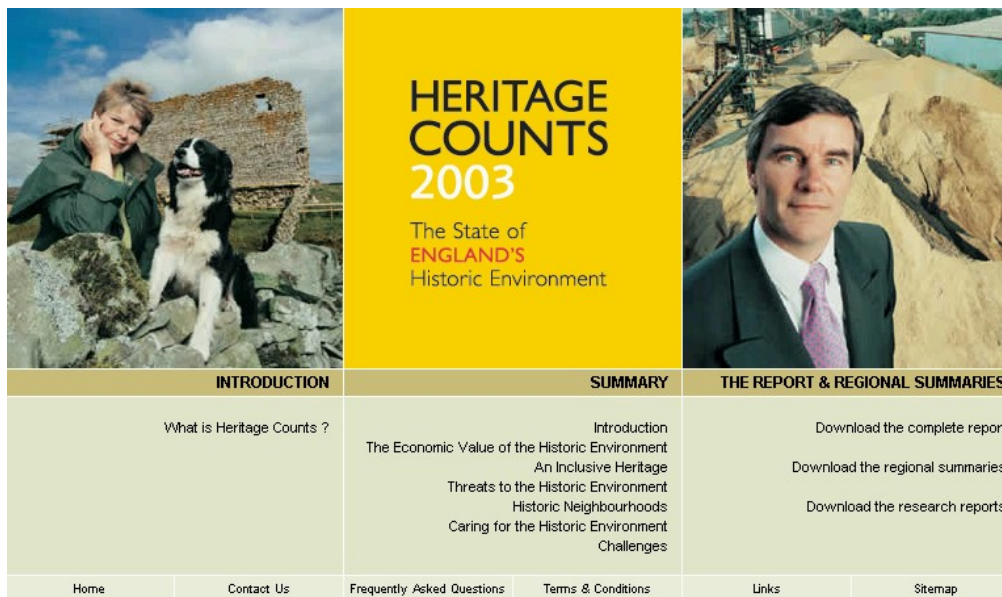
There are two ways that audience research can be undertaken for an HER. It can be carried out by HER staff or consultant(s)/a specialist research company can be employed. Both have advantages and disadvantages.

Audience Research Carried out by:	Advantages	Disadvantages
HER	<ul style="list-style-type: none"> • <i>Specialist knowledge of the subject area</i> • <i>Knows the existing user base</i> 	<ul style="list-style-type: none"> • <i>Lack of experience of audience research</i> • <i>Can be hard to manage even with back filling provided by a Project Planning Grant</i> • <i>Time</i>
Specialist Consultant/Company	<ul style="list-style-type: none"> • <i>Experts in carrying out audience research which is a very skilled subject</i> • <i>Can give an outside perspective</i> • <i>Will probably be more efficient and deliver on time due to experience</i> • <i>May identify audiences that the HER is not aware of</i> 	<ul style="list-style-type: none"> • <i>Lack of specialist knowledge of subject</i> • <i>Brief must be completed prior to application for Project Planning Grant so estimate of cost can be made</i> • <i>Lack of involvement by HER</i> • <i>Brief needs to be carefully written to ensure that the HER gets the correct questions answered</i>

Advantages and Disadvantages of carrying out your own audience research or employing a specialist company

A few audience research points to consider:

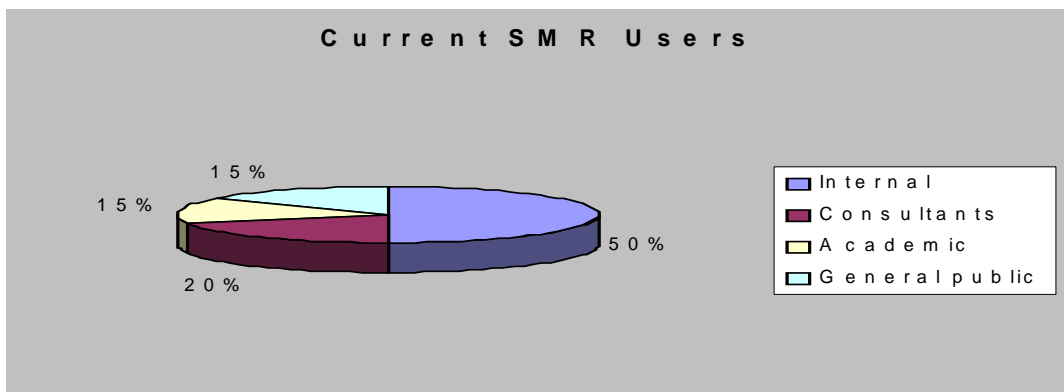
- It will only be productive if you ask the right questions and interpret the results correctly.
- Make use of national research but bear in mind that the bid represents a local record and it is important to analyse the local user base. The most relevant piece of national research is **Attitudes Towards the Heritage**, carried out by MORI, commissioned by EH and available from the EH web site. This contains a number of useful statistics to illustrate the interest in and demand for heritage information. Other useful surveys are also available for example **Visitors to Museums & Galleries in the UK** also by MORI which was commissioned by MLA. Also the annual **Heritage Counts** report (previously the **State of the Historic Environment Report** or SHER) includes national and regional data. Heritage Counts is available from EH or on line at www.heritagecounts.org.uk.



The Heritage Counts 2003 web site

- If the HER has been included in a Best Value review, use can be made of the data prepared for it.
- The starting point for the research should always be 'what do we want to know?'. This is crucial for getting meaningful results. For example two questions that market researchers are likely to be seeking to answer are: what do people think of the current service and how would users like to access and use information in the future?
- Conduct research into and analysis of current users of the HER: where they come from, their age, what they ask for, how would they like to access information, what services would they like. HER enquiry logs should be used as a primary source with a questionnaire to analyse existing users.
- Other questions you may wish to include are:
 - What other resources do you use (e.g. libraries, museums, local record office)?
 - What are you interested in: archaeological sites, historic buildings, artefacts, local history, specific periods (e.g. Roman), photographs, detailed records, summaries etc?
 - Do you have access to the internet (if considering making data available via the web)?
- Carry out research into potential new audiences in the community, not just existing users. Every bid should identify potential new users and have primary targets e.g. schools.

- If your authority mails out a general newsletter to all households or you send out a specific heritage based news-sheet, this can also be a good way of targeting a questionnaire.
- Contact local organisations with a potential overlap with HER enquiries (e.g. the record office, museum, libraries) and see if you can make use of their data in addition to your own and target potential new HER users.
- Identify potential users who aren't consulting the HER at present, for example primary school teachers or museum visitors and contact them with a questionnaire or invite them to informal discussion sessions. Targeting in this way is good for qualitative analysis and getting ideas about what users want. If you are uncertain about potential users in your community then a more general approach should be adopted.
- If you are undertaking your own research/designing a questionnaire yourself get advice. There is plenty available on the web. Particularly good sources include the American Statistical Association's *Designing a Questionnaire* and *Writing Questions for Mail Questionnaires*. Some important points to consider include:
 - Keep it short: people are more likely to complete a short form.
 - Asking closed questions is good for quantitative analysis this makes statistics production easier and demonstrates demand. Ask for comments separately to assist with qualitative analysis.
 - Test the questionnaire. This helps ensure that you are asking the right things and the form is easy to complete.
- Present results of research clearly. Graphical representation can be particularly useful. This should link back to the original primary aims of your research as mentioned earlier. These must serve a purpose for example demonstrating demand.



Example of display of market research statistics

Summarise your findings in the bid and supply the full report as an appendix.

5) Outreach

The primary aim of HLF support is improved access. The HLF guidance specifically states that it will not support stand alone websites, CD ROMs etc. If these are part of the bid they must serve as components of a wider outreach programme.

- The Oxford English Dictionary defines Outreach as *the act of reaching out, specifically the fact or extent of an organisations involvement in the community.*
- An outreach programme in the context of an HER is concerned with:
 - Publicising the existence of the HER
 - Making the HER relevant and intelligible to the community
 - Physically taking information from the HER into the community.
- Examples of outreach activities by an HER might include:
 - Travelling displays visiting venues such as school, libraries, museums and shopping centres
 - An education officer giving public lectures or talks to local schools, clubs, societies etc
 - Newsletter and or leaflets about the history/archaeology of the area and new discoveries
 - Advertisements, leaflets etc advertising the existence of the HER, what it is, how it can be consulted.
 - Development of a website with access to HER data.
- An outreach programme must consist of more than just promoting the existence of the HER or it's website.
- It is also important that the outreach programme addresses barriers to access as part of making the HER relevant to the community. These barriers include: physical (e.g. disability), cultural and intellectual. Information written for experts may not be accessible to the lay reader or child, and recasting of records, writing of non-specialist summaries and glossaries of specialist terms may be required. Accessibility issues for the disabled include physical access to search rooms and meeting standards for web site accessibility e.g. for those with visual, hearing or motor impairment, cognitive disability, selective disturbance or colour blindness, and clarity. Detailed guidelines for web-page accessibility were produced for UK Government websites in May 2002. These can be viewed at: [www.e-envoy.gov.uk/oe/oe.nsf/sections/webguidelines-handbook-top/\\$file/handbookindex.htm](http://www.e-envoy.gov.uk/oe/oe.nsf/sections/webguidelines-handbook-top/$file/handbookindex.htm). These should be consulted to ensure that web development proposals are in accordance with accessibility guidelines and other guidelines referred to in the bid. The Web Accessibility Initiative (WAI) gives further useful guidance www.w3.org/WAI.

6) Project Planning and Management

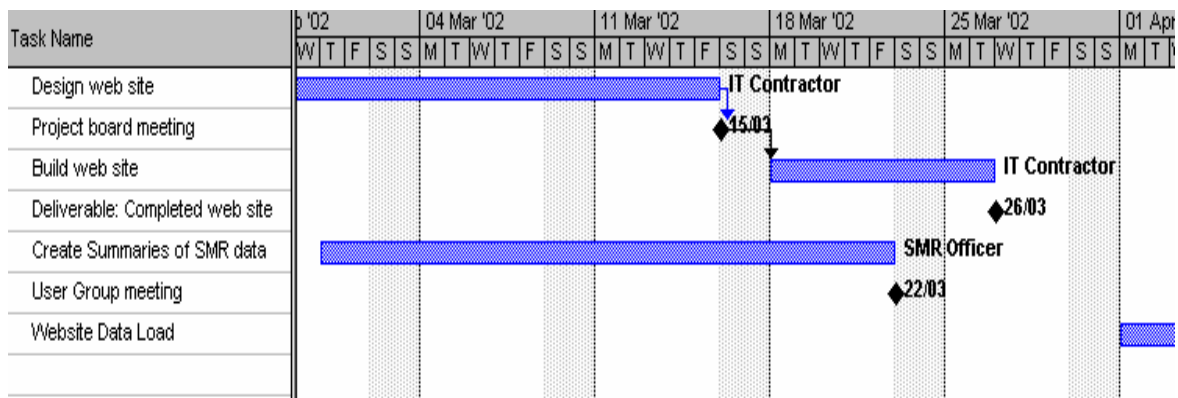
It is important to assure the HLF that the project they are being asked to support is going to be well run. Points to consider include:

- If you will be using a recognised project management methodology state which methodology. One of the most widely used in local and national government is PRINCE 2 (PRojects IN Controlled Environments). A good project management methodology such as PRINCE2 will guide a project through a set of well managed activities to achieve its stated aims and will ensure all those involved know their roles and responsibilities.
- Make it clear in the bid what specific experience the HER has of project management. If those involved are inexperienced then you should include training requirements or the recruitment of someone with suitable skills as a project manager.
- State which individuals have responsibility for which tasks, including the identification of a Project Manager to oversee all aspects of the project. Ensure that this includes user involvement in the form of a User Group to ensure that the project meets user's needs, give details of this group's role and composition. Include job descriptions for those involved in the project.
- Section H of the Heritage Grants application form contains a risk assessment. This should form a key part of the project management and there is probably insufficient space on the form for all the risks likely to be present in an HER application. This should therefore be included in the supporting documentation of the bid and cross referenced on the form. A risk is defined in PRINCE2 as "the chance of exposure to the adverse consequences of future events". It is important to identify in advance as many pitfalls as possible that might befall the project and develop plans to deal with them if they occur. Any dependence on other projects should be viewed as risks. All risks should be set out in a risk log which assesses the potential result of a risk, its probability of occurring and how it can be reduced. Potential Result can be ascribed values (e.g. SERIOUS, MEDIUM or LOW) or coded (e.g. 1, 2, 3 or a, b, c etc. in which case a key should be given). The potential result should also be described. Any risk which has a serious potential result and a high likelihood of occurrence is an unacceptable risk and should be addressed before the bid is submitted and the project starts. The Risk Log should be updated during the life cycle of a project and can also have a column for date identified, owner (i.e. person responsible for monitoring the risk) etc. It is also recommended that each risk is assigned a number which can be referred to elsewhere. Don't be afraid of listing a large number of risks. This will show that you have properly assessed the risks rather than that the project is risky.

Risk No	Nature of Risk	Probability of Risk	Potential Result	How will you reduce the risk?
1	Unable to enter into a contract with a suitable IT developer	LOW	SEVERE No IT work will be carried out	Advertise widely. Make sure specification is clear, accurate and achievable
2	Project Manager leaves before the end of the project	MEDIUM	MEDIUM Delay whilst replaced and lack of co-ordination	Ensure the Project Manager documents their work and cost of re-appointing is budgeted for
3	Dependency: project to link all libraries to council intranet fails to deliver on time.	MEDIUM	HIGH Part of dissemination of outreach delayed	Close communication and assistance between projects.
4	Creating of area, period, and theme summaries takes longer than planned.	LOW	HIGH Complete web site delayed	Transfer resources of HER Assistant from photo cataloguing to summary writing

Example of a Risk Log for an HER bid

- Deliverables, it is important to state exactly what the project will be delivering and at what stage. If the project is to make the HER database available to the public you should include details of what data is to be included and how it will be queried and displayed.
- A timetable for the project must be included, preferably in the form of a Gantt chart. This should break the project down into stages and tasks to show what is being worked on at any given time when deliverables will have been produced. This should also include dates for meetings and monitoring points.



An example of part of a project timetable in the form of a Gantt chart for an HER bid

A Gantt chart can also help your planning. Critical path analysis can show you which tasks can be allowed to overrun to divert resources where required and can help identify critical bunching of tasks and deliverables where you might be over-stretched.

- It is important to show how aims will be delivered, to link deliverables to specific aims and to identify the actions and resources required to produce the deliverables. The relationships of tasks, deliverables and dependencies need to be shown. The roles and responsibilities also need to be properly defined.
- Section I of the Heritage Grants form asks you how you will measure the success of your project. It is important for both you and the HLF to be able to judge if a project has been successful. In order to do this success criteria should be set out at the start. Make the measures of success relevant to the stated objectives of the project. How can each stated objective be assessed to discover to what extent it has been achieved? Targets should be included where possible. Criteria should be measurable and not subjective.

Aim	Action	Measures of Success
Increased use of the HER	Implement an outreach programme and monitor use	Enquiries to the HER will increase by 20%
		Hits on the new HER web site will be 30% higher than on the existing site.
		There will be 100 enquiries run on the HER web database per week
Use of the HER by new audience groups	Implement an outreach aimed at local schools and community groups	10 local schools using HER material in teaching.
		Follow up enquires to the HER from members of ¾ of the community groups approached
Increased interest in local history by community	Disseminate HER information and promote its existence and interpretation	There will be a 10% increase in visitors to local museums and historic sites in the first 3 months after the completion of the project

Examples of Success criteria against objectives for an HER bid

7) Important Areas to Remember

- Be absolutely clear about the heritage merits of the project and how it is benefiting the community, environment etc.
- If your project includes making the HER available over the web, then it is important to consider interoperability in the bid. One option is to make it a Z39.50-compliant target. Z39.50 is a network protocol which allows searching of databases and retrieval of data, via one user interface. Further information is available via the web; the UKOLN site gives a good introduction (www.ukoln.ac.uk). Another option would be the Open Archives Initiative. Their web site contains all the relevant information.
- Ensure you meet current data standards, in particular *MIDAS* (www.jiscmail.ac.uk/files/FISH/web_midaintro.htm), and use approved reference data as recommended by the *Inscription* (www.fish-forum.info/inscript.htm) website. Make it clear in your bid if the HER meets these standards. If you do not, be honest about it, and commit the HER to meeting the standards stating how this will be achieved. The HLF needs to be assured that it is funding access to data of a suitable quality. If you have undertaken an HER Audit, mention this in your application: if you haven't the HLF may make the undertaking of an audit a condition of funding.
- Sustainability is an important area. The host organisation of the HER must guarantee its continued support funding, staffing etc. This is needed to satisfy the HLF that the improved access it finances will continue and be properly maintained. A letter giving such an undertaking could be included as an appendix to the bid.
- You need to consider if there are any other projects (including HLF bids) from your authority or other organisations in your geographical area, that you should have links with. For example projects involving the library service, local museums, or societies. See section J of the Heritage Grants application form.
- You should consider whether there are any other databases within your area you may wish to include as a joint bid. For example a county HER may not cover the county town because of its own Urban Archaeological Database (UAD).
- The project should be linked to relevant national, regional and local strategies and agendas.
- Consider cash flows. This is important for the bid and will assist with interim claims once the grant has been awarded. A checklist of budget headings grouped into Revenue and Capital can be useful. This can include not only things that HLF will fund, but other payments and contribution in kind. Examples of budget headings might be equipment,

training and recruitment costs. Remember issues such as overheads and depreciation.

- It is a good idea to include a brief summary (maximum one side) at the start of the supporting information outlining the bid giving an overview of the whole proposed project.

8) Examples of Successful HER Projects funded by the HLF



Revealing Cheshire's Past was one of the first HERs to receive a grant from the HLF. This was presented at a case study at the training seminar in York in December 2002. Their project included two travelling exhibitions, fact sheets, a web site (www.cheshire.gov.uk/archaeology/archrcp.htm) and a public access database.



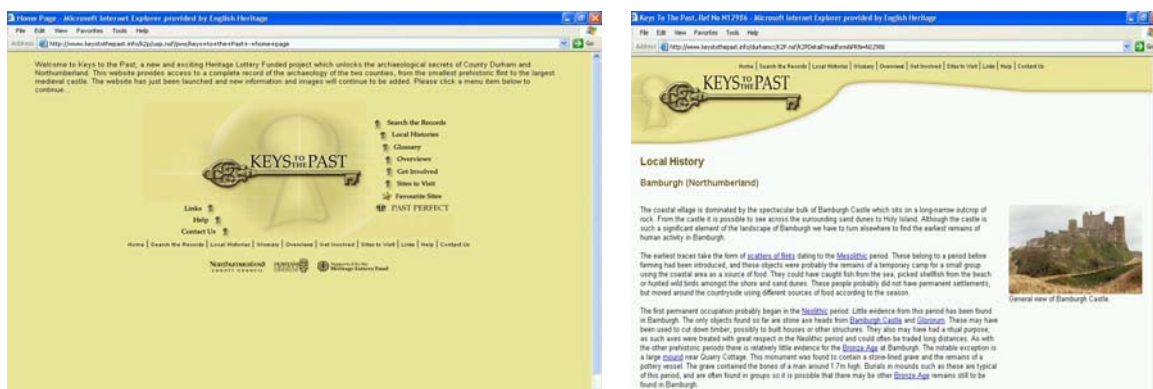
One of Cheshire's exhibitions and a poster on Roman Cheshire produced to illustrate the bid to HLF (reproduced courtesy of Cheshire County Council).



Revealing Cheshire's Past was used as a case study at the HLF application training seminar held in York in December 2002. The Power Point presentation prepared by Cheshire for the seminar can be viewed on line at www.jiscmail.ac.uk/files/HERFORUM/HLF_Presentation.ppt.

Keys to the Past

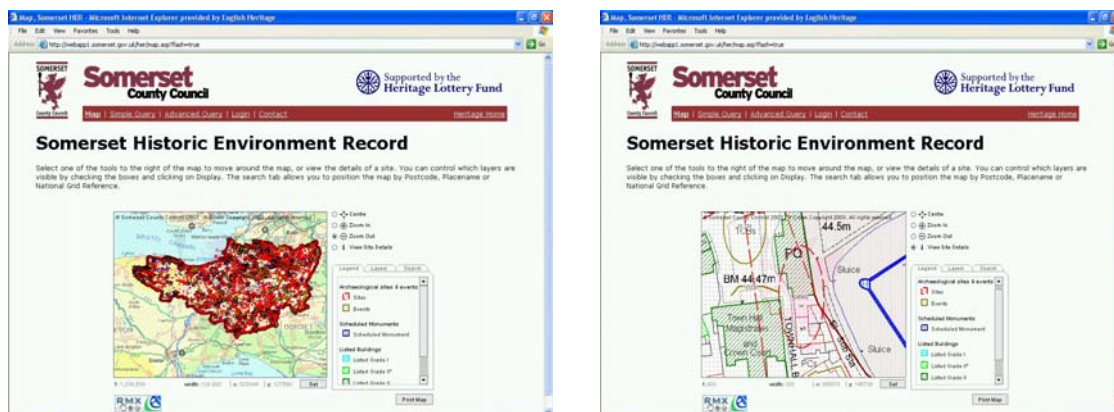
This was a joint project by Northumberland and Durham County Councils funded by the HLF. The Project included a web site where the data had been recast and combined with hyperlinked glossaries to make it intelligible to a non-specialist audience. Images were also added for many of the record's sites. These could then be searched through a simplified text based querying system. The web site also includes period overviews, local histories, sites to visit and ways of getting involved.



Pages from the Keys to the Past web site. Text underlined in blue links to terms explained in the glossary (reproduced courtesy of Northumberland and Durham County Councils).

Unlocking Somerset's Historic Environment

The Unlocking Somerset's Historic Environment project also involved web access to the HER. As well as text searching this included a 'point and click' based map searching facility that displayed monuments and events as well as listed buildings, register entries (parks and gardens and battlefields) and scheduled monument boundaries linked to the appropriate records.



Searching using the map interface in Unlocking Somerset's Past. Zooming in from a map of the whole county to the centre of Wells and a record of a Watching Brief in the Market Place (reproduced courtesy of Somerset County Council).



9) Further Reading

General

Historic Environment Records, Benchmarks For Good Practice, 2003, available on line at www.jiscmail.ac.uk/files/HERFORUM

Informing the Future of the Past, Guidelines for HERs, 2000, available from EH publications, priced £10

Heritage Grants, Your Heritage and Young Roots information packs available from the HLF and on line at www.hlf.org.uk

Broadening the Horizons of Heritage: The Heritage Lottery Fund Strategic Plan 2002 -2007, available from the HLF.

Power of Place, 2000, available from EH and on line at www.english-heritage.org.uk/powerofplace

The Historic Environment: A Force for our Future, 2001, DCMS response to Power of Place, available from the DCMS and on line at www.culture.gov.uk

Local Records - National Resource, an ALGAO Strategy for Sites and Monuments Records, 2000, ALGAO

An Assessment of English Sites and Monuments Records, 1999, (generally known as the Baker Report), copies available from EH

SMR Content and Computing Survey, 2002, EH

Data Standards

MIDAS – A Manual and Data Standard for Monument Inventories, 2000, available on line at www.english-heritage.org.uk/MIDAS

INSCRIPTION, available on line at www.fish-forum.info

Audience Research

Audience Development Plans, Helping Your Application, 2003, available from the HLF and on line at www.hlf.org.uk

Attitudes Towards the Heritage, 2000, survey conducted by MORI for EH available on line at www.english-heritage.org.uk

Visitors to Museums & Galleries in the UK, 2001, survey conducted by MORI for Resource available on line at www.resource.gov.uk/documents/mori3.pdf

Designing a Questionnaire, American Statistical Association available on line at www.amstat.org/sections/srms/brochures/designquest.pdf

Heritage Counts, The State of England's Historic Environment, annual report produced by EH, available on line at www.heritagecounts.org.uk

Project Management

PRINCE 2, Project Management for Business, 1997, available from the CCTA

Managing New Technology Projects in Museums and Galleries, 2001, available from the mda

HER Audits

HER Audit Specification, available from EH

SMR Audit Programme Review, 2001, available from EH

10) Useful Contacts, Addresses and Websites

Heritage Information Partnerships

NMRC

English Heritage

Kemble Drive

Swindon

SN2 2GZ

Phone 01793 414718

Fax 01793 414770

Email HDMinfo@english-heritage.org.uk

Internet www.english-heritage.org.uk

Heritage Lottery Fund

7 Holbein Place

London

SW1W 8NR

Phone 020 75916000

Fax 020 75916001

Email enquire@hlf.org.uk

Internet www.hlf.org.uk

ALGAO

(Inc ALGAO HER Committee)

Phone 01287 205863

Email algao.cji@ntlworld.com

Internet www.algao.org.uk

Historic Environment Records Forum

Email HERFORUM-request@jiscmail.ac.uk

Internet www.jiscmail.ac.uk/lists/herforum.html

Archaeology Data Service

Department of Archaeology

University of York

King's Manor

York

YO1 7EP

Phone 01904 433954

Fax 0904 433939

Email help@ads.ahds.ac.uk

Internet <http://ads.ahds.ac.uk>

MLA

16 Queen Anne's Gate

London

SW1H 9AA

Phone 020 72731444

Fax 020 72731404
Email: info@resource.gov.uk
Internet www.resource.gov.uk

mda

The Spectrum Building
The Michael Young Centre
Purbeck Road
Cambridge
CB2 2PD
United Kingdom

Phone 01223 415760
Fax 01223 415960
Email mda@mda.org.uk
Internet www.mda.org.uk

Open Archives Initiative

Email openarchives@openarchives.org
Internet www.openarchives.org

UKOLN

c/o The Library,
University of Bath,
Bath,
BA2 7AY

Phone 01225 386580
Fax 01225 386838
Internet www.ukoln.ac.uk

FISH (Forum on Information Standards in Heritage)

Internet www.fish-forum.info