

INSPECTORATE  
Safeguarding the Built Heritage



## **GRANTS FOR ARCHAEOLOGY PROJECTS**

### **A guide for potential applicants to Historic Scotland's Archaeology Programme**

2009-10 edition



## ***USING THIS BOOKLET***

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After Page 30, this Guide concludes with copies of the forms used for bidding for grants, and associated guidance.

• Project Bid Form:	8 pages
• Publication grant application form	1 page

Enquiries to [hs.inspectorate@scotland.gsi.gov.uk](mailto:hs.inspectorate@scotland.gsi.gov.uk)

## ***WHAT WE GIVE ARCHAEOLOGY GRANTS FOR.....***

What sort of archaeology projects does HS 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 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, HS 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 HS.

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 HS 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 RCAHMS;
- 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 HS, including documentary research;
- publication of any archaeological, palaeoenvironmental, historical, architectural or cultural resource management work funded by HS; 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 Scotland for this purpose (see the HS publication "Grants for Ancient Monuments").

We shall not normally give Archaeology grants for

- projects dealing with archaeology in advance of or during developments which require planning permission.
- pure archaeological research irrelevant to the list above of things which Archaeology grants can cover.
- Projects whose sole purpose is to develop a bid for funding to HS or any other body (eg HLF)
- purely interpretation-based projects.

## ***OUR PRIORITIES***

Our broad archaeological priorities are laid out in Historic Scotland's Corporate Plan, which is available on our web site [www.historic-scotland.gov.uk](http://www.historic-scotland.gov.uk) .

About 25% of our Archaeology funding is spent through contracts let by competitive tender. Our priorities in such work are the same as in providing grants. Some of these contracts support other, grant-aided, projects. For instance we maintain contracts for responding to discoveries of human remains, radiocarbon dating and artefact conservation. Other contracted projects may include preparing excavation reports for the press and syntheses of existing knowledge.

Following a recent review (see Closed Consultations section of HS website, on <http://www.historic-scotland.gov.uk/closed-consultations.htm>) our priorities for the next few years will focus on projects which help to mitigate threats posed by coastal erosion and to a lesser extent agricultural ploughing, through excavation, survey and analysis.

Grants will also be offered to projects which add value to existing knowledge of the historic environment through projects including Historic Landuse Assessment. An important collaborative project with the Society of Antiquaries of Scotland seeks create an inclusive research framework for Scottish Archaeology, to help ensure that projects we fund are advantageously situated in terms of research activity and needs.

We will continue to encourage community inclusion and leadership, and the involvement of volunteers, including Shorewatch groups through the Scottish Archaeological and Prevention of Erosion Trust (SCAPE) and monument conservation through the Adopt-a-Monument project run by the Council for Scottish Archaeology (CSA).

We will continue to grant-aid archaeological publications where HS was a financial contributor to the original fieldwork or other research. We are especially keen to complete overdue and/or long-running post-excavation projects, and this will remain a top 2009-10 priority.

## ***ELIGIBILITY - WHO WE GIVE 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 tend to favour applicants who can bring non-HS funding or resources into projects, to complement what is sought from us. 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 in 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. See the calendar on page 17.

### ***SUMMARY OF THE PROCESS***

- Probably the first thing to do is to discuss your proposals with an HS Inspector from the relevant Inspectorate Team (see below).
- Send us a bid – electronically if humanly possible, using the form attached to this booklet – or we will e-mail you one on request.
- After considering all of the bids, and the work which we want to commission ourselves, we may send you a formal grant offer.
- If you get a grant offer, you must write to accept it and the conditions attached to it (offers not accepted in one month lapse).
- You carry out your project.
- (We can pay instalments of the grant as work gets done, up to 90% of the total.)
- 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
- We pay (the residue of) the grant.

## ***HOW TO BID FOR A GRANT***

Before submitting a bid, you should discuss your ideas with the HS Inspector or Team who you hope will support your bid. Also, particularly for projects involving fieldwork, you should try to get (at least moral) support from the Local Authority archaeology service before bidding.

The Inspectorate is divided into Teams. The “default” contacts for discussing potential new bids for 2009-10 are:

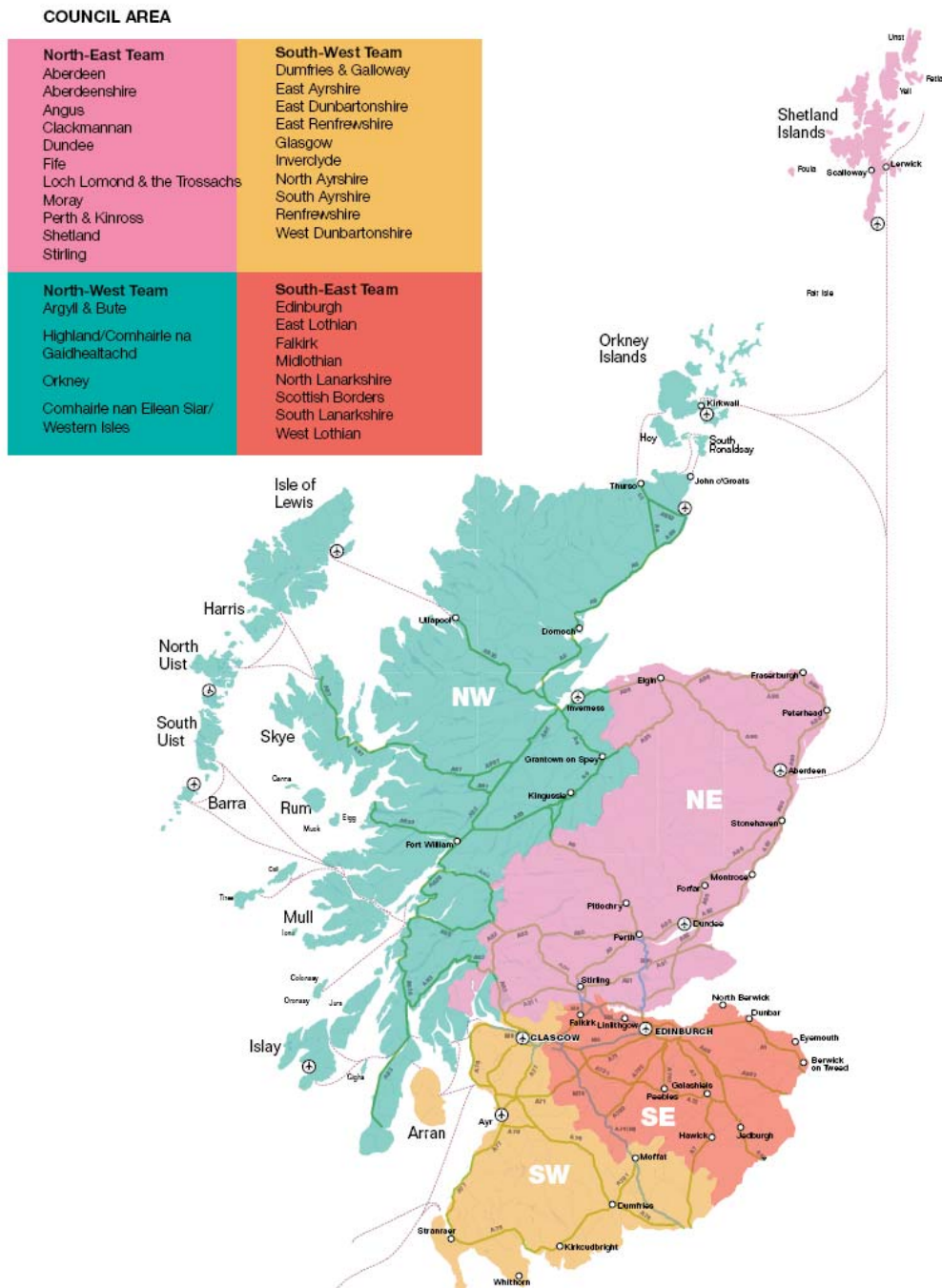
Archaeology Team.	<a href="mailto:Roderick.McCullagh@scotland.gsi.gov.uk">Roderick.McCullagh@scotland.gsi.gov.uk</a>
Scheduling Team	<a href="mailto:Sally.Foster@scotland.gsi.gov.uk">Sally.Foster@scotland.gsi.gov.uk</a>
Chief Inspector’s Office	<a href="mailto:Lesley.MacInnes@scotland.gsi.gov.uk">Lesley.MacInnes@scotland.gsi.gov.uk</a>
North-East Team	<a href="mailto:Iona.Murray@scotland.gsi.gov.uk">Iona.Murray@scotland.gsi.gov.uk</a>
North-West Team	<a href="mailto:Alan.Rutherford@scotland.gsi.gov.uk">Alan.Rutherford@scotland.gsi.gov.uk</a>
South-East Team	<a href="mailto:George.Findlater@scotland.gsi.gov.uk">George.Findlater@scotland.gsi.gov.uk</a>
South-West Team	<a href="mailto:Sarah.Govan@scotland.gsi.gov.uk">Sarah.Govan@scotland.gsi.gov.uk</a>

If you are bidding for a new fieldwork project you should normally contact the relevant Area team – use the contacts above unless you already have contact with a specific Inspector. See map on next page for Team areas.

If you are bidding for a new Scotland-wide project, you should normally contact the Archaeology Team in the first instance – we will redirect you if necessary.

If you are bidding for a continuing project please contact the Team or Inspector with which you have been dealing most recently.

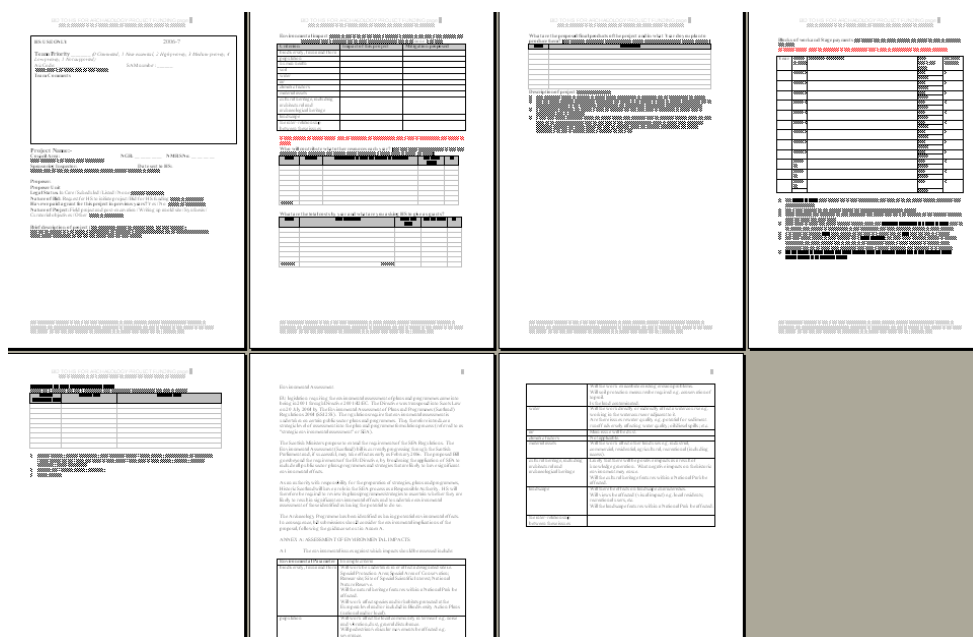
**The bid form itself, once completed, should be sent to the Archaeology Team, electronically if humanly possible (see page 17 for e-addresses and timetable).**



### *In-year bids*

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” 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 Team.

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



You must complete a Bid form, a digital version of which you can obtain from the Archaeology Team or the Team with which you are dealing (or you can use the one at the back of this Guide if you received the Guide digitally).

The information in the Bid form will be stored on an HS database. In submitting the Bid form you will be deemed to have agreed that the information can be made publicly available, unless you specify on the form that you want the information to be barred from public access for a specified time.

In addition to obvious things like the project name, you will need to include the legal status (scheduled, listed, designated, SSSI etc) of any sites you wish to work on.

If the site is scheduled, and if you want a grant for excavation, you will need to obtain Scheduled Monument Consent before we can make a formal grant offer. We also need to know what other approaches to the landscape or site you have considered, such as non-invasive archaeological work, or preservation or better management, and why they have been rejected.

You must also record the possible environmental impacts of your project, against eleven criteria laid out in a table in the bid form. Advice on how to do this is provided at the end of this guide. Note that we now check all proposals with Scottish Natural Heritage for possible unforeseen impacts on natural heritage interests.

You must provide a brief (250 or less characters) description of the project. This will be included in the list of bids to be considered during the estimates process. You must also provide a more detailed description of the project,

which should be designed to present the bid to those who have not heard about it before. It should contain a succinct description of the nature of the site or project, its value to archaeology and its expected contribution to our knowledge, understanding and management of Scotland's archaeological heritage.

If the work which you propose depends on research material being made available by another organisation such as a museum then you must certify that you have discussed the project with that organisation and have its support.

The bid form should make clear why this project is being put forward, and why now. Areas of residual uncertainty in project aims or organisation must be mentioned.

You can include a full Project Design with your bid form if you wish. However, we may, while accepting that a project similar to yours should be done, wish to let the necessary work through a competitive tender. We would not wish you to fear that we have unfairly used your ideas. So you may feel it advisable to keep the Project Design back to a later stage.

### ***Costings and timetables of work***

You must also 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. HS 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 HS has agreed that the latter will not be done through the HS 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 be for the whole of the future part of the project, excluding only radiocarbon, artefact conservation and publisher's costs. 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.

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. For instance, even if the date at which we pay a bill for work done before 1 April 2009 is after 1 April, it will be charged to our budget for 2008/9.

## ***AVOIDANCE OF FRAUD / SUPPLIER DATABASE***

To help us avoid fraud, we frequently refresh our list of those to whom payments can be made – “suppliers” in our terminology. We may delete those with whom we have had no financial transactions for 6 months or more. We cannot make grant offers to anyone who is not on the list, and putting organizations and people back on the list can take several weeks. While we apologise for any inconvenience this may cause, please note that this is a strong incentive to arrange for stage payments of grant to be claimed every few months rather waiting until the end of the year

## ***VAT IN GRANTS***

Historic 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 the such recipients cannot recover any VAT they pay in disbursing grant funds, this will effectively increase project costs. Historic 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 appears at pages 18-30 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. At the time of writing some of these are out of print but we hope to produce new guidance soon, although increasingly we plan to use the definitions and standards produced by the Institute of Field Archaeologists unless we have special needs which do not correspond to IFA standards.

Standard conditions include a reminder that grant funds can only be spent on what we have agreed to, 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.

Any capital equipment bought from grant funds is HS 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-HS funds.

You have to promise to 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 ([www.aspire-resource.info](http://www.aspire-resource.info)) compliant. Project reporting should be submitted to online via an electronic Data Submission Form through the OASIS web application 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 archived in the Database of the Royal Commission on the Ancient and Historical Monuments of Scotland (formerly known as the National Monuments Record of Scotland).

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 conditions in writing before we can pay a grant.

### ***MANAGING YOUR GRANT***

Accepting a grant offer and its conditions does not trigger a payment. You must formally ask when you need each stage payment of the grant, sending us either a letter or an invoice and confirming progress.

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

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 evidence will normally be a copy of a report of a previously agreed kind.

You must keep receipts for payments. 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 HS 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.

HS places no specific boundaries on the subjects covered by studentships. They may relate to material from one HS 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, HS is unlikely to support studentships unless there are substantial non-HS contributions to costs and resources from others.

### ***CONFERENCE ATTENDANCE EXPENSES***

HS will sometimes support conference attendance to present the results of work grant-aided by HS, subject to the following guidelines.

- The topic presented has to be directly related to a project funded by HS or of direct concern to HS.
- HS will not normally provide more than £200, and very rarely more than £300, per sponsorship.
- Sponsorship will normally only be for travel fares and at most a night each side of the lecture.
- The proportion of HS sponsorship to other sponsorship of the project as a whole should be taken as a guide for the proportion of HS 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 no more than one person per project per year.
- Presentation of a project will not be sponsored after 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 a few hundred pounds.

### ***PUBLICATION SUPPORT***

Grants are available to help meet the costs of publishing reports on HS-supported projects. We expect the publisher to apply for grant on receipt of the completed and approved full final draft from the author(s). 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.

For monographs, in particular, we will 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 HS

Offprints

Delivery

Administration (postage, insurance, storage)

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 pro forma below. Special arrangements can usually be made to accommodate “print on demand” publications.

#### PROFORMA COMMERCIAL AGREEMENT FOR A MONOGRAPH

##### **HS support for Publication of #title#**

HS will make a grant of £##### towards publication of ##author##'s ##title## by ##the publisher## once the monograph is published.

The following conditions must be accepted in writing before HS will pay the grant.

1. HS will receive 3 free copies of the Monograph from ##the publisher##.
2. ##the publisher## must give one free copy to each author. It is up to ##the publisher## taking into account any agreement with the authors whether or not to give free copies to major contributors or others, but HS will not provide any further sums for this purpose.
3. The Monograph must include an acknowledgement, the text of which must be agreed by HS before publication, of the support that HS gave for the work which is reported in the monograph.
4. The Monograph will include an acknowledgement, the text of which must be agreed by HS before publication, that publication was grant-aided by HS.
5. ##the publisher## will retain all money earned from sale of the Monograph until it has gone into profit.
6. Once the true costs to ##the publisher## of publication of the Monograph have been covered, including non-grant-aidable costs, but minus the HS grant, ##the publisher## will give HS a proportion of the profits. That proportion of the profit will be the proportion of the HS grant to the true costs of publishing the Monograph to ##the publisher## including non-grant-aidable costs.
7. The publisher will provide HS with an account of sales every 30 June to cover the year up to 31<sup>st</sup> of March of that year.
8. It will be paid on 30 June or such other date as may be agreed between HS and ##the publisher## of every year that the sum of all payments due to HS under this agreement and any similar agreement relating to another monograph is greater than £100.

## CALENDAR OF THE ANNUAL GRANT CYCLE

**NB: You should bid in the financial year before the grant is needed.**

By last Friday of September	Deadline for submission of new project bids to Archaeology Team ( <a href="mailto:Ruby.Ceron-Carrasco@scotland.gsi.gov.uk">Ruby.Ceron-Carrasco@scotland.gsi.gov.uk</a> , copying to <a href="mailto:Roderick.McCullagh@scotland.gsi.gov.uk">Roderick.McCullagh@scotland.gsi.gov.uk</a> ) The applicant should have discussed the proposed project with the relevant HS Inspector. If this deadline is impossible because of absence on current fieldwork, or if bid is confirming the needs of an ongoing project, “marker” bids containing the project name, brief description, and fieldwork and non-fieldwork bid amounts may be submitted.
October	Bids are passed to Inspectorate Teams for consideration, discussed bilaterally with Archaeology Team and priorities agreed and recorded.
October	Applicants respond to any Inspectorate queries and submit full bids if earlier “markers” have been submitted.
November	Archaeology Team collates prioritised bids, draws up an outline programme and seeks final comments from rest of Inspectorate.
By first December	Archaeology Team leader forwards a proposed programme to Chief Inspector.
December	Final internal discussions as required
By end of December	Proposed programme is adopted.
Late December to late January	HS will advise applicants of outcomes and will seek full Project Designs where needed.
By 31 March ( <b>end of HS Financial Year</b> )	All work grant-aided must be complete on March 31 <sup>st</sup> or earlier date if agreed. All reports, invoices and accounts of grant-aided expenditure must be with the relevant Team to allow sign-off by 31 March. It is vital that any possible late presentation of product/invoices is pre-agreed
January through to early April (with priority given to early grant offers for projects run by voluntary sector)	Grants are formally offered, subject to: 1) Before a grant can be formally offered the applicant must, if required, have submitted a full Project Design and, where relevant, must have obtained Scheduled Monument Consent. 2) Successful applicants must confirm payment address details before a grant offer or payment can be made. 3) Conditions attached to grants must be formally accepted by the applicant, in writing, before work starts. 4) Grant payments will be made only after specific written requests for payment.

## **CONDITIONS ATTACHING TO ARCHAEOLOGY PROGRAMME GRANTS**

Important: This document forms an integral part of the grant offer. It contains standard conditions which will become legally binding upon the grant recipient as soon as the offer is accepted.

Contents:

- 1) General
- 2) Payment and variation practices and procedures
- 3) Subcontracting practices and procedures
- 4) Accounting practices and procedures
- 5) Grant Withholding and Retrieval practices and procedures
- 6) Disclosure and Intellectual Property Rights practices and procedures
- 7) Equipment practices and procedures
- 8) Fieldwork practices and procedures
- 9) Non-Fieldwork practices and procedures
- 10) Communications and Media practices and procedures
- 11) Obligatory Project Management procedures and practices
- 12) Obligatory Reporting practices and procedures
- 13) Optional Reporting practices and procedures
- 14) Archiving practices and procedures
- 15) Artefacts reporting practices and procedures
- 16) Definitions

## 1. General

- 1.1 The Definitions set out in the Schedule (Section 16) shall apply in these Conditions.
- 1.2 Grant is provided subject to Historic Scotland's (hereafter HS) published policies and procedures. Copies of current policies are available via the HS website.
- 1.3 Unless otherwise stated, the funding for this grant comes via HS' Inspectorate. The specific funding stream is known as the Archaeology Programme. Projects supported by grant from the Archaeology Programme will be managed by either the manager of the Archaeology Programme (hereafter referred to as the Programme Manager) or by a named Inspector, usually one with responsibility for the area of the fieldwork or with some specific knowledge pertaining to the project.
- 1.4 Where a formal prior Consent is required for the Project to commence, Grant will not normally be payable until that Consent has been granted.
- 1.5 The grant recipient (Grantee) must accept the Offer and these Conditions in writing, to HS. Without written acceptance within 1 calendar month of the date of issue, the Offer will lapse. If the Grantee cannot accept any item in this document then he or she must write to HS (the signatory of the Offer or the Programme Manager) to negotiate a mutually acceptable variation.
- 1.6 The Grantee bears a responsibility for the health and welfare of all participants in, and visitors to, the Project, regardless of relationship or employment status. The Grantee is expected to devise, implement and regularly review a Health & Safety Policy. Historic Scotland reserves the right to inspect the Grantee's Health and Safety Policy and suggest improvements, but bears no responsibility for its terms and consequences.

## 2. Payment and Variations

- 2.1 Grant funds will normally be paid in arrears on receipt of a written claim from the Grantee, supported by appropriate evidence of progress and expenditure.
- 2.2 The Grantee's claim, if for a stage payment, must correlate to work blocks or stages described in the Project Outline.
- 2.3 The Grantee must obtain the Programme Manager's approval for any variations to the costs and timetable prior to any variant grant claim. Once HS has approved such variations, the Grantee must supply HS with an updated table of work blocks or stages.
- 2.4 HS is not obliged to pay any claim in part or in full if the claim or the work for which payment is sought is not compliant with the agreed programme of work in quality and cost.
- 2.5 Neither the Grantee nor any part of the Grantee's institution may use the grant for any purpose or to any other timetable than that agreed between the Grantee and HS at the outset of the grant or by subsequent negotiated written variation.
- 2.6 The Grantee shall inform the Programme Manager in writing of any delay or other event likely to lead to a reduction in Project costs which may lead to a shortfall in grant claim compared with the agreed programme. Such notice

must be given at the first knowledge of such an event, and not delayed until a claim is due.

- 2.7 In particular, the Grantee must inform the Programme Manager of any grant funds that are expected to remain unclaimed at the close of the Project or, for ongoing projects, no later than 31 January of each year in which grant is offered. The Grantee must return such unused funds to HS before 31<sup>st</sup> March, unless an alternative written agreement has been reached with the Programme Manager.

### 3. Subcontracting

- 3.1 Any sub-contracts entered into by the Grantee in relation to the Project and which involve payment from grant funds must be made in writing, must be kept as part of the project records, and must be made available to the Programme Manager or other authorised officer of HS on request.

### 4. Accounting

- 4.1 The Grantee must submit a statement of account to the Programme Manager by mid-May of the year following each financial year in which grant is issued. The account must show all income into the Project and expenditure incurred by the Grantee in connection with the Project during the financial year to which it relates. No further Grant will be paid until such account is received.
- 4.2 The Grantee must keep and maintain detailed accounts (supported by all appropriate financial evidence) for 3 years after the expenditure occurs. The Grantee shall afford access to these records to the Programme Manager or any other official auditing institution and provide all reasonable assistance and explanation as the Programme Manager or the person carrying out the inspection for HS may, from time to time, require.

### 5 Grant withholding and retrieval

- 5.1 HS may re-assess, vary, make a deduction from, withhold, or require repayment of the Grant or any part of it in the event that:-
- 5.1.1 the Grantee commits a Default;
  - 5.1.2 the Grantee departs from the Project Design without prior written consent from the Programme Manager or the Inspector managing the Project;
  - 5.1.3 the Grantee fails to comply to these conditions without prior written consent from the Programme Manager or the Inspector managing the Project;
  - 5.1.4 the Grantee fails to carry out any part of the Project to the satisfaction of Programme Manager or the Inspector managing the Project.
- 5.2 HS may re-assess, vary, make a deduction from, withhold, or require repayment of the Grant or any part of it in the event that at any time within the duration of the Grant:-
- 5.2.1 if the Grantee passes a resolution that it be wound up, or a court makes an order that the Grantee be wound up in either case otherwise than for the purposes of reconstruction or amalgamation, or circumstances arise which would enable a court to make such an order or the Grantee is

- unable to pay its debts within the meaning of section 123 of the Insolvency Act 1986;
- 5.2.2 where the Grantee is an individual, if a petition is presented for the Grantee's bankruptcy or the sequestration of his estate or a criminal bankruptcy order is made against the Grantee or the Grantee makes any composition or arrangement with or for the benefit of creditors, or if an administrator or trustee is appointed to manage his affairs; or
- 5.2.3 if a receiver, manager, administrator or administrative receiver is appointed to the Grantee, or over all or any part of the property which may from time to time be comprised in the property and undertaking of it, or circumstances arise which would entitle a court or a creditor to appoint such a receiver, manager, administrator or administrative receiver.
- 5.3 In the event that the Grantee becomes bound to pay any sum to HS in terms of the foregoing Condition 5.1, the Grantee shall pay the appropriate sum within 14 days of a written demand for it being given by HS or on behalf of HS to the Grantee.
- 5.4 In the event that the Grantee fails to pay such sum within the said period of 14 days, the Scottish Ministers shall be entitled to interest on the said sum at the rate of 2 per cent per annum above the base lending rate or the equivalent of the Royal Bank of Scotland plc prevailing at the time of the written demand, from the date of the written demand until payment in full of the said sum and interest;
- 5.5 Notwithstanding the provisions of the foregoing condition 5.1, in the event that the Grantee is in breach of any of these Conditions, HS may, provided that the breach is capable of remedy, postpone the exercise of our rights to recover any sum for such period as HS see fit and may give written notice to the Grantee requiring it to remedy the breach within such period specified in such notice and in the event that the Grantee fails to remedy the said breach within the period specified, the Grantee shall be bound to pay the said sum to HS in accordance with the provisions of the foregoing conditions;
- 5.6 Any failure or omission by HS to exercise or delay by HS in exercising any right or remedy to which HS are entitled shall not be construed as a waiver of such right or remedy.
- 5.7 The Grantee shall not be entitled to assign, sub-contract or otherwise transfer its rights or obligations under these Conditions without our prior written consent.
- 5.8 These Conditions may be terminated by HS giving not less than 3 months' notice in writing to the Grantee.
- 5.9 These Conditions shall continue to apply for a period of 5 years after the end of the financial year in which the final instalment of the Grant was paid.

## 6. Disclosure and Intellectual Property Rights

- 6.1 HS has the legal right to disclose any information obtained through the operation of this grant to any other department, office or agency of Her Majesty's Government in Scotland or the United Kingdom, and their servants

or agents. The Grantee has no right to impose any restriction upon the information that HS provides to Members of the Scottish Parliament or Members of the United Kingdom Parliament.

- 6.2 All Intellectual Property Rights shall vest in the Grantee. However, in accepting grant, the Grantee hereby cedes to Historic Scotland a non-exclusive, irrevocable and royalty-free licence to use, publish, reproduce, share and make available any results or information relating to the Project, including but not limited to any reports, books, leaflets and other printed and published materials in whatever form and any such published materials stored in or made available by means of an information technology system and the computer software relating thereto. HS will take all reasonable care not to exercise this licence in a way which leads to academic or financial loss for the Grantee or his collaborators.

## 7. Equipment

- 7.1 Any tools and equipment bought with grant funds shall remain the property of HS.
- 7.2 Such tools and equipment must be specifically mentioned in the Grant Application and/or listed in the end-of-year accounts.
- 7.3 The Programme Manager must be notified immediately of the purchase of any item of equipment with a value equal to or more than £500, including VAT, with details of serial numbers and the value of each item.
- 7.4 Responsibility for the good maintenance, security and insurance of all tools and equipment will lie with the Grantee.
- 7.5 Tools and equipment must be used solely for the purposes of the grant-aided Project unless written prior permission has been given by the Programme Manager.
- 7.6 The Grantee must inform the Programme Manager immediately if equipment purchased with Grant is lost, stolen or damaged.
- 7.7 At the end of the Project, the Programme Manager shall agree with the Grantee the method by which any equipment purchased with Grant is to be disposed of, retaining the right to uplift any equipment from the Grantee if no other arrangement is agreed.

## 8. Fieldwork Projects

- 8.1 If the Project involves fieldwork, the Grantee must:
- 8.1.1 inform the Local Authority Archaeology Service and the local Museum Service at least 2 weeks in advance of commencement of the dates and scope of fieldwork and must offer an opportunity to visit the Project site. This requirement does not apply to short-notice call-out work for which different local contact conditions apply;
  - 8.1.2 undertake archaeological excavations and prospection in a scientific manner and apply non-destructive methods of investigation wherever possible;
  - 8.1.3 not leave elements of the archaeological heritage uncovered or exposed during or after excavation without provision for their proper preservation, conservation and management. Any arrangement for temporary cover

between seasons of a multi-season project must have the prior written approval of the Programme Manager or the Inspector managing the Project.

- 8.1.4 where appropriate provide access for visitors (either throughout the Project or on one or more locally advertised open days);
- 8.1.5 make every effort to encourage the participation of local volunteers in the Project where appropriate.
- 8.2 HS may publish the fact and amount of the grant award and the nature of the fieldwork on its website. This information may be updated with key information from the fieldwork. The Grantee is obliged to inform the Programme Manager or the Inspector managing the Project of progress in fieldwork and is responsible for checking the information as it appears on the HS website. HS will consult with the Grantee prior to such progress reporting to avoid adverse impacts on the conduct of the excavations, on the Grantee's relations with local stakeholders or on the Project in any way.
- 8.3 The treatment of all human remains must comply with HS Procedure Paper No 5 *The Treatment of Human Remains in Archaeology* (<http://www.historic-scotland.gov.uk/humanremains.pdf>) as updated from time to time.

## 9 Non-fieldwork Projects

- 9.1 The Grantee must obtain prior written HS consent from the Programme Manager or the Inspector managing the Project for any destructive analyses whether these affect artefacts or ecofacts.
- 9.2 The Grantee must inform the Programme Manager or the Inspector managing the Project of any changes to the scope of analysis or changes of technique.
- 9.3 The Grantee must submit an annual report on significant results from non-fieldwork analyses to *Discovery and Excavation in Scotland* (see 12.2.1) except where the Grantee can argue that their professional or academic well-being may be adversely affected. Any such exemption must receive written approval from the Programme Manager or the Inspector managing the Project.

## 10 Communications with the Press and other media

- 10.1 The Grantee must immediately inform the Programme Manager or the Inspector managing their Project, or HS Communications and Media section about any contacts with the media before reports appear in the media.
- 10.2 Statements to the media by the Grantee should be restricted to matters connected with archaeology.
- 10.3 In particular, the Grantee must not discuss HS policy or financial affairs relating to the Project. The Grantee should direct any such enquiries to our Communications and Media section (0131 668 8603).

## 11. Obligatory Project Management procedures

- 11.1 Grant-aid is conditional on the production of a costed and timetabled Project design for fieldwork and/or post-excavation analysis and reporting. This must be produced at the start of the project and updated during the project's lifespan as new information becomes available, provided always that the Grantee produces a costed list of tasks and their products for each financial year in

advance of the commencement of that year. All variations from this list within any year, or from the overall Project design, must have the prior written approval of the Archaeological Programme manager or the Inspector managing the Project.

- 11.2 The Project Design must include provision for all obligatory reporting processes (Section 11), all obligatory archiving processes (Section 13) and all obligatory finds disposal processes (Section 15).
- 11.3 The Grantee is responsible to HS for the safekeeping of all artefacts recovered during fieldwork from the moment of discovery until their delivery to a recipient museum. The Grantee is expected to have appropriate procedures in place to allow the effective tracking and recording of the location of all finds during all stages of post-excavation analysis or study. If any element of the Project assemblage is to be sent to a specialist based outwith Scotland then the reporting procedure, described in 12.3.4, must to be followed.

## 12 Obligatory Reporting procedures

- 12.1 Publication of results is a primary requirement of grant aid. The exact nature of the final report (e.g. full publication, archive only, etc) is a matter for negotiation between the Grantee and Archaeological Programme manager or the Inspector managing the Project and will be determined, primarily, by the significance of the results. Failure to comply to this agreed position or with any of the reporting requirements listed below will seriously affect access to future HS grant support and may trigger HS return of grant procedures. Where the Project includes production of a final report, whether or not for publication, the final grant payment on the Project will not normally be made until the Programme Manager has received a copy and has confirmed its acceptability in writing.
- 12.2 In addition to the final report, the Grantee must place their results in the public domain via all of following media, and shall be responsible for supplying appropriately formatted material for each:-
  - 12.2.1 *Discovery and Excavation in Scotland* (DES): the Grantee must report the annual results of their fieldwork and/or non-fieldwork project(s) to the DES editor by the editor's submissions deadline (see <http://www.scottisharchaeology.org.uk/about/publications.html>). [The submissions deadline is currently mid-November.]
  - 12.2.2 *OASIS & ASPIRE*: the Grantee must provide reports and archives that are compliant with the submission requirements of the Online Access to the Index of Archaeological Investigations (OASIS) (see <http://ads.ahds.ac.uk/project/oasis/>) and Archaeological Standards Protocol for the Integrated Reporting of Events (ASPIRE) (see <http://www.aspire-resource.info/>). These reports must be submitted to:
    - Royal Commission for Ancient and Historical Monuments of Scotland (RCAHMS) and
    - The relevant Local Authority archaeological sites and monuments record or historic environment record (SMR/HER)

- 12.3 The Grantee must submit to Programme Manager or the Inspector managing the Project:-
- 12.3.1 two copies (one in Microsoft Word document digital format) of Data Structure Reports (DSR) or similar stage products;
  - 12.3.2 a small selection of images (photographic slides or digital images with a resolution of at least 300 ppi) adequately characterising the main features of the site and illustrating the work of each season of fieldwork; an HS guidance on image capture is in development and will be posted on the HS web-site.
  - 12.3.3 a complete list of all finds within 30 days of completion of each stage of fieldwork. The list should be in a spreadsheet format compatible with Microsoft Excel.
  - 12.3.4 a copy of any correspondence with Treasure Trove Scotland regarding the removal of artefacts from Scotland. This requirement usually applies when the Grantee, or a specialist working on behalf of the Grantee, is based outwith Scotland. In such circumstances, the Grantee must apply to the Treasure Trove Unit (TTU) for permission to remove any part of the excavation assemblage from Scotland. The application form is provided on the Information for Units section of the TTU website (see <http://www.treasuretrovescotland.co.uk/html/units.asp>). A copy of the application form should be sent to the Programme Manager, or the Inspector managing the Project.
  - 12.3.5 a copy of each required post-excavation stage report for comment, and revision if required, before payment,
  - 12.3.6 a copy of the final draft report text for comment prior to its submission to the publisher;
  - 12.3.7 a copy of the final draft text, taking into account any amendments recommended by the Archaeological Programme manager or the Inspector managing the Project prior to submission to the publisher or archive (as appropriate);
  - 12.3.8 one offprint or pdf copy of any article in a journal or edited volume not in the list below:-
    - i. Proceedings of the Society of Antiquaries of Scotland;
    - ii. Scottish Archaeological Journal;
    - iii. Tayside and Fife Archaeological Journal;
    - iv. Transactions of the Dumfries and Galloway Natural History and Antiquarian Society;
    - v. Britannia;
    - vi. Medieval Archaeology;
    - vii. Post-medieval Archaeology;
    - viii. Archaeologia Aeliana;
- All of the above are held in the HS library and, as a consequence, no offprint from these journals is necessary

- 12.3.9 two free copies of any book or monograph arising from the Project (unless arranged by HS direct with the publisher);
- 12.3.10 a complete list of all finds from the Project, as submitted to the TTU at the end of the Project when the assemblages are ready for disposal. For guidance, see “Information for Units: How to report assemblages” on Treasure Trove Unit website (<http://www.treasuretrovescotland.co.uk/html/units.asp>), see also below at 15.

### 13 Optional Reporting procedures

- 13.1 The Grantee may offer or HS may seek at any stage through the life of the Project the production of a popular report for publication, describing the results of fieldwork or analysis. Such reporting if not described in the original grant application is a variation and should only be produced with prior written agreement of all parties to the Grant.
- 13.2 The format, content and publication scale of the popular report must have the prior approval of the Archaeological Programme manager or the Inspector managing the Project.

### 14 Archiving procedures

- 14.1 The Grantee must, on completion of the Project, submit a copy of each major product of the Project (including but not limited to Data Structure Reports) to:
  - 14.1.1 the collections of the Royal Commission on the Ancient and Historical Monuments of Scotland;
  - 14.1.2 the local authority Sites and Monuments Record or Historic Environment Record.
- 14.2 The Grantee, by accepting grant, consents to the making availability for public consultation of any such product.
- 14.3 The Grantee must prepare and deposit all original documentation connected with the Project, within an agreed time after the end of the Project, in the collections of the Royal Commission on the Ancient and Historical Monuments of Scotland in accordance with the archiving guidelines issued by that organisation.

### 15 Artefacts Disposal procedures

- 15.1 All Scottish archaeological artefacts potentially belong to the Crown, (see <http://www.treasuretrovescotland.co.uk/html/legal.asp>).
- 15.2 The Grantee is obliged to make a declaration to the Treasure Trove Unit (TTU) of all artefacts found during fieldwork or post-excavation analysis when all analysis is complete and the collection is ready for disposal to a museum. A form is available for this purpose from the “Information for Units” section of the TTU website at (see <http://www.treasuretrovescotland.co.uk/html/units.asp>).
- 15.3 The declaration form should be accompanied by a list of all finds. This list can be a copy of the appropriate section of the Data Structure Report but it must be accompanied by a description of proposed arrangements for storage and finds conservation.

- 15.4 The Grantee must send the completed declaration form and accompanying list(s) directly to the TTU secretariat, sending at the same time copies of both the form and list(s) to HS Programme Manager or the Inspector managing the Project
- 15.5 The Grantee must obtain the prior written consent of the Crown Agent (the Queen and Lord Treasurer's Remembrancer) for all artefacts removed out of Scotland for whatever purpose, including analysis (see 12.3.4). For the procedure see <http://www.treasuretrovescotland.co.uk/html/findsexport.asp>.
- 15.6 The Grantee is obliged to report to Programme Manager, or the Inspector managing the Project, any finds which, in the reasonable opinion of the Grantee, are unusual or of particular interest as soon as possible and in any event before the media is informed.
- 15.7 The TTU secretariat report to Scottish Archaeological Finds Allocation Panel (SAFAP). SAFAP will advise TTU on the allocation of HS funded excavation assemblages to a particular museum. Any correspondence on this matter between the Grantee and SAFAP must be copied to the Programme Manager or the Inspector managing the Project.
- 15.8 Once SAFAP or TTU have informed the Contractor of the allocation, the Contractor is responsible for the delivery of the whole assemblage of finds and all associated ecofacts collections to the recipient museum. The Contractor is responsible for making good at their own expense any inadequacies in packaging or documentation whether these occur within their own temporary store or are found on delivery to final place of disposal.

## 16 Definitions

In these Conditions, the words and expressions set out below shall have the following meanings:

“Communications and Media section” means Communications and Media, Historic Scotland, Longmore House, Salisbury Place, Edinburgh, EH9 1SH

“Conditions” means these grant conditions;

“Consent” means any consent required by Statute in relation to the Project;

“Data Structure Report” has the meaning defined in HS Archaeology Procedure Paper 2: Project Design, Implementation & Archiving, 1996

“Default” means:

- a) Any breach of the obligation of either party under these Conditions (including, but not limited to, any breach of any undertaking or warranty given under or in terms of this Agreement);
- b) Any failure to perform or the negligent performance of any obligation under these Conditions;
- c) Any breach of any legislation; or

- d) Any negligence or negligent or fraudulent miss-statement, or any other default, in all cases by either party, its employees, agents or representatives;

“Discovery and Excavation in Scotland” means the journal of that name published annually by the Council for Scottish Archaeology (operating as Archaeology Scotland), Causewayside House, 160 Causewayside, Edinburgh EH9 1PR

“Grant” means the sum of grant offered by us to the Grantee as specified in the Grant Offer Letter, as varied from time to time in accordance with these Conditions;

“Grant Application” means the application for a Grant made by the Grantee in respect of the Project and any supporting documentation supplied at that time or separately ;

“Grant Offer Letter” means the letter to the Grantee from us accompanying these conditions and forming part of the terms and conditions on which the grant is made;

“Grantee” means the person, organisation or body to which the Grant will be payable as specified in the Grant Offer Letter;

“Historic Scotland” means the Scottish Ministers acting through Historic Scotland of Longmore House, Salisbury Place, Edinburgh, EH9 1SH;

“Inspector” and “Inspectorate” refer to Historic Scotland’s Inspectorate, Longmore House, Salisbury Place, Edinburgh, EH9 1SH

“Inspector managing the Project” means Historic Scotland Inspector delegated to manage the Project on behalf of the Programme Manager

“Intellectual Property Rights” means all rights of ownership, including all copyrights and other intellectual property rights in books, leaflets and other printed and published materials in whatever form produced as part of the Project by or on behalf of the Grantee including all reports and any such published materials stored in or made available by means of an information technology system and the computer software relating thereto and all patents, trademarks, registered designs and other rights in the nature of intellectual property;

“Local Authority Archaeological Service” means an archaeological service maintained by a local authority, or contracted from another local authority, a professional service provider or a Trust supported by a local authority, to maintain a Sites and Monuments Record or Historic Environment Record and provide the authority with archaeological advice in connection with planning and other official business.

“Popular Report” means any non-technical account of the project aimed at an interested but non-academic readership. It may range from:-

- a report in digital format of no more than 300 words long, suitable for web or print publication by the Press media; to
- a report for publication as an illustrated booklet or computer-based format.

A popular report should never be produced without a prior agreed specification on length, content and image format.

“Programme Manager” means the Archaeology Programme Manager, Inspectorate – APAGA Team, Historic Scotland, Longmore House, Salisbury Place, Edinburgh, EH9 1SH. In these Conditions, references to the Programme Manager shall be read as including any other official of HS who has a legitimate business reason to inspect documentation, products or accounts, and shall also include any independent auditing institution charged with overseeing HS expenditure and operational activities.

“Project” means the project or fieldwork or post-excavation or other analytical work as described in the Grant Application and Offer Letter;

“Sites and Monuments Record” means the formal record of sites and monuments maintained by the local authority for the area to which the Project relates, or maintained on behalf of that local authority by another body. Some sites and monuments records are now entitled “Historic Environment Records” and these are also included in this definition.

# PROJECT BID FORM

## Project Name:-

### Council Area:

*Enter 'Scotland' if the project is not area-specific*

NGR: \_\_\_\_\_ NMRS No: \_\_\_\_\_

### Sponsoring Inspector:

*Discuss your bid with the Inspector whom you hope will sponsor it as early as possible.*

### Date sent to HS:

### Proposer:

### Proposer Unit

**Legal Status:** In Care / Scheduled / Listed / None *(delete as appropriate)*

**Nature of Bid:** Request for HS to initiate project / Bid for HS funding *(delete as appropriate)*

**Have we paid a grant for this project in previous years?** Yes / No *(delete as appropriate)*

**Nature of Project:** Field project and post-excavation / Writing up an old site / Synthesis / Curatorial objectives / Other *(delete as appropriate)*.

### Brief description of project (255 characters (about 30 words) only; see note overleaf):

*This will be included in a list of bids to be considered by Inspectors at estimates meetings. The list will otherwise contain mostly money information; so use this field wisely. Read the grant booklet.*

**HS USE ONLY**

2008-9

**Team Priority** \_\_\_\_\_ *(0 Committed; 1 Near essential; 2 High priority; 3 Medium priority; 4 Low priority; 5 Not supported)*

A/c Code: \_\_\_\_\_  
*(leave blank if the project does not exist already)*

SAM number : \_\_\_\_\_

**Team Comments**

**Environmental impact** (Advice on how to fill out this table is provided at the end of this form. It will probably only apply where there is fieldwork and for other projects you may be able to put **none** in all cells)

Criterion	Impact of this project	Mitigation proposed
biodiversity, fauna and flora		
Population		
human health		
Soil		
Water		
Air		
climatic factors		
material assets		
cultural heritage, including architectural and archaeological heritage		
Landscape		
the inter-relationship between these issues		

*In what follows, all money values must be expressed as net, excluding VAT. If VAT is chargeable, this should be stated.*

**Who will contribute what other resources each year?** (give cash values of resources such as staff time, overheads, grants from others - see the draft Grants booklet sent to you by email, or ask HS for a copy).

Year	Source	Description of what the source is providing	Net Cash Value	%
TOTAL				

**What are the total costs by year and what are you asking HS to give as grants?**

Year	Any comments	Total Net Cost	Net HS grant	%
TOTALS	TOTALS			

**What are the proposed final products of the project and in what Year do you plan to produce them?** (e.g. Published main report, archive, database, spin-off or stand-alone specialist reports, web site, )

Year	Description

**Description of project** (300 words maximum):

1. *This description should be designed to present the bid economically to Inspectors are not familiar with the project.*
2. *The text should include a description of the subjects and nature of the project, its value to Scottish archaeology and its expected contribution to our knowledge, understanding and management of Scotland's archaeological heritage.*
3. *It should make clear why this project is being put forward, and why now. Areas of uncertainty in project aims or organisation must be mentioned.*
4. *It may often be best to submit a formal full Project Design (PD) only once your bid succeeds, because if your bid fails, work on the PD may be wasted. Also, HS may want to take forward something based on similar ideas originating elsewhere. However, you should discuss this with the Inspector whom you hope will sponsor your bid because sometimes a PD will be required for us to consider the bid at all.*

**Blocks of work and Stage payments** See below, and the Grant booklet, for advice on how to complete this table.

*All money values must be expressed as net, excluding VAT. If VAT is chargeable, this should be stated.*

<b>Year</b>	<i>Blocks of work</i>	<i>Summary description</i>	<i>Date (e.g. 1 Apr 2009)</i>	<i>HS Stage payment</i>
	Block 1		Start	£
			Finish	
	Block 2		Start	£
			Finish	
	Block 3		Start	£
			Finish	
	Block 4		Start	£
			Finish	
	Block 5		Start	£
			Finish	
	Block 6		Start	£
			Finish	
	Block 7		Start	£
			Finish	
	Block 8		Start	£
			Finish	
	Block 9		Start	£
			Finish	
	Block 10		Start	£
			Finish	
	Block 11		Start	£
			Finish	
	Block 12		Start	£
			Finish	

1. The **blocks of work** table allows HS to plan its spending, and must be for the whole project, excluding only publisher's costs.
2. For a pilot project, do not include blocks for any envisaged subsequent project.
3. Stage payments will normally be paid only when you certify that, (or if so required by HS produce evidence that), the work has been done.
4. Each block of work can group together several tasks. The **Summary description of a block of work** must be no longer than needed to characterise it, e.g. 'Fieldwork and Data Structure Report', or 'Final editing'.
5. If in doubt the block's **Start** Date should be the start of a month and its **End** date the end of a month.
6. You may group blocks of work together for a **Stage payment**. Put each stage payment amount in the row describing the block of work that is the last to be completed before a stage payment is needed. Stage payments will not be made more frequently than once a month. Payments will normally be in arrears.
7. **All the blocks of work under one stage payment must fall entirely within one of our financial years (which change at 31 March/1 April).**

**PRODUCTS IN THE FORTHCOMING YEAR**

*Please put a working title and a completion date beside each product which you plan to submit.*

<b>Planned Completion Date</b>	<b>Product type</b>	<b>Working Title</b>

- *Project Design / Costed Assessment / Data Structure Report / D&ES report / Interim report for publication / Stage report for HS / First Full Draft of main report / Final draft of main report / Archive / Training materials / Public information*
- *Lecture text / Spin-off report / Synthesis /*
- *Other product*

**Environmental Assessment – notes for completing this form:**

ASSESSMENT OF ENVIRONMENTAL IMPACTS

A1 The environmental issues against which impacts should be assessed include:

<b>Environmental Parameter</b>	<b>Example criteria</b>
biodiversity, fauna and flora	<p>Will work be undertaken in or affect a designated site i.e. Special Protection Area; Special Area of Conservation; Ramsar site; Site of Special Scientific Interest; National Nature Reserve?</p> <p>Will the natural heritage features within a National Park be affected?</p> <p>Will work affect species and/or habitats protected at the European level and/or included in Biodiversity Action Plans (national and/or local)?</p>
population	<p>Will work affect the local community in terms of e.g. noise and vibration, dust, general disturbance?</p> <p>Will pedestrian/vehicular movements be affected e.g. severance?</p>
human health	As “population” above.
soil	<p>Will agricultural soil be affected and, if so, what class (prime land is Class 1, 2, and 3.1)?</p> <p>Will the work be undertaken in an area of peat/bog (see also biodiversity in this case)?</p> <p>Will the work exacerbate existing erosion problems?</p> <p>Will soil protection measures be required e.g. conservation of topsoil?</p> <p>Is the land contaminated?</p>
water	<p>Will the work directly or indirectly affect a watercourse e.g. working in the watercourse or adjacent to it?</p> <p>Are there issues re water quality e.g. potential for sediment runoff adversely affecting water quality; oil/diesel spills; etc?</p>
air	Main issue will be dust.
climatic factors	Not applicable.
material assets	Will the work affect other land uses e.g. industrial, commercial, residential, agricultural, recreational (including access)?
cultural heritage, including architectural and archaeological heritage	<p>Likely that there will be <u>positive</u> impacts as a result of knowledge generation.</p> <p>What negative impacts on the historic environment may ensue?</p> <p>Will the cultural heritage features within a National Park be affected?</p>
landscape	<p>Will there be effects on landscape characteristics?</p> <p>Will views be affected (visual impact) e.g. local residents; recreational users, etc?</p> <p>Will landscape features within a National Park be affected?</p>
the inter-relationship between these issues	

A2 Impacts need to be considered in terms of their:

- (a) short, medium and long-term effects;
- (b) permanent and temporary effects;
- (c) positive and negative effects; and
- (d) secondary, cumulative and synergistic effects.

A3 If negative impacts are identified, measures for their mitigation must be identified (avoid; reduce; remedy; offset). In any case, project management should include procedures for dealing with environmental issues/emergencies on site (e.g. oil/diesel spills) and reference to these should be included.

A4 There is a requirement to assess alternatives. When it comes to negative impacts as a result of a particular method of investigation, the identification of alternatives and the reason(s) for their rejection is required.

A5 The bidder should consider whether monitoring is required and, if not, explain the reasons for not recommending monitoring of negative impacts.

**Background note:**

EU legislation requiring the environmental assessment of plans and programmes came into being in 2001 through Directive 2001/42/EC. The Directive was transposed into Scots Law on 20 July 2004 by The Environmental Assessment of Plans and Programmes (Scotland) Regulations 2004 (SSI 258). The regulations require that environmental assessment is undertaken on certain public sector plans and programmes. They therefore introduce a strategic level of assessment into the plan and programme formulation process (referred to as “strategic environmental assessment” or SEA).

As an authority with responsibility for the preparation of strategies, plans and programmes, Historic Scotland has a role in the SEA process as a Responsible Authority. HS is required to review its plans/programmes/strategies to ascertain whether they are likely to result in significant environmental effects and to undertake environmental assessment of those identified as having the potential to do so.

The Archaeology Programme has been identified as having potential environmental effects. In consequence, bid submissions should consider the environmental implications of the proposal, following the guidance set out in Annex A.

# Publication Grant Form

**Full citation:** .....

**Expected print run..... Expected retail price .....Expected publication date .....**

In the tables below, we suggest that you present the costs for the whole publication and then divide the length of the HS-sponsored report by that of the total length of all reports to obtain the cost of the HS sponsored report. However, you must exclude any exceptional costs related to other reports in the publication.

**Total page length of all reports in the publication** .....

**Page length of the report for which a grant is sought** .....

<b>Before printing</b>	<b>Volume Costs</b>	
Substantive editing including layout, copy editing and proof reading and halftones of photos (if required)		
Indexing		
Any exceptional costs which do not relate to the HS report (please enter this as a negative figure).		<b>Costs for the HS report</b>
Any exceptional costs specific to the HS report.		
<b>Totals before printing</b>		
<b>Printing and subsequent</b>	<b>Total volume costs</b>	
Type setting or digital , printing and binding, printing cover		
Offprints		
Packing, delivery and related costs		
Any exceptional costs which do not relate to the HS report (please enter this as a negative figure).		<b>Costs for the HS report</b>
Any exceptional costs specific to the HS report such as colour inserts in paper publications; these must be agreed in advance in writing by HS.		
<b>Totals Printing and subsequent</b>		
<b>Total costs (Pre-printing + Printing and subsequent)</b>		

## Grant requested from HS

I certify that the costs above are for publication of the journal or monograph referred to in the citation and that any exceptional costs related to non-HS reports in the publication have been excluded from the calculations of the cost of publishing this report. I request a grant of £..... from Historic Scotland, being .....% of the cost of publication of the report cited above.

Signature

Date

- Any HS offer of a proportion of the costs relates only to costs which are believed by HS not to be excessive. HS will normally grant-aid publication in proportion to its sponsorship of the earlier parts of the project up to a maximum of 75% of the costs listed in the table. Thus if it has provided 50% of the funding for a field project and its writing-up, it will sponsor the publication to a maximum of 50 x 75% = 37.5%. Please attach a note on any exceptional costs of publishing this report.
- Indexing should normally be charged at the standard minimum of the Society of Indexers.