



Scottish **Arts** Council

Assessment Guidance for Flexible Funding 2011-2013

Part 1: Background and Process

1. Introduction

- 1.1 This guidance document aims to provide you with all key information to support you in your particular role in the Flexible Funding 2011-13 assessment, mediation and recommendation-making process. It takes you from the point when the applications are received (Friday 5 March 2010) through to the final decisions, which will be made on 11 June 2010 by the Joint Board of the Scottish Arts Council or its successor body (Creative Scotland). Processes are in place in the event of appeals, which may take us to September.

2. The purpose of the fund

- 2.1 The Joint Board of Scottish Arts Council and Scottish Screen is investing £7.98m each year in the Flexible funding programme (2011-2013) in order to achieve: **a body of creative work of high quality, most but not necessarily all of which is presented or produced in Scotland. The work should be celebrated at home and beyond. The activity supported should result in a good geographic spread within Scotland.**

3. Background documentation to the fund

- 3.1 Before undertaking any assessments, please make sure you have read and fully understand the following documents:

- Information and Guidelines for Flexible Funding 2011-13
- Application Form for Flexible Funding 2011-13 (in two parts – word document and excel spreadsheet)
- Flexible Funding FAQs
- Scottish Arts Council's Quality Framework

- 3.2 Link to the above documents:

<http://www.scottisharts.org.uk/1/artsinscotland/flexiblefunding20112013.aspx>

4. Criteria for funding

- 4.1 Organisations that apply must be based in Scotland and be able to demonstrate that they meet, or surpass, the requirements of the Quality Framework. When we assess applications these are the criteria that we will use:

- quality of (artistic) **vision and leadership**
- plans for widening **access** to ensure inclusion in all services, employment and (artistic) programme
- commitment to continually improving **engagement with the public**
- good practice in **governance and management**, including financial management

5. Eligibility – who can apply

5.1 An organisation applying for Flexible Funding will be either:

an organisation that is directly involved in creating/supporting the production and/or public presentation of the work of artists and creative practitioners.

or

an organisation that offers a range of services, support and advice to other arts and creative organisations, enabling these to best deliver and develop their programming and business objectives.

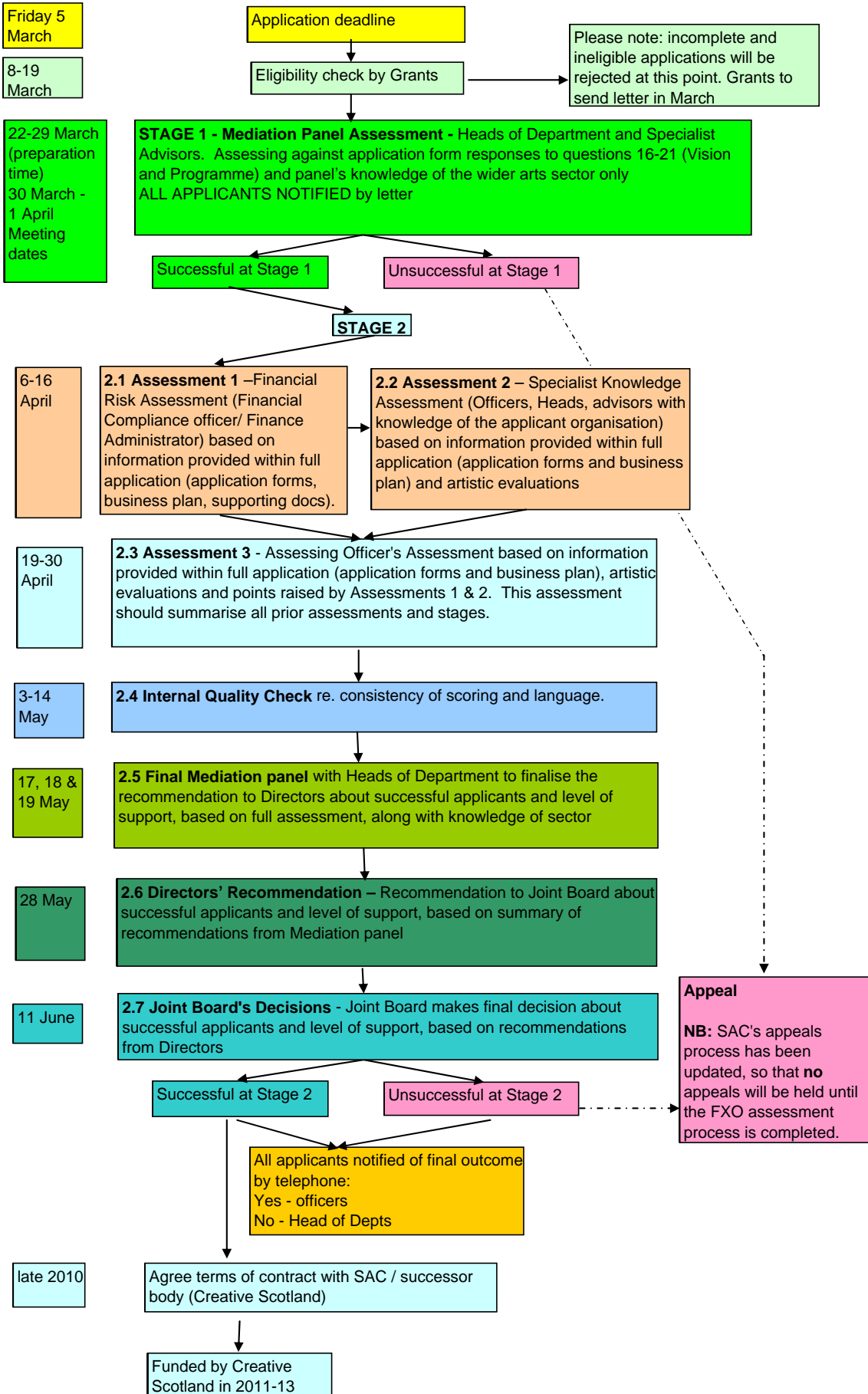
5.2 The Quality Framework refers to 'Artistic Leadership', however we recognise that these two different types of eligible organisation require different types of vision and leadership, and that the term 'artistic leadership' is less applicable or inapplicable to those organisations offering services, support and advice. This distinction must be borne in mind during assessment, and '(Artistic) Leadership' is used below as a short hand.

6. The assessment process

6.1 There are different stages in the assessment process and these are outlined in the **flow chart** included on the following page. This describes each stage, when it will happen and who will be involved.

Timeline (2010)

Internal process for FXO assessment



Part 2: Assessment Guidance including Assessment Form

1. Introduction

- 1.1 The Grants Department will use a template to create an individual assessment form for each individual application received. This form records the application's journey through the assessment process. Below, we have included each section of the assessment form alongside related guidance.
- 1.2 The assessment form has prompt questions against most sections. Please note that these are there to stimulate your thinking and are not prescriptive. There may be issues specific to an application that are not covered through the prompts and that you will need to consider and comment on.

2. Rating/ranking applications

- 2.1 Throughout the assessment process, the applications will be rated using the following:
- **High Priority - there is strong evidence that the application/applicant meets this criteria**
 - **Medium Priority - there is evidence that the application/applicant meets this criteria**
 - **Low Priority - there is limited or no evidence that the application/applicant meets this criteria**
- 2.2 The one exception to this is Stage 2.1 Financial Risk Assessment which will use risk ratings rather than priority ratings, see below for details.

Logging and Eligibility Check

The Grants department will log and electronically store all applications received. The team will then check each application against the basic criteria for eligibility (see Information and Guidelines).

Applications that do not meet the eligibility criteria will not proceed to Stage 1. Joan Macdonald, Head of Grants, and the Co-Directors of Arts, David Taylor and Iain Munro, will check and sign off on the ineligibility of individual applications. Ineligible applicants will be notified as soon as possible by letter from the Grants department, giving the reason for ineligibility. Eligible applicants will receive a letter from the Grants department sent week commencing 29 March, to formally acknowledge receipt and outline the next stages in the process.

Applicant name:	
Application Reference number:	
Amount Requested (per annum):	£ Year 1 (2011/12) £ Year 2 (2012/13)
Basic Eligibility Check	
Does the applicant meet basic eligibility criteria?	Select:
If No, please select reason	Select:

* Not formally constituted; Not Scotland based; Partnership funding not met; Applicant is an individual; Applicant is seeking less than £50,000; Application is incomplete; Foundation funded; National performing company

Stage 1 Mediation Panel

Overview

The Stage 1 assessment panel includes Heads of Department and Senior Officers from the Scottish Arts Council's Arts Directorate and selected Specialist Advisors. The panel meeting will be held in Edinburgh on 30 March, 31 March and 1 April 2010.

At Stage 1, all eligible applications (responses to questions 16-21 only) will be assessed against the criteria for (Artistic) Leadership and Public Engagement. Stage 1 will also consider the overall geographic impact of the Flexible Funding programme. In order to proceed to Stage 2, an application must not only meet the criteria for (Artistic) Leadership and Public Engagement, but additionally a) the application must meet the criteria strongly for one or both of these areas or b) the panel must agree that the application will proceed to the next stage in recognition of its likely geographic impact. Our guidelines state that '**The activity supported should result in a good geographic spread within Scotland.**

Preparing for the meeting

You will work independently in advance of the panel meeting. The first step is that we will allocate you a batch of applications for pre-panel assessment. Application material will be available to download from a secure website from 22 March. You will also be given the link to an online survey, which you will use to give us your anonymous pre-panel ratings for applications by 12 noon on Monday 29 March.

You are asked to read the responses to questions 16-21 of the applications and the responses to the introductory About You questions 1-15 will also be available to you. You are asked to consider the application against a series of statements which link directly to the Quality Framework. We have created a template form (see appendices) for notes and ratings, both Microsoft Word and Excel versions, as an aide memoire to assist you in forming a view on the application in relation to these statements and to highlight points for discussion at the meeting. These forms will not be held on file and will be destroyed after the Mediation meeting.

In arriving at your individual pre-panel ratings for (Artistic) Leadership and Public Engagement, you are asked to consider the following statements, which link directly to the Quality Framework:

1. (Artistic) Leadership:
 - The application demonstrates a strong (artistic) vision that is communicated well.
 - The application demonstrates that the (artistic) vision is delivered through their agreed aims/ objectives and programme.
 - The application demonstrates significant partnerships (regional, national or international) that are current or that will be developed during this funding period.
 - The application demonstrates a commitment to developing and promoting equality of opportunities and ensuring inclusion and accessibility to all services, employment and their artistic programme.
 - The application demonstrates a strong track record of high quality activity, as described through its key achievements over the last two years.
2. Public Engagement:
 - The application demonstrates an understanding of intended audiences and participants.
 - The proposed activities/ plans to engage with the intended audiences participants are appropriate.

You are then asked to assign two ratings to each application, one for (Artistic) Leadership and one for Public Engagement. You should use the full spread of ratings – High, Medium and Low - as you see fit. You will need to enter your overall ratings into an online survey and you must complete this step by 12 noon on Monday 29 March. The ratings submitted by each panel member are anonymous. Average ratings based on all responses will be used at the panel meeting, as a tool to help manage the panel discussion given the volume of applications under consideration. Advance ratings do not represent a decision or output of the panel and the specialist knowledge available at the panel discussion is crucial in reaching the final recommendations.

Finally, you are also asked to consider each application in the context of geographic impact, not just within the body of the application but in the context of all current activity. The panel will take this into account in reaching some of its recommendations.

In the meeting

At the start of the meeting the Chair, Iain Munro, will introduce the purpose and methodology of the meeting. The panel will arrive at its recommendations on which applications ‘Proceed’ and which do ‘Not Proceed’ to Stage 2. It will do so through agreeing on each application’s overall ratings for (Artistic) Leadership and Public Engagement, and under set circumstances (see table below) in order to take geographic spread into account.

For each application, using the average pre-panel ratings as a starting point, the Chair will provide the opportunity for panel discussion and ask for agreement on overall ratings for (Artistic) Leadership and Public Engagement. Agreed ratings may well be different from the pre-panel ratings, as panel members have the opportunity to both introduce and reflect on specialist knowledge in discussion.

The effect of the agreed ratings on the progress of each application is as follows:

As outlined in the table below, applications which are rated Low for either area will not proceed as they have not met the criteria for the fund. Artistic Leadership and Public Engagement are equally weighted.

Anticipating an extremely high level of competition for this fund, an application must be rated High in one or both areas in order to proceed (the guidelines state that we will not be in a position to fund all applications which meet the criteria).

The exception to this is: applications which are rated Medium for both (Artistic) Leadership and Public Engagement but the likely geographic impact of the proposed programme would contribute to a good spread of activity across the country.

	Panel’s agreed overall ratings								
(Artistic) Leadership	High	High	Medium	Medium	High	Low	Medium	Low	Low
Public Engagement	High	Medium	High	Medium	Low	High	Low	Medium	Low
Panel’s recommendation	Proceed	Proceed	Proceed	Not Proceed unless by exception based on overall geographic spread of applications	Not Proceed	Not Proceed	Not Proceed	Not Proceed	Not Proceed

The panel will make comment as required, selected as appropriate from:

- *The application received overall ratings of xxx for Artistic Leadership and xxx for Public Engagement and therefore was not as strong as other applications.*
- *The application received overall ratings of Medium for both Artistic Leadership and Public Engagement but in recognition of the likely geographic impact of the proposed programme the panel agreed that the application should proceed to Stage 2.*

For each application, the recorded outcomes of Stage 1 are as follows, and these outcomes will be provided to applicants as feedback:

- Overall rating for (Artistic) Leadership (*High, Medium or Low*)
- Overall rating for Public Engagement (*High, Medium or Low*)
- Comment,
- Overall recommendation (*Proceed or Not Proceed*)

Members of Stage 1 Mediation Panel

Staff on the panel: Dr Helen Bennett (Head of Creative Industries), Amanda Catto (Head of Visual Arts), Anita Clark (Head of Dance), Angela Hogg (Head of Drama), Janice Kelly (Senior Audience and Organisational Development Officer), Maggie Maxwell (Head of Equalities), Joan Parr (Head of Education), Ian Smith (Head of Music), Karen Ward Boyd (Senior Lottery Officer), Dr Gavin Wallace (Head of Literature).

Specialist Advisors on the panel: Claire Malcolm (Literature), Jennifer McLachlan (Dance), Les Mitchell (Crafts), Maureen Finn (Visual Arts), Rachel Nelkin (Music), Sally Hobson (Drama), Sita Brand (Equalities / Drama).

Links to specialist advisor biographies:

<http://www.scottisharts.org.uk/1/contactus/whoswho/advisors.aspx>

Staff and Specialist Advisors panel members have the same speaking and decision making rights.

The panel Chair is Iain Munro, Co-Director of Arts. He will act as a facilitator and does not have decision making rights.

Specialist Advisors have been contracted for up to nine days to cover their involvement in this process. This includes up to six days preparation and three days panel attendance.

Other Scottish Arts Council staff who will attend, but not participate in, the panel: David Taylor (Co-Director Arts), Caroline Docherty (Acting Director of Planning and Communications), Christine Stewart (Quality and Process Development Officer).

Following the meeting

Following the meeting, our immediate task will be to assign the applications which are proceeding to Stage 2 to officers for detailed assessment during April (6-16 April for Specialist Knowledge comment and 19-30 April for the full assessment).

Each applicant will be notified, by letter, of the outcome of their application at Stage 1. Applicants who are unsuccessful at Stage 1 will receive a letter which includes their ratings for (Artistic) Leadership and Public Engagement. Applicants who are successful at Stage 1 will receive a letter letting them know that their application will be proceeding to Stage 2.

All notification letters will be sent out by mid-April. You must respect the confidentiality of all Stage 1 panel decisions until applicants have been officially notified. Staff and advisors will be notified of when this has taken place.

Stage 1 Assessment Form Mediation panel of Heads of Department and Specialist Advisors		
Panel's overall rating for Artistic Leadership (following discussion)		Select: <i>High/Medium/Low</i>
Panel's overall rating for Public Engagement (following discussion)		Select: <i>High/Medium/Low</i>
Comment, if application not recommendation to proceed to Stage 2:		
Panel's recommendation to go forward to Stage 2		Select: <i>Proceed / Not Proceed</i>
Name of Chair	Iain Munro, Co-Director of Arts	Date: 1/4/10

Stage 2

The steps in Stage 2 are:

- 2.1 Financial risk assessment
- 2.2 Officer with Specialist Knowledge assessment
- 2.3 Assessing Officer assessment
- 2.4 Independent quality check
- 2.5 Final mediation panel
- 2.6 Directors' recommendations to the Joint Board
- 2.7 Joint Board's decisions

Stage 2.1 Financial Risk Assessment

An overall risk rating will be provided using the following scale:

- High risk - there are significant risks related to the application that raise doubts as to the applicant's ability to deliver the project as planned.
- Medium risk - there are some, but acceptable risks related to the application that raise doubts as to the applicant's ability to deliver the project as planned.
- Low risk - there are minimal and acceptable risks related to the application that raise doubts as to the applicant's ability to deliver the project as planned.

Financial Compliance Officer Gordon Cosh, assisted by Finance Administrator Pauline Nova, will evidence and rate all applications.

Stage 2.1 Assessment Form
Assessment 1: Financial Risk Assessment (Scottish Arts Council Financial Compliance Officer assisted by Finance Administrator)

This section is evidence based and your comments and ratings must reflect the information provided in the full application (application forms, business plan and supporting financial documents). The focus of this assessment is on the financial documents provided and all ratings listed are the level of risk.

	YES, NO or N/A	RISK
Is there a deficit in the last financial year's P & L a/c? <i>The higher the deficit, the higher the risk</i>	Select:	Select:
If there is a P & L a/c deficit in the last financial year, state the amount here	£	
Is there an accumulated deficit in the last financial year's balance sheet? <i>The higher the deficit, the higher the risk</i>	Select:	Select:
If there is an accumulated deficit in the last financial year's balance sheet, please state the amount here	£	
Is there a viable balanced projected budget for 1 April 2011 – 31 March 2013? If not the risk increases	Select:	Select:
Does revenue from sources other than the Scottish Arts Council equal or exceed 25% of total revenue? <i>If this is not achieved, it increases the risk.</i>	Select:	Select:
What is the % of revenue stated from sources other than the Scottish Arts Council?	%	
What is the organisation's legal/charitable status eg <i>company limited by guarantee with charitable status</i> ? Please type in box.		
Does the organisation's legal/charitable status pose a risk? <i>Depending on the status, risk could be affected.</i>	Select:	Select:
Are financial statements reviewed externally? <i>If not externally reviewed, this increases the risk.</i>	Select:	Select:
Overall risk rating	Select: <i>High / Medium / Low</i>	
Comments:		
Print name:		Date:

Stage 2.2 Specialist Knowledge comment

Appointment of Specialist Knowledge (Officer or Head with relevant artform or policy expertise / specialist advisor)

The following process will be undertaken to determine the officer with specialist knowledge:

- Grants will create a spreadsheet listing applications for staff to note if they hold specialist knowledge about the applicant.
- This will identify any gaps of knowledge or highlight any capacity issues within the staff.
- If the Scottish Arts Council does not have the specialist knowledge in-house, or the capacity to undertake the work, an external specialist advisor will be approached.
- If neither staff, nor specialist advisors have knowledge of the applicant, then an officer with knowledge of the sector will be appointed to comment or Scottish Screen will be approached if the applicant operates within the film sector.

Stage 2.2 Assessment Form		
Assessment 2: Specialist Knowledge (Lead Officer / Officer or Head with relevant artform or policy expertise / specialist advisor)		
Please comment on the following statements and rate them Yes, No or in-part. If an in-part rating is given, the officer should identify what is missing in the comment section. An overall rating of High, Medium, Low will be given at the end of the assessment.		
This section is evidence based and your comments and ratings must reflect the information provided in the full application (application forms and business plan) in relation to the Quality Framework. Comments and ratings should also take into consideration Artistic Evaluations between April 2008 and December 2009. Your own prior knowledge of the organisation can inform the assessment but must be evidenced.		
Please make all comments brief.		
About the organisation – ability to deliver the proposed programme		
(Artistic) Leadership The organisation has the ability to deliver the proposed programme (artistically). Evidence:		Select:
Public Engagement The application demonstrates a strong track record of high quality activity, as described through its key achievements over the last two years? Evidence:		Select:
Management, Governance and Finance The application demonstrates that the organisation has the capacity to deliver the proposed programme Evidence:		Select:
Ability to deliver Comments:		Select: <i>High / Medium / Low</i>
Officer's name:		Date:

Stage 2.3 Assessing Officer Assessment

Appointment of Assessing Officers

Based on feedback from the Flexible Funding evaluation in 2007, it was agreed that the Assessing Officer, while being experienced in undertaking assessments, would have minimal knowledge of the organisation, and would work in another art-form or department within the Scottish Arts Council to ensure assessments are objective.

The following process will be undertaken to allocate the assessing officer:

- a. The Flexible group will create a spreadsheet listing applications and staff and allocate the assessments to officers.
- b. Up to four assessments will be allocated to staff (pro-rata if work part-time)
- c. This will identify any capacity issues within the staff.
- d. If the Scottish Arts Council does not have the capacity to undertake the work, an external specialist advisor will be approached to undertake the assessment.

Stage 2.3 Assessment Form Assessment 3: Assessing Officer Assessment	
<p>Please comment on the following statements and rate them Yes, No or in-part. If an in-part rating is given, the officer should identify what is missing in the comment section. An overall rating of High, Medium, Low will be given at the end of the assessment.</p> <p>This section is evidence based and your comments and ratings must reflect the information provided in the full application (application forms and business plan) and in relation to the Quality Framework. Comments and ratings should also take into consideration Artistic Evaluations between April 2008 and December 2009 if we hold them. Your own prior knowledge of the organisation can inform the assessment but must be evidenced.</p> <p>Where your assessment differs, please provide a clear justification and evidence. In all cases, please refer to the evidence used. Please make all comments brief.</p>	
(ARTISTIC) LEADERSHIP	
The application demonstrates a strong (artistic) vision that is communicated well Evidence:	Select:
The application demonstrates that the (artistic) vision is delivered through their agreed aims/ objectives and programme Evidence:	Select:
The application demonstrates significant partnerships (regional, national or international) that are current or that will be developed during this funding period Evidence:	Select:

The application demonstrates a commitment to developing and promoting equality of opportunities and ensuring inclusion and accessibility to all services, employment and their artistic programme? Evidence:	Select:
The application demonstrates a strong track record of high quality activity, as described through its key achievements over the last two years? Evidence:	Select:
Please rate the applicant's overall ability to meet the requirements of Artistic Leadership in the Quality Framework, based on the above answers. If any of the answers are No, the overall rating cannot be High.	Select:
PUBLIC ENGAGEMENT	
The application demonstrates an understanding of intended audiences and participants Evidence:	Select:
The proposed activities/ plans to engage with the intended audiences/participants are appropriate Evidence:	Select:
Please rate the applicant's overall ability to meet the requirements of Public Engagement in the Quality Framework, based on the above answers. If any of the answers are No, the overall rating cannot be High.	Select:
MANAGEMENT, GOVERNANCE AND FINANCE	
The application and business plan demonstrate good practice in terms of governance Evidence:	Select:

The application and business plan demonstrate good practice in terms of financial management		Select:
Evidence:		
The application demonstrates that the organisation has the capacity to deliver the proposed programme		Select:
Evidence:		
The business plan is deliverable Comments:		Select:
Please rate the organisation's overall ability to meet the requirements of Governance and Finance in the Quality Framework, based on the above answers. If any of the answers are No, the overall rating cannot be High.		Select:
Assessing Officer's name:		Date:

Note: At this stage the Assessing Officer will complete the monitoring information for GMS at the end of this template.

Stage 2.4 Independent Quality Check

The quality check will be carried out at this stage by the independent quality checker(s) – Scottish Arts Council staff who will review each assessment form for completeness and language, ensuring that appropriate evidence has been referenced.

Any queries or areas for improvements identified will be referred back to the author who will be make necessary amendments. If necessary, the Quality Checker will seek advice through Head of Planning and Research.

Stage 2.4 Assessment Form Independent Quality Check undertaken		
Name of main checker:		Date draft report signed off:

Stage 2.5 Final Mediation Panel (Heads of Department recommendations to Directors)

Overview

The Stage 2.5 assessment panel includes Heads of Department and Senior Officers from the Scottish Arts Council's Arts Directorate. The panel meeting will be held in Edinburgh on 17, 18 and 19 May 2010.

The inputs to the second stage mediation will be the applications proceeding from Stage 1, and their assessments. Each application has been assessed by three assessing officers against the Quality Framework criteria for (Artistic) Leadership, Public Engagement and Management, Governance & Finance, as well as financial risk.

The panel will consider all assessed applications and their assessment reports. The outcome of the meeting will be a set of recommendations, to take forward to the Stage 2.6 Directors' Recommendations meeting on 28 June. These recommendations will include which applicants are recommended for receipt of Flexible Funding and at what grant level, within the total available investment of £7.98 million per year. The main consideration for the panel is the quality and deliverability of each proposal, against the criteria for the fund.

Preparing for the meeting

Heads of Department (panel members) will work independently in advance of the panel meeting. Panel members are expected to have read all assessments and applications in advance of the mediation sessions.

For each applicant you are asked to read:

- Part 1 of the application - Introduction, Vision
- Part 2 of the application – Budget and outcomes
- Assessment form - Stage 2.1 Financial Risk
- Assessment form - Stage 2.2 Specialist Knowledge comment
- Assessment form - Stage 2.3 Full Assessment comment

You are welcome to read the applicants' business plans and other supporting documents if you wish. You are not required to read this material as it has been looked at in depth by the assessors. A spreadsheet containing all of the assessment ratings will be provided.

In reading the assessments, you are asked to consider whether you agree with the comments and ratings made. If you have any issues with the assessments please note them and prepare evidenced comment to support your view. We have created a template form (see appendices) as an aide memoire to assist you in recording your notes in preparation for the discussion in the panel meeting. This form is for your own preparation purposes only and will be destroyed by the Quality & Process Development Officer after the Mediation meeting.

If you have carried out the Stage 2.2 Specialist Knowledge comment for any applications, you will be asked to step out of the room while the Panel reach their recommendation.

In the meeting

At the start of the meeting, the Chair Iain Munro will introduce the purpose and methodology of the meeting. Panellists will have access to the full application material for all applicants and all of the assessments. Summary information will be presented on screen during the meeting as in Stage 1.

The Chair will invite evidenced comment and discussion. The Panel will be asked to agree or review the ratings. Any agreed revision of assessors' ratings or narrative must be evidence-based, and both the change and rationale will be recorded in the comments section of the applicants' form as an output from the second mediation panel.

The anticipated outline of the meeting is as follows, with 'ratings' referring to the set of three overall ratings given to by the Stage 2.3 Assessing Officer:

Day One - Monday 17 May

Panel members will be asked to consider and agree or review ratings for (with officers with specialist knowledge leaving the room):

- Applications which received one or more Low ratings
- Applications which are rated Medium-Medium-Medium
- Applications which are rated High-High-High.

Day Two - Tuesday 18 May

Panel members will be asked to consider and agree or review ratings for (with officers with specialist knowledge leaving the room):

- Applications which received two High and one Medium ratings
- Applications which received one High and two Medium ratings.

Day Three - Wednesday 19 May

Day Three will be used for agreeing the recommendations on applications to be supported (based the agreed ratings, starting with the High-High-Highs) and considering suitable grant levels. The principle is to offer what the panel consider to be a reasonable level of funding to achieve the ambition of the applicant balanced with a careful use of public funds. All panel members will participate in the discussion on levels of grant.

The over-arching purpose of FXO funding 2011/12 – 2112/13 is to support **a body of creative work of high quality, most but not necessarily all of which is presented or produced in Scotland. The work should be celebrated at home and beyond. The activity supported should result in a good geographic spread within Scotland.**

The outputs from the panel meeting will be recommendations to Directors on which applications best fulfil the purpose of Flexible Funding and the level of funding to be offered (2011/12 and 2012/13 offer levels will be the same). The panel will also agree and record feedback for unsuccessful applicants. The panel’s recommendations will be presented to Directors in a paper prepared by David Taylor which will also outline the principles, process and key issues. Directors meet on Friday 28 May and their recommendations go forward to the Joint Board meeting on 11 June.

Following the meeting

Following the meeting, our immediate task will be to prepare the recommendations for the Directors. Panel members and observers are reminded that the recommendations of the panel meeting remain confidential internally and externally without exception. Only panel members, support staff in attendance during the panel meetings, Directors Group members, Executive Manager, CEO’s PA and Joint Board members will know the outcomes of the second stage mediation until after the Joint Board has reached its decision on 11 June 2010.

Stage 2.5 Assessment Form		
Final mediation panel: Heads of Department recommendation to Directors		
Recommendation for support		Select: <i>Support / Not Support</i>
Recommended level of support		£ / year
Comments (if required):		
Chair of Meeting name:	Iain Munro, Co-Director of Arts	Date:19/5/10

Stage 2.6 Directors recommendations to Joint Board

Directors will consider the recommendations of the mediation group. Any concerns raised at the panel meeting will be highlighted to the Directors by Iain Munro, Co-Director of Arts, who will be acting as Chair of the Mediation meeting, and David Taylor, Co-Director of Arts, who is Chair of the Flexible Funding Group.

Directors will have access to the following documentation:

- Report recapping the process and capturing key strategic issues arising from the recommendations.
- Mediation panel recommendations including recommended grant levels (summary spreadsheets).

In addition, the individual detailed assessments and complete applications will be available for reference at the meeting.

Directors will review the recommendations for each individual application. It will either agree each recommendation, or record its discussion where they decide to vary from the recommendations of the mediation group. Reasons for any variations from the recommendations of the mediation group will be recorded clearly.

David Taylor will declare which applications he assessed at Stage 2.2 Specialist Knowledge comment.

This meeting will be recorded by the Executive Manager.

Following the meeting

Following the meeting, our immediate task will be to prepare the recommendations for the Joint Board.

Stage 2.6 Assessment Form Directors' recommendation to Joint Board		
Directors recommendation to Joint Board	Select: <i>Support / Not Support</i>	
Recommended level of support	£	
Comments:		
Chair of meeting name:	Morag Arnot, Acting Chief Executive	Date:28/5/10

Stage 2.7 Joint Board's Decisions

Directors will write a report for the Joint Board to contextualise the recommendations made. The Board will receive the following information:

- Report recapping the process and capturing key strategic issues arising from the recommendations.
- Summary spreadsheets including Stage 1 panel refusals and the Stage 2 recommendations including key ratings and recommended grant levels where applicable (summary spreadsheets).

The Joint Board will receive a presentation on the process and then on the recommendations and strategic issues. They will be given the opportunity to interrogate any individual recommendation. Supporting material will be made available at the meeting

Should the Joint Board decide to vary from the Directors' recommendations, this will be recorded clearly. Joint Board comments will be added after the meeting where the final decision differs from the recommendation of the Directors.

Stage 2.7 Assessment Form Joint Board's decision		
Joint Board Final Decision		Select: <i>Support / Not support</i>
Recommended level of support		£
Comments:		
Chair of meeting name:	Richard Holloway, Chair of the Joint Board of the Scottish Arts Council and Scottish Screen	Date:11/6/10

Following the Joint Board meeting

Following the Joint Board meeting, decision letters will be created based on the outcomes of the Joint Board. Final quality checks will be made on the assessment forms for spelling, grammar, dates and signatures.

Based on feedback from staff involved in the last Flexible Funding process, it was agreed that all organisations would be informed of the decision by email, including their assessment, with follow up phone calls. Heads of Department will speak to unsuccessful organisations, officers to successful organisations.

A list of successful organisations and a press release will be drawn up. These will be published on our website as well as circulated to the press. Key process documents will also be published on our website.

Any appeals will be held after the completion of the FXO process.

Appendix - Variations to circulated Assessment Guidance for Flexible Funding 2011-13

Stage in process	Guidance	Variation	Rationale
Timeline	Stage 2.5 Final mediation panel dates - 17, 18 & 19 May 2010	Stage 2.5 Final mediation panel dates - 17, 18, 24 & 25 May 2010	Meeting lengthened as more time required for discussion. Dates shifted to incorporate the step around financial analysis and to finalise assessments following the Panel's quality check (see below).
Logging and eligibility check	Eligible applicants will receive a letter from the Grants department sent week commencing 29 March, to formally acknowledge receipt and outline the next stages in the process.	All applications submitted by email received an automatic confirmation of receipt, followed mid-April by Stage 1 outcome letters.	Logging and eligibility check period expanded.
Logging and eligibility check	Partnership funding levels not met listed as a reason for ineligibility	Partnership funding levels were noted for all applications, but not used as a reason for ineligibility.	FXO Group agreed guidelines could be open to misinterpretation.
Stage 1	<p>The panel will make comment as required, selected as appropriate from:</p> <ul style="list-style-type: none"> <i>The application received overall ratings of xxx for Artistic Leadership and xxx for Public Engagement and therefore was not as strong as other applications.</i> <i>The application received overall ratings of Medium for both Artistic Leadership and Public Engagement but in recognition of the likely geographic impact of the proposed programme the panel agreed that the application should proceed to Stage 2.</i> <p>For each application, the recorded outcomes of Stage 1 are as follows, and these outcomes will be provided to applicants as feedback:</p> <ul style="list-style-type: none"> Overall rating for (Artistic) Leadership (<i>High, Medium or Low</i>) Overall rating for Public Engagement (<i>High, Medium or Low</i>) Comment Overall recommendation (<i>Proceed or Not Proceed</i>) 	<p>a) Additional feedback was recorded for applications not proceeding to Stage 2, based on the Stage 1 criteria. The panel identified areas where the application either did not meet the criteria or did not meet the criteria as strongly as other applicants. This feedback was included in the decision letters to the unsuccessful applicants.</p> <p>b) Letters to the unsuccessful applicants were written to reflect the applicant's overall ratings for (Artistic) Leadership and Public Engagement, but did not include actual words 'High/Medium/Low'.</p>	FXO Group wanted to guide unsuccessful applicants to the most relevant point(s) in the Quality Framework.

Stage in process	Guidance	Variation (or Note)	Rationale
Stage 2.2 - Appointment of officers with Specialist Knowledge	Please note: Heads will only comment on organisations they are currently Lead Officer for. They will not be invited to comment on other applications.	There were instances where Heads commented on organisations that they are not currently Lead Officer for: Centre for Contemporary Arts – Amanda Catto Deveron Arts – Amanda Catto Festival Fringe Society – Anita Clark Woodend Arts Association – Ian Smith	Due to their specialist knowledge of the organisation concerned and / or issues around the workload of their team.
Stage 2.5 Final Mediation Panel	Consideration of suitable grant levels Wednesday 19 May (referred to as 'Day Three') will be used to agree recommendations on applications to be supported and consider suitable grant levels	An additional financial assessment step was undertaken by panel members during the period 19-21 May to arrive at grant levels, taking into consideration business plans and supporting material. The planned activity on 'Day Three' took place over Monday 24 and Tuesday 25 May	Panel members requested more time to interrogate the financial information in order to make their recommendations to Directors on the level of grants
Stage 2.5 Final Mediation Panel	The panel will consider all assessed applications and their assessment reports.	Panel members undertook a quality check role for the assessments.	The panel were in a position to take an overarching view across the body of assessment reports to ensure consistency
Informing applicants of decisions	Based on feedback from staff involved in the last Flexible Funding process, it was agreed that all organisations would be informed of the decision by email, including their assessment, with follow up phone calls. Heads of Department will speak to unsuccessful organisations, officers to successful organisations.	Successful applicants received an email letter informing them of the decision and providing a point of contact for any questions. Successful applicants were informed they would receive their assessments by 30 June 2010.	It was agreed that an email letter was appropriate for successful applicants. Preparation of final documentation was prioritised for unsuccessful applicants.

Flexible Funding 2011-2013

Stage 1 Mediation panel of Heads of Department and Specialist Advisors

Pre-panel notes and ratings – Word version

Please transfer your ratings for (Artistic) Leadership and Public Engagement to the online survey via the link provided. Otherwise this form is intended only as a tool to make notes and comments in order to support your assessment process and participation in the mediation panel meeting discussion. All pre-panel assessment forms must be handed in to the Scottish Arts Council immediately after the panel meeting and will be destroyed.

Applicant name:	
Application Reference number:	
ARTISTIC LEADERSHIP	
The application demonstrates a strong (artistic) vision that is communicated well	
The application demonstrates that the (artistic) vision is delivered through their agreed aims/ objectives and programme	
The application demonstrates significant partnerships (regional, national or international) that are current or that will be developed during this funding period	
The application demonstrates a commitment to developing and promoting equality of opportunities and ensuring inclusion and accessibility to all services, employment and their (artistic) programme	
The application demonstrates a strong track record of high quality activity, as described through its key achievements over the last two years	
PUBLIC ENGAGEMENT	
The application demonstrates an understanding of intended audiences and participants	
The proposed activities/ plans to engage with the intended audiences participants are appropriate	

Flexible Funding 2011-2013
Stage 2.5 Mediation panel of Heads of Department / Senior Officers
Pre-panel notes and ratings – Word version

This form is intended only as a tool to make notes and comments in order to support your assessment process and participation in the mediation panel meeting discussion. All pre-panel assessment forms must be handed in to the Scottish Arts Council immediately after the panel meeting and will be destroyed.

Please use the boxes below to make notes and comments relating to the assessments. For each application, the three assessment reports are:

- Stage 2.1 Financial Risk assessment
- Stage 2.2 Specialist Knowledge comment
- Stage 2.3 Assessing Officer assessment

Applicant	
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Stage	Point / Rating made in the assessment	Your evidenced comment, including any proposed re-ratings