

# National Archival Development Program

Guidelines 2010-2011



Canadian Council of Archives  
Conseil canadien des archives



Library and Archives  
Canada

Bibliothèque et Archives  
Canada

Canada

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**Note: For your convenience, significant changes in the NADP 10-11 Guidelines have been highlighted in yellow.**

## I. General Information

These Guidelines are intended to assist archival institutions and organizations in applying for funding from Library and Archives Canada (LAC) under the National Archival Development Program (NADP). It is recommended that you consult the Canadian Council of Archives (CCA) Secretariat or your provincial or territorial archives council for guidance in the preparation of a funding application.

Applicants are advised to read the guide in its entirety. Your project proposals will benefit from the information provided in this guide.

- Application forms and other useful documents are available on line at <http://www.cdncouncilarchives.ca/>.
- All project records are subject to the provisions of the *Access to Information Act* and the *Privacy Act*.

## II. About the National Archival Development Program (NADP)

### Description of the National Archival Development Program

The National Archival Development Program (NADP) is a financial assistance program of Library and Archives Canada (LAC).

The NADP provides contribution funding:

- to Canadian archives and related organizations to increase their capacity to preserve and make accessible archival materials about Canada and Canadians
- to the Canadian Council of Archives (CCA) to enable it to provide leadership and services supporting the development of archival institutions and organizations across Canada.

### Structure and Management of the Program

NADP financial assistance is available under two components:

- Archival institutions and organizations are eligible to receive funding under the Archival Projects Component of the Program. The CCA manages the adjudication of archival project proposals and acts as third party deliverer of LAC contributions to archival institutions and organizations.
- The CCA is eligible to receive funding under the National Council Component of the Program. The CCA will annually submit a business plan in support of program objectives for the approval of LAC. A description of the National Council Component of the NADP is available on the LAC website.

With advice from the CCA, LAC approves strategic approaches towards the achievement of program objectives, sets priorities, and approves program criteria and guidelines used by the CCA in adjudication. LAC will assess annually progress being made towards program objectives in both the National Council and the Archival Projects Components of the Program.

### Objectives

The focus of the NADP is found in the five program objectives, which will contribute to the preservation and greater accessibility of Canada's archival heritage. Archival projects will be funded on the basis of their support for the five NADP objectives:

1. Increase access to Canada's archival heritage through the national catalogue
2. Increase awareness and broaden use of Canada's archival heritage
3. Increase the representation of Aboriginal peoples and under-represented ethno-cultural groups in Canada's archival heritage
4. Increase the capacity of archival networks to undertake strategic and development activities; and
5. Increase the capacity of archival institutions to preserve Canada's archival heritage

### Outcomes

In the immediate term, activities are expected to result in increased content in the national catalogue; increased information available about archives and their holdings; partnerships and programs to attract new users; increased awareness of and response to the archival needs of Aboriginal and multicultural communities; a broader skill base

within the archival community; and improved preservation of archival holdings in Canada.

Ultimately the NADP is intended to contribute to the following long-term outcomes or national goals:

- Canadians have greater access to the whole of their archival heritage
- Canadians better know and use their archival heritage
- The archival heritage of Canada reflects the diversity of the Canadian experience
- Canada has the capacity to meet the evolving information and learning needs of its citizens through a strong network of archives; and,
- Archival heritage is safeguarded for present and future generations.

### III. Archival Projects Component

#### Eligible Recipients

The following non-profit or charitable organizations\* are eligible to apply for funding under the Archival Projects component of the NADP:

- Provincial or territorial archives councils or their equivalent organizations
- National, provincial, territorial or regional associations of archivists
- Canadian archival institutions that are accessible to the public, conform to the definition of an archives as stated in the CCA constitution and are members in good standing with a provincial or territorial archives council or the equivalent organization.

\* Eligible recipients must also have completed all required work and reporting on any previous LAC funded project.

#### Eligible Projects and Activities

Archival projects that advance NADP objectives are eligible for program funding. Organizations may submit more than one application. Project proposals may include any of the following activities:

- Arranging and describing archival materials, converting non-standard descriptions, and making descriptions accessible through the national catalogue
- Promoting greater awareness of the relevance of archival heritage and/or encouraging greater use of archives
- Fostering the inclusion of and access to the archival heritage of Aboriginal peoples and other under-represented ethno-cultural groups, and encouraging the involvement of these groups with archival heritage
- Generating, applying and disseminating information and knowledge on standards, tools, innovative approaches and best practices to enhance the skills and capacities of the archival community to pursue NADP objectives
- Preserving archival records, carrying out assessments of facilities and collections, and /or developing preservation plans, strategies and procedures.
- Applications for:
  - An arrangement and description project with a digitization, virtual exhibit or publicity campaign sub-component, is to be submitted under objective #1.
  - A Council IT network services project is to be submitted under objective #1.
  - Any combination of an education, advisory, preservation, and IT network services project is to be submitted under objective #4.
  - An education and advisory services project is to be submitted under objective #4.
  - A preservation advisory services project is to be submitted under objective #5.
  - Digitization projects targeting sound and moving image materials are only eligible under objective #5.
  - A digitization project presented under objective #1 or #2 must result in the digital content made accessible online.
  - A digitization or transcription project for the sole purpose of taking the originals out of circulation is not eligible.

- To be eligible to make an application under objective #5 to do treatment or re-formatting of at-risk material, an applicant must normally have completed a global preservation assessment and/or a collection assessment and have in place a preservation policy and procedures.

### **Type and Extent of Financial Assistance**

The NADP provides financial assistance in the form of contributions for archival projects. LAC normally expects participating organizations to make a cash or in-kind contribution equal to at least 50% of the total project cost.

The NADP provides support up to a maximum of \$150,000 per fiscal year for an archival project. No financial support will be directed to costs that would have been incurred had the project not been undertaken.

A provincial/territorial council may implement a funding ceiling for archival projects. The practice of using a funding ceiling is an exceptional situation and should only occur when it is necessary to further NADP objectives. Only 3 of 13 provinces and territories have used a funding ceiling in the past. Councils are not expected or required to adopt a funding ceiling in regions that do not have one now. Rather, they are encouraged to maintain the status quo (i.e., no funding ceiling).

A provincial/territorial council may implement a funding ceiling for archival projects in the following way:

- A funding ceiling does not apply to a multi-organization application.
- Provincial/territorial councils may set a funding ceiling lower than the \$150,000 program maximum for an archival project. In order to assure funding for archival advisor positions, the ceiling must be calculated as follows:
  - From the provincial/territorial, subtract the cost of the Archives Advisor(s) and multiply the remaining allocation by 15%;

**Or**

- Set the ceiling at \$15,000, **whichever is less**.

In finding a match for the federal contribution, recipients must respect the maximum allowable level of total government assistance. Total federal, provincial and municipal assistance for the same eligible expenditures must not exceed 100% of eligible expenditures. In the event that actual total government assistance to a recipient exceeds this limit, it will be necessary for LAC to adjust its level of assistance (and seek reimbursement if necessary) so that the limit is not exceeded.

On the advice of the CCA, LAC has identified funding envelopes for each province and territory. Contribution support is therefore available for organizations in each jurisdiction. The CCA Board of Directors will redirect any unused funding to other projects and/or will reallocate the funding towards capacity building initiatives that would best contribute progress towards NADP objectives.

The funding envelopes for archival projects are as follows:

- Ontario \$168,495
- Quebec \$168,495

|                             |           |
|-----------------------------|-----------|
| • British Columbia          | \$117,112 |
| • Alberta                   | \$83,475  |
| • Saskatchewan              | \$83,475  |
| • Manitoba                  | \$83,475  |
| • New Brunswick             | \$83,475  |
| • Nova Scotia               | \$83,475  |
| • Newfoundland and Labrador | \$83,475  |
| • Nunavut                   | \$40,012  |
| • Northwest Territories     | \$40,012  |
| • Yukon                     | \$40,012  |
| • Prince Edward Island      | \$40,012  |

### **Applicant's Contribution to Match NADP Funding**

All NADP funding must normally be matched by the recipient. The applicant's contribution may consist of financial support for the proposed project from its sponsor, other federal programs, other levels of government or the private sector, or indirect financial support such as paid staff time and supplies.

LAC may pay up to 100% in project costs in the following circumstances:

- For projects proposed by provincial and territorial councils where the council has inadequate funding to enable a match in whole or in part to the funding contributed by the LAC, or
- For projects proposed by organizations managed exclusively by volunteers. In these cases, the recipients will be expected to demonstrate volunteer investment in the project and in contributing to the sustainability of the organization.

The applicant's matching contribution may include contributions made up to twelve months prior to the beginning of the fiscal year for which funding is sought. The applicant's matching contribution must be essential to the project and fall within the Eligible Expenses of the NADP.

Note that based on the three year depreciation accounting rule, the value of one third of computer equipment and software costs can be used as a direct contribution or as an in-kind contribution.

Note that the applicant's cost to prepare reports can be used as an in-kind contribution.

The applicant's contribution must not include:

- Overhead costs that would have been incurred had the project not gone ahead;
- The purchase price for archival records;
- Any contribution occurring after the project completion date;
- Project administrative costs greater than 15%; or
- Cost to prepare the application.

### **Eligible Expenses**

NADP funding can only be used to pay for project expenditures. In order to be considered as eligible expenses for a project, expenditures must be directly related to

activities leading to the achievement of a funded project and must be incurred during the agreement period.

Financial assistance for the projects of archival institutions and organizations may be provided to cover:

- wages and employment related costs for staff
- fees for professional services
- fees for translation costs
- fees for transcription costs of textual records for the purpose of access and preservation only if both transcriptions and digital copies of the original documents are being made available online.
- leasing or purchasing equipment and supplies required for the project
- transportation of archival materials
- travel
- capital expenditures only on the recommendation of the CCA Board of Directors and with the approval of the Librarian and Archivist of Canada.

Project funding **must not** be used:

- to rent or lease office space
- for the ongoing operation and maintenance by an archival organization of any system or equipment used to store, manipulate or retrieve information
- to engage in any form of partisan political activity
- to purchase archival records.

## IV. Putting Together an Application

### General

The following conditions apply to all applications for archival project funding:

- An application for funding must demonstrate how the project will make progress towards achieving one objective of the Program.
- An application must be submitted for adjudication under only one objective. Other relevant objective(s) can be identified in the project description. Funding recipients can report under multiple objectives when a project makes progress towards achieving more than one objective.
- If an online resource is mentioned in the application, a link to the resource must be provided.
- For a preservation project resulting in the creation of records in digital format, explain how the digital material will be stored for long term preservation.
- Workshops or training programs by councils will require output(s) such as summary of session evaluation results, list of attendees, sample materials, etc. as part of the final report.
- Standards that will be used during the course of a project must be stated and their relevance explained.
- An application for a multiphase project should contain a description of the work done during previous fiscal years and future phases, if any.
- Applications submitted under objective #1 should state fonds/collections titles, dates, extent and **content's significance**.
- The proposed project must be completed and generate a product or service in the fiscal year that funding is received.
- Applications must be submitted single-sided, paper clipped, and not stapled.
- Assistance to prepare an application is available through provincial and territorial councils and/or the CCA Secretariat (1-866-254-1403).

### Statement of Expectations for Advisory Services Applications

It is expected that archival advisors will focus part of their efforts towards at least one of the national objectives (apart from objective #4). This does not mean that advisors need to devote all of their time to a single objective. They can still provide comprehensive and ad hoc services to archival organizations. However, advisors' funding requests should describe explicitly how they plan to deliver advisory services for activities that fit under at least one of the objectives in addition to #4.

### Adjudication Criteria

All applications will be adjudicated using the NADP eligibility and adjudication criteria. Project proposals are assessed first against five eligibility criteria including the national strategic priorities, the applicant's ability to carry out the project, a reasonable timetable, an appropriate budget, and a fully completed application form. Project proposals are then assessed against three adjudication criteria including specific criteria for each objective, the relevance of the project, and provincial or territorial priorities.

To be scored well a project application must describe explicitly how it will address the specific adjudication criteria, national strategic priority and, where applicable, provincial or territorial priority for the objective under which funding is requested.

Click [here](#) to download a copy of the LAC and CCA's national strategic priorities for 2010-2011.

Click [here](#) to download a copy of the adjudication criteria.

Click [here](#) to download a copy of the provincial and territorial councils' priorities for 2010-2011.

### **Elements of an Application**

Each application for funding submitted by provincial/territorial councils, archival institutions and professional associations must:

- Include information on the nature and goals of the organization requesting funding, and confirm its legal status
- Include a description of the project (provide a specific and detailed description of tasks, milestones, expected results, timetable, and deadlines)
- Explain in detail how the project would advance one objective of the NADP
- Identify any other relevant objective(s) and describe how the project will make progress towards achieving them
- Demonstrate that the proposed project fits within program priorities
- Describe the activities to be undertaken in pursuit of the stated objective
- Indicate the language of any product or service developed in the project and of the audience for that activity or service
- Identify the expected results within a specified timeframe and the impact these will have on the targeted objective
- Identify all matching financial or in-kind contributions from all sources
- Provide an estimate of expenditures to be incurred
- Provide a monthly cash-flow forecast (for projects requesting a contribution of \$25,000 or more) and
- Disclose the involvement of former federal public servants who are subject to the Conflict of Interest and Post-Employment Guidelines.

### **Deadlines and Submission Procedures**

- Applications will be accepted once per year
- All forms required to make an application are available on line
- Applications from archival institutions and regional associations of archivists must be submitted to the applicant's provincial or territorial council or the equivalent organization for adjudication (click [here](#) to view a list of provincial and territorial councils).
  - Each provincial or territorial council or the equivalent organization determines its own regional submission deadline. (click [here](#) for a list of provincial and territorial deadlines).
  - After adjudication, provincial or territorial councils must submit projects recommended for 2010-2011 to the CCA Secretariat by 4:00 p.m. EST on or before **22 January 2010**.
- Applications made by provincial or territorial councils and national archival associations must be submitted to the CCA for adjudication. \*

- All applications made directly by provincial and territorial councils (including the Archives Advisors), and national professional associations must be submitted directly to the CCA Secretariat by 4:00 p.m. EST on or before **22 January 2010**.
- Provincial and territorial councils will receive a decision about proposals for Archives Advisors by **12 March 2010**. All other applicants will receive a decision by **30 April 2010**.
- Please note that clarifications might be requested by the National Review and Adjudication Jury before they announce their final decision. The length of the approval process for clarifications can vary and responses are processed on a first come first served basis.
- CCA requires original signatures on all original applications and contracts. Electronic signatures or signatures received by fax are only accepted for interim reports, project modification requests and final reports.

\* As of the date these guidelines are published, no funding is available in 2010-2011 for national professional association projects. The CCA Board will be considering this matter in the Fall 2010 as part of its bi-annual financial review and budget forecasting.

## V. Adjudication and Appeal Process

### Roles and Responsibilities in Adjudication

#### Provincial/Territorial Adjudication

Adjudication responsibility: All projects submitted by an institution, groups of institutions, and regional associations of archivists within a province or territory.

Adjudication Committee: Each provincial and territorial council will create an Adjudication Committee through a transparent process. Committee members will be selected for their broad knowledge and experience of archives or other expertise in the heritage sector (includes individuals external to the archival community); membership may include a member of the Council Executive.

Adjudication process: The Committee will review funding applications for completeness and assess them against eligibility and adjudication criteria. Using the adjudication scoring guide, it will score and rank each application. Adjudication scoring guides must be submitted single-sided, paper clipped, and not stapled. Using the projects-recommended-for-funding form, the Committee will report through the Council Executive to the CCA Board of Directors on the ranked order of all projects, including those that exceed the limit of funds available to the province or territory.

#### Preservation Committee Review

Review responsibility: All projects advancing the preservation objective.

Review Committee: The Preservation Committee of the CCA will serve as the Review Committee for all preservation related projects.

Review process: Prior to national adjudication, the Committee will review and make recommendations on all approved preservation related projects concerning conformity to strategic preservation approaches, as well as to technical and standards best practices.

#### National Professional Association Adjudication

Adjudication responsibility: All projects proposed by national associations of archival professionals.

Review Committee: The Review Committee consists of the Board of Directors of the Bureau of Canadian Archivists.

Review process: The Review Committee will review funding applications for completeness and assess them against eligibility and adjudication criteria. Using the adjudication scoring guide, it will score and rank each application. Adjudication scoring guides must be submitted single-sided, paper clipped, and not stapled. Using the projects recommended for funding form, the Committee will report to the CCA Board of Directors on the ranked order of all projects.

#### National Adjudication

Adjudication responsibility:

- Review and approve projects proposed by provincial or territorial councils
- Review and approve all applications recommended by provincial or territorial Adjudication Committees
- Review recommendations of the Preservation Committee and approve projects
- Review and approve projects proposed by the Bureau of Canadian Archivists (BCA)

Adjudication Committee: The National Review and Adjudication Jury is comprised of members appointed by the Board of Directors of the CCA and chaired by one of its directors. The Executive Director of the CCA will serve as its Secretary.

Adjudication process:

- In preparation for national adjudication, approved and ranked applications will be sent to the CCA Secretariat and will be reviewed for consistency and compliance. Applications that do not meet eligibility requirements, national strategic priorities or are incomplete will not be adjudicated.
- The National Review and Adjudication Jury will review separately provincial and territorial council requests for funding for Archives Advisors. Proposed activities will be assessed for their contribution to program objectives and advisor positions will be given first priority for funding within the provincial/territorial envelope. This adjudication may occur prior to the assessment of other projects by the National Review and Adjudication Jury.
- The National Review and Adjudication Jury will review any further projects proposed by provincial or territorial councils, reviewing the applications for completeness and assessing them against eligibility and adjudication criteria. Using the adjudication scoring guide, it will score and rank each application.
- The National Review and Adjudication Jury will then review all projects meeting criteria for funding proposed across Canada, together with the recommendations of provincial and territorial Adjudication Committees, the Bureau of Canadian Archivists and the Preservation Committee. The National Review and Adjudication Jury will adjudicate for consistent application of criteria across Canada and for strategic progress against NADP objectives.
- The National Review and Adjudication Jury will identify projects that exceed provincial allocations of funding, but which would make strategic progress against objectives. These would be flagged for potential contributions should funding become available.
- The National Review and Adjudication Jury will forward the results of their adjudication to the CCA Board of Directors. The CCA Board of Directors will ratify the recommendations of the Jury and a signed motion will be sent in two phases to the Librarian and Archivist of Canada. The CCA Board will first recommend the projects for archival advisor positions (if applicable), and later submit a list of other projects

for funding through the NADP, affirming the approval and priority of the application(s) submitted.

When approval(s) of the recommendations for the year's program is(are) received from LAC, the CCA Secretariat will communicate the results to applicants.

### **Appeal Process**

Appeals of recommendations or decisions concerning a NADP application must be submitted in writing to the CCA within 21 days of the announcement of the decision. New material or information not included in the original application will not be taken into consideration.

The Appeal Committee will be named by the CCA Board of Directors and will consist of three external consultants who are senior members of the archival community with experience in CCA adjudication. Should there be a finding in favour of the appellant, the project will be identified for funding as soon as funds come available.

For more information, contact the CCA Executive Director.

## **VI. Conditions of Funding**

- Funding is provided for the period of a federal fiscal year (April-March). All project expenditures must be made by 31 March of the fiscal year and a final project report submitted to the CCA by 30 April.
- Each contribution in support of an archival project will be managed through a contribution agreement signed by the recipient and the CCA, the third party deliverer of the Program. The agreement will outline conditions of funding in detail and the obligations of the recipient.
- Recipients are required to submit final financial and project reports. Failure to submit a final report on past projects financed by LAC will be taken into consideration in the assessment of a new application and may result in the rejection of subsequent applications.
- LAC and CCA each reserve the right to audit or cause to have audited the accounts and records of the recipient for a period of up to five years after the end of the project. Unused project funds must be returned to the CCA as soon as they become available. Every effort will be made to reallocate such funds on or before 31 March.
- In accepting funding from LAC, organizations are expected to publicly acknowledge departmental financial assistance. Such acknowledgement shows Canadians how public funds are spent and raises public awareness of the social and economic benefits of the National Archival Development Program. For details and a sample letter, please read the terms and conditions of the contribution agreement.

## **VII. Reporting**

### **Interim Report**

An interim report is required for projects that are longer than four months or when LAC (NADP) funding exceeds \$5,000.

### **Final Report**

A final report must be received by CCA within 30 days of the project completion date specified in the application or before April 30, 2011, whichever date occurs first.

The final report will describe the activities completed with LAC (NADP) funds, and include an analytical overview of the results achieved against the objective under which the application was submitted, including the project conclusions, deliverables, and highlight any lessons learned, challenges, best practices and success stories. Projects need to report on the success of the project in relation to the objective under which it was submitted. Reporting on success against other objectives of the NADP is also encouraged.

Normally, the project final report must include a copy of the final product resulting from the project, in both paper and electronic format (if available).

There will be a 10% holdback from the total LAC (NADP) contribution until the final project report is received and accepted by CCA.