

# ENDANGERED ARCHIVES PROGRAMME RESEARCH PROJECT GRANTS

## *Guidelines for applicants*

July 2008

In pursuit of their general aim to support fundamental research into important issues in the humanities and social sciences, the Donor Board of Arcadia is sponsoring a programme focused on the preservation and copying of important but vulnerable archives throughout the world.

### **1 Rationale for the Endangered Archives Programme**

1.1 As more and more of the world embraces the industrial/technological revolution and as globalisation accelerates, the available evidence of pre-industrial societies, their history and culture, is fast disappearing - in Asia, Latin America, Africa, and even parts of Europe.

1.2 Within the next few decades, much of this documentary heritage may well have vanished altogether, discarded as no longer of relevance or simply left to neglect and deteriorate.

1.3 It is essential that positive and prompt action is taken now to halt this process. The Programme will make an important contribution by identifying, preserving and making accessible to international scholarship selected collections that can still be preserved for fruitful use, harnessing the expertise of researchers in the field.

1.4 The Programme will achieve its objectives principally by making annually a number of grants to individual researchers to locate relevant collections, wherever possible to arrange their transfer to a suitable local archival home, and to deliver copies into the international research domain via the British Library and a local institution.

1.5 The Programme aims to foster enhanced local archival standards in such areas as cataloguing and preservation to assist the process of safeguarding collections in the future. Applicants are encouraged, where appropriate, to incorporate professional development and training within their proposals.

### **2 Scope and Objectives**

2.1 The principal objective of the Programme is to facilitate scholarship and research by identifying and preserving important archival [more precisely, archivable] material at risk of neglect, physical deterioration, destruction, or irresponsible care.

2.2 For the purposes of the Programme, archives will be interpreted widely to embrace not only rare printed sources (books, serials, newspapers, maps, ephemera, etc.) and manuscripts in any language, but also visual materials (drawings, paintings, prints, posters, photographs, etc.), audio or video recordings, digital data, and even other objects and artefacts - but normally only where they are found in association with a documentary archive. In all cases, the validity of archival materials for inclusion in the Programme will be assessed by their relevance as source materials for the pre-industrial stage of a society's history.

2.3 Although the main aim of the Programme is to copy and relocate existing archival material, the Programme is prepared to consider applications that would generate material to supplement existing archives, provided the focus is not on the general nature of oral history recordings.

2.4 The Programme aims to safeguard archival material relating to societies usually at an early stage of development - i.e. its normal focus will be on the period of a society's history before 'modernisation' or 'industrialisation' had generated institutional and record-keeping structures for the systematic preservation of historical records, very broadly defined. The relevant time period will therefore mostly vary according to the society with which we deal. The Programme will be completely open as to theme and regional interest. It will normally, but not invariably, be concerned with non-western societies. If material is located in a developed country but the opportunities for funding are exceptionally restricted and the archives are in an especially vulnerable condition, then applications would be considered on an individual basis.

2.5 Where possible, archival material will be safeguarded and preserved by its being relocated into established **local** archives - i.e. archives in the country in which they are currently located. A fundamental operating principle is that no original archival material identified and copied under the Endangered Archives Programme will leave its country of origin. The only exception to this is where the material is being temporarily removed from the country of origin for the purposes of copying – see 5.7.5 below. In all cases of copying, the material will be copied into microfilm and possibly digital form. Such copies will be deposited in the country of origin and in an archive at the British Library, which will make available further copies at cost.

2.6 It should be noted that the copy of the material kept at the British Library will not be the master copy but will be made available for the types of use and access specified in the Terms and Conditions of Award. The responsibility for creating and keeping archival masters of collections would normally rest with the country of origin.

2.7 The Programme appreciates that there may well be cases in which the relocation of endangered or inaccessible material is impossible or too difficult. First, such material may well already be in archives that are short of specialist skills or infrastructure, or are inadequately funded or physically vulnerable - but which are unwilling to allow archives to be deposited elsewhere. Second, private or institutional owners of archival material may be unwilling to give up possession of the originals. In such circumstances the Programme will be prepared to accept applications designed to copy material in order to enhance its security and allow broader access to its contents. (The relevant archives and owners would of course be given copies.)

2.8 The Programme is keen to encourage the local capacity to copy and preserve materials by the development of training for local staff.

2.9 If there are any **direct** costs associated with an archive receiving any particular collection under the Programme, then these should be specified in the application and will be considered. On the other hand, it must be emphasised that grants are not offered to support the 'normal' activities of an archive.

### 3 Criteria for Evaluating Applications

3.1 **Urgency:** how urgent is the need to safeguard the content of the material, how much at risk is the particular culture which this collection documents?

3.2 **Vulnerability:** what is the condition of the particular collection, how near to total destruction is it, how much similar material has already been lost?

3.3 **Significance:** how important is the individual collection or collections - their relevance to a particular field of study, how many such collections are there, how unique is the type of material described?

3.4 **Feasibility:** how realistic is the proposal, do the time-scale and resources requested match the task described, what appreciation of local political conditions and any other relevant environmental factors is shown?

3.5 **Expertise and experience of the applicant(s)** - as reflected in their CV(s) and in the overall quality of the proposal, particularly their track-record of delivery.

3.6 **Provision for professional development of local staff:** how the project will produce benefits in terms of the training and professional development of locally employed staff, if that is appropriate for the project.

## 4 Grants

4.1 The purpose of all grants will be to ensure (or in the case of pilot projects to assess the potential for) (a) the relocation of important and vulnerable archival material, if that is feasible, and (b) the copying of such material for wider distribution, involving the deposit of a copy in the British Library.

4.2 There will be two types of grant:

4.2.1 Major projects to gather, relocate and/or copy material.

4.2.2 Pilot projects to investigate the potential and/or feasibility of a major project are particularly welcomed by the Programme.

4.3 Grants are available for two main purposes:

4.3.1 Where possible, for the safeguarding and preservation of archival material by its identification and relocation into established local archives. In all cases, such material will be copied into microfilm and possibly digital form. Such copies will be deposited in the country of origin and in an archive at the British Library, which will make available further copies at cost.

4.3.2 The Programme appreciates that there may well be cases in which the relocation of endangered or inaccessible material is impossible or too difficult. Such material may well already be in archives that are short of specialist skills or infrastructure, or are inadequately funded or physically vulnerable - but which are unwilling to allow archives to be deposited elsewhere. Alternatively, private or institutional owners of archival material may be unwilling to give up possession of the originals. In such circumstances the Programme will be prepared to accept applications designed only to copy material in order to enhance its security and allow broader access to its contents.

4.3.3 The British Library will provide free access to view the copies of the material which it will hold. Permission to reproduce or publish material must be sought from the owners of the original material who will retain their copyright. It is the responsibility of the grant-holder to ensure that any local archives where copies are also deposited are aware of and respect copyright restrictions. See also 5.7.11

4.4 All grants will be conditional on their products [relocated material frequently, and copies invariably] being maintained by a repository and **fully and costlessly accessible** to scholars.

4.5 Grants to individual projects (including pilot projects) will normally be made for a period of up to one year - although the duration of the grant and the amount awarded for individual project grants will vary they should both be fully justified in terms of the research being proposed. It is envisaged that funding for a major project will be in the region of £50,000 and £10,000 for a pilot project.

4.6 **NB** The Programme does not offer grants to support the 'normal' activities of an archive, although any direct costs that may be incurred by an archive in accepting a particular collection will be considered.

## 5 Applications and Procedures

5.1 The Endangered Archives Programme is administered by the British Library. Information on where to address all enquiries and applications is given in Section 9 below.

5.2 Details of the Programme and its procedures can be found on the Programme's website at [ww.bl.uk/endangeredarchives](http://www.bl.uk/endangeredarchives).

5.3 Application procedures are in two stages. All applicants for a major or a pilot research grant must initially submit a preliminary application for assessment. Preliminary application forms are available to download from the Programme's web-pages and should be completed and sent electronically to [endangeredarchives@bl.uk](mailto:endangeredarchives@bl.uk). All applications must be in English, and budgets must be expressed in pounds sterling – all awards will be made in pounds sterling.

5.4 Preliminary applications will be assessed by an International Advisory Panel of experts, comprising academics and archivists. They will decide which applicants will be invited to submit a detailed application of their research proposal. These, too, will be assessed by the Panel, although at both stages the Panel will use referees as judged appropriate.

5.5 Details of the current membership of the International Advisory Panel are available on the Programme's website.

5.6 The timetable for applications and the announcement of awards is publicised on the Programme's website. Please check these pages regularly as the timetable may change from one year to the next.

5.7 General requirements:

5.7.1 Although applications are to be submitted by individuals, each grant will normally be administered and accounted for by the institution (university or archive or similar institution) to which the lead or principal applicant belongs. Applications must therefore be approved by the relevant institution (see the section on Terms & Conditions), and applicants should be confident of the agreement of an eligible institutional representative before submitting a proposal. Ideally, the appropriate archive[s] to which original material will be transferred should be directly involved and committed to participating in any projects, and preserving the material indefinitely, with free access.

5.7.2 Applicants may only submit one application in each round of funding.

5.7.3 Where an established archive is to be involved, either to receive original material or to allow the copying of material it already possesses, applications must include a representative of the archive. Normally an application will be expected to identify the intended archival home for any particular collection (except where copying only and no transfer are involved), and for an archivist from that institution to be named as joint applicant. The archival institution will be required to state its undertaking to any collection(s) received i.e. regarding standards of storage, documentation, access, etc.

5.7.4 Where national or state records are being copied then the Programme would need confirmation that the appropriate governmental department had been consulted.

5.7.5 Where it is intended to remove official records from the country of origin, whether in national, state, corporate or private possession, even temporarily for the purposes of copying or treatment, then explicit written approval for this must be obtained from the highest governmental level.

5.7.6 For all classes of material to be removed from the country of origin, all local export/import formalities must be observed and proof of compliance provided to the Endangered Archives Programme.

5.7.7 Where very important material cannot be re-located, or is already in a specialised archive but is vulnerable, arrangements for copying, and the location of the copies, should be agreed beforehand.

5.7.8 All applications should contain information concerning copying techniques [conforming to standards indicated in the Copying and the Listing Guidelines] and the proposed location[s] - in addition to the British Library - in which copies will be deposited. In addition to accepting the need to microfilm material, applicants can make a reasoned case for the funding of digitization. But this will only be supported if the case is very persuasive.

5.7.9 Applicants should normally have good reason to suppose that adequate and relevant records actually exist and that owners are likely to co-operate in relocation or copying, although the detection of new material would be an important aspect of most grants. However, the extent, actual location[s], and availability of material may well not be known in every case. In such cases, applications for pilot projects should be made. An equally important prerequisite is that there is good reason to believe that the researcher has the confidence of the owners.

5.7.10 The Programme will not normally support expenditure to purchase archival material, but some kind of recompense payment may be permitted in exceptional cases. In such cases, the application should include a detailed account of the particular circumstances of the collection in question and the reasons why a payment may be necessary in view of the outstanding importance or rarity, etc. of the material involved. The amount of any such payment envisaged must be specified in the application.

5.7.11 **NB** The Programme will not offer grants if unreasonable restrictions are placed on the use of the archives or copies thereof by the owner[s] of material or by the archives to which they are to be transferred. 'Unreasonable restrictions' includes any restriction contrary to the uses specified in section 39 in the Terms and Conditions and/or that would act to remove statutory fair dealing exceptions under the UK Copyright Design and Patent Act 1988. The onus is on the would-be

applicant to make all necessary enquiries and to have secured all necessary documentation on this aspect before applying. Applicants should take especial note of sections 39 and 40 in the Terms and Conditions of Award.

## 6 Eligibility

### 6.1 Eligible institutions:

6.1.1 All grants must be administered by a recognised non-commercial institution in the field of education, research or archival/library management. Such institutions will be directly responsible for receiving and ensuring the proper use of funds and will be expected to account for such use on a regular basis. It is normally expected that the Principal Applicant will be employed by the Host Institution. A specific case will need to be made for the Principal Applicant to have a Host Institution by which they are not employed.

6.1.2 Exceptionally, Principal Applicants not affiliated to a recognised higher education, research or archive/library institution can apply as an Independent Researcher, provided that they can offer references, including details of relevant experience and track-record of delivery in past projects. In these cases grant recipients will work directly with the British Library, which will administer their grants. Receipts will be required to be submitted with the Final Report for all items of expenditure over £100.

### 6.2 Eligible applicants:

6.2.1 Any accredited member of teaching or research faculty, and any registered post-graduate researcher, at a recognised UK or overseas university or similar higher education institution. If the Principal Applicant is applying as a PhD candidate, then a letter of support should be provided from their supervisor, giving approval for the candidate to undertake the project and detailing how the project relates to the PhD.

6.2.2 Archivists and librarians with responsibilities for special collections in a recognised UK or overseas archives, national or research library, or similar institution. **NB** Current employees of the British Library are not eligible to apply.

6.2.3 Independent Researchers (see 6.1.2 above)

### 6.3 Eligible costs include:

6.3.1 The fees or salaries of relatively junior researchers helping with the tasks of seeking, identifying and gathering the material

6.3.2 The cost of copying original material, including equipment, and re-locating and installing it in an archive (including the initial filing and the composition of finding lists, but not archival overheads or running costs).

6.3.3 Teaching relief where an academic principal investigator needs to spend considerable time in the field away from official teaching duties, and contributions to salary costs where an archivist has to be in the field for a prolonged period.

6.3.4 Travel and subsistence, directly relevant office operations and supplies.

6.3.5 Training costs. The Programme is keen to enhance the professional skills of local staff, to increase the local capacity to preserve and manage collections in

the long term. Applicants are therefore encouraged, if possible, to incorporate training and professional development in their grant proposal, which can be in areas such as archival collection management or technical training in digitising or microfilming techniques.

**NB** Student grants and postdoctoral fellowship stipends will be paid where candidates are working full-time on the gathering and copying of archival material. Salaries of senior personnel will not normally be paid. Research assistance should preferably be appointed on temporary tenures, and local people should as far as possible be employed as actual field workers on projects.

6.4 Ineligible costs. These include capital building projects, routine infrastructure and staffing costs, institutional overheads, physical conservation of original materials, extensive cataloguing or archive management and public or educational displays.

## 7 Monitoring

7.1 Projects will be kept under regular review by six-monthly detailed progress reports, supplemented where necessary by 'exception reports' (i.e. indications of any substantial changes in the project). Grants will normally be paid six months in advance, with continuation dependent on satisfactory reports and satisfactory official accounts submitted by the administering institution. The Programme reserves the right to pay instalments at shorter intervals

## 8 Preservation and copying.

8.1 The core of the Programme is the preservation of archivable material by its re-location [normally into local institutional archives] and invariably by copying for deposit locally and in other and more accessible environments. This gives rise to technical considerations: processes, standards and materials should therefore be stipulated in applications, and these questions may be discussed with the British Library using the Programme's email address: [endangeredarchives@bl.uk](mailto:endangeredarchives@bl.uk). Potential applicants must follow the Copying Guidelines and the Listing Guidelines with regard to techniques and standards.

8.2 Applicants should bear in mind that the Programme is not designed to support conservation work in the technical sense. Rather, it is designed to preserve the integrity of archives by removing them from a hazardous or neglectful environment, relocating them into safer circumstances, and copying them to preserve their contents and make them more accessible.

8.3 All applicants should be expected to stipulate in precise terms the measures proposed not only to copy, but also to preserve data. Likely costs should be included, with an indication of possible sources of funds. **NB** The programme itself does not provide funding for physical conservation of original materials. Ultimate locations of originals and copies should be specified, and the co-operation of relevant institutions demonstrated. Guarantees should be expected concerning the long-run maintenance, and availability, of archived material.

8.4 Successful applicants will be expected to send their digital copies or microfilms of archival collections, with supporting documentation, securely packaged (by courier or registered mail) to the British Library (at the address given below in Section 9.2). They should also email or fax the British Library separately giving details of what is being sent, and what format it is in.

8.5 Within the first three months of the award samples of the copies being produced, together with accompanying listings, should be sent to the Programme Administrator to ensure that the copies are being produced in accordance with best practice. If any copies are made during the course of a pilot study, then samples of the copies should be submitted as soon as possible and a copy of all the material produced should be deposited with the British Library at the end of the pilot study.

8.6 The British Library will be responsible for logging receipt of all copies, listing them, and arranging for their safe storage. Details of all collections received will be posted on the Programme's web-pages. These copies – microfilm or digital - will be made available to researchers through the Library's Reading Rooms in the normal way. Copies of microfilms will also be made available for loan purposes.

## **9 Contact Details**

9.1. All enquiries about applications procedures or any other aspect of the Endangered Archives Programme should be sent preferably by email to [endangeredarchives@bl.uk](mailto:endangeredarchives@bl.uk), or faxed to +44 (0) 20 7412 7858.

9.2 Postal enquiries should be addressed to:

Endangered Archives Programme  
Asia, Pacific and Africa Collections  
The British Library  
96 Euston Road  
London NW1 2DB  
United Kingdom.

9.3. The procedures for application, including application forms, can be found on the Programme's website at [www.bl.uk/endangeredarchives](http://www.bl.uk/endangeredarchives).

## **10 Changes to Guidelines for Applicants**

10.1 Arcadia and the British Library reserve the right to make minor amendments, changes and updates to the Guidelines for Applicants during the term of an award. The Endangered Archives Programme will endeavour to notify those affected as soon as possible of any such changes.

These Guidelines for Applicants should be read in conjunction with the Terms and Conditions of Award.