



Scottish **Arts** Council

**S/C05m5p3  
Confidential  
For Approval**

**Council  
25 October 2005**

**Quality Framework  
The strategic review and the need for future development**

**1. Introduction**

- 1.1 At the previous Council meeting a draft quality framework was presented for the strategic review. Council acknowledged that this was work in progress and three Council members [Steve Grimmond, Jennifer Waterton and Jennifer Hawksworth] agreed to comment on further drafts and to meet to progress the frame work in time for the CFO assessment process in early October.

**2. Up-date**

- 2.1 Following the Council meeting, written comments on the draft were received from Steve Grimmond and Jennifer Waterton. A further development of the draft framework, with a decision flow chart and an assessment template were then circulated. As Steve Grimmond was unable to make the meeting, Jennifer Waterton and Jennifer Hawksworth agreed to meet to discuss progress after Audit Committee on 29 September 2005. John Mulgrew joined that meeting and led to agreement on the finalising of the document, taking on feedback from both Council members and Council officers.
- 2.2 The final framework, decision timeline and assessment template are attached at Appendix 1.
- 2.3 In addition to this paper work, workshop sessions and pilot assessments have taken place with officers and the outcomes of these have been shared as further guidance.

**3. Future Developments**

- 3.1 It is acknowledged that the strategic review framework and assessment template are fit for this particular purpose. However, there is further development work that requires to be put in place following the strategic review, which addresses the following:

- Developing a quality framework for all the work the Council supports;
- Developing the strategic review framework as a self assessment tool for organisations we fund and partner with;
- Develop a plan for the role of the Council in setting measurable objectives, monitoring, reviewing and evaluating its work, including its role in relation to the organisations self assessment process.

**4. Role of Audit Committee**

4.1 As there will be a large amount of detailed work in the further development of these issues, it would seem appropriate that this be dealt with by the Audit Committee on behalf of Council.

**5.** Council is asked to **ratify** the framework and process for the strategic review, and **approve** the audit committee overseeing the development plan for quality.

Morag Arnot  
**Director of Planning and Communications**  
October 2005

## Key assessment criteria

### Strategic Criteria

The aspect of an organisation's performance in relation to Scottish Arts Council aims is the essential element of the strategic review. With the assessment process aiming to ensure alignment of the work we fund with our three aims.

- To increase participation in the arts
- To support artists in Scotland to fulfil their creative and business potential
- To place the arts, culture and creativity at the heart of learning

Each of the aims is of equal status.

### To increase participation in the Arts

Performance Criteria	Evidence
The organisation's integrated and corporate commitment to serving and increasing audiences	Their contribution to the Scottish Executive targets[Refs Page 17 Scottish Arts Council Corporate Plan 2004/9] from the annual return – report card, audience figures cross referenced with funding agreement for the last three years. Detailed data collection and analysis of audience participation in their application and marketing plans Fully costed marketing plan.
Performance of the organisation in relation to engaging new audiences from under represented groups in particular from minority ethnic communities and people with disabilities	Clear strategy for retaining present and growing new audiences in their marketing plan, including addressing present barriers Measurable targets for future audience development in application, cross referenced with performance in relation to funding agreement.

### To support artists in Scotland to fulfil their creative and business potential

<b>Performance Criteria</b>	<b>Evidence</b>
The development of art form practice and/or support for individual artists	The range and quality of artists engaged from the Artistic programme and reports and board papers The scope and quality of the support offered as recorded in the application form and annual return-report card, cross referenced with funding agreement. Board papers, critical and artistic reviews
Distinctive and leadership role in the art form and/or their area of activity	SAC Artistic evaluations [2003-5] Evidence of partnership and demand for work from other bodies nationally- artistic programmes, annual report, critical reviews and application
Profile nationally and internationally	Evidence of partnership and exchange from the application, artistic programmes artistic evaluations and critical reviews.

### To place the arts, culture and creativity at the heart of learning

<b>Performance Criteria</b>	<b>Evidence</b>
Range of provision of learning experiences	No. of programmes and participants –cross reference of annual return-report card 2003-5 against funding agreement Application form Detailed data collection and analysis of the learning experiences offered in application and education strategy
The integration of education into the core business	Evidence of feedback of education events by the users and integration of the feedback in education strategy and application form. Artistic programme cross referenced with education strategy  Fully costed education strategy. Cross referenced with annual return and funding agreements.

### Operational Criteria

These aspects of an organisation's performance are considered important, but secondary to the key strategic criteria. They will be used, in discussion with organisations, to manage the risk associated with the investment of public funds, to help frame an appropriate monitoring framework, and a development plan that moves the organisation towards a fully effective approach.

**The exception to this may be where there is such poor performance in relation to the criteria, that it would be inappropriate to award a long term funding commitment regardless of the strategic significance of the organisation.** The Director of Funding and Resources will be asked to identify any organisation that may be considered in this category and report to Council accordingly.

### Governance

Performance Criteria	Evidence
Effective board	<p>Board composition which reflects mix of gender/age/geography and the skills, artistic understanding, commitment to audiences and education as appropriate to their area of activity- application and annual report</p> <p>Board Development programme including induction of new members, members handbook - application</p> <p>Board Conduct – Board Minutes</p> <p>Current constitution – relevant, up to date, reviewed regularly and adhered to.</p> <p>Meet regularly, produce minutes and produce papers in advance of the meeting - Board papers</p> <p>Chair involves members and members actively interested – Board attendance evidenced through board papers</p>

**Financial**

<b>Performance Criteria</b>	<b>Evidence</b>
<p>Effective financial management and clear financial reporting</p> <p>Success in achieving fund raising targets</p> <p>Commitment to increasing income from non- public sources</p>	<p>Annual Accounts audited, solvent, reasonable cash position</p> <p>Management accounts – compared to a budget agreed by the board with variances explained.</p> <ul style="list-style-type: none"> <li>• Cash</li> <li>• Reserves</li> <li>• Income and Expenditure Performance[application and annual accounts]</li> </ul> <p>Performance against set fund raising targets and marketing plan</p> <p>Reserves Policy[application]</p>

**Managerial**

<b>Performance Criteria</b>	<b>Evidence</b>
<p>Effective management</p>	<p>Performance in relation to targets set in funding agreements.</p> <p>Staff job descriptions</p> <p>Staff Development Policy (which includes staff training, appraisal/performance management, pay structures, details of pension provision and other benefits)</p> <p>Basic codes of practice in evidence (for discipline etc)</p> <p>Equal Opportunities Policy</p>

**Individual CFO assessment****Version 13 Oct CW**

Assessment to be completed by the lead officer and ratified by the Manager responsible by 11 November 2005

**Portfolio of Evidence – source material for assessment**

- Application and attachments
- Artistic evaluations for three years (as appropriate)
- Annual returns for three years (in Report Card format)
- Board papers for previous year and current year
- Annual reports (AGMs)
- Management and annual accounts previous/current year
- Funding Agreements for three years

**SAC guidance**

- Corporate plan 2004-2009 – 3 Aims and Policy development areas
- Published strategies, policies, statements
  - i.e. audience, education, cultural diversity, relevant artforms
- Be mindful of current legislations:
  - i.e. Sex Discrimination Acts 1975 and 1986, Disability Discrimination Act 1995 and amendments, the Race Relations Act 1976, amendment 2002
- APA (Taking Part) Survey

**Word limit:** do not exceed more than 250 words per commentary box

**Criteria (Definitions):****High**

Is an organisation which fully meets the performance criteria and in some instances may exceed and be an example of best practice

**Medium**

Is an organisation which meets the performance criteria but where a small number of development areas are identified

**Low**

Is an organisation which partially meet the performance criteria but a significant number of areas of development areas are identified

**Once lead officer has made this judgement it will be formally ratified by the Manager responsible. The Managers will then place these organisations within their sector ecosystem using the following criteria which will then translate in to their planning scenarios.**

**Essential**

Is an organisation which makes a nationally significant and evidenced based contribution to the Council's aims which can be seen to be unique and/or internationally significant. They are considered to be essential to the development of the artform (practice and distribution) and have an integrated and corporate commitment to serving audiences and offering opportunities for learning where appropriate.

**Important**

Is an organisation which makes a significant and demonstrable contribution to the Council's aims. They are considered to be important to the development of the artform (practice and distribution) and

have an integrated and corporate commitment to serving audiences and offering opportunities for learning.

**Partial**

Is an organisation which has a limited match to the Council's aims and priorities. They may be competent and effective in relation to their own stated aims and the interests of other stakeholders but they only partially contribute to our objectives.

<b>CFO name:</b>	<b>Reference number (GMS):</b>
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<b>Stage 1 Assessment of the application to be completed by the lead officer</b>			
<b>Meeting the criteria : Strategic</b>			
Organisation's Artistic Vision			
<p>Please summarise the applicant's background, the scope and purpose of their work and their track record:</p> <p><b>Word limit:</b> do not exceed more that 250 words per commentary box</p>			
<p>Please give details of who has been consulted about this application and give a summary of their comments. If not relevant please mark N/A</p> <p>Note: This will ensure a clearly considered and absolutely consistent approach</p> <ol style="list-style-type: none"> <li>1. Ensure that those organisations whose programme straddles different areas of interest get a fair hearing across those areas</li> <li>2. Expertise in Audience Development, Education, Policy Development areas, Financial and Governance</li> </ol> <p>Source: excel spread sheet S/CFO/</p>			
<b>Artistic Vision and how it meets SAC aims</b>			
<b>Assess to what extent the organisation's artistic vision contributes to the Scottish Arts Council's aims.</b>			

Aim 1 To increase participation in the arts	High	Med	low
<p>Performance criteria (PC) 1 The organisation's integrated and corporate commitment to serving and increasing audiences</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Their contribution to the Scottish Executive Targets [Refs Page 17 Scottish Arts Council Corporate Plan 2004/9] from the annual return, report card, audience figures cross referenced with funding agreement for the last three years.</li> <li>▪ Detailed data collection and analysis of audience participation in their application and marketing plans</li> <li>▪ Fully costed marketing plan.</li> </ul>			
<p>PC2 Performance of the organisation in relation to engaging new audiences from under represented groups in particular from minority ethnic communities and people with disabilities</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Clear strategy for retaining present and growing new audiences in their marketing plan, including addressing present barriers</li> <li>▪ Measurable targets for future audience development in application, cross referenced with performance in relation to funding agreement.</li> </ul>			
Aim 2 To support artists in Scotland to fulfil their creative and business potential	High	Med	low
<p>PC3 The development of art form practice and/or support for individual artists</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ The range and quality of artists engaged - from the application, artistic programme and reports and board papers</li> <li>▪ The scope and quality of the support offered as recorded in the application and annual return-report card, cross referenced with funding agreements.</li> <li>▪ Critical and artistic reviews – board papers .</li> </ul>			

<p><b>PC4</b> Distinctive and leadership role in the art form and/or their area of activity</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ SAC Artistic evaluations [2003-5]</li> <li>▪ Evidence of partnership and demand for work from other bodies and parties nationally- artistic programmes, annual report, critical reviews and application</li> </ul>						
<p><b>PC5</b> Profile nationally and internationally</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Evidence of partnership and exchange from the application, artistic programmes, artistic evaluations and critical reviews</li> </ul>						
To place the arts, culture and creativity at the heart of learning		Aim 3	<b>High</b>	<b>Med</b>	<b>low</b>	
<p><b>PC 6</b> Range of provision of learning experiences</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Number of programmes and participants – cross reference of annual return, report card 2003-05 against funding agreement</li> <li>▪ Application</li> <li>▪ Detailed data collection and analysis of the learning experiences offered in application and education strategy.</li> </ul>						
<p><b>PC 7</b> The integration of education into the core business</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Evidence of feedback of education events by the users and integration of the feedback in education strategy and application.</li> <li>▪ Artistic programme cross referenced with education strategy</li> <li>▪ Fully costed education strategy (as appropriate) , cross referenced with annual return and funding agreements.</li> </ul>						
Policy Development Areas						
Assess to what extent the organisation's artistic vision contributes to the Scottish Arts Council's current policy areas (where appropriate). This may already have been covered above.						
Creative Industries				<b>High</b>	<b>Med</b>	<b>low</b>

Indicate if this is not applicable			
International	High	Med	low
Indicate if this is not applicable			
Traditional	High	Med	low
Indicate if this is not applicable			
Equalities	High	Med	low
Indicate if this is not applicable			
Planned Programme New Developments			

The following section does not require a High/Medium/ Low categorisation. Use the comments to inform the overall H/M/L recommendation

**Planned Programme**

Comment on the fit between the planned programme, and the stated contribution that the organisation proposes they will make to SAC aims.

Comment on the degree of risk involved in achieving the programme targets in relation to the critical success factors, and the organisations capabilities and capacity.

**New Developments**

Comment on the potential impact, in scale and quality, of new development in relation to SAC aims

Comment on the levels of investment required to achieve these proposals for new developments.

**Budget**

Detailed 06/07

Outline 07/08 & 08/09

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The following section does not require a High/Medium/Low categorisation. Use the comments to inform the overall H/M/L recommendation

**Detailed Budget 06/07**

Comment on whether the budget is viable and realistic.  
Does it reflect the planned programme the organisation says that they can deliver.

**Outline budget 07/08 & 08/09**

Comment on the impact of the standstill and optimum budgets on the organisation – as presented by them.  
For example, does the standstill include reduced activity.  
Is there capacity within the organisation to achieve the optimum.

Summary of Strategic criteria	High	Med	low
<p>Summarise the key points of your assessment and draw out the strengths and weaknesses of the application taken together with any comments you have received from source evidence (portfolio of evidence/ internal / external consultation) Highlight any specific risks</p> <p>Note: The amount of information you provide here should be sufficient for the decision maker to reach a decision. As with all previous commentary boxes please do not exceed 250 words</p>			
<b>Meeting the criteria : Operational</b>			
Governance	High	Medium	Low
<p><b>PC 8</b> <b>Effective Board</b></p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Board composition which reflects the mix of gender/age/geography and skills, artistic understanding, commitment to audiences and education as appropriate to their area of activity – application and annual report</li> <li>▪ Board Development programme including induction of new members, members handbook - application</li> <li>▪ Board Conduct – Board Minutes</li> <li>▪ Current constitution – relevant, up to date, reviewed regularly and adhered to.</li> <li>▪ Meet regularly, produce minutes and produce papers in advance of the meeting. Board papers.</li> <li>▪ Chair involves members and members actively interested and involved. Board attendance evidence through board papers.</li> </ul>			
Financial	High	Medium	Low
<p>PC 9 Effective financial management and clear financial reporting</p> <p>PC10 Success in achieving fund raising targets</p> <p>PC11 Commitment to increasing income from non- public sources</p> <p>Evidenced by:</p> <ul style="list-style-type: none"> <li>▪ Annual Accounts audited, solvent, reasonable cash position</li> <li>▪ Management accounts – compared to a budget agreed by the board with variances explained.</li> <li>▪ Cash</li> <li>▪ Reserves</li> <li>▪ Income and Expenditure Performance – application, annual accounts</li> <li>▪ Performance against set fund raising targets and marketing plan</li> <li>▪ Reserves Policy – application</li> </ul>			

Managerial	High	Medium	Low
<p>PC 12 Effective management</p> <p>Evidence by:</p> <ul style="list-style-type: none"> <li>▪ Performance in relation to targets set in funding agreements</li> <li>▪ Staff job descriptions</li> <li>▪ Staff Development Policy (which includes staff training, appraisal/performance management, pay structures, details of pension provision and other benefits)</li> <li>▪ Basic codes of practice in evidence (for discipline etc)</li> <li>▪ Equal Opportunities Policy</li> </ul>			
Summary of Operational criteria	High	Med	low
<p>Summarise the key points of your assessment and draw out the strengths and weaknesses of the application taken together with any comments you have received from source evidence (portfolio of evidence/ internal / external consultation) . Highlight any specific risks</p> <p>Note:The amount of information you provide here should be sufficient for the decision maker to reach a decision. As with all previous commentary boxes please do not exceed 250 words</p>			
<b>Lead officer's recommendation</b>			
<p><b>Summarise your reasons for assessing the application as you have (drawing out the strengths and weaknesses of the proposal and highlighting any specific risks):</b></p> <p>The recommendation should clearly reflect the assessment.</p>			
<b>Assessment:</b>	<b>High</b>	<b>Medium</b>	<b>Low</b>
<p><b>Areas of concern:</b></p> <p>Identify areas of concern drawn from the assessment which will inform the funding agreement for 2006/7 and future agreements / 12 month development plan (as applicable)</p>			
<p><b>Development issues:</b></p> <p>Identify development issues drawn from the assessment which will inform the funding agreement for 2006/7 and future agreements / 12 month development plan (as applicable)</p>			
Lead Officer:		Date:	
Print name:			

**Lead officer to complete the monitoring information for GMS at the end of this template before passing to Manager for assessment ratification**

Once lead officer has made this judgement it will be formally ratified by the Manager responsible by 11 November. The Managers will then place these organisations within their sector ecosystem using the Essential Important Partial criteria which will then translate in to their planning scenarios.

## Stage 2

<b>Decision and authorisation</b>			
<b>CFO name:</b>		<b>Reference number (GMS):</b>	
<b>Stage 2: Head of Department recommendation within the context of the sector ecosystem</b>			
<b>Category for support</b>	<b>Essential</b>	<b>Important</b>	<b>Partial</b>
<p>Based on the lead officer's assessment and match with the department ecosystem, summarise your reasons for assessing the application as you have (drawing out the strengths and weaknesses of the organisation and highlighting any specific risks). Identifying development areas.</p> <p>The recommendation should clearly reflect the assessment.</p>			
Decision authorised:		Date	
Head of Department Print name:		By 11 November 2005	

### End of individual assessment process

Next stages\*:

Stage 3: Department Heads sector scenarios and record of Essential / Important / Partial CFOs (see separate template)

Stage 4: Group Heads mediation to develop national scenarios from sector scenarios

Stage 5: Committee (Creative Arts / Performing Arts) ratification

Stage 6: Council decision on national scenario.

(\*reference Process Flow chart S/CFO /general)

**To be completed by the Lead officer****Monitoring information to be completed by lead officer****For GMS information only**

To help us identify and quantify what we support and refuse in relation to our corporate objectives and policy areas

<b>1. Scottish Arts Council has targets for under-represented groups (as defined by the Scottish Executive):</b> please tick the group(s) which you think this project will <b>specifically target</b> . You may tick as many boxes as you think appropriate.			
Children <16 years old		Young people 16 – 24 years old	
People from minority ethnic groups (using the Scotland Census of populations) <sup>1</sup>		Other Ethnic background (see below) <sup>2</sup>	
Older people defined as > 65 years old		People living in rural areas	
Disabled people		People living in SIP areas <sup>3</sup>	
<b>Notes:</b>			
<sup>1</sup> <b>Minority Ethnic Groups</b>			
<b>Asian, Asian Scottish or Asian British:</b> <ul style="list-style-type: none"> <li>▪ Indian</li> <li>▪ Pakistani</li> <li>▪ Bangladeshi</li> <li>▪ Chinese</li> <li>▪ Any other Asian background</li> </ul>	<b>Black, Black Scottish, Black British:</b> <ul style="list-style-type: none"> <li>▪ Caribbean</li> <li>▪ African</li> <li>▪ Any other Black background</li> </ul>	<b>Mixed:</b> <ul style="list-style-type: none"> <li>▪ Any Mixed background</li> </ul>	
<sup>2</sup> <b>Other Ethnic Background</b> - Any other background			
<sup>3</sup> <b>SIP Areas:</b> please refer to <a href="http://www.sipatlas.co.uk">www.sipatlas.co.uk</a>			

<b>2. Scottish Arts Council policy areas:</b> please tick the policy areas where you think this project will have an impact. You may tick as many boxes as you think appropriate.			
Creative Industries		Arts and health	
Developing Scotland as an international centre for excellence for participation in the arts <sup>1</sup>		Gaelic arts	
Increasing opportunities for the filming/broadcasting of arts events		Promoting artists' achievements through awards	
Audience Development		Traditional arts	
Professional development/training for artists		Scots language	
Arts for children and young people < 24 <b>in</b> school/College		Life-long learning (excluding artists' professional development)	
Arts for children and young people < 24 <b>out</b> of school/college		Volunteer-led arts	
Cultural Diversity		Arts and tourism	
International		Arts and Disability	
<sup>1</sup> <i>This should only be ticked, if the project is, in your view, taking an innovative and developmental approach)</i>			

<b>3. Scottish Arts Council aims: please tick the one Aim which this project primarily meets</b>	
Aim 1: To increase participation in the arts	One aim only
Aim 2: To support artists in Scotland to fulfil their creative and business potential	One aim only
Aim 3: To place the arts, culture and creativity at the heart of learning *	One aim only

<b>4. Artform: please tick one box only</b>	
Architecture	Film/Video
Art Centres	Literature General
Crafts	Literature Publishing
Conferences/Seminars	Literature - Storytelling
Cross Media	Music - All Other Contemporary Music
Dance – Ballet	Music - Classical Music
Dance General	Music - Contemporary Popular Music
Dance - Traditional Dance	Music - Opera
Drama General	Music - Traditional Music
Drama New Writing	New Media
Drama - Puppetry	Research
Design	Training
Festivals	Visual Arts