

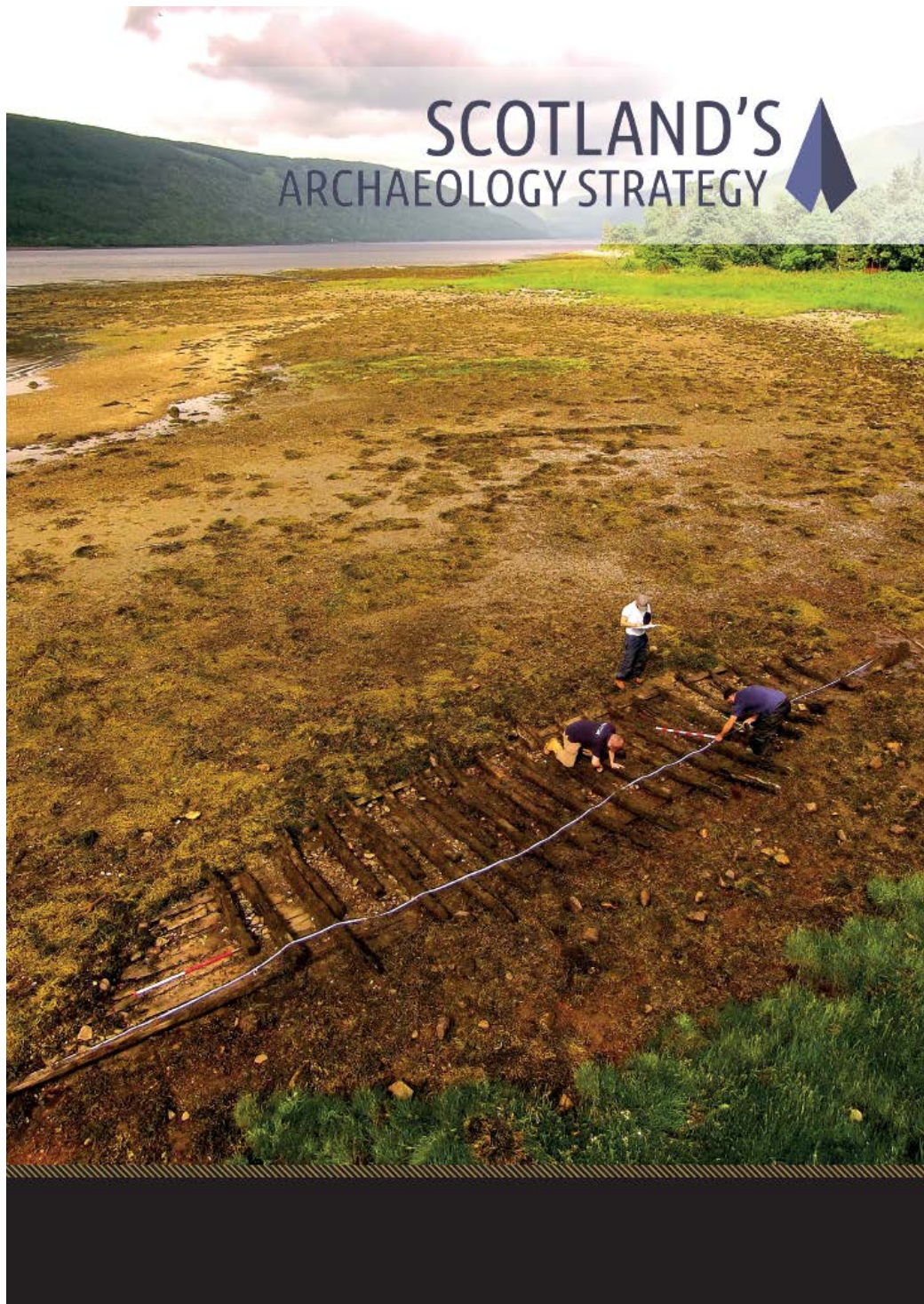


HISTORIC
ENVIRONMENT
SCOTLAND

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Grants for Archaeology Projects 2017-18

Guidance for potential applicants to the archaeology programme





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This guide concludes with copies of the forms used for bidding for grants, and associated conditions.

- Project Bid Form
- Conditions attaching to Archaeology Programme Grants
- Publication grant application form
- Publication grant conditions

Please make any enquiries to archaeologyprogramme@hes.scot and put “Archaeology Programme 2017-18 – name of project” as your subject.

What we give archaeology grants for.....

What sort of archaeology projects does Historic Environment Scotland support?

Headlines:

- To be considered for funding, projects should contribute to our ability to manage the historic environment resource, either by building capacity or by delivering enhanced understanding of the resource itself, including factors affecting its survival.
- Any site-focussed project needs to take account of the wider physical, historical and social setting/landscape, while more general projects should produce information which assists in understanding, managing and/or appreciating the value of individual sites.
- Project proposals should demonstrate how they fit with current research agendas, whether regional, thematic or period-based, and in particular with any priority areas identified by Historic Environment Scotland.
- Project designs should demonstrate how results will be promptly and effectively published and publicised, supporting a wider appreciation of the value of the resource.
- Finally, Historic Environment Scotland prefers to use its limited funding to bring more money to the table, so proposals must identify other sources of support, whether in cash or kind, rather than expecting 100% funding from Historic Environment Scotland.

Some more detailed information:

Most of our grants in recent years have been for projects which rescue information in the face of unavoidable threats, or help us to assess the threats to archaeological sites and landscapes. The commonest such threats are:

- Coastal erosion and related natural processes;
- Semi-natural processes such as rabbit damage or regeneration of woodland;
- Gradual processes resulting from human activities, like the destruction of sites by agricultural ploughing.

Projects should be designed to increase public understanding and enjoyment. They must always take account of the future of excavated structures after the fieldwork has been completed.

Archaeology grants can cover a very wide range of activities, including for example:

- fieldwork and its immediate reporting;
- rescue conservation of artefacts from the above work, although this is normally carried out through contracts between Historic Environment Scotland and commercial companies;
- specialist reports and laboratory analysis for material arising from the above work;
- publication of archaeological reports;
- sending of an archive of documents from the above work to an appropriate, publically accessible archive;
- the disposal of finds to museums,
- exploration of a theme related to standing buildings or field-monuments, such as preservation of sites in wetlands;
- synthesis of projects funded by Historic Environment Scotland, including documentary research;
- publication of any archaeological, palaeoenvironmental, historical, architectural or cultural resource management work funded by Historic Environment Scotland; and of the excavations of deceased archaeologists.
- development of detailed proposals for complex sites or areas of research
- informing and educating the public about the archaeological work being undertaking;

....and what we do not give grants for

Archaeology grants are not used for improving monument management. Other grants are available from Historic Environment Scotland for this purpose (see Grants for Ancient Monuments).

We will not normally give archaeology grants for:

- projects dealing with archaeology in advance of, or during, developments which require planning permission.
- archaeological research which doesn't relate to one of the 'Headlines' listed above.
- projects whose sole purpose is to develop a bid for funding to Historic Environment Scotland or any other body (e.g. HLF)



- purely interpretation-based projects (e.g. signage, guidebooks etc.).

Our priorities

Our broad archaeological priorities are laid out in Scotland's Archaeology Strategy, which was published on the 2 September 2015 and is now online. It can be found [here](#) and should guide the design of your application.

Your bid may correspond to other published agendas or frameworks (e.g. [ScARF](#)) but you must provide bibliographic references and explain the relationship between your project and those other agendas or frameworks.

For projects that provide rescue information in the face of unavoidable threats our focus will be on projects which help to mitigate threats posed by coastal erosion and to a lesser extent agricultural ploughing, through excavation, survey and analysis.

Grant support will also be considered for projects which add value to existing knowledge of the historic environment through the development of better or new ways of expressing or applying historic environment knowledge and data.

We will continue to encourage community inclusion and leadership, and the involvement of volunteers, including Shorewatch groups through the SCAPE Trust (Scottish Coastal Archaeology and the Problem of Erosion).

We will continue to fund archaeological publications where Historic Environment Scotland was a financial contributor to the original fieldwork or other research.

Eligibility – who do we give archaeology grants to?

We have no restrictions on whom we grant-aid, apart from those common to most grant-giving organisations. While we prefer to channel support through established institutions such as universities, trusts or learned societies, we accept that the archaeological sector is diverse, so will look at eligibility on a case by case basis.

Grants are generally payable after work has been completed, or progressed to an agreed stage, so applicants need to think carefully about cashflow. Where we are working with very small charities or community groups, we may release some funds ahead of work taking place, but will always keep a very substantial retention until it is completed.

We also expect organisations, groups and individuals to have a solid research interest in the subjects addressed by their proposal. This can be demonstrated by having a proven track record in relevant research and publication, and/or by doing exploratory work before applying to us for a grant. However, if undertaking doing “proof of concept” work, be careful to distinguish such pilot work from actually starting the main project, as we do not generally come on board to support large projects once these have begun.

Grants can be promised for more than one financial year. However the basic cycle of grant-giving is annual.



Summary of the process

- Discuss your proposal with Historic Environment Scotland before applying. Do this by e-mail on archaeologyprogramme@hes.scot making sure to title your e-mail “Archaeology Programme 2017-18 – name of project – initial discussion”.
- Consider whether the project you are applying for will require Scheduled Monument Consent (SMC). You should obtain consent as soon as possible and should begin the application process at least 3 to 6 months before work starts on site. This must be in place before any grant payment can be issued. Please discuss with the [relevant area team](#). Use the above e-mail address to seek clarification and add “SMC enquiry” to your e-mail title.
- Send us a bid, electronically please, using the bid form, to: archaeologyprogramme@hes.scot
- After considering all of the bids, and work which we want to commission ourselves, we will give you a provisional decision (usually in January)
- Once we are certain how much money we will have to distribute, we will, if funds permit, send you a formal grant offer (usually in early April).
- If you receive a grant offer, you must write to accept it and the conditions attached to it (offers which are not accepted within one month lapse).
- You carry out your project.
- On or before the final delivery date specified in the grant offer, you send us copies of any reports identified in our grant offer, accounts of your expenditure, and send us a letter of claim or an invoice direct to the Investment Team. We may be able to pay instalment claims on the grant as work gets done, up to 90% of the total, this will be agreed on a case by case basis.
- We will pay out the grant, or residue of the grant should interim claims have been made, only once we are satisfied that we have received all agreed products and that these are satisfactory, or for long-running projects, that we have seen proof that work is progressing satisfactorily.



How to bid for a grant

Before submitting a bid, you should discuss your ideas either with the:

Archaeology and World Heritage Team by emailing archaeologyprogramme@hes.scot (making sure you title your e-mail “Archaeology Programme 2017-18 – name of project”) or

the relevant Heritage Management officer for the area in which the project will take place and who you hope will support your bid. (Please contact the central enquiry point by e-mail on hmbusinesssupport@hes.scot or by calling 0131 668 8716 and your enquiry will be forwarded to the correct area team.)

Also, particularly for projects involving fieldwork, you should try to get support from the Local Authority archaeology service before bidding.

Before bidding for a continuing project please contact your previous Historic Environment Scotland contact to ensure you retain their support. (Making sure you add “Archaeology Programme 2017-18: continuing project - project name” to your e-mail title.)

The bid form itself, once completed, should be sent to archaeologyprogramme@hes.scot. Please note that continuing projects need to re-submit the table in question 7.

In-Year bids and availability of funds In-Year

During the course of the year, projects sometimes fall through or turn out to be less costly than expected, so funds may become available for allocation. Generally this money is used to cover emergencies, or projects which were given “reserve list”¹ status in the main estimates process. However, very occasionally new projects coming forward during the year can be funded. This is rare, and you should not submit a bid outside the normal calendar (see page 15) unless you have been invited to do so by the Archaeology and World Heritage Team.

Completing the bid form –what you need to know and do

You must complete an electronic Bid form, the latest version of which you can obtain from the Archaeology and World Heritage Team (archaeologyprogramme@hes.scot) or from the [Historic Environment Scotland website](http://www.historicenvironment.scot).

You should read the specific guidance on how to complete prior to submission. The guidance note is available at the same location as the Bid form.

We do not advise that you submit a full Project Design with your bid form. However, if you feel it to be essential to our understanding of your bid then do so but with explicit reference to it on the form. We reserve the right to request a detailed project design during our assessment work or prior to the formal award of the grant.

¹ The Reserve List is compiled during the assessment process and highlights projects that are eligible for funding if additional monies become available.



Costings and timetable of works

You must state what percentage of the total cost our grant would be, with notes on the nature and amount of resources to be provided by others.

Historic Environment Scotland prefers not to contribute more than 50% of the total cost, although it has no fixed upper limit. If there is a choice between two otherwise equally meritorious bids for grant-aid the proportion of your contribution to costs could well tip the balance.

You may include the following in your calculation of costs and of the contribution from yourself, your organisation or another partner.

- Your fees or salary and those of any archaeologist, scientist, historian etc. who is providing an external service to the project, at the rate which they would normally charge
- The cost of employing staff engaged on the project or, people's self-employed time, as above.
- Voluntary support (at whatever daily equivalent HLF currently allows).
- Subsistence / accommodation
- Travel including vehicle hire.
- Use of your organisation's transport or fieldwork accommodation facilities.
- Laboratory bench fees, including those for conservation of finds, provided that Historic Environment Scotland has agreed that the latter will not be done through the Historic Environment Scotland conservation contract.
- Reasonable administrative costs (up to 10% of your organisation's total contribution, excluding any administrative cost associated with employing staff already counted at 1 above).
- Consumables
- Hire of equipment
- Depreciation on tools and equipment

We are willing to negotiate on grant aid for other costs.

We normally pay for radiocarbon dates and artefact conservation separately through our radiocarbon and conservation contracts. Publication grants (from full final draft onwards) are normally made directly to the publisher. You do not need to include these costs in your application for a grant.



If you or any of your partners are VAT registered you must clearly identify any VAT costs in your estimates. However all grants will be paid VAT-free (see note below).

The information you put in the Blocks of Work table on the Bid form allows us to plan our spending, and must cover the lifespan of the project, excluding only radiocarbon, artefact conservation and publisher's costs which should be discussed separately with the Archaeology and World Heritage Team. For a pilot project, you don't have to include blocks of work for the main project which you will bid for in future, if the pilot is successful.

The 'Summary description' of a block of work need not be long, e.g. '*Fieldwork and Data Structure Report*', or '*Final editing*'. But, as described below, you should include a note on any advance payments. If you don't know precise dates, the block's Start Date should be the start of a month and its End Date the end of a month.

You should group blocks of work together for a stage payment. Please make sure that all blocks of work grouped into one stage payment fall entirely within one financial year. We need the start and end dates of the blocks for our financial planning. We will return the form and halt the grant assessment process if the dates are not included.

Please read the guidelines for the detail in how to complete the form correctly.

Stage payments will normally be paid only in arrears when you produce evidence that the work has been done. They will not be made more frequently than once a month. However, essential set-up costs and in-the-field costs can be paid before the relevant work is completed, provided that a substantial proportion of the overall cost is paid in arrears. Where you need an advance payment say so prominently in the summary description column on the Bid form. Payments are made by electronic transfer to your nominated bank account.

We can't use money from the budget of one financial year (1 April to 31 March) for work done in another. If your blocks of work are taking longer than expected and works are looking likely to be undertaken into the next financial year we may not be able to pay for them and you must contact us as soon as you are aware of this.

VAT in Grants

Historic Environment Scotland cannot recover VAT in respect of grants, which are therefore offered and paid VAT-free. Applicants for grant who also undertake commercial archaeological work and charge VAT on such work should check their VAT position before requesting a grant. If HM Customs and Revenue rule that such recipients cannot recover any VAT they pay in disbursing grant funds, this will effectively increase project costs. Historic Environment Scotland will normally allow for this in calculating the level of grant provided, but we will also take into account such higher costings in determining whether a project represents good value for money.

Key Conditions Attached To Grants

Special grant conditions may appear in the grant offer letter.



A copy of the current standard conditions appear at the end of this guide and will be sent with all grant offers. The special and standard conditions will be legally binding once you have accepted them.

Some conditions refer to our published procedures and operational policies, which can be found on the HES website. If none exist then we would expect you to use the definitions and standards produced by the Chartered Institute for Archaeologists unless we have special needs which do not correspond to ClfA standards.

Standard conditions include a reminder that grant funds can only be spent on what we have agreed, and that grants remain our property and may be reclaimed if the work agreed by us is not carried out completely and to our satisfaction.

You must, each year, provide accounts of expenditure. These will be requested the May following the end of the financial year.

Any capital equipment bought from grant funds is Historic Environment Scotland property, and you have to describe it in your grant application, and give us registration details etc. when you buy it. You have to look after it, and consult us at the end of the project about its disposal. In general it will be much easier all round if you buy capital equipment from non-Historic Environment Scotland funds.

You should keep the local authority archaeologist well informed, and if you are excavating to use non-destructive techniques wherever possible, and to make provision for the after-care of the site.

You have, wherever suitable, to arrange visitor access and you must inform our Press Office about any media contact.

Grantees are encouraged to submit digital copies of reports from completed grant-aided work. Projects must be ASPIRE compliant (www.aspire-resource.info). Project reporting should be submitted online via an electronic Data Submission Form through the OASIS web application (www.oasis.ac.uk/scotland) where possible – although exceptions may be made for community/volunteer groups. You must provide a brief report in the prescribed format to *Discovery and Excavation in Scotland*.

All work grant-aided by us must be deposited within a publically accessible archive.

Although ownership and copyright of your work remain with you, we will require the right to use information, and reproduce material, from any reports on grant-aided projects and from the related archive without further consent or fee.

Our standard conditions also detail the requirements for handling finds, reminding you that they all belong in Scottish law to the Crown and that a list of all artefacts found must be sent to us within 30 days of completion of fieldwork.

You must formally accept the grant offer and conditions in writing. We may cancel offers not accepted within 1 calendar month of issue. No payments may be made until grant offers have been accepted in writing.

Managing Your Grant

Accepting a grant offer and its conditions does not trigger a payment. You must formally request payment when you need each stage payment of the grant, sending us proof of progress and either a letter of claim or, preferably, an invoice direct to our Investment Team.

You must keep adequate records of when work is actually done, to allow Historic Environment Scotland to assign it to a specific financial year when making payments.

Towards the end of projects, we will normally keep a retention of at least 10% of the relevant part of the grant until you produce evidence of completion of the work. This will typically be a copy of a report of a previously agreed kind.

You must keep receipts for payments you make. You must keep records of expenditure. If your contribution to the project is people's time, you must keep time-sheets for them. Before we can pay you the final instalment of a grant you must send us an account of expenditure, including resource contributions such as the time of people. It must identify the Historic Environment Scotland financial years (1 April to 31 March) in which work was done.

If you have the services of a qualified accountant or professional Finance Officer you may send us accounts unsupported by receipts, provided that the accounts are certified by the accountant or professional Finance Officer. Otherwise you must send us both accounts and copies of supporting receipts.

Research Studentships

One useful way of getting research done is for us to sponsor post-graduate studentships, either as a main sponsor or as a non-academic partner alongside one of the Research Councils.

Historic Environment Scotland places no specific boundaries on the subjects covered by studentships, although may, on occasion, do specific calls. They may relate to material from one Historic Environment Scotland project or many, and to current or old projects. However those which relate to our priorities have a much greater chance of success than those which do not.

As with other grants, Historic Environment Scotland is unlikely to support studentships unless there are substantial non-Historic Environment Scotland contributions to costs and resources from others.

Conference Attendance Expenses

Historic Environment Scotland will sometimes support conference attendance to present results or work grant-aided by us, subject to the following guidelines;

- The topic presented has to be directly related to a project funded by Historic Environment Scotland or of direct concern to Historic Environment Scotland.



- Historic Environment Scotland will not normally provide more than £200 per sponsorship.
- Sponsorship will normally only be for travel fares and at most a night each side of the lecture.
- The proportion of Historic Environment Scotland sponsorship to other sponsorship of the project as a whole should be taken as a guide for the proportion of Historic Environment Scotland sponsorship to other sponsorship of presentation.
- Sponsorship will normally take the form of a grant to a grant-receiving body or a purchase order to an individual who is not part of a grant-eligible body.
- We will normally sponsor conference attendance for more than one person per project per year or more than one project per person per year.
- Presentation of a project will not be sponsored after formal publication of the final report.
- Those seeking sponsorship must show they have tried other likely funding sources.

Conference Grants

We can provide grant-aid for conferences on subjects directly related to our projects and priorities. There are currently no set guidelines and each case is considered on its merits, but considerations similar to those above are relevant and sponsorship will seldom be for more than £1000. We will usually seek one or more “free” places for Historic Environment Scotland staff as part of any sponsorship package.

Publication Support

Grants are available to help meet the costs of publishing reports on Historic Environment Scotland-supported projects. We expect the publisher to apply for grant on receipt of the completed and approved full final draft from the author(s). An up to date publication grant application form is attached. We aim to give approval in principle very quickly, and then follow this up with a formal grant offer to the publisher once the detailed costings for the volume are available.

We normally grant-aid print publication in proportion to our contribution to the earlier parts of the project, usually up to a maximum of 75% of the costs allowed below. We may agree to a higher proportion of funding for reports in new journals and monograph series devoted to Scottish archaeology, for a specified period of years or number of volumes. For example, we currently offer 100% grants to Scottish Archaeological Internet reports (SAIR), whose costs per page are lower than those of print journals and monograph series. Articles funded through the Archaeology Programme can apply for Gold Open Access publication, if the journal offers this method of publication. For monographs, in particular, we may seek an agreement to receive a proportion of any



eventual profits (a sample is provided below).

Allowable costs include:

Pre-printing

Editing, layout, copy editing and proof reading

Type setting

Halftones of photos

Indexing

Printing and subsequent

Printing and binding

Print cover

Colour inserts, if agreed in advance in writing by Historic Environment Scotland

Offprints

Delivery

Administration (postage, insurance, storage)

Open Access

Organisations with charitable status which automatically provide their members with journals or reports at no charge over and above a membership fee do not have to repay grants.

Publication grants for priced publications – monographs and other reports which are not sent automatically to members, and productions by commercial publishers – will normally be on a payment basis along the lines set out in the publication grant conditions. Special arrangements can usually be made to accommodate “print on demand” publications.



Calendar for bids for 2017-18 Grant Cycle;

30 September 2016	Deadline for submission of project bids, applicants should have discussed proposed projects with Historic Environment Scotland as described above, please be aware that Q. 7 for ongoing projects should also be submitted with any updates to the content of the projects clearly marked.
October 2016	Bids received are recorded and passed to the Archaeology and World Heritage Team for consideration and priorities agreed and recorded.
October 2016	Applicants may need to respond to queries.
November 2016	Archaeology and World Heritage Team collate prioritised bids, draw up an outline programme and seek final comments from colleagues.
December 2016	Final internal discussions as required.
By 31 December 2016	Proposed programme is agreed.
January 2017	Historic Environment Scotland will advise applicants of provisional outcomes and will seek full project designs where needed.
January 2017-April 2017	Grants are formally offered, subject to the applicant: <ul style="list-style-type: none">• submitting a full project design, if required, and, where relevant, obtaining Scheduled Monument Consent prior to fieldwork.• confirming payment address details• formally accepting the conditions in writing, before work starts.