

Dylan Thomas 100

Stage 2 assessment guidance

3rd September 2012



Overview

As you know we're leading on the management of the DT100 funding programme. In Stage 1 a total of 70 initial applications (in the form of assessment questionnaires) were considered by a funders' panel comprising representatives of the four funding partners. For Stage 2 a total of 31 applicants were invited to submit a more detailed proposal (in the form of a business plan) by the deadline of 12 noon on Friday 14th September. One applicant has since indicated that they wouldn't submit, so we're expecting 30.

Our guidance to applicants (which you'll find in Appendix 2) said that the business plan should set out how the event/s will be delivered. We said we'd use them to assess their experience of managing major events and the overall viability of their proposals – both financially and in terms of delivering the objectives of the Dylan Thomas 100 Festival (you'll find these in Appendix 1). We said we're not insisting on any set or prescribed format and the level of detail will obviously depend on the size of their project and the amount of funding that they're looking for. We emphasised that the most important thing is that they can convince us that they have exciting, viable plans, backed by the experience and skills to deliver those plans.

We then set out nine criteria that should be included as a minimum:

- Aims, objectives and targets
- Governance and management arrangements
- Budget forecasts (income and expenditure projections)
- Support from trusts, foundations, sponsors or other commercial partnerships
- Risk management
- Marketing plans
- Legacy plans
- Welsh Language provision
- Sustainable event management (see Appendix 3).

We also offered a series of funding surgeries, which were attended by 15 of the applicants.

We want to ensure that our assessment process is consistent and robust, but with only 31 applications to assess we don't want to create a whole new methodology. So we've decided to fit the DT100 business plan criteria into our standard assessment questions on Gifts so we can generate an officer validation and recommendation for the funders' panel to consider.

After considering Artistic quality we'll consider the DT100 criteria under the remaining assessment questions thus:

DT100 criteria (see Appendix 2)	Our assessment question/Gifts tab
Aims, objectives and targets	Planning and monitoring
Risk management	Planning and monitoring
Marketing plans	Public benefit
Legacy plans	Public benefit
Welsh Language provision	Public benefit
Governance and management arrangements	Management
Budget forecasts (income and expenditure projections)	Management + Financial risk
Support from trusts, foundations, sponsors or other commercial partnerships	Management + Financial risk
Sustainable event management	Management

Although our standard validation statements may not be an exact match we can use them to provide the framework for your recommendation, with the first and second statements leading to an approval and the third and fourth leading to a rejection.

You can propose conditions of grant with your recommendation if you wish. There will be one or two 'standard' conditions added about evaluation and collaboration.

You won't need to read text in the Gifts tabs. The business plans will be on Livelink for you, along with the original assessment questionnaires in case you want to refer to them.

We're not intending to go back to applicants with any queries.

Your officer's validation comments will be very important.

There will be a briefing session early in September for officers, led by David Alston.

As we did for the Investment Review, there will be a quality assurance stage, led by Nick Capaldi.

What we're looking for in the DT100 business plans

Artistic quality

The key artistic consideration for us is how exciting, innovative and inspiring is the creative idea behind the project. In our own *Funding Application Help Notes* we describe what we're looking for in Artistic Quality. Most of these points are equally relevant to DT100.

- Is the artistic vision well articulated, imaginative and convincing?
- Are the aims and objectives well-conceived?
- Whether it's an exhibition, a performance, a tour, a participatory workshop or a range of activities, does the artistic vision offer an exciting, inspiring or compelling creative outcome that's likely to enrich cultural life in Wales?
- If new work is to be commissioned, created or presented, how will it be both innovative and enticing?
- From the examples of work submitted, or external endorsements (such as critical reviews or awards), or that we know from previous projects through our own quality appraisal process, does the artistic track record demonstrate quality, innovation and impact?
- If it's a programme of events, how exciting and convincing is the curatorial intelligence behind that drawing together of different programme elements? And what's the likelihood of a compelling and coherent artistic programme being delivered?
- If other artists or organisations will be involved (such as producers, venues, marketing agencies), how persuasive is that choice of collaborators? And has their calibre and track record been suitably evidenced by CVs, external endorsements (such as critical reviews or awards), or our own quality appraisal process?

Planning and monitoring

Here we're considering how well the DT100 criteria of **Aims, objectives and targets** and **Risk management** are addressed.

- Are the aims and objectives clear and convincing? Are the targets appropriate for the scale and nature of activity proposed? Are those targets measurable?
- Is the project clearly additional? (And if the applicant is a Revenue Funded Organisation does the proposed activity fit within the terms of its revenue funding agreement?)
- Is the evidence of demand comprehensive and persuasive? Is any third party support a mere indication of interest or does it demonstrate ongoing dialogue that's led to meaningful commitment?
- If it's a participatory project, is there evidence of meaningful consultation with the intended participants?
- Has there been a convincing and comprehensive attempt to assess risks?
- Overall, does the business plan seem to you to be practicable and deliverable?

Public benefit
<p>Here we're considering how well the DT100 criteria of Marketing plans, Legacy plans and Welsh Language provision are addressed.</p> <ul style="list-style-type: none"> • Does the business plan demonstrate that the target audiences or participants have been carefully and thoroughly considered? And does the Marketing Plan element provide sufficient evidence that this project will reach and excite people to attend or join in, thereby delivering those targets? • Has the business plan demonstrated that Welsh language and bilingual issues have been appropriately considered? • How inclusive is this project? Has the business plan demonstrated the organisation's knowledge and understanding of equality and diversity? • Is the public benefit articulated in a clear and convincing way? • Is the description of the project's legacy clear and persuasive?
Management
<p>Here we're considering how well the DT100 criteria of Governance and management arrangements, Budget forecasts (income and expenditure projections), Support from trusts, foundations, sponsors or other commercial partnerships and Sustainable event management are addressed.</p> <ul style="list-style-type: none"> • Has the applicant sufficiently demonstrated their experience, organisational capacity and track record of successful project delivery? • Has the applicant presented sufficient evidence that it's financially viable and stable without our funding? And have any long term financial effects of the project been considered? • Is the project budget convincing and realistic? Is it sufficiently detailed and are all expenditure items eligible? Are all the income projections realistic and achievable, and are they backed up by appropriate assumptions or evidence? And does the project represent good value for money? • Is the partnership or match funding target realistic and achievable? Has written confirmation been provided of any sponsorship or funding that's already been secured? • Has all the in kind funding been confirmed and verified? • Does the business plan demonstrate that the suitable attention has been paid to sustainability issues and minimising the project's carbon footprint?
Financial risk
<p>Here we're considering the overall financial risks associated with the project in the same way you would for a Lottery application.</p>

Validation and assessment timetable

Your recommendations will be considered on 3rd October by a funders' panel comprising officers from the Welsh Government, the Arts Council, the City & County of Swansea, Carmarthenshire County Council and Ceredigion County Council, plus several of our National Advisers. The panel's final shortlist will be submitted to Ministers for formal sign off and announcements will be made by the beginning of November.

As the timetable shows, our work on this can be completed before the October Large Grant deadline.

Stages	Dates
Confirmation of officers and advisers (led by David A)	w/c 10 th September
Basic data input to create Gifts records and acknowledgement emails	w/c 10 th September
Officer briefing (David A helped by David N)	w/c 17 th September
Deadline for business plan submission	Friday 14 th September @ 12 noon
Business plans uploaded to Ffynnon for funders' panel, with assessment guidance	Monday 17 th September
Validation and assessment period	Monday 18 th to Wednesday 26 th September
Quality assurance (led by Nick C)	Thursday 27 th September @ 2.00 pm
Final validations and overview uploaded to Ffynnon for funders' panel	Friday 28 th September
Funders' panel considers recommendations and agrees shortlist	Wednesday 3 rd October
Steering group signs off shortlist for Ministerial approval	Monday 8 th October
Decision letters prepared, including standard conditions of grant and DT100 conditions	TBC (depends on final Ministerial announcement date)
Announcement of shortlisted projects	TBC (depends on final Ministerial announcement date)
Decision letters emailed	TBC (depends on final Ministerial announcement date)

Appendix 1

DT100 objectives

Our **vision** is of a compelling, inspiring celebration of the life, work and influence of Dylan Thomas – a year-long programme of cultural and academic activity that enthuses people in Wales and beyond, brings new visitors to Wales and which has an impact that leaves a fitting legacy for the longer term.

Earlier in the year we commissioned Parthian (in Association with Tinderbox Arts Consultants) to add substance and shape to this vision. You can find the executive summary of their report by visiting www.dt100.info and clicking on: *Resources*.

Through our specific **objectives** for the initiative, our ambition is to see a high quality, all Wales and beyond, event- and education-led festival to mark the centenary of Dylan Thomas' birth.

These objectives are:

- To produce a high-quality, all Wales and beyond, event- and education-led festival to mark the centenary of Dylan Thomas's birth
- To promote a programme of high quality creative activity that features, or is inspired by, the life, work and influences of Dylan Thomas, which keeps his legacy alive for new generations
- To help the people of Wales to recognise and celebrate Dylan Thomas, to raise the profile of Dylan Thomas as a cultural icon within Wales
- To provide an entry point into Dylan Thomas and his work, creating a new shop window for the work and for Wales. This should be used to inspire other writers and artists and in turn they will go out and inspire others about Wales - its landscape, its people and its literature
- To encourage the use of new digital media and to create an online platform with a range of digital resources and applications, which is a hub for information, creativity and communication
- To encourage dialogue between visitors, academics, researchers, artists, teachers and students
- To encourage the development of creative, reading and literacy projects, particularly involving young people

- To engage with local areas associated with Dylan Thomas to help enhance community spirit
- To help raise Wales' international profile, as an inspirational, creative country to visit, invest in, and learn in, in key markets in UK including London, and beyond, including the USA
- To drive visitor numbers and spend to all parts of Wales associated with Dylan Thomas in 2014 helping develop a sustainable Dylan Thomas trail beyond 2014
- To be a truly bilingual festival, allowing all the people of Wales to contribute to and learn about their heritage in both of its languages
- To offer opportunities to discuss and explore Dylan Thomas's work at a range of scales and in a range of settings, allowing as many people as possible to take part in this exciting celebration
- To foster new educational and artistic collaborations, along with offering sponsorship opportunities to companies based in Wales, which can have a life way beyond the festival year
- To leave a lasting legacy that inspires future creative activity and helps stimulate the creative industries sector in Wales.

Appendix 2

Extract from business plan guidance

Dylan Thomas 100 Festival: the next steps

Thank you for your recent application for funding.

All the initial Stage 1 applications have been assessed, and your proposal has now successfully passed on to Stage 2 in our application process. Although you've cleared the first sift of applications, we would now like some more detailed information to help us make a final decision.

Progressing to Stage 2 is an important achievement. Unfortunately, however (and it's important that we stress this), it is not a guarantee that we will be able to support your project – as you might expect, we've received many more applications than we're able to support. Nevertheless, there was enough in your Stage 1 application to convince us that you have an interesting idea, and we want to give you the opportunity to expand on your initial application.

Stage 2 of the application process

We're now ready to invite you to provide a more detailed proposal.

The key document that we need is a **business plan** setting out how the event/s will be delivered. We will use your business plan to assess your experience of managing major events and the overall viability of your proposals – both financially and in terms of delivering the objectives of the Dylan Thomas 100 Festival. (These were set out in the Stage 1 funding information pack and are attached again as an appendix.)

We're not insisting on any set or prescribed format for the business plan.

The level of detail that you'll need to include will obviously depend on the size of your project and the amount of funding that you're looking for. So we'd encourage you to use your judgement as to the amount of information that you provide. The most important thing is that you can convince us that you have exciting, viable plans, backed by the experience and skills to deliver those plans.

As a minimum, we would expect your business plan to cover the following matters:

- **Aims, objectives and targets** – your project is more likely to succeed if you're clear about what you're trying to achieve. Having clear targets brings a measure of practical reality that helps us to understand exactly what you're trying to achieve

- **Governance and management arrangements** – as the stewards of public funds, we need to be convinced that the organisations we’re funding have the organisational skills to make a success of their projects. Details of relevant experience and track record will help reassure us
- **Budget forecasts (income and expenditure projections)** – we want to understand how much your project is going to cost, and how you’re planning to meet those costs. Budgets must balance, and there should be sufficient detail in any explanatory notes to help us understand how you’ve arrived at the figures that you’re presenting
- **Support from trusts, foundations, sponsors or other commercial partnerships** – we’re keen to see the funds allocated to Dylan Thomas 100 acting as an incentive, bringing in other funds from elsewhere. It would also help us to assess the strength of support for your project if you indicate whether each source of other funding is confirmed or anticipated – please include any written confirmations if you have them
- **Risk management** – we know how difficult it is to predict, in advance, exactly how a project is going to go. Being entrepreneurial and taking risks is not necessarily a bad thing, especially if you’ve got the necessary contingency plans in place. Tell us what the key risks are, and how you’re planning to manage/minimise those risks throughout the life of your project
- **Marketing plans** – not only do we want your project to be successful, we also want to see it reaching the widest possible audience. Your marketing plans should contain a clear analysis of the audiences/participants you’re trying to reach. It should also contain imaginative, but practical, proposals that convince us that you’ll be able to reach your targets
- **Legacy plans** – one of our key outcomes for Dylan Thomas 100 is that it should leave a longer-term legacy that benefits the people of Wales. Tell us what impact your project will have beyond the immediate period during which it will take place
- **Welsh Language provision** – we’re committed to seeing a programme of cultural activity that’s delivered through the medium of English and Welsh. Tell us what commitments you’ll be making for your project to reflect Wales as a bilingual nation
- **Sustainable event management** – we expect projects that we support to reflect, or be in line with, the standard BS8901: Sustainability Management Systems for Events – <http://www.bsigroup.co.uk/en/Assessment-and-Certification-services/Management-systems/Standards-and-Schemes/BS-8901/>. [See Appendix 3 for further guidance.]

Appendix 3

Further guidance on sustainable events

We received a number of queries about this, particularly from smaller organisations. In consultation with the Welsh Government we issued some additional guidance to all applicants on 16th August. We were asked for further detail at the funding surgeries, so issued a further guidance note on 3rd September. Both are noted below.

Additional guidance from the Welsh Government

The funding partners recognise that accessing the BSI framework can be quite daunting, particularly for smaller organisations, and some of the documentation can be costly. So we're providing some additional guidance to help you as you develop your event and your business plan submission.

The standard called BS8901 provides the management system which embeds the principles of sustainable development into an organisation and its work.

The commitment in Wales to safeguard the environment and reduce carbon footprint is led by the Welsh Government, which published its sustainable development scheme *One Wales One Planet* in 2009.

We're asking all applicants to ensure they're familiar with the principles of One Wales One Planet, information on which can be found at –
<http://wales.gov.uk/topics/sustainabledevelopment/publications/onewalesoneplanet/;jsessionid=PP2yQsTNnwFvpWLH8L3v1qrw5TR5S7KHxDHTMncc6GjL4nwnG0MX!-1773180747?lang=en>.

We would expect all activity supported through Dylan Thomas 100 to reflect these principles in every stage of their project or event delivery – from stakeholder engagement through planning to delivery and of course in monitoring and evaluation of impact. Please tell us how you'll be achieving this in your business plan submission.]

Dylan Thomas 100 – Guidance note on sustainability

Climate change and environmental protection are amongst the most urgent issues of our time

Artists and arts organisations have a clear role to play in helping to understand and address these issues. The arts sector can also demonstrate active leadership by adopting practices that are themselves sustainable and practical.

Making a commitment

The all important starting point is to make a clear statement of intent. At a basic level you could make some clear commitments. For example, you could undertake to:

- Respond meaningfully to the climate change challenge

- Improve your understanding of your environmental impacts and the implications of your working practices
- Act to minimise your impacts and improve environmental performance
- Assess and evaluate your environmental impacts, and your efforts to reduce them
- Set targets that challenge you to improve your organisation's performance.

Some things are easier to do than others

There are big issues here, many of which can seem very daunting (especially to the smaller organisation). However, don't be put off. There are a number of 'quick fixes' that even the smallest organisation can consider as part of making your events more sustainable. For example:

- **energy use:** do the obvious things like ensuring that someone in your organisation has the job of checking that lights have been turned off and that heating is only used when necessary.
- **transport:** where possible, use public transport for staff travel. Use telephone and video conferencing rather than always travelling to meetings. For attendees at your events, offer discounted ticket prices to those who arrive by public transport, on foot or by bicycle. If appropriate, use and encourage park and ride schemes (this is particularly appropriate if your event is in an urban locality). On your websites and publications ensure that all the public transport options are clear and unambiguous.
- **communications and publications:** use printed materials as sparingly as possible. If you must use print, try to use recycled paper and vegetable inks/dyes. Try to use e-mail as much as possible. Direct e-mail marketing to Friends groups and contact lists reduces both paper usage and costs of postage and printing.
- **waste:** ensure that you have recycling facilities for the public as well as any other visitors to your event (such as contractors or stall-holders).
- **catering:** if you're providing food and drink at your event or venue, make sure that you use suppliers or contractors who are as local as possible. This not only keeps travel down to a minimum but it also helps to keep money circulating within the local community. Check on the provenance of the food and drink – for instance is it locally produced, is it organic and/or free range, does it have Freedom Food or Fair Trade certification?

Finding out more

For those working in the arts, there's a lot that can be learned from pioneering companies such as the Centre for Alternative Technology and Julie's Bicycle. The Arts Council also supports *Emergence - Eginriad* – Cynnal Cymru's partnership initiative that engages the arts community on the issues of climate change and sustainable development.

The Welsh Government has a legal duty to promote sustainable development. It published its sustainable development scheme *One Wales One Planet* in 2009.

There are also industry standards that set a series of benchmarks and targets.

British Standard 8901 sets out requirements for planning and managing sustainable events of all sizes and types, supplemented by advice on how to meet, and surpass, these requirements. It encompasses the entire range of events from large-scale conferences and unique events such as the 2012 Olympics to music festivals and air shows.

BS 8901 aims to:

- Help companies to improve sustainability performance within available budgets
- Reduce carbon emissions and waste, improving the resource efficiency of the entire event supply chain
- Present opportunities for more efficient planning and encourage the re-use of equipment and infrastructure.

The Standard covers:

- Environmental impacts such as carbon footprint, waste management and effects on biodiversity
- Social impacts such as community involvement and fair employment
- Economic impacts such as local investment and long-term viability.

For those wanting to adopt an incremental approach to improvement, the **Green Dragon Environmental Standard** might be an easier starting point. It contains five levels, with each step contributing towards achievement of the international and European environmental standards ISO 14001 and EMAS. Green Dragon is overseen by Groundwork Wales.

Links

- Cynnal Cymru *Emergence - Eginiaid*
<http://www.cynnalcymru.com/project/emergence-eginiad>
- Centre for Alternative Technology <http://www.cat.org.uk/>
- Julie's Bicycle <http://www.juliesbicycle.com/>
- Groundwork Wales *Green Dragon Environmental Standard*
<http://www.wales.groundwork.org.uk/what-we-do/green-dragon-ems.aspx>
- British Standards Institution *BS8901*
<http://www.bsigroup.co.uk/en/Assessment-and-Certification-services/Management-systems/Standards-and-Schemes/BS-8901/>
- Welsh Government Sustainable Development Scheme *One Wales One Planet*
<http://wales.gov.uk/topics/sustainabledevelopment/publications/onewalesoneplanet/?skip=1&lang=en>
- RSPCA *Freedom Food* <http://www.rspca.org.uk/freedomfood>
- Fair Trade Foundation <http://www.fairtrade.org.uk/> .

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