

The Pilgrim Trust/Esmée Fairbairn Foundation Cataloguing Grants Programme

Guidance notes for applicants

Please read these notes carefully before completing your application form. For further advice and information, please contact: Nick Kingsley, Head of National Advisory Services, The National Archives. Tel: 0208 392 5330 x2062. E-mail: nick.kingsley@nationalarchives.gov.uk

What is the Cataloguing Grants Programme?

The Cataloguing Grants Programme has been established following discussions between The National Archives (TNA) and the two funding trusts, the Pilgrim Trust and Esmée Fairbairn Foundation, about the importance of addressing the large and growing backlog of uncatalogued collections in the nation's archives. A pilot scheme is being run in Scotland and two English regions, London and the North-West, in 2006, to demonstrate the value and impact of a programme in these areas. It is intended, if the pilot is a success, to extend the scheme to the rest of the country over a number of years. It is also anticipated that additional funding partners will be sought to increase the funds available to the programme.

The programme is administered by TNA on behalf of the two funding trusts. Decisions on the award of grants will be made by an independent panel to be established by TNA.

Grant Guidelines

1 How much is available under the 2006 Cataloguing Grants Programme and when is it available?

£200,000 is available. Funds will be allocated between 1 April 2006 and 31 March 2007. Grants will be paid in two installments: 50% at the commencement of the project and 50% on completion. Grant payments will be made directly by the Trusts to the recipients.

2 How much grant will the Cataloguing Grants Programme offer?

The programme can supply up to 100% of project costs, but we encourage applicants to make a contribution from their own resources or other funding sources.

3 How much can you bid for?

No firm limits have been set for the size of individual applications, as we do not wish to artificially constrain project development. However, the size of the total fund is modest and applicants should be aware that it is likely the Panel will wish to support a number of different projects spread across the three pilot areas (Scotland, London and North-West England), so as to have the opportunity of evaluating a number of different types of project. It is therefore perhaps unlikely that a project to benefit a single institution would receive more than £25,000, although an innovative partnership project could perhaps receive more. No institution should submit, or be a partner in, more than one bid.

4 Who can apply to the Cataloguing Grants Programme?

Applicants to the 2006 programme must be based in Greater London, the North-West of England, or Scotland. In the case of partnership projects all of the institutions involved should be based in one of the three regions. The boundaries of the English regions will be those recognised by Government and reflected in, for example, the boundaries of the Museums, Library & Archive Council's regional agencies.

Applications are welcome from the following types of organisation:

- Public sector bodies, except Government departments
- Registered charities
- Other not-for-profit organisations

The Trusts cannot give assistance to profit-making organisations or private individuals. An applicant who is not a public sector body or a registered charity should provide evidence of their status.

Applications do not have to come from an archival institution. For example, a local authority museum service or a chartered body could apply, providing that the project met the other eligibility criteria.

5 What projects are eligible for the Cataloguing Grants Programme in 2006?

Only applications for archive cataloguing will be considered. The collections to be catalogued must be publicly accessible (without charge in the case of publicly-funded institutions), and there must be a reasonable expectation that this will continue to be the case for the foreseeable future. Collections that are in the ownership of the institution and collections that it holds on deposit (including those held on open-ended deposit agreements) are equally eligible for the scheme. Public records and the records of an institution's governing body are eligible for support under this programme. Applications can relate to entire collections or to discrete sections of larger archives. Applications can

be for the new cataloguing of unlisted material or for improving existing catalogues that do not meet national standards.

The scheme is restricted to archival collections. However, it is recognised that archival collections may contain a variety of media, including manuscripts, printed material, photographs, film and sound recordings, and electronic records.

The cataloguing work proposed must be consistent with current national and international standards for archives, and the resultant catalogues must be made available to one of the major archival resource discovery networks (e.g. A2A, SCAN/MAC2A, ANW, Archives Hub etc). There is a presumption in favour of multi-level description. If projects are submitted which propose only collection-level description, a justification for this should be included.

The collections to be catalogued must be held in storage accommodation that makes reasonable provision for the long-term preservation of archives. Alternatively, institutions must be able to demonstrate a commitment to, and timetable for, providing suitable storage conditions, for example by subscription to The National Archives Standard for Record Repositories.

6 Assessment criteria

Within the general eligibility criteria set out in section 5 above, preference will be given to those applications which:

- Relate to the collections of greatest historical or other significance
- Offer greatest leverage of additional resources from other sources
- Will trigger other desirable developments or projects
- Are clearly sustainable in the long term
- Demonstrate clear public benefit and value for money

7 What is the timetable?

There will be one round of applications and the deadline for receipt of applications is **6 January 2006**. The decisions of the Cataloguing Grants Panel about awards will be announced by Friday 3 March 2006. Projects may commence from 1 April 2006 and run until 31 March 2007. All grants must have been expended by 31 March 2007.

8 Completing the application form

Please read these guidelines carefully, as your application is more likely to be supported if you have responded to the eligibility and assessment criteria. Please check that you have answered all sections of the application form before sending the completed document to the Head of National Advisory

Services, The National Archives, Kew, Richmond, Surrey TW9 4DU by 6 January 2006.

The following notes may be useful in relation to particular questions on the application form. Please note that the numbers below correlate to the numbers on the application form.

1.9 We need to see evidence that your archive storage and preservation programmes are adequate to ensure the long-term preservation of the collections proposed for listing. If more than one institution is involved in this project, we need the information for each institution. Institutions that are routinely inspected by TNA, and where the circumstances have not changed since the last inspection, can refer us to the last inspection report.

2.2 Please describe the collections proposed for listing. Tell us what types of archive they are, how big they are, and what sort of records they contain. More detailed information can be included in your project plan. The project plan should accompany your application form and give more detail on the work to be done, the time you envisage each section of work will take, the cost of each phase of work, and a risk analysis. The risk analysis should identify each risk that could prevent or delay the completion of your project, the severity of the likely impact, the likelihood of the risk, and what you will do to manage or mitigate the risk. Risks you should consider would include, for example, an inability to recruit a professional archivist; or the departure of the archivist before the completion of the project.

2.3 The maximum duration of projects will be 12 months.

2.4 If you estimate that your project will take, say, 10 months, tell us how you have arrived at this figure.

2.5 Please tell us what quantity of records will be involved in your project in cubic metre. To calculate shelving volume, use measurements in meters, or fractions of meters, and multiply shelf width by shelf depth by interval of shelf.

2.6 Please send us copies of any existing lists of the collection that may exist, such as rough box-lists. These will help demonstrate the importance of the material, and the importance of upgrading the existing lists. If the existing list is in the form of a card index, please copy at least a sample of the entries so that we can get an idea of the quality of listing.

2.7 We start from the assumption that projects funded by the Programme will generate multi-level catalogues. If you intend to generate only collection-level descriptions, please explain why you think this is appropriate in your circumstances.

2.8 We need to see evidence that you are aware of and will be working to the appropriate national standards for archive cataloguing. If you plan to use a proprietary software product like CALM or ADLIB to generate your catalogues, please let us know. If your institution has produced other

catalogues recently, some examples of these would be helpful, so that we can see the standard and style of listing you propose to adopt.

3.2 & 3.3 You need to demonstrate the importance of the material which you are proposing to catalogue; to convince the Panel why your project should be funded rather than someone else's. Use your answers to these two questions to tell us how you decided which collection(s) to put forward for funding, and what makes the collections intrinsically important. If you have undertaken an assessment of the relative priority of unlisted collections in your repository, using the "Logjam" methodology, please tell us the score(s) achieved by the collection(s) concerned. Logjam assessments are a good way of assessing relative priority for cataloguing with a degree of objectivity, so the existence of a Logjam assessment indicating high priority would help your application.

3.4 Evidence of demand could take the form of letters asking for access to the collection, or statistics of the number of enquiries received about it. If you have other collections of the same type for which such data is available, this could provide evidence of the potential demand for access. Letters of support for the project from potential users would be helpful.

3.5 Tell us about any plans you have to promote the collection, e.g. by holding an exhibition to celebrate the project's completion or producing a leaflet about the collection. This question is particularly relevant to small institutions which may be seeking to make their archive available for the first time, and who will need to make its existence known to potential users.

4.1 & 4.2 We need to be convinced that your institution will be able to make the collection available long after the cataloguing project has been completed. These two questions therefore seek information about the sustainability of your access arrangements. The *TNA Standard for Record Repositories* recommends that every archival institution should have at least one professionally qualified archivist. If this will not be the case in the long term, please explain how the ongoing need for professional input will be provided.

4.4 We expect all the catalogues created through the Programme to be made available online. This can be done through your own website, or by contributing the catalogue to one of the national networks (e.g. A2A, Archives Hub, SCAN/MAC2A, ANW). Please tell us how you will go about this.

4.5 Some cataloguing projects can unlock other possibilities. For example, having a catalogue may enable you to bring them into the public domain for the first time. Or it may enable you to contribute information from the collection to educational or digitisation projects that you are running. We cannot support non-cataloguing costs, but it will strengthen your application if it has knock-on effects like this.

4.6 This question asks about conservation needs. If the material is so badly damaged that you cannot catalogue it properly, or provide access to

once the catalogue is complete, this could affect our decision. You need to tell us how you will address any such difficulties.

5.1 & 5.2 We need to know how many paid staff and volunteers your project will involve, and what their respective roles might be. Volunteer input can be helpful as it can extend the impact of the Programme's financial contribution. On the other hand we need to be confident that volunteers will be appropriately directed and that the cataloguing standards referred to in 2.7 will be adhered to.

5.3 & 5.4 Tell us how the project will be managed. We need to be clear that the mechanisms are in place to ensure that it is completed within the time available, and that projects involving a number of partners can be co-ordinated successfully.

6.1 If the collection is as important as you claim in section 3.3, why haven't you catalogued it before? Everyone's circumstances are different, but please explain what has inhibited work on this collection until now.

6.4 We cannot award funding conditionally upon further money being raised from other sources, so any other funding contributions to your project must be committed before you submit your application. We will need to see letters or minutes evidencing these commitments.

6.5 If you are V.A.T. registered, you must **exclude** V.A.T. from your project costings and grant request. If you are not V.A.T. registered, you can include V.A.T. in these figures.

6.6 Please explain what you want to spend the grant on. We envisage that most funding will support additional staffing costs, but we will also support the cost of repackaging material as part of a cataloguing exercise. We will not normally pay for the acquisition of specialist cataloguing software, but we would support the purchase of additional licences if you need to network software to additional machines for the use of project staff. If you plan to use existing staff to undertake the project work, and to recruit temporary staff to backfill their substantive posts, you can only claim the cost of the temporary staff. If you use existing staff to do the work and do not backfill behind them, the staffing costs would not be eligible for support from this Programme.

6.7 Monitoring and evaluation procedures will be very important to this pilot programme. We will ask you for progress reports at intervals during your project, and ask you to complete an evaluation form about the process after the project has been completed. Your assistance with this will help to ensure that the Programme continues and that others can benefit from it in the future.

9 Assessment procedure and conditions

Each application is initially assessed on its own merits against the eligibility and assessment criteria. Decisions relating to the amount of grant allocated are taken with the limitation of the overall Programme budget.

Bids will be assessed by TNA's National Advisory Service. Where necessary, we may call upon advice from other agencies or individuals with specialist knowledge of the subject areas to which collections relate. TNA's National Advisory Service will report its assessments to an independent Cataloguing Grants Panel which will meet in February and which will determine the allocation of the available funds between projects. The composition of the Panel will be announced on TNA's website in due course.

10 Monitoring and Evaluation

Grant recipients will be required to report the progress of their projects periodically to staff at TNA's National Advisory Service. The frequency of monitoring reports will depend on the size of grants and the experience of the grantee. A pro-forma for reports will be provided when a grant is awarded.

In this pilot year of the Programme, the evaluation of its success will be critical to the establishment of recurrent funding. TNA will be commissioning a review of the quality of applications and of the application process from an independent consultant during the spring of 2006. All applicants, whether successful or not, are requested to co-operate with this brief study.

After the completion of your project, you will be asked to complete an evaluation form. It is likely that TNA will commission a review of the evaluation responses, and we would ask that all grant recipients co-operate with this study.

11 Grant conditions and claiming your money

Payments will be made direct to grantees by the funding Trusts. Grants will be paid in two instalments: 50% on award of the grant and 50% when TNA has certified that the project is complete and that the evaluation form has been received.

The cost of work undertaken before an application has been approved cannot be funded, and no work should commence prior to formal written approval of a project.

All projects must be completed by March 2007. TNA should be notified as soon as possible if there is any variation, with an explanation. Severe slippage in the project timetable may result in the withdrawal of the grant.

Grants must not be used for any other purpose than that stated in the grant award notification letter. Consent to change the project must be sought from and is at the discretion of TNA.

The support of the Pilgrim Trust and Esmée Fairbairn Foundation must be acknowledged in any publicity materials produced in connection with projects, and on the catalogues the project generates. Acknowledgements on catalogues should be in the form: "This catalogue was produced with support from the Pilgrim Trust and Esmée Fairbairn Foundation Cataloguing Grants Programme". The logos of the Trusts can be supplied for use on any publicity associated with projects.

Applications can be submitted by e-mail but must be backed up by a signed hard copy, sent to: Nicholas Kingsley, Head of National Advisory Services, The National Archives, Kew, Richmond, Surrey, TW9 4DU.