

Heritage Grants

Grants of more than £100,000

Introduction and help notes



Welcome

We, the Heritage Lottery Fund (HLF), were set up in 1994 to distribute money raised by the National Lottery to heritage projects throughout the UK. In our first 12 years we awarded over £4 billion in grants to over 26,000 projects, from multi-million-pound investments in well-known sites and buildings to small grants making a big difference to community groups.

Heritage will be one of the National Lottery good causes until at least 2019. We will have £1.9 billion to invest over the period 2008–2019, and our awards will continue to make sure that people can support, share and enjoy their heritage in the future.

The Heritage Grants programme

Heritage Grants is our main grants programme offering grants of more than £100,000 for projects that relate to the national, regional or local heritage of the UK (except the Channel Islands and the Isle of Man).

We have made some changes to this programme to reduce the amount of work you need to do before applying to us and to give you a quicker initial decision on your application. There is a summary of changes to the Heritage Grants programme on our website which explains what's new about the application process.

The application materials include:

- a pre-application enquiry form;

Part one

- this introduction to the Heritage Grants programme;

Part two

- notes to help you fill in the application form (help notes);
- an application form; and
- a declaration (which you must sign and return to us by post when you send your application).

Contact us

We recommend you use the pre-application enquiry form to tell us about your project before going ahead with a full application. We will let you know whether it is likely to meet our priorities for funding and give advice on what you need to do to make your application.

You should send in your pre-application enquiry form and full application online through our website. However, please contact your regional or country office if you:

- have any particular communication needs;
- need information in other languages or formats;
- would prefer to send in your form in another format; or
- need some help filling in the form.

How to contact us

Phone: 020 7591 6000
Textphone: 020 7591 6255
Text direct: 18001 020 7591 6000
Email: enquire@hlf.org.uk

You can find out about our other funding programmes by contacting us or visiting our website at www.hlf.org.uk.

All guidance and other documents referred to in the application materials can be found on our website.

We look forward to receiving your application.



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Part 1 Introduction

About Heritage Grants

This programme is for grants of over £100,000 for heritage projects that meet our main aims.

Our aims

We have three main aims which relate to learning, conservation and participation.

To receive a grant your project must:

- help people to learn about their own and other people's heritage.

Your project must also do either or both of the following:

- conserve the UK's diverse heritage for present and future generations to experience and enjoy;
- help more people, and a wider range of people, to take an active part in and make decisions about heritage.

What we fund

Heritage includes many different things from the past that we value and want to pass on to future generations. See on our website examples of projects we have supported for the range of heritage we fund.

Heritage can include:

- people's memories and experiences (often recorded as 'oral history');
- histories of people, communities, places and events;
- languages and dialects;
- cultural traditions;
- historic buildings and townscapes;
- archaeological sites;
- collections of items, archives or other materials;
- natural and designed landscapes;
- habitats and species; and
- sites and collections linked to our

industrial, maritime (to do with the sea) and transport history.

We welcome projects that involve more than one kind of heritage and show how different parts of heritage relate to each other.

When we say 'a project' we mean work or activity that is on top of the everyday work of your organisation, is limited by time and has specific aims. We can support:

- capital work (including conservation, repair and buying heritage items) with related activities; or
- activity-only projects.

We can only fund projects that take place in the United Kingdom. Projects should not last more than five years but should provide long-lasting benefits.

Who can apply

We fund projects which promote benefits for the public and which are not mainly for private gain.

- We welcome applications from single organisations and partnerships. We give priority to not-for-profit organisations, and partnerships led by not-for-profit organisations.
- If private owners are involved, we expect the public benefit to be greater than any private gain.

Partnership funding

You must be able to raise part of your project costs from your own or other sources. We receive more grant applications than we can support and we expect you to contribute as much as you can. We will ask you to tell us who else you have asked for funding and how much they will contribute, and we will take this into account when we look at the value for money your project offers.

- If you are applying for a grant of less than £1 million, you must provide at least 5% of the project costs.
- If you are applying for a grant of £1 million or more, you must provide at least 10% of the project costs.
- Whether you are contributing 5% or 10%, some of the total costs of your project must be from your own organisation's resources, either in cash or in kind. Non-cash contributions can include goods or services offered without charge, and volunteer time. For projects which involve capital works of £200,000 and over, the value of increased future costs of management and maintenance for up to five years after your project is completed can be included as partnership funding. Increased management and maintenance cannot be used as your only match funding contribution from your own resources.

Major awards

We make decisions on grants of £5 million or more as part of a competitive batch each year. If you are planning an application for £5 million or more, you must contact us beforehand to discuss this.

Urgent decisions

If you need an urgent decision from us, you must contact us to discuss this before you apply. We can only consider offering fast-track decisions for buying heritage items, collections, buildings or land if the deadline means we cannot assess your application within our usual timetable. If you want to buy heritage items, read our guidance notes on *Thinking about buying heritage items and collections* or *Thinking about buying land and buildings*.

Welsh language

If your project is based in Wales or is designed to benefit people in Wales, we expect you to make appropriate use of the Welsh language when you deliver

the project. Please read our guidance *Incorporating the Welsh Language into your project* for further information.

What we do not fund

We do not give grants for:

- projects that do not focus on heritage;
- work that has already started;
- repeat projects or continuing projects that we have funded before (unless the range of benefits to heritage or the people involved is very different from the original);
- work or services that are part of the central business activities or responsibility of your organisation, such as:
 - routine repairs and maintaining public buildings and spaces;
 - meeting legal responsibilities such as under the Disability Discrimination Act; or
 - public library services or information facilities that you are legally responsible for providing and which do not focus on heritage collections;
- planning work before your first-round application, including options appraisals (assessing what options are available), and feasibility studies (showing whether the chosen options are possible);
- stand-alone work to meet building regulations or that you need to do as part of any planning permission; and
- projects that promote the work of political and faith organisations. (However, we welcome applications from faith organisations for heritage projects that meet our aims.)

Other restrictions on funding

We will not fund projects or types of work that are not good practice for heritage.

We only fund certain types of work if they form part of a wider project that meets our aims. We cannot fund them as stand-alone projects. These include:

- visitor facilities such as cafes, car parks or toilets;
- putting together or publishing research findings;

- creating digital materials (for example, websites, DVDs or virtual reality);
- creating replicas of historic structures or heritage items;
- creating new works of art, monuments or memorials;
- creating learning materials or learning spaces; or
- projects to reduce the environmental impact (effects) of sites or buildings.

For collections-based projects:

- We will only consider supporting a new museum or other new heritage attraction if it is based on an existing collection which is recognised as important by the appropriate heritage organisation (for example the Museums, Libraries and Archives Council in England).
- We will only consider buying heritage items if the item (or most of a collection) is more than 10 years old.

Contact us if you are not sure whether we can fund your project.

Ownership requirements for Heritage Grants

If you are successful with your Heritage Grant application, we expect you to own, and be the only organisation entitled to use, any property (land, buildings and heritage items) on which you spend the grant. We will need to see proof of your ownership, as referred to in the list of supporting documents. If you do not own the property, you must tell us who does. If you do not meet our ownership requirements, we will sometimes need you to improve your rights (for example, by changing or extending a lease) or include the owner as a partner in your application.

Land and buildings:

For projects involving buying or carrying out capital work to land or buildings, we expect you to own the freehold or have a lease on the following terms:

- For projects involving work to a building or land, if you are asking for a grant of £200,000 or more and your organisation does not own the freehold, you will need a lease with at least 25 years left to run at the date of any second-round grant award.
- If you ask for a grant of less than £200,000 and your organisation does not own the freehold, you will need a lease with at least 10 years left to run at the date of any second-round grant award.
- If your project involves buying land or buildings, you must buy them either freehold or with a lease with a term of at least 80 years left to run.
- We do not accept leases with break clauses (these give one or more of the people or organisations involved the right to end the lease in certain circumstances).
- We do not accept leases with forfeiture on insolvency clauses (these give the landlord the right to end the lease if the tenant becomes insolvent).
- You must be able to sell on, sublet and mortgage your lease but if we award you a grant, you must first have our permission to do any of these.

Heritage items:

For projects involving buying or carrying out work on a heritage item (for example, a steam train or a painting), we expect you to buy or own the item outright.

Intellectual property

For projects involving creating or using intellectual property (for example, creating a database, digital images or audio or other multimedia applications), we expect you to get all permissions, waivers and licences from any other person or organisation who may be entitled to any intellectual property rights which either exist or will be created to allow you to carry out and complete the project in line with your application.

The application and assessment process – an overview

We assess all applications in two rounds. This is so you can apply at an early stage of planning your project and get an idea of whether you have a good chance of getting a grant before you send us your proposals in greater detail. At the first round you can also apply for a

development grant. If you are successful, this will contribute to the cost of planning and developing your project up to your second-round application.

The table below gives an idea of how much information we are looking for, and at what point we expect you to be in developing your project, at each application round.

Project stages and your Heritage Grants application

All projects	Building projects (broad equivalent)
<p>Looking at your initial idea</p> <ul style="list-style-type: none"> Identify your aims. Consider your options (including analysing the strengths and weaknesses of each option) and develop reasons for choosing the option you have gone with. 	<p>RIBA work stage A</p>
<p>Send us your pre-application enquiry form.</p>	
<p>Basic proposals</p> <ul style="list-style-type: none"> Set out a basic timetabled programme of capital (physical) work and activities. Identify the basic costs and likely sources of partnership funding. Broadly identify the types of people who will benefit. Broadly consider any limitations and risks. Consult the main people who have a direct interest or who would be affected by your project (stakeholders). Create a detailed and costed plan for the development phase to the second-round application, with briefs (written description of the work or services needed) for consultants (if these apply). 	<p>RIBA work stage B</p>
<p>Send us your first-round application.</p>	
<p>Outline proposals – further development of basic proposals</p> <ul style="list-style-type: none"> Produce an outline timetable of the capital work, activities and main achievements (outputs). Develop outline costs for the main project and get quotes or tenders for the development work. Develop a case for financial sustainability (in other words, how you will keep the project going in the long term). 	<p>RIBA work stage C</p>
<p>Send us regular progress reports. If your project involves capital work, we will carry out a formal review when your outline proposals are ready.</p>	

<p>Detailed proposals – developing further your outline proposals</p> <ul style="list-style-type: none"> • Develop a detailed demonstration of how the project can be financed over the long term. • Do an activity plan. • Give detailed outputs, timetable and costs. • Do a detailed risk assessment. • Provide job descriptions (if these apply). • Produce a proposal for buying goods and services. • Produce planning applications (if these apply) and put these forward to the relevant planning authority. • Develop a proposal for acknowledging our support. 	<p>RIBA work stage D</p>
<p>Send us your second-round application.</p>	
<p>Apply for permission to start your project as set out in <i>Managing your grant</i>.</p>	
<p>Final proposals (not all parts of your detailed proposals will need further work)</p> <ul style="list-style-type: none"> • Your project delivery team should be in place and you should advertise new posts. • All partnership funding must be in place. • You will agree the final outputs, timetable and costs with us. • Give us details of your final management and maintenance needs. • You must have all planning permission you need (if this applies). 	<p>RIBA work stage E</p>
<p>Delivering the project</p> <ul style="list-style-type: none"> • All the resources you need must be in place. • You must track all costs. • You must regularly consider proposed changes. • You must continue to assess the project against your original aims and outputs. • You must give us regular progress reports. 	<p>RIBA work stage F to k</p>
<p>Send us regular progress reports.</p>	
<p>Evaluating the project</p> <ul style="list-style-type: none"> • Complete your evaluation of the project. • Record the lessons you have learnt. • Assess the performance of your project team and give us feedback. • Report back to your stakeholders. • Permanently acknowledge our support. 	<p>RIBA work stage L</p>
<p>Send us your completion and evaluation report.</p>	

Application flow chart

All projects

Download or ask for the Heritage Grants application pack.
Read this introduction and application form help notes.



Send us a pre-application enquiry form.
We will tell you whether your project is likely to meet our aims and what to do next.



First-round applications

Send us your first-round application form at the basic proposals stage with
or without a request for a development grant.



We assess your application.

If we have any questions, we will contact you to discuss your project.

It will take us three months from the date we receive your application to assess it. Either your Country or Regional Committee (which meets every three months) or the Board (which meets to discuss applications every two months) will make a decision, depending on the level of your grant request. We will decide on your application at the next available meeting after the three-month assessment period has passed.

The outcome will be:

- a you pass the first round without a development grant; or
- b you pass the first round with a development grant; or
- c we say you have made an unsuccessful application –
if this is the case we will explain the reasons why.



Successful first-round applications

We discuss with you developing your second-round application.

If you have little experience of doing a project of this type, or on this scale, we may offer you a mentor to support you in developing your project.

We will keep in touch with you as your project progresses to the second round and ask for regular progress reports (even if you have not asked for or received a development grant).



Review

If your project involves capital work, we will review your application when you have developed outline costs. This will usually be when your outline proposals are ready. We will ask you to continue developing your project to the second round, unless your proposals have changed significantly and we consider they no longer represent value for money. If this is the case, we may withdraw our support.



Second-round applications

Between 0 to 18 months (no later than two years) after the first-round approval, send in your second-round application when you have detailed proposals.



It will take us three months from the date we receive your application to assess it. Either your Country or Regional Committee (which meets every three months) or the Board (which meets to discuss applications every two months) will make a decision, depending on the level of your grant request. We will decide on your application at the next available meeting after the three-month assessment period has passed.

The outcome is either:

- a to award you a grant; or
- b to say you have made an unsuccessful application – if this is the case we will explain the reasons why.



Successful second-round applications

We discuss with you how you should deliver and monitor your project.



Permission to start the project

You must apply for and receive formal permission before you start further development work and delivering your project.



Delivering the project

You deliver your project in line with your proposals and meet out our conditions as set out in:

Managing your grant;
How to acknowledge your grant;
Standard terms of grant;
and
Evaluating your HLF project.



Complete your project

You send us a completion and evaluation report before we release the final 10% of your grant.

Your application

Preparing your application

Contact us for advice on your project proposals before you apply using the pre-application enquiry form. We will let you know whether your project is likely to meet our priorities for funding and tell you what you should do next to make an application to us.

We have produced guidance on a number of issues to help you develop a good-quality application. Some of this is essential reading – the main documents are shown below. For a full list of guidance visit www.hlf.org.uk/ApplicationGuidanceDocuments

Title	For which projects
Planning activities in heritage projects	Essential reading for all projects.
Evaluating your HLF project	Essential reading for all projects.
Planning greener heritage projects	Recommended reading for all projects, essential for capital works projects.
Management and maintenance planning	For projects which involve capital work costing £200,000 and over and need a grant of less than £1 million.
Conservation management planning	For projects which are mainly focused on conservation and either need a grant of over £1 million or involve several different kinds of heritage that are important in their own right. You will not need to read <i>Management and maintenance planning</i> as well.
Financial appraisal for heritage projects	For projects which will rely on visitor income or some form of charging for long-term viability, or need a grant of over £1 million.
Understanding full-cost recovery	For voluntary-sector applicants who want to claim a percentage of their organisational overheads as part of their project costs.

We have also produced guidance on heritage topics and activities – for example, *Thinking about Oral History* and *Thinking about Volunteering*. Some guidance notes are available as a brief summary (*First steps in conservation*) and in more depth for larger or more complicated projects (*Thinking about conservation*).

For ideas on how other successful projects have met our aims and criteria, or have dealt with specific problems, see examples of projects we have funded on our website. There is also a range of worked

examples for some of the things we ask for as part of your application – for example, a project-management structure or risk table.

In developing your plans and filling in your application, you should also consult your staff, committee members, volunteers and the public. Other sources of advice and support are available – for example, your local authority may provide funding advice or may be able to tell you about other organisations that could help you with your planning.

Filling in the application form

The application form is the same for both application rounds. It is designed to act as a plan for your project, pointing you to the things that you need to consider when developing your project. The application form is also meant to be a living document to which you add information as your planning progresses between the first and second rounds. As a result, you will be preparing your second-round application by updating and adding to the information you provided at the first round as your project develops. The help notes to each question explain what we need to see at the first and second rounds.

Supporting documents

You must attach all the supporting documents listed below.

First-round application

- 1 Copy of your organisation's constitution (formal rules), unless you are a public organisation.
- 2 For joint applications – a copy of your agreement signed by everyone involved which sets out how the project will be managed.
- 3 A copy of your organisation's accounts for the last financial year. This does not apply to public organisations.
- 4 Copies of deeds, leases, mortgages or other proof of ownership if your project involves work to land, buildings or heritage items.
- 5 A small selection of visual aids that you consider will help illustrate your project, for example, drawings and photographs.
- 6 A signed copy of the declaration.
- 7 Detailed timetable for the development period to the second application round.
- 8 Detailed briefs for development work.

- 9 Job descriptions for new posts to be filled during the project development period.

For capital-work projects with total grant requests of £1 million or more (and for more complicated capital-work projects with total grant requests below £1 million):

- 10 A conservation statement (see *Conservation management planning*).

Second-round application

- 1 An activity plan.
- 2 A small selection of visual aids that you consider will help illustrate your project, for example, designs, drawings and photographs.
- 3 Detailed project costs.
- 4 Cash flow for the project.
- 5 A timetable.
- 6 The project management structure.
- 7 Income and spending forecasts.
- 8 Calculation for full-cost recovery (if this applies).

For projects involving capital work costing £200,000 or more:

- 9 Design specification.
- 10 A 10-year management and maintenance plan (see *Management and maintenance planning*).

For capital-work projects with grant requests of £1 million or more that involve conservation (and for complicated capital work projects below £1 million).

- 11 Conservation management plan (see *Conservation management planning*).

Your case officer may ask for more documents that relate to your project. If not, do not send information that we have not asked for as we will not use it in our assessment.

Your first-round application

You should send us your first-round application when you have basic proposals. At this stage you need to show us in summary that:

- your project has a focus on heritage, and that it meets a clear need or takes advantage of an opportunity;
- you have a clear vision of what you want to achieve;
- you can describe the difference your project will make to your heritage and to people;
- you know broadly what problems or risks you might come across;
- you have an estimate of overall costs, and the amount you want to ask us for, and you have plans for raising the rest;
- your project is likely to be financially sustainable in the long term; and
- your project will deliver good value for money.

Developing your project

In your first-round application you must tell us what other work you expect to do to develop your project proposals towards a second-round application and whether or not you are asking for a development grant for this. Read examples of development work on our website to see the types of specialist services you can use a development grant for.

Preparing your second-round application

If you are successful in the first round, your case officer will tell you what is expected for the second round. If you have little experience of a project of this type or on this scale, we may help you with appropriate support from your case officer or from a mentor we can appoint.

We will agree with you the timetable for sending in your second-round application. You can send in your second-round application as soon as you are ready.

This may be straightaway, but we expect most projects to take up to 18 months. The deadline for sending in your second-round application is two years from the first-round decision. If you need longer than two years, you will need to send us a new first-round application.

We will keep in touch with you as your project progresses to the second round and ask for regular progress reports. If your project involves capital work, we will review your application when you have developed outline costs and got quotes or tenders. This will usually be when your outline proposals are ready. We will ask you to continue developing your project to the second round, unless your proposals have changed a lot and we consider they no longer represent value for money. If this is the case, we may withdraw our support.

For the second-round application, we will expect to see your detailed proposals. You will use the same application form updating and adding to the information you sent in at the first round.

Success at the second round

If you are successful with your second-round application, we will make a full award to your project. We will review the support structure for your project before we start to monitor it. Some projects will need further work before final proposals are ready.

At this point, you will need to ask for our permission to start delivering your project. We will review whether the final proposals are acceptable, that you have all legal approvals you need, and that the project is still financially realistic and offers value for money.

Assessment and decision-making

What we will assess

In assessing your application we will consider the value for money offered by your project, taking account of the overall benefits of the project in relation to costs and the amount of grant you want from us.

At each application round we will also assess how far your application shows that:

- your project is relevant to the UK's heritage;
- your project will meet our aims for learning and either conservation or participation (or both);
- your project is an appropriate response to a need or opportunity;
- your project is well planned and your proposals for managing it are sound;
- your organisation is capable of delivering the project outcomes; and
- your project is financially realistic and there is a clear need for Lottery funding.

In the second round we will use the same criteria (measures used to assess your application) and look at whether your project:

- meets our guidance on environmental sustainability (as set out in *Planning greener heritage projects*;
- meets our guidance on *How to acknowledge your grant*
- will offer long-term benefits;
- has fully explored other sources of funding and needs the amount of grant you have asked for to go ahead; and
- will be evaluated appropriately.

At the second round we may ask for advice from heritage agencies and other specialists. A visit by our staff, advisers, committee members or trustees may form part of the assessment process at both rounds.

Decision-making

Depending on the level of grant you ask for, decisions on applications are taken by either our Board of Trustees or by our country and English regional committees. Your grant request is the combined total of your development grant (if applicable) and delivery grant.

The application process is competitive in both rounds and success in the first round does not guarantee you will be successful in the second round. Demand for our funds means that we cannot support every application that meets our criteria. The success rate for applications will depend on:

- the number of applications we receive;
- the total amount of grant you ask for; and
- our available budget.

As a rough guide we expect to make full awards to around four out of five applicants at the second round. So, passing the first round does mean that you have a good chance of receiving a grant at the second round.

In reaching a decision, if there are more supportable projects (in other words, projects that meet our criteria) than the available budget can cope with, our decision takers will use their judgement to choose which applications to support. They may take account of other relevant considerations, for example (in no particular order of importance):

- value for money – taking account of the overall benefits, which projects will have the most positive effects and give us the opportunity to make the greatest difference for our investment;
- the case for carrying out the project with public funding, including the risks or opportunities associated with not supporting a project;
- the need for our funding in particular, and considering whether you have

fully explored all possible sources of other funding;

- whether a project will add value through building partnerships and attracting other funding;
- projects of exceptional value and lasting importance; and
- how much funding an area has already received.

How we will monitor your project

Managing your grant

We will send you our guidance documents on *Managing your grant* which provide guidance on how to monitor your project, so that you can tell us about its progress and how well it is meeting its aims. We may choose someone to help us monitor your project. We will also review your project at important stages of its development.

Buying goods, works and services

If you receive a grant, you must get at least three competitive tenders or quotes for all goods, work and services worth £10,000 or more that we have agreed to fund.

And, beyond certain published limits and when public-sector funds (including our grant) make up more than 50% of the cost of your project, you must follow all European Union (EU) and World Trade Organisation (WTO) procurement regulations (regulations for buying goods, work and services).

You can find useful information and guidance at:

www.ogc.gov.uk/documents/ProcurementPolicyPublicContractsRegulations.pdf

www.ogc.gov.uk/documents/Intro_to_EU.pdf

We strongly advise you to get professional or legal advice. If you have not followed the correct procedure, we will not pay the grant.

You must advertise for all new staff posts.

Paying grants

We will pay your grant in instalments as you spend money while carrying out work on your project. You will need to send us regular requests for payment supported with invoices or payment certificates showing how much of the work that we have agreed to fund has been done. We would normally expect to receive your requests for grant payment around once every three months.

We will check each request for a grant payment and aim to pay our percentage share of the actual costs within three weeks. Because we can only pay our grant after the work has been done, you may need to pay the invoices you receive before you can ask for your grant. Consider carefully how you will cover these costs until you receive your grant.

Completing and evaluating your project

Evaluating your project falls into three phases.

- 1 You should monitor and evaluate the project while it is being delivered. You must send us regular progress reports as set out in our guidance *Managing your grant*.
- 2 You must send us a final completion and evaluation report at the end of your project. We need this before we will release the final 10% of your grant so you will need to budget carefully for the final part of your project.
 - In this report we will ask you to 'tell the story' of your project – returning again to why you wanted to do it, what work and activities you did carry out (compared to what you had planned to do), and what the benefits have been.
 - The report should include details of issues or events relating to managing

the project, staffing or the programme, that you consider have been successful or unsuccessful.

- 3 As part of our procedures for making sure you keep to the terms of our grant, we will send you an evaluation questionnaire one year after your project is completed. We will send you the same questionnaire five and 10 years after your project is complete. This will ask you to update some of the information you gave us for our assessment.

See our guidance on *Evaluating your HLF project* for more information.

Promoting and acknowledging your grant

The funds that we distribute are raised through the National Lottery. We receive one-sixth of the Lottery money that goes to the 'good causes' and it is important that we give Lottery players and the public as much information as possible about the grants we make. This is in line with our commitment to being open about our responsibilities and actions. As a result, we may publish, on our website, the fact that you have applied to us, what you have applied for and details of any decision we have made about your application. We may also make this information available to the media. To do this we will use information that you have given us in your application.

There may be times where you would prefer us to delay publishing information relating to your application. We will consider this with you at the time.

Project publicity and acknowledgement

Public support is vital to make sure that Lottery investment in heritage continues in the long term. We want the value and benefits of Lottery funding for heritage to be widely understood and appreciated.

If we give you a grant, you must publicise and acknowledge it. We can contribute to the costs involved if you have included them in your project budget. We will expect you to publicise and promote your project as widely as possible, to:

- make sure that people have opportunities to take part;
- contribute to its future; and
- make sure that the National Lottery's contribution is recognised.

Your acknowledgement of your grant must be clear to all visitors using your site, on publications or displays, or to people taking part in activities. This should be in place as soon as we confirm an award at the second round and before work begins. You must make sure you acknowledge your grant publicly in line with *Managing your grant* and minimum conditions set out in our guidance *How to acknowledge your grant*. You should do this by using the 'crossed fingers' and the HLF logo. We supply these to you as one piece of artwork.

Other information about your application

Freedom of information

We have a duty to keep to the Freedom of Information Act 2000 and the Freedom of Information (Scotland) Act 2002 in Scotland. When you sign the declaration at the end of the application form, you are confirming that you have no objection to us releasing sections 2 to 4 of the application form to anyone who asks to see them. If there is any information in sections 2 to 4 of the form that you don't want made publicly available, please say this in the space provided and explain your reasons. We will take these into account when we respond to any request for access to those sections. Otherwise, we will release sections 2 to 4 to the public if asked.

We may also be asked to release other information contained elsewhere in the form and we will respond to these requests after taking account of your rights and expectations under the Freedom of Information Act 2000, Data Protection Act 1998 and the Freedom of Information (Scotland) Act 2002 in Scotland. In those cases, we will always consult you first.

Data protection

Under the Data Protection Act 1998 we will process personal information relating to your organisation, its officers and staff or any other people referred to in your application, for:

- assessing your grant application and how we handle it;
- handling the terms of our grant;
- sharing information with our specialists and monitors;
- keeping you informed about our work, including by email, where an email address is supplied. If you would prefer not to receive information from us which is not connected to your application or grant, you can let us know at any time by sending an email to enquire@hlf.org.uk, telephoning **020 7591 6042**, or writing to **Information team, Heritage Lottery Fund, 7 Holbein Place, London SW1W 8NR**;
- publicising information about your application;
- research related to your application;
- sharing information with other Lottery distributors or grant-making organisations and other carefully identified organisations (such as best-practice groups) who may want to contact you about your application or project; and
- other legal or regulatory purposes, or other purposes reasonably related to making grants (such as customer surveys).

Complaints

If you are not happy with the service you have received, please contact the office you first dealt with. They will try to put things right. If you are not satisfied with the response you receive, you can take this further by writing to our director. You can get a copy of our complaint procedure from our website or any of our offices.

Part 2 Help notes

Notes to help you fill in the application form

Introduction

These help notes explain in more detail what information we want you to provide in answer to the questions on the application form. You also need to read the Introduction to the Heritage Grants programme.

It is important to answer each question as clearly and concisely as you can. If you have any problems or questions, contact our helpline or country and regional teams. As a guide we expect your answers to each section to be no more than 1000 words (about two sides of typed A4) at the first round. There is no word limit for a second-round application.

The application form is the same for both the first and second round. It is designed to act as a plan for your project, pointing you to the things that you need to consider in developing it. The application form is also meant to be a living document to which you add information as your planning progresses between the first and second rounds. As a result, you will prepare your second-round application by updating and adding to the information you gave at the first round as your project develops. We recommend you read the help notes for both rounds at the beginning of the process.

As well as filling in this form you will need to give us some supporting documents – see the list of supporting documents needed with your application at the end of the application form.

Welsh language

If your project is based in Wales or is designed to benefit people in Wales, we expect you to make appropriate use of the Welsh language when you deliver the project. Please read our guidance *Incorporating the Welsh language into your project* for more information.

Title of your project

What is the title of your project?

- We will use your chosen title on our website and may also use it for other publicity purposes so it should capture what your project is about.

Section one – About your organisation

1a Name and address of your organisation

- Give the official or registered address with the full postcode.
- The name should be the same as that on your constitution.
- If this is a joint application, give the name of the lead organisation.

1b Address of your project if different from 1a

- Give the full address with full postcode.
- If this is difficult, provide the full postcode of the nearest building.

1c Name of main contact person

- Give details of someone who can talk about your application in detail during normal working hours.
- This person must have official permission from your organisation to be our main contact.
- We will send all correspondence

about this application to this person at the given email address. You must tell us if you would prefer to receive correspondence by post.

1e Describe your organisation's main purpose and regular activities

- Explain when and why your organisation or partnership was formed.
- Describe its purpose and aims as shown in your constitution (your organisation's formal rules).
- Describe your organisation's regular activities and how they are paid for.
- If you are applying as a partnership, give the names of all organisations in the partnership. Describe the regular activities of the partnership and how they are paid for.
- If your partnership includes any private owners or commercial companies, tell us what funding they will receive as part of your project.

1f Describe the size and staff structure of your organisation

- Tell us the number of paid staff (full-time and part-time) and describe the role of staff and volunteers (if any).
- If you are applying as a partnership, describe the roles of any paid staff (full-time and part-time) or volunteers employed specifically for the partnership.
- Tell us what posts you will be recruiting for as part of your project.

1i If your project involves buildings, land or heritage items, does your organisation own these outright?

- Tell us if you own the freehold of any land or buildings.
- If you do not own the land, building or item, tell us who does.
- You should provide copies of deeds

or other proof of ownership as part of the list of supporting documents you must send with your application.

- Please refer to ownership requirements in the Introduction to the Heritage Grants programme (page 3).

1j Does your project involve leasehold land or buildings?

- Tell us the subject or subjects of the lease and the length of lease in years at the date you make your application.
- You should provide copies of leases or other proof of ownership as part of the list of supporting documents you must send with your application.
- Please refer to Heritage Grant ownership requirements in the Introduction to the Heritage Grants programme (page 3).

1k Does your organisation have, or are you planning to have in the future, a grant, mortgage or other loan secured on the property or item?

- If 'Yes', give the amount you owe and the name of all the funders and lenders.
- We need to know if your organisation has a mortgage or other loan or plans to take out a mortgage or loan so that we can consider the likelihood of your project achieving its aims for the future.
- In some cases, we will take a mortgage over the property or item.
- You should provide copies of any mortgages as part of the list of supporting documents you must send with your application.

1l Have you received advice from us before making your application?

- Tell us if and when you have received advice from us.
- Tell us the name of your contact at HLF.

First-round applications

Section two – The heritage

To assess your application we need to understand:

- what your heritage is;
- why it matters;
- who cares about it;
- what is happening to it now; and
- why the project is needed.

If you are asking for a total grant of £1 million or more for a capital work project, you must send us a conservation statement at the first round and a conservation management plan at the second round. See our guidance *Conservation management planning*.

2a What is the heritage that your project focuses on?

Provide a short factual description of the heritage that is the focus of your project.

- If your project is based on non-physical heritage, such as language or cultural traditions, tell us about the subject, its history, and if appropriate, the period of time it covers.
- If your project is about physical heritage such as a species, habitat, land, site, building, collection or archive, describe it, telling us:
 - what it is;
 - how it is or was used;
 - how old it is;
 - what survives today;
 - where it is and its wider context in the local area; and
 - its history in brief.
- If you are dealing with more than one kind of heritage (for example – buildings in a landscape, archaeology on a wildlife site, collections in a historic building), make sure you tell us about each of the different kinds of heritage.

2b Why is your heritage important and who is it important to?

For all projects you will need to explain why and in what way your heritage matters.

- Explain why it is important to the local area, to the region or to the nation.
- Tell us why your heritage is important to people beyond your own organisation.
- Tell us about any research or surveys that have been done that help you to understand why your heritage is important.
- Tell us if there is any official recognition of this heritage. For example, it may be a:
 - listed building (give its grade);
 - scheduled monument (a nationally important historic site which is protected by law);
 - registered park or garden;
 - building or feature within a conservation area;
 - site of special scientific interest or other designated area of land;
 - designated collection (museum, library or archive); or,
 - recognised collection of national significance (in Scotland only).
- We can fund heritage that is not officially protected in some way, but you will need to explain its heritage value.
- Tell us about the different groups of people who care about your heritage.
- Tell us about any public consultation you have carried out to find out why your heritage is important and who it is important to.

2c How is your heritage managed today?

- If your project does not involve physical heritage that is managed (for example - a new oral history project), you do not need to answer this question.

- If your project does involve physical heritage such as a building, site, collection or habitat, tell us who looks after it (for example - volunteers or professional staff) and how it is managed now.

We also need to know what problems and opportunities there are relating to how your heritage is managed.

- Tell us if your heritage is at risk or under threat in some way.
- If you have had a condition survey or other kind of survey that has identified any problems, summarise its findings.
- Tell us if there are any issues or problems relating to your heritage that make it difficult for people to use or enjoy it.
- Tell us if there are also opportunities to improve how you manage the heritage.

2d How do people get involved with and learn about your heritage now?

Tell us briefly about any opportunities you provide now to help the public understand and learn about your heritage. This may include:

- any interpretation linked to your heritage, for example - exhibition panels, information boards, audio guides, leaflets or a website; or
- any activities you organise for the public, for example - open days, guided walks, a lecture programme, visits or workshops.

If you already have a large programme of activities, you can include a relevant website link [here](#).

Tell us about the access you offer to your heritage and what problems or opportunities there are in relation to improving access to it.

- Tell us what barriers could be removed to help increase access to a broader range of people.
- If there are problems in providing information or activities to help people learn about your heritage, tell us what they are.
- If you currently cannot take opportunities to involve more people with your heritage, tell us what these opportunities are and what is stopping you, for example lack of staff or funds.

Section three – Your project

For a first-round application, tell us about your project in brief, referring to the project stages table in the Introduction.

3a What is your project?

Provide a brief description of your project. Read examples on our website of projects we have funded for ideas on how you could describe your project.

3b What will your project do?

Tell us about the aims of the project and describe the work your project will involve to achieve those aims.

- You must show how you will meet our priorities for learning and either conservation or participation (or both). Read examples of projects we have funded to see how other projects successfully met our priorities.
- Your aims should relate to your heritage but also to the people who will be taking part and those who will be benefiting from your project.
- Consider the problems you described in section two which you want to solve.
- Consider the opportunities you described in section two and which you want to take.
- Describe the capital work (if any) and activities that you are proposing to carry out.

All projects must meet our aim relating to learning.

Your project must create opportunities for people to learn about your heritage. Tell us briefly what kind of activities you will do to help achieve this. For example, this could include the following.

- Provide information about your heritage and interpret it for people, for example – exhibitions, displays, information, audio-visual material, leaflets, trails, new technology and websites. See our guidance *Thinking about interpretation*.
- Create opportunities for people to gain new or increased skills – tell us what kind of training you will give, what skills people will learn, and who will benefit from the training. See our guidance *Thinking about training*. If you are applying for a total grant of over £1 million your proposals must include training.
- Hold events or activities to help the general public or particular groups of people learn about your heritage – for example:
 - open days;
 - walks, tours, workshops or practical sessions;
 - performances;
 - on-site sessions for schools or visits to schools;
 - outreach activities;
 - activities for young people or older people (people over 50);
 - information and activities for people with disabilities; or
 - work-experience placements for school children or students.

See our guidance *Thinking about learning*.

- If your project also meets our aim relating to conservation, tell us about the activities you will do to help people learn about conservation, for example:

- a webcam showing the progress of work;
- workshops with the conservation team;
- behind-the-scenes tours of the conservation work;
- student placements with the construction team;
- a video-diary of the project to be shown on-site when the work is complete; or
- information boards with 'before and after' pictures of the site.

All projects must also meet either or both of our aims relating to conservation and participation.

For projects which meet our aim relating to conservation:

If your project meets our aim relating to conservation, tell us about the work that you plan to do to conserve (protect and manage) the heritage. This work could include:

- surveys, recording, analysis or research that will help you to understand the heritage better and make decisions about it;
- preparing a conservation management plan or statement;
- repairing a building or monument, conservation work to an archive or collection, restoring a landscape, park or habitat, or conserving a large transport item such as a historic ship;
- creating a record of what has been done; and
- providing conservation skills and training as part of your project.

If you are asking for a total grant of £1 million or more for a capital work project, you must prepare a conservation statement at the first round. This will help us to assess your conservation proposals. However, any project which carries out

conservation work can benefit from the process of preparing a conservation statement. See our guidance *Conservation management planning*.

For projects which meet our aim relating to participation;

If your project meets our aim relating to participation, tell us about the work that you intend to do to increase and broaden the level of participation in your heritage. Activities could include the following.

- Creating opportunities for people to volunteer in your project – tell us:
 - what your volunteers will do;
 - which groups of people you want to attract and encourage to become volunteers; and
 - what kind of training you will give to volunteers.

See our guidance *Thinking about volunteering*.

- Holding activities to reach a wider audience for your heritage – tell us which groups you want to reach and how you will do this, for example:
 - working with community organisations to hold events for people from particular ethnic communities;
 - creating new ways for people with disabilities to take part in your heritage; and
 - activities for groups that do not currently visit your site or know about your heritage.

See our guidance *Thinking about audience development*.

- Involving your community and creating opportunities for people to take part in identifying, sharing and caring for your heritage, for example:
 - involving local people in making decisions about managing and delivering your project;
 - advisory groups or youth forums for your project;

- recording people's memories or experiences to help you understand your heritage;
- involving people in surveying or recording species or sites to help you decide how to manage your heritage;
- exhibitions and displays created and managed by the community to share your heritage with other people; or
- a community archaeological dig.

See our guidance *Thinking about community participation*.

For all projects

If you are successful at the first round, you will need to develop your proposals and send us an activity plan with your second-round application. See our guidance *Planning activities in heritage projects* now so you can consider what work will be needed during the development phase to the second round and what it will cost.

3c How have you arrived at this project?

There is a high demand for Lottery funding. You will need to show that there is a real need for this project and that you have thought about all other options. Tell us:

- how you got the idea for your project and what other options you considered before deciding to develop this approach to your project;
- how you know there is need and demand for the project;
- how the project fits into the wider aims of your own organisation and what support you have for the project outside of your own organisation;
- if your project relates to any regional or national strategies;
- about any people or organisations that have objected or may object to your proposals;

- what point in the project development you are at (for building projects see the RIBA stages); and
- what will happen to your heritage if you are not successful with Lottery funding.

Section Four – Project outcomes

In section three we asked you to list the aims of your project and to describe all the work and activities that you will do to help achieve your aims. In this section we ask you to describe your project's outcomes – the eventual benefits that your proposals will achieve. You can summarise these as the difference your project will make to your heritage, to people, to your own organisation and to the environment.

4a What difference will your project make to your heritage?

We need to understand the difference that your project will make to your heritage and in particular how it will conserve or improve the value of the heritage. In section three you should have told us about any conservation work or other capital work and any activities you plan to do. In this section you should tell us about what difference that work will make to the heritage. For example:

- how the project will bring your heritage into better condition;
- how it will make sure that your heritage is better managed and maintained in the future;
- how heritage has been identified and is better understood and appreciated; and
- how your heritage benefits from people being trained to look after it or from new solutions that will lead to heritage being better cared for.

4b What difference will your project make for people?

You have previously outlined the capital work and activities that your project will

do. Now, explain briefly what difference this will make to people's lives and any wider public benefits that you expect your project to deliver. This might include how your project will:

- help more people to learn about heritage;
- help more people to enjoy heritage;
- provide new skills and experiences;
- build people's understanding of their own and other people's heritage;
- contribute to an improved sense of identity and community;
- build or strengthen partnerships;
- benefit the local area; and
- improve the quality of the local environment.

Please give examples, such as:

- more people will be able to visit a restored historic building;
- local people will have a new place to meet and take part in activities;
- people with disabilities will have access to heritage for the first time;
- there will be more trained stone masons able to work on heritage buildings; and
- there will be a positive economic effect, such as increasing spending in the local area or among local businesses

If the area where the project will be delivered is deprived, please give details and explain how your project will help to address some of the local problems or improve people's quality of life.

If you are successful at the first round, you will need to develop your ideas on the difference your project will make for people as part of your activity plan.

4c What are the main groups of people who will benefit from your project?

We need to understand the range of audiences that you are planning to attract

with your project. We use this information to assess your plans for your project – we do not prioritise projects for any particular group. We also use the information to report on the benefits of our funding and to help decide what action we will take to overcome barriers to involving people with heritage.

- If your project aims to benefit a wide range of people and is not specifically targeted at any particular group, tell us this.
- If your project will specifically benefit a particular group or groups of people, tell us which groups. For example, people from the Indian community, young people, people with disabilities or women.
- If your project is a heritage attraction or site that has visitors all year round, tell us how many you have had in the past year, and give an estimate of how many you expect each year when the project is completed.

4d **How will you maintain the benefits of your project in the long-term?**

All projects must leave a legacy (long-lasting benefits) for the heritage and for people. Although we can only fund projects with a limited timescale, up to five years, we will expect you to tell us what will happen after the project we fund is complete. Tell us:

- how you expect to manage and maintain your heritage once the project is finished, and who will do that;
- what will happen once any activities that we fund are complete – for example, will your organisation be able to continue the activities in any way?
- how you will make sure that other people can learn about your project afterwards (for example, by keeping a good record of what was done);
- how your project will help your organisation to change and develop

for the future. For example, your organisation may:

- create new jobs for the project and for the longer term;
- change its management structure;
- change the services you offer the public ;
- make new long-term commitments to heritage; or
- set up new partnerships.

4e **How will your project affect the environment?**

We need to understand what positive impact (effects) your project will have on the environment and in what ways you will reduce, as far as possible, any negative impact.

- We have set out the sorts of issues that we think you should consider, depending on the size and type of your project, in our guidance *Planning greener heritage projects*.

Section five – Developing and delivering your project

5a **Who are the main people responsible for developing and delivering your project?**

We are looking to see that your project will be well managed by an appropriate person and a suitably skilled supporting project team.

- Give a broad description of your project team including the person who has overall responsibility for your project, the day-to-day manager of your project, and the main people in your project team (including volunteers). Describe their skills and experience that make them suitable to be part of the project team.
- Explain who is responsible for making decisions and approving changes to your project.
- Describe the reporting structure and how often meetings will take place.

- Also tell us about any other projects your organisation is likely to be delivering at the same time and if any staff working on your heritage project will also be working on other projects.

5b Describe, in detail, the development work needed for your project.

Project development is the term we use for the work needed to turn your basic proposals at the first round into the detailed proposals needed for the second-round application. You may include a request for a development grant to help pay for this work as part of your first-round application.

- Tell us about the work needed to develop your project and who will do it. See examples of development work on our website for ideas on what you might need to do.
- Development work could be carried out by:
 - existing staff or volunteers;
 - new staff appointed specifically to help develop and deliver your project; or
 - consultants or freelancers who are paid to help with specific pieces of work.
- It is unusual for a project team to contain all the skills needed to deliver a project. Describe the skills you will need and decide whether you will need to provide training for members of your team. Consider whether you need to include the time of other staff, freelancers or consultants as part of any development grant you ask for.
- For all development work involving consultants, send us the brief that you plan to use to appoint the consultant.
- If you want to recruit a new member of staff for the development phase, please attach a job description.
- You must answer this question even if you are not asking for a development

grant. If you are asking for a development grant, you must provide details of the associated costs in section six.

5c What are the risks to developing and delivering your project and how will you manage those risks?

All projects will face threats and opportunities that you need to identify and manage. We are looking to see that you understand the range of risks that you may face and are in a good position to manage them.

- At the first round you must start to think about the possible problems that you may face. These risks could be:
 - technical – for example, discovering unexpected and wide-ranging damp;
 - financial – for example, a reduced contribution from another funding source;
 - organisational – for example, a shortage of people with the skills you need or staff needed to work on other projects;
 - economic – for example, an unexpected rise in the cost of materials;
 - social – for example, negative responses to consultation or a lack of interest from your target audience;
 - management – for example, a significant change in the project team;
 - legal – for example, changes in law that make the project impractical; or
 - environmental – for example, difficulties in finding sources of timber from well-managed forests.
- Using the grid provided, describe the most serious risks that you consider may happen during the development phase to the second round and the risks that may happen when delivering your project if we award you a grant.
- You should take account of how any risks will affect the amounts you are

allowing for 'contingency' in section 6.

- See a worked example of a risk table on our website.

5d Provide a timetable

We are looking for a clear understanding of both the overall timetable for completing your project and also a more detailed timetable for the development phase between the first and second application rounds.

Timetable for your total project

- Give a broad summary of your overall project timetable, telling us when you expect the project to start and finish. If you can separate your project into different parts – for example, restoration work and a programme of activities – tell us the estimated dates for these.

Timetable for the development period

- Tell us how many months you think you will need from the date of any first-round decision to develop your second-round application. This is normally up to 18 months, but cannot take more than two years. If your project is already well developed or if it involves activities only, you may need only a short time and can send us your second-round application as soon as it is ready.
- Attach a detailed timetable for developing your project to the second application round. It should reflect all parts of your project such as choosing consultants, surveys, research, consultation, design stages and reviews.

Section six – The costs of the project

6a Fill in the table.

- At the first application round you must fill in tables A and B in detail.
- Table A should reflect your total spending to develop your project to the second round (detailed proposals

stage) and table B should show where you are going to get the funding to meet those costs.

- You must fill in tables A and B even if you are not asking us for funding to develop your project to the second round.
- Fill in tables C and D in draft. This gives us an idea of what you may apply for at the second round if you are successful at the first round.
- For each cost heading you can break down your costs by adding extra lines so that the cost table is as detailed as you can make it at this point.

You should make sure that you have tested all costs, for example – they are estimates, based on quotes or are based on costs for similar projects. For all goods, work and services of £10,000 and above, you will have to get at least three competitive quotes at the second round. You must also follow all European Union and World Trade Organisation procurement regulations. Please see Buying goods, works and services for your project in the Introduction (page 12).

You must appropriately advertise all new staff posts.

If you are looking to recruit a consultant for both rounds, you should make sure their contract clearly says this is the case and allow for break clauses (in case your second-round application is not successful). If you do not, we may ask you to tender again and re-recruit after the second-round decision has been made.

You must make sure the costs are as accurate as possible. If you have to spend more to develop your project to the second round, we will not be able to contribute to the extra costs.

Columns

- First column – Cost headings
 - The costs in this column are summary headings that we ask you to follow.
- Second column – Description
 - Please add extra lines to describe the individual costs.
- Third column – Costs
 - Please insert the relevant costs – without VAT and contingency (money to be used only for unexpected extra costs).
- Fourth column – Value Added Tax (VAT)
 - Make sure that you only include VAT in this column and not in the costs presented in the third column.
 - You may not pay VAT on certain types of work or may only pay it at a lower rate. You should approach HM Revenue & Customs (www.hmrc.gov.uk) to check how much VAT you will need to pay.
 - We cannot authorise the transfer of any part of the project costs to or from VAT. This means that if you underestimate VAT, you will have to pay the extra costs, and if your VAT status changes so you can reclaim more than you expected, you will need to return this to us.
 - You should make sure that all quotes you get clearly show whether VAT is included or not.
- Fifth column – Contingency
 - Make sure that you only include contingency in this column and not in the costs presented in the third column. Not all cost items will need a contingency, especially development and activity costs. Your calculation for contingencies should reflect:
 - the degree of certainty with which you have arrived at your cost estimates;
 - the stage of design work proposed;
 - the project timetable; and

- the risk in relation to the type of project you are carrying out.
- We would normally expect larger contingencies at the first round than at the second round because the project risks should reduce as you develop your project.
- We will only agree to you using the contingencies if you can show an unexpected need within the aims of your project.
- Make sure that your response to question 5c (relating to risk) influences your decision on levels of contingency.

Cost headings

A First round – Development costs

A1 Managing your project

You may decide to recruit a project manager to oversee the whole project. This could be either as a new member of staff on a fixed-term contract or employing a consultant for an agreed number of hours each week or month.

We cannot contribute to the costs of staff already on your payroll unless you are a voluntary-sector organisation claiming full cost recovery or plan to backfill the post. See A3. See also *Understanding full cost recovery*.

A2 Professional fees

Fees should be in line with professional guidelines – for example, Royal Institute of British Architects – and should be based on a clear written specification.

You must use a separate line for each consultant.

A3 Staff costs

We can contribute to new fixed-term contracts, secondments (people who are temporarily transferred to your organisation) and the costs of freelance staff to help develop your project.

- You must advertise all posts appropriately and base salary levels on sector guidelines or similar posts elsewhere.
- You may move existing members of staff into a position that has been created for a project but you must justify, in your application, that they are the most suitable person for the post. In this situation we can only contribute to the costs of filling the position then left empty. It is these costs you should add here.

A4 Recruitment

This can include advertising and travel expenses. We expect your organisation to keep to good human resource practice and follow all relevant laws.

A5 Other

Include all other costs you know about at this stage.

A6 Non-cash contributions

You may receive some items without charge – for example, using a room in a local college for educational activities or a donation of materials from a local firm. You should reflect the estimated value in your project costs and income as ‘non-cash contributions’. For projects which involve capital works of £200,000 and over, the value of increased future costs of management and maintenance for up to five years after your project is completed can be included as partnership funding.

A7 Volunteer time

You may receive time given to your project by volunteers. You should use the following rates for different types of work.

- Professional labour – £350 a day. For example - accountancy or legal advice.

- Skilled labour – £150 a day. For example, administrative work, carpentry, leading a guided walk.
- Unskilled labour – £50 a day. For example, clearing a site or working as a steward at an event

B First round - Funding

Income

You must be able to raise part of your project costs from your own or other sources. We expect you to show you have tried to raise funding from all other appropriate sources and have contributed as much partnership funding as possible.

B1 Cash

For all requests for grants, we expect your organisation to contribute some of the total costs of your project from your own organisation's resources, either in cash or in kind.

- We accept cash funding from any public, charitable or private source, including European programmes.
- You can use funding from another Lottery distributor for parts of the project that we are not funding. However, this does not count towards the 5% or 10% minimum contribution to the project from your own or other sources.
- Increased management and maintenance cannot be the only contribution to the project from your own resources.
- You do not have to have all the contributions in place when you apply to us. However, you must have them by the time you are ready to apply for permission to start your project after any second-round decision. We will assess whether your partnership funding expectations are realistic.

B2 Non-cash contributions (See A6).

B3 Volunteer time (See A7).

B4 Asking us for a grant

If your request for a grant is below £1 million, you can ask for up to 95% of the project costs. If you want £1 million or more, you can ask for up to 90% of the project costs.

- You should round your grant requests to the nearest £100.

C Second round – Delivery costs

Capital costs

C1-C5 See the help notes A1–A5. Include here the costs of any additional development work you will need to do after making your second-round application and before you are able to start delivering your project. Do not repeat the costs included in table A.

C6 The price of buying items or property

- For all heritage items you buy.

C7 Repair and conservation work

- Includes the costs of work to repair, restore or conserve a heritage item, building or site.

C8 New building work

- Includes building costs (labour and materials) for any new building or extension to an existing building.

C9 Other physical work

- Includes the costs of refitting a building or making and installing new displays for exhibitions.

C10 Equipment and materials

- This includes all equipment and materials relating to repairs, conservation and building work.

C11 Other

- Please list any other items that you consider to be capital costs.

Activity costs

This includes everything you plan to do in your project that you have not covered in capital costs, in other words activities that meet our aims for learning and participation. Make sure that your estimates clearly relate to activities you have described in section 3b. At the second round you will develop detailed costs as part of your activity plan. Refer to *Planning activities in heritage projects*.

C13 Staff costs

- We can contribute to new fixed-term contracts and secondments (people who are temporarily transferred to your organisation). See also A3.

C14 Training for staff, and

C15 Training for volunteers

- This includes the cost of resources needed to deliver training activities to help people gain new or increased skills. For example – trainers, equipment and any specialist clothing.

C16 Travel for staff, and

C17 Travel for volunteers

- This may include the costs of travelling to a site. Travel costs by car should be based on 35p a mile.

C18 Expenses for volunteers

- This may include food and any other expenses to ensure volunteers are not out of pocket.

C19 Equipment and materials

- This includes the purchase and hire of all vehicles, equipment and materials relating to the activities of your project.

Examples may include lighting and stage hire, computer hardware or protective clothing.

C20 Production of materials

- Examples may include educational resources, displays, website and DVDs.

C21 Other

- Include any other costs such as food for events. Please give a clear description.

C22 Professional fees

- This includes any person appointed for a fixed fee to help with planning and delivering the activities of your project. This may include consultants or artists and storytellers.

Other project costs

C23 Managing your project

You may decide to recruit a project manager to oversee the whole project. This could be either as a new member of staff on a fixed-term contract or employing a consultant for an agreed number of hours a week or month.

C24 Recruitment

You must recruit any project manager using a brief and an appropriate selection process. See also notes A1 – A4.

C25 Publicity and promotion

We can fund promotional materials that relate directly to your project.

- If we give you a grant, you must publicise and acknowledge this so that as many people as possible know about the benefits of Lottery funding for heritage.
- You must make sure you acknowledge your grant publicly in line with *Managing your grant* and our conditions set out in our guidance *How to acknowledge your grant*. We can contribute to the

associated costs if you have included them in your project budget.

C26 Evaluation

Please read *Evaluating your HLF project*.

All projects must be evaluated. Some will be evaluated by staff in your own organisation. Depending on the scale and how complicated your project is you may want to employ somebody to help evaluate your project and assess whether the aims of the project are being successfully met. You should include the costs of this here.

C27 Overheads

We can accept part of your central costs, for example, staffing and overheads to manage and support the project. This is also known as full-cost recovery and applies only to voluntary-sector organisations. Give us your best estimate at this stage.

There are certain things you can and cannot include as overheads. You can get more guidance on working out overheads in our guidance *Understanding full-cost recovery*.

C28 Inflation

You should include an allowance for inflation for any items that may increase in cost over the period of your project.

- The calculation must be as realistic as possible and relate to your project timetable.

C29 See A6.

C30 See A7.

D Second round – funding Income

D1-D4 See the help notes B1–B4. Do not include the costs and income for the development phase (tables A and B) here.

6b If the contributions from other sources have not yet been confirmed, when do you expect them to be confirmed?

- Give information on when you expect to hear the outcome of your funding applications to other sources. We will assess whether your expectations are realistic.

6c How have you worked out the share of your organisation's overheads for your project (if this applies)?

- We can accept part of your central costs, for example, staffing and overheads to manage and support the project. This is also known as full-cost recovery and applies only to voluntary-sector organisations. Give us your best estimate at this stage. We will ask you to show how you have worked these out in detail at the second round.
- There are certain things you can and cannot include as overheads. You can get more guidance on working out overheads in our guidance Full-cost recovery.

Section seven – After your project ends

7a How will you make sure your project is financially secure in the longer term, including meeting management and maintenance costs?

We need to make sure that all projects are financially sustainable. This is particularly important for projects that involve conserving heritage, or capital work on a heritage site.

- Estimate the effect you expect your project to have on your ongoing operating costs after the project ends. And tell us how you expect to meet any increased costs.
- If you want a grant of £1 million or more, you must read our guidance *Financial appraisal for heritage projects*.

- If your project will rely on visitor income or some form of charging to create income, you should also read our guidance on *Financial appraisal for heritage projects*.

7b What are the risks facing the project after it has been completed and how will you manage those risks?

Read the help note for question 5c and apply this to your project.

7c How will you evaluate the success of the aims of your project (as set out in section three)?

Do not answer this question in the first round. See our guidance *Evaluating your HLF project* for more information on what to do in the second round.

Second-round application

At the second round we will expect you to have a lot more detailed information about your project and your costs. To apply to us for a grant at the second round you must fill in the same application form as in the first round but add more information to it as you have developed your project.

You must read and follow both the first and second-round help notes for each question.

Section one – About your organisation

- Update this if you need to.

Section two – The heritage

2a What is the heritage that your project focuses on?

- Add information in line with any further research you have carried out.

2b Why is your heritage important and who is it important to?

- Add information in line with any further research and consultation you have carried out.
- If you have prepared a management and maintenance plan or conservation management plan, attach it. If you have carried out heritage surveys or investigation, tell us what you have done and how the results have influenced your project.

2c How is your heritage managed today?

- Add information in line with any further research and consultation you have carried out.

Section three – Your project

3a What is your project?

- Refine your description if necessary.

3b What will your project do?

- You will send us an activity plan with your second-round application. If your project meets our aims for learning and participation only all the information we need will be in the activity plan. See our guidance *Planning activities in heritage projects*.
- For all projects, tell us how you plan to publicise your project and acknowledge our grant, in line with our guidance *How to acknowledge your grant*.
- If your project meets our aim for conservation, you should answer this question giving information about your capital work only. See *Thinking about Conservation*. Information about how your project meets our learning aim will be in the activity plan.
- If you are asking for £200,000 or more for capital work, you should send us a detailed specification and explain

here how you know that it is based on a good understanding of the heritage.

- If your project involves new building or other capital work, we will expect to see your project developed to RIBA stage D.

Section four – Project outcomes

4a What difference will your project make to your heritage?

- Add information in line with developing your project.

4b What difference will your project make for people?

- You do not need to answer this question. Your activity plan should cover all your activities including the outcomes and benefits for people.

4c What are the main groups of people who will benefit from your project?

- Update your answer in section 4c1 by ticking the appropriate boxes.
- Also, fill in sections:

4c2 if your project is a heritage attraction or site that has visitors all year round;

4c3 if your project has volunteers; or

4c4 if your project is offering training to people.

Please give your forecasts. If we award you a grant, we will ask you to break this information down further before we give you permission to start the project. We will also ask you to use the information as a guide when evaluating your project.

4d How will you maintain the benefits of your project in the long term?

- Tell us about how you expect to maintain the quality of the work carried out.
- Explain your commitment to long-term plans for repairs and maintenance, learning, volunteering, involvement, interpretation, managing resources, training staff or finding new uses.

- For physical heritage, summarise how much money you will spend on maintaining the heritage now and how much you will spend in the future.
- If your project involves work costing £200,000 or more, you must prepare and send us a ten-year management and maintenance plan.
- For activities, we do not expect you to continue funding staff but consider the ways in which you can keep up the momentum created by your project or leave a lasting legacy, such as resources for schools or a volunteer programme.
- If you have created partnerships while delivering the project, explain how they may continue and be strengthened after the project.

4e **How will your project affect the environment?**

- Add information in line with your project development.

Section five – Developing and delivering the project

5a **Who are the main people responsible for developing and delivering your project?**

- Add information in line with your development work.
- Provide a project management structure to show who reports to who. This structure should clearly show the new posts that you will create through your project.
- Describe how you will choose the staff, services and goods needed for the delivery phase.
- Please send us job descriptions for all new posts and briefs for any consultants.

5b **Describe the development work you need to do for your project.**

- Tell us what further development work, if any, is needed to bring your project to the final proposals stage.

5c **What are the risks to develop and deliver your project and how will you manage those risks?**

- Revise the key risks (between five and ten) for the delivery phase in line with further development you have carried out.

5d **Please provide a detailed timetable.**

- Give us a detailed timetable for delivering your project.
- It should be clearly set out and include major milestones.
- It should reflect all parts of your project for example, development, reviews, major decisions, legal permission needed, procurement (buying products or services), procedures for choosing staff, selection procedures, building work, activities and evaluation.
- Your timetable should show when each part is to start and also how long it is expected to last.

Section six – The costs of the project

6a **Fill in the table.**

For the second-round application you must revise tables c and d to show your detailed delivery costs.

In your activity plan you will have worked out the costs of everything you plan to do in your project that is not capital work, in other words, everything you are doing to meet our learning aim and our participation aim. Read *Planning activities in heritage projects*. Put a summary of the detailed costs from your activity plan into this table so we can see the total amount for each budget heading.

Review your calculation for inflation. You may need to take professional advice – at this stage it should be based on accepted industry predictions

or government tables.

When considering your project costs please also send us a cash-flow table that shows your income and spending for the project.

- We want to be sure that you understand how you will manage the finances of your project, in other words, when you expect to have to pay for goods, materials and services and whether you will have the income to do so.
- The income section should clearly show when you are expecting payments from us and other sources. We will keep 10% of your grant until we are satisfied that your project has been appropriately completed and evaluated.
- The cash flow will help you anticipate if and when there is likely to be a mismatch between income and spending, in other words, when there may not be enough money in your bank account at certain times to pay bills as they fall due.
- We expect you to regularly review your cash flow.

6b If you have not received the contributions from other sources, when do you expect to do so?

- Add information on your fundraising progress.
- We can make a decision on second-round applications even if you do not yet have other funding in place. However, we will not give permission to start the project until you do have it.

6c How have you worked out the share of your organisation's overheads that relate to your project (if this applies)?

- If you are including overheads within

the grant you are asking us for, you must show your calculation here.

Section seven – After your project ends

7a How will you make sure your project is financially secure in the long term, including meeting maintenance costs?

- Give us your expected operating costs (including staff salaries and maintenance costs) and tell us where your earned and unearned income will come from. You should provide this information in a year-by-year income and spending table or spreadsheet covering 10 years.
- Provide notes for each heading to explain how you arrived at the figures. For example, if your project involves an admission charge or visitors spending money in some other way, show that your forecasts are realistic and are based on comparison with similar sites.
- If your project involves work costing £200,000 or more, please send us a 10-year management and maintenance plan or conservation management plan. This will set out the details of how you will manage and maintain the results of your project once it is completed. The associated costs will be reflected in your income and spending table.

7b What are the risks facing the project after it has been completed and how will you manage those risks?

Read the help note for question 5c and apply this to your project.

7c How will you evaluate the success of the aims of your project (as set out in section three)?

We are looking for clear proposals for evaluating your project and how you will share results with both us and

other organisations.

- Read *Completing and evaluating your project* in the introduction to the Heritage Grants Programme (pages 12-13) for an overview of evaluation.
- See also our guidance *Evaluating your HLF project* for more information on our specific needs.

Tell us:

- your proposals for evaluating your progress;
- the name and position of the person with overall responsibility for evaluation, although we will expect input from the whole project team; and
- how you plan to share your evaluation and lessons learnt with other similar organisations.

If your own staff will carry out the evaluation and you are a voluntary-sector organisation, you should include this in your calculation for full-cost recovery. Depending on the scale and nature of your project, it may be helpful to include another specialist to help you evaluate your project appropriately. If this is the case, you should tell us about this now and you should make sure that you have included the cost in your project budget. We can contribute between 1% and 3% of your grant amount to evaluation. However, the figure should not be more than 1% if the grant you want is for £1 million or above.

We will withhold the final 10% of your grant until you have sent us your evaluation report so you need to reflect this in your timetable and cash flow.

Standard terms of grant

The standard terms of grant apply to all our awards.

- There may be further conditions that will apply to your project. We will tell you about these before we award your grant and they will be set out in

the letter awarding the grant.

- We will prepare a contract specifically adapted for your project if we feel that this is appropriate.
- The requirements in *Managing your grant* form part of the terms of any grant awards that we may make. We consider breaking the conditions of *Managing your grant* as breaking the terms of the grant.
- If work begins on the project before we award a grant and before we have agreed that work can start, we may withdraw our grant.
- We may also withdraw our grant if work has not started within a year of the letter awarding you the grant.
- If your grant is less than £200,000, the terms of the grant will last for 10 years.
- If your grant is £200,000 or more, the terms of the grant will last for 25 years.
- If your project includes buying buildings, land or a heritage item (no matter how much you have applied for), the terms of the grant will last for 80 years.

Declaration

By signing the declaration, you are confirming that your organisation understands and accepts the standard terms of grant.

The person signing this declaration must be different from the person named as the contact under question 1c and must have the authority to do so.