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Low Carbon Travel & Transport Challenge Fund

5. Assessment Process

Round 3



European Union



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European Regional Development Fund
Investing in a Smart, Sustainable and Inclusive Future

Disclaimer

Applicants should be aware that as the Low Carbon Travel and Transport Challenge Fund (LCTT Challenge Fund) is a developing programme, the guidance will be reviewed as the programme evolves and therefore may be subject to change. The Scottish Ministers reserve the right to amend the National Rules and Transport Scotland reserves the right to amend the published guidance during the period of the programme.

The Energy Saving Trust and/or Transport Scotland reserves the right to reject an application where:

- an application is submitted late, is completed incorrectly, is materially incomplete or fails to meet any submission requirements which have been notified to the applicants; and/or
- the applicant (including any partners) are guilty of a material misrepresentation or false statement in relation to its application and/or the application process.

The Energy Saving Trust and/or Transport Scotland reserves the right at any time:

- not to consider applications other than those submitted in accordance with the requirements of the application process;
- to issue amendments or modifications to the application documents during the application process;
- to require an applicant (including any partners) to clarify their application in writing and/or provide additional information (failure to respond adequately may result in an application being rejected);
- alter the timetable of any aspect of the application process;
- to not award any grant funding under the LCTT Challenge Fund; and/or
- to cancel the application process at any time.

Any costs or expenses incurred by an applicant (including any partners) or any other person in participating in the application process will not be reimbursed by the Energy Saving Trust and/or Transport Scotland. The Energy Saving Trust, Transport Scotland and/or any of their representatives or advisors will not be liable in any way to any applicant (including any partners) or any other person for any costs, expenses or losses incurred by any applicant (including any partners) or any other person in connection with this application process.

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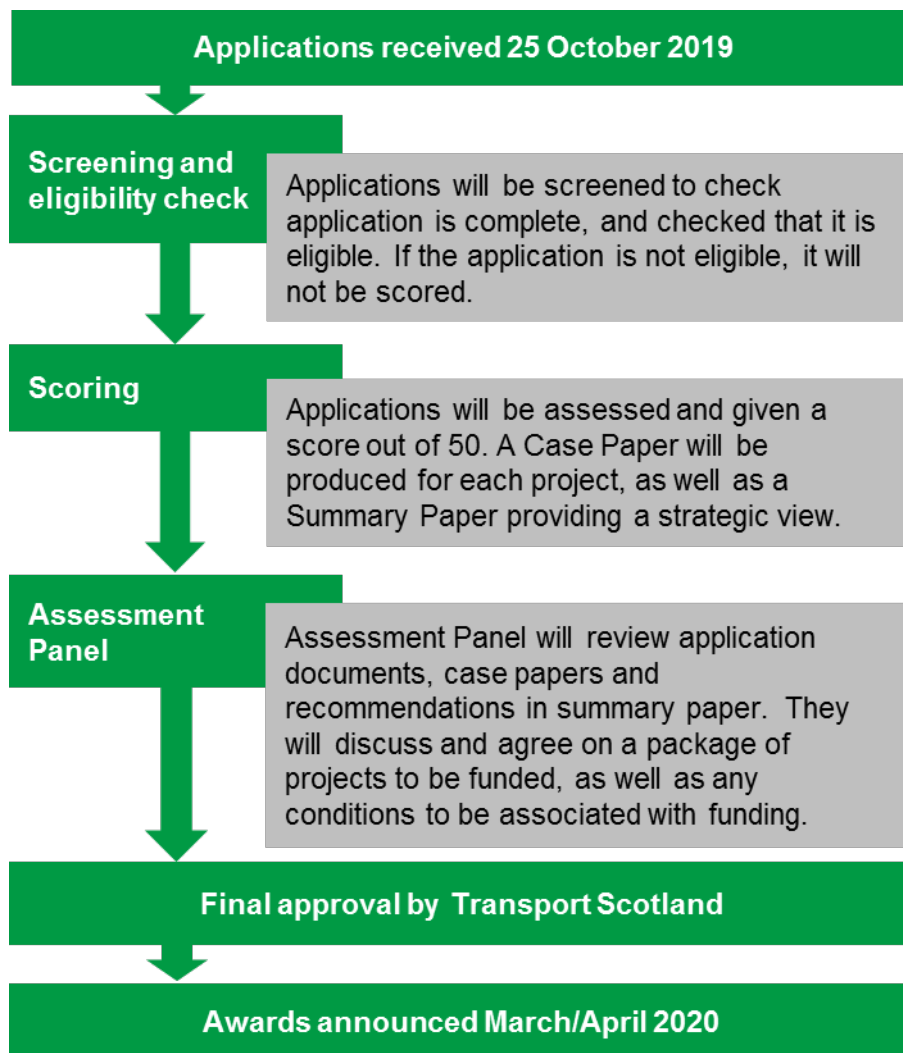
1 Purpose of this document

This document sets out the approach for taking Low Carbon Travel and Transport (LCTT) Challenge Fund applications through a process of assessment in order to allocate the capital funding to projects that support the aims of the European Regional Development Fund (ERDF) 2014-2020 programme and the strategic aims of the LCTT programme.

This document has been prepared by the LCTT project team at Energy Saving Trust (EST) who have been appointed to administer the Challenge Fund on behalf of Transport Scotland.

2 Summary

There are three key stages to the assessment of LCTT Challenge Fund applications. The flow chart below summarises these stages.



2.1 The need for an assessment process

Ensuring the LCTT Challenge Fund assessment process is open, transparent and fair for all applicants. A robust assessment process ensures that:

- If the fund is oversubscribed, allocation of capital funding is fair and supports the best package of projects.
- If the fund is undersubscribed, capital funding is not awarded to projects that do not meet the criteria of the fund.
- The successful LCTT Challenge Fund projects meet the requirements of the ERDF 2014-2020 programme and are able demonstrate how they contribute towards key active travel and low carbon outcomes.

2.2 The LCTT programme strategic aims

In order to be considered for funding, projects ultimately need to deliver project benefits directly in line with the core strategic aims of the LCTT programme and Challenge Fund.

The aims of the LCTT programme are to:

- Increase the number of journeys made by public transport, active travel or low-carbon vehicles;
- Support Active Travel Hubs (facilities and routes to support cycling, walking and public transport use as an alternative to the car);
- Provide low carbon transport hubs and reliable low-carbon refuelling services at strategic sites;
- Develop a national smart ticketing scheme.

Specifically, the Challenge Fund aims to:

- Deliver a minimum of 27 Low Carbon Travel and Transport Hubs;
- Construct, upgrade or bring back into use up to 100km of associated path networks;
- Increase the number of ultra-low emission vehicles (ULEVs) in Scotland by 100;
- Increase the proportion of journeys to work by public and active travel by 1.5%.

3 Overview of assessment process

The assessment process will occur in three distinct stages, as outlined in the [Guidance for Applicants – Round 3](#). This process will be completed provisionally by March/April 2020.

	Process/Activity
Stage 1	<p>Screening (see section 5.1)</p> <p>Applications and associated documents due 25 October 2019. <i>Screening Checklist</i> (Annexe 1) completed for each applicant.</p>
	<p>Eligibility check (see section 5.2)</p> <p><i>Eligibility Checklist</i> (Annexe 2) completed for each applicant by 31 October 2019. Applications determined to be ineligible will not be assessed any further.</p>
	<p>Fund Requirements & State Aid (see sections 5.3 and 5.4)</p> <p>Applications will be assessed against fund requirements (see Annexe 3) and assessed to determine and document whether State Aid is present (see Annexe 4) by 31 October 2019.</p> <p>During this period clarification can be sought from applicants if required.</p>
	<p>Scoring (see section 5.5)</p> <p>Applications will be scored between 1 November and 4 December 2019 using the framework described in section 5.5 and Annexe 5.</p> <p>During this period clarification can be sought from applicants if required.</p> <p>In mid-late December 2019 and early January 2020, Case Papers will be prepared for each project, as well as a Summary Paper – which will provide a strategic view of the applications reviewed, an explanation of the scoring process, and recommended package of proposals for the Assessment Panel to consider.</p>
Stage 2	<p>Assessment Panel (see section 6)</p> <p>Assessment Panel receive copies of the completed application forms, Case Papers for each project and Summary Paper by 13 January 2020.</p> <p>Assessment Panel meets in the week commencing 27 January 2020 to test and ratify the recommendations in Summary Paper. The Assessment Panel will either ratify the recommended package, or agree an alternative.</p> <p>Preparation and circulation of Assessment Panel report for confirmation (February 2020).</p> <p>Assessment Panel report sent to Transport Scotland for final approval by 26 February 2020.</p>
Stage 3	

Awards (see section 7)

Late February – March 2020: Conditional offers of funding drafted. Successful and unsuccessful applicants notified of outcome. Unsuccessful applicants will be offered feedback on their application.

If relevant, final due diligence undertaken in March 2020 to ensure all outstanding issues have been addressed.

Funding awards announced in April 2020.

5 Pre-Panel assessment process

Stage 1 and 2 of the assessment process can be collectively described as the pre-Panel assessment process. Applications will undergo initial screening and an eligibility check. Then those determined to be eligible (or partially eligible) will be assessed further and scored against the assessment framework outlined below.

Each assessment will produce a score out of 50 and a Case Paper will be produced outlining how this score was reached (see Annexe 6 for an example Case Paper). The Assessment Panel will receive a Case Paper for each project as well as a Summary Paper presenting a strategic overview that assesses all the applications received against the available capital funding and the strategic aims of the LCTT programme. The Panel also receives all application material.

5.1 Screening

Applicant organisations are expected to provide full details of their proposed project on the LCTT Challenge Fund application. EST will screen all applications to ensure that they meet the following criteria:

- The application form has been received before or on the deadline;
- The application form is complete;
- The required supporting information has been provided; and
- The application form has been signed and dated by someone within the applicant organisation with the authority to do so.

The *Screening Checklist* (Annexe 1) will be used by our administrator to check that the application is valid. Where material is missing the applicant will be contacted via email and asked to provide the required material. If the material is not received within 10 working days, the application will not be progressed. Applicant organisations will not be provided with an opportunity to rework any element of the proposal.

Applications received after 25 October 2019 will not be considered, unless under exceptional circumstances.

5.2 Eligibility check

EST will complete an eligibility check that will assess all applications in terms of the eligibility of the proposed activities, the applicant organisation, match funding, and other factors. Questions on the *Eligibility Checklist* (Annexe 2) will be answered 'yes', 'no' or in some cases 'partial'. Applications must have either 'yes' or 'partial' for each eligibility criteria to progress to the next stage.

'Partial' eligibility will apply in circumstances where the application has an ineligible element and it is judged that the project is likely to remain viable if certain conditions are met. For example, the eligible costs criteria would be marked as 'partial' where an element of the project is considered ineligible under the National Rules but it is judged as probable that the project would remain viable if element were to be removed from the project, or if the total value of the grant awarded was reduced. Applications will also receive a 'partial' mark if total eligible costs are below the stated minimum threshold (minimum of £250,000) by less than 20%, i.e. if total eligible project costs are

between £200,000 and £250,000, the project will still be scored and assessed by the Assessment Panel.

If an application is marked 'no' for any question on the *Eligibility Checklist* the project will not be assessed any further. The Assessment Panel will be provided with a brief explanation of the reason the project was considered to be ineligible and will test and ratify this assessment.

The financial information spreadsheet asks for a detailed profile of expenditure, a detailed breakdown of match funding and a forecast of project costs and income streams for 5 years after project end. This information will be used as part of this eligibility check to answer the following eligibility questions:

- Are the listed project costs eligible under ERDF National Rules?
- Are the sources of match funding listed eligible?
- Is the project financially viable?
- Is the project sustainable?

The information provided in this spreadsheet will also be used by EST to undertake appropriate due diligence (see section 7) before awarding funding.

5.3 Fund Requirements

Applicants have been asked to confirm in their application form that the following issues have been considered and addressed (Annexe 3). These issues will not form part of the score or RAG rating (see sections 5.5. and 5.6 below), but will be assessed and reported to the Assessment Panel.

If an application receives a 'no' for any of these questions and is ultimately successful, it is likely that a condition of funding will be providing additional evidence.

See Annexe 3 for an explanation of how these questions will be assessed.

5.4 State aid

Each application will undergo an assessment to determine and document whether State aid is present in the proposed project at both organisation and beneficiary level. EST will complete a State aid checklist (see Annexe 4) and submit their findings to TS who will review and determine if they agree. Where further advice is required, the application will be reviewed by the State Aid Unit at the Scottish Government for decision.

The presence of State aid does not make a project ineligible for funding. If the activity falls under a General Block Exemption Regulation (GBER) it may impact the level of funding that can be provided to the project.

The Case Paper for each project will provide a comment on State aid as shown in the case papers templates (Annexe 6).

5.5 Scoring

There are 10 scoring criteria that will be assessed and scored for each project. Scores will be determined based on the information provided in the application form. As noted in the [Notes for Applicants – Round 3](#) (section 10), any supplementary documents provided to support the application will not impact the score of an application. EST may contact applicants throughout the assessment process to seek clarification on specific elements of the project; however, any information provided to EST subsequent to the submission of the application form will provide context only and will not impact scoring. Applicants should ensure that all scoring criteria have been addressed in the application form.

Each criterion will be weighted equally and given a score out of 5 – meaning that total scores will be out of 50. EST assessors will provide a short comment with a justification for the score.

The 10 criteria that will be assessed and scored are:

- 1) Financial viability
- 2) Match funding
- 3) Project rationale
- 4) Strategic fit
- 5) Partnership working
- 6) Community engagement
- 7) ERDF horizontal themes
- 8) Additionality
- 9) Deliverability
- 10) Sustainability

For an explanation of each of these criteria and how they will be assessed see Annexe 5.

As outlined in the [Paths – Guidance Note – Round 3](#), path elements and path-only projects will be assessed using the same criteria as the hubs.

5.6 RAG rating

In addition to an overall score, each project will also be assigned a RAG rating. The purpose of the RAG rating is to highlight any risks or issues identified during the assessment to the Assessment Panel. An explanation or justification of the RAG rating will be provided in the Case Paper.

RED	Projects that receive a red RAG rating are considered high risk, or where a significant issue has been identified.
AMBER	Projects that receive an amber RAG rating are considered medium risk, or where an issue has been identified and at the time of the Assessment Panel remains unresolved.
GREEN	Projects that receive a green RAG rating are considered low risk, and will have no unresolved issues.

Ineligible projects (i.e. those that do not undergo full assessment) will not be scored and therefore will not be included in this RAG rating process. A red RAG rating, therefore, does not mean that the project is ineligible; it means that the project is eligible, but high risk.

5.7 Preparation of material for Assessment Panel

5.7.1 Case Papers

The Assessment Panel will receive a copy of each application form, a Case Paper for each project, and a Summary Paper that provides a strategic view, an explanation of scoring process, and recommendations of a package of proposals to be funded.

See Annexe 6 for an example Case Paper.

5.7.2 Summary Paper

The Summary Paper will provide a 'roadmap' for the Assessment Panel discussion. The paper will propose a recommended package of projects to be funded, with options for discussion, and it will then be the responsibility of the Assessment Panel to test and ratify these recommendations.

The proposed outline of the Summary Paper is as follows:

- An overview of the strategic aims of the LCTT Challenge Fund and ERDF requirements, e.g. geographical spread of projects, total number of hubs, kilometres of path etc.;
- A complete list of all projects and their respective scores and RAG ratings;
- A recommended package of projects to be provided funding, with options for funding package variants;
- An explanation of the rationale behind the recommendations, i.e. an assessment of overall alignment to strategic aims of the LCTT Challenge Fund, value for money etc.;
- Proposed key areas of discussion;
- An explanation of the scoring process and criteria.

6 Assessment Panel

6.1 Role of the Assessment Panel

The Assessment Panel will be responsible for testing and ratifying the assessments presented to them in the project Case Papers and the recommendations made in the accompanying Summary Paper prepared by EST.

The Assessment Panel will discuss the relative scores of the applications as well as issues and risks associated with the projects, and, importantly, how various combinations of projects will achieve the strategic aims of the LCTT Challenge Fund.

The Assessment Panel will have discretion to recommend awarding funding to a combination of projects that may not necessarily represent the highest ranked, but will deliver on strategic aims – such as geographic spread, number of hubs, and kilometres of path. Options for best delivering on these strategic aims will be presented to the Assessment Panel in the Summary Paper. In doing so the Assessment Panel will be responsible for allocating available Transport Scotland match funding and ERDF funds in order to maximise the reach of the LCTT Challenge Fund. In coming to recommendations, the Assessment Panel will adhere to the requirement of using available applicant's own/external match funding and Transport Scotland match funding in the first instance, offsetting the need for ERDF as the funding of last resort.

The Assessment Panel's decisions will be reflected in a report following the meeting and this will be submitted to Transport Scotland for final approval.

6.2 Membership of the Assessment Panel

The principles on which the Assessment Panel will be established are as follows.

The number of individuals on the Assessment Panel will be sufficient to ensure a good balance of opinions and perspectives is represented. Assessment Panel membership will also be as inclusive and diverse as possible.

Membership of the Assessment Panel will be voluntary and unpaid. Travel costs and expenses will be reimbursed to enable attendance at a full day Assessment Panel meeting.

Members will be independent of the project applications proposed. Assessment Panel members will be required to review and complete the conflict of interest procedure before reviewing any applications (see Annexe 7). Where any links exist between Assessment Panel members and an application, the member will be asked not to join the discussion of that particular project, and will not be able to make a contribution to the final funding decision for that project.

The Assessment Panel will be chaired by a senior representative from Transport Scotland.

EST will provide secretariat support to the Assessment Panel.

7 Awards and due diligence

Following the Assessment Panel, and once Transport Scotland has given final approval, letters providing conditional offers of funding will be issued to the successful applicants. Letters will include all conditions set by the Assessment Panel and requests for any outstanding information to support any final due diligence necessary.

Due diligence will ensure the information provided by the applicant organisation is accurate and complete, for example financial information, legal status, governance structures, conflicts of interest. It will also ensure that any concerns raised by the Assessment Panel have been addressed and all ERDF regulations, National Rules and State aid requirements have been satisfied.

Unsuccessful applicants will be informed of the outcome and offered feedback on their application.

Successful projects will be embargoed until Transport Scotland will formally announce the award of LCTT Challenge Fund grants.

ANNEXE 1: Screening checklist

On receipt of application this form will be used by the LCTT Challenge Fund Administrator to check that each application is complete and valid before it progresses to the next stage of assessment.

Application Form Section	Screening questions	YES	NO	Note
-	Was the application form received before or on the deadline?			<i>Note capturing why/why not met</i>
-	Is the application form complete?			
1	Has the applicant answered 'Yes' to all of the questions in the Self-Assessment checklist (section 1 of the application form)?			
1 and 7	Has the applicant attached a separate project plan?			
1 and 7	Has the applicant attached a separate organisational chart/ governance structure?			
1 and 7	Has the applicant attached a separate a risk register?			
1 and 3.2	Has the applicant attached separate maps of hubs/paths locations?			
1 and 4	Has the applicant attached a financial information spreadsheet?			
1 and 4	Has the applicant attached signed letters from bodies providing, or intending to provide matched funding, confirming the amount of funding to be provided?			
11.3	Has the form been signed and dated by someone within the applicant organisation with the authority to do so?			

ANNEXE 2: Eligibility checklist

This form will be used by the EST LCTT Project team, with the assistance of a finance specialist, to conduct an eligibility check of all the applications against the following eligibility requirements. If an application receives a 'No' for any of these criteria, it will not progress to the next stage of assessment. Where an application receives a 'Partial' mark for any of the criteria, this will inform the conditions the Assessment Panel may wish to attach to the funding in the event that the project is approved.

Application Form Section	Eligibility requirement	YES	PARTIAL	NO
Type of organisation				
2.1	Is the applicant organisation in the public, community or third sector?		n/a	
2.1	Does the applicant organisation have a UK bank account, annual accounts and control over all income and expenditure?		n/a	
2.1	Does the applicant organisation have a governing body, a democratically elected management committee and a document that has been formally adopted?		n/a	
Project details				
3.1 3.2	Is the application seeking funding for a low carbon transport hub and/or an active travel hub and/or paths?		n/a	
Eligible costs				
4.1	Are total eligible project costs equal to or over £250,000? <i>(Note: Projects that are significantly outside this range will receive a 'No'. Projects with eligible costs 20% below the minimum threshold (i.e. £200,000) will receive a 'Partial' and will still be scored and considered by the Assessment Panel.)</i>			
Financial Information Spreadsheet, sheet "1. Total eligible costs"	Are project costs listed eligible under the <i>National Rules on Eligibility and Expenditure</i> ? <i>(Note: Projects where a minor component of the project costs are considered ineligible will receive a 'Partial'.)</i>			
Match funding				
4.2 and Financial Information Spreadsheet, sheet "2. Match funding"	Has the applicant organisation provided details of sufficient own/external match funding? <i>(Note: match funding requirements are minimum 20% Highlands and Islands, 30% Lowlands and Uplands for eligible project costs up to £2 million and minimum 30% Highlands and Islands, 60% Lowlands and Uplands for the portion of eligible project costs exceeding £2 million)</i>			

Application Form Section	Eligibility requirement	YES	PARTIAL	NO
4.2	<p>Has the applicant organisation supplied evidence that the match funding has been confirmed?</p> <p><i>(Note: Projects where confirmation is pending will receive a 'Partial'.)</i></p>			
4.2	<p>Is match funding eligible?</p> <p><i>(E.g.: not from EU sources, not from TS Low Carbon Economy or Active and Sustainable Transport Units funds, with no other outputs attached, not to be spent out with LCTT Challenge Fund project timeframes)</i></p> <p><i>(Note: Projects where a minor component of the match funding is considered ineligible will receive a 'Partial'.)</i></p>			

ANNEXE 3: Fund requirements

The following additional considerations will be marked as 'yes' or 'no'. This will not form part of the score of the project (or RAG rating), but will be noted for the Assessment Panel.

Application Form Section	Additional consideration	YES	NO
7.2	Has the applicant confirmed that they have read and understood the ESIF National Rules?		
7.2	Has the applicant confirmed that they have read the LCTT Challenge Fund Claims Process and Reporting Guidance?		
7.2	Has the applicant confirmed that the procurement process related to their project meets ESIF regulations?		
7.2	Has the applicant confirmed that they have read and understood the ESIF publicity requirements?		
7.2	Has the applicant confirmed that they have read and understood the ESIF document retention guidance?		
9	Does the application provide evidence of a monitoring and evaluation plan?		

ANNEXE 4: State aid assessment

This form will be used by EST to determine and document whether State aid is present in the proposed project at both organisation and beneficiary level.

State aid assessment (application form section 8)	
Is the lead applicant or any partner involved in economic activity on this project? Please explain.	Yes/No
If 'yes' please complete the four State aid tests. You should provide clear and specific justification to explain how the project meets or doesn't meet each State aid test. The tests are cumulative and all four must be met for State aid to be present.	
Test 1: There has been an intervention by the State or through State resources	
Test 2: The intervention gives the recipient an advantage on a selective basis	
Test 3: Competition has been or may be distorted.	
Test 4: The intervention is likely to affect trade between Member States.	
Is there State aid present?	Yes/No

ANNEXE 5: Scoring framework

The following scoring framework will be used to assess applications. There are 10 criteria that will be scored out of 5 – the total score for a project will be out of 50.

0= No evidence to address criteria

1= Significantly deficient against the criteria

2= Addresses some of the criteria but is deficient

3= Satisfies the criteria

4= Satisfies the criteria well

5= Satisfies the criteria exceptionally well

Please note that the ‘what will assessors consider’ column provides an indication of the sorts of questions assessors will consider. It is not necessarily exhaustive, nor will every question be relevant to every application.

Scoring criteria				
Application Form Section	Key Question	What will assessors consider	Score	Comments and justification
1. Financial viability				
4.1 Financial information spreadsheet	Is this project financially viable? Is the lead applicant organisation financially viable?	Is the project expenditure realistic? Does the business plan back up the forecast spend? Are the on-going operating costs realistic to sustain the project for a further 5 years? Have ERDF regulations been identified and accounted for if projects intend to generate income/revenue? Is the lead applicant financially viable? Are there any risks to the viability of the lead applicant organisation?	/5	

Scoring criteria				
Application Form Section	Key Question	What will assessors consider	Score	Comments and justification
2. Match funding				
4.2	<p>Is applicants own/external match funding secured or conditional?</p> <p>What is the proportion of own/external match funding against the total eligible project costs?</p>	<p>In this section assessors should provide a score on the basis of eligibility, security and proportion of own/external match funding.</p> <p>Has the applicant provided evidence of match funding from eligible sources (i.e. not originated from other European sources or TS Low Carbon Economy or Active and Sustainable Transport Units and has no other outputs linked to it)?</p> <p>Is applicants own/external match funding confirmed or pending? Are there any risks associated with the applicants own/external match funding?</p> <p>Is the applicant providing their own/external match funding in a higher proportion than the minimum requirements of 20% for H&I and 30% for LUPS up to £2 million and (if applicable) 30% for H&I and 60% for LUPS for cost over £2 million? If not, can the applicant demonstrate their efforts to seek further funds?</p>	/5	
3. Project Rationale				
5.1	Does the proposed project fit with the strategic aims of the ERDF LCTT programme?	<p>How does the project rationale align with the LCTT programme aims? I.e. has the application demonstrated how the project will increase the number of journeys made by public transport, active travel and low carbon vehicle?</p> <p>Is the proposed project likely to achieve these stated aims based on the description of the project?</p>	/5	
4. Strategic fit				
5.2	Does the project contribute to key active travel and/or low carbon transport outcomes in an area?	Does the application refer to other planning documents and strategies? e.g. local authority strategies or relevant active travel or low carbon transport strategies at a national, regional and local level and demonstrate how the project supports these strategies.	/5	

Scoring criteria				
Application Form Section	Key Question	What will assessors consider	Score	Comments and justification
	Does the project support delivery of national, regional and local plans and priorities?	Are links to wider local plans and priorities demonstrated? I.e. place-making, local economic development, regeneration, social inclusion, employability, environment, health and physical activity.		
5. Partnership working				
5.3	How does the applicant organisation envisage working with partners? How will partnership agreements and relationships be sustained?	Does the application provide details of partners and their roles in the project? Does the application provide evidence of partnership agreements in place? Does the partnership agreement reflect a commitment that will be sustained for the life of the project? Has the applicant identified wider partners? These partners may include those that are not supporting the ERDF funded elements of the project but who have complementary programmes and /or add value to the longer term sustainability of the project.	/5	
6. Community Engagement				
5.4	Does the proposal provide clear evidence of community engagement and co design in the project proposal?	Has the applicant provided evidence of engagement with the local community? How have the community been involved in the decision on what project to deliver? How will the community benefit from the outcomes of the project? Has the need of the community been identified?	/5	
7. ERDF Horizontal themes				
6.1	How does the project fit with one or more of the ERDF horizontal themes (Sustainable development, equal opportunities and non-discrimination, equality	<u>Sustainable development</u> Has the project described any specific actions to take into account environmental protection requirements, resource efficiency, climate change mitigation and adaptation, disaster resilience and risk prevention and management?	/5	

Scoring criteria				
Application Form Section	Key Question	What will assessors consider	Score	Comments and justification
	between men and women)?	<p><u>Equal opportunities and non-discrimination</u></p> <p>Has the applicant considered ways to prevent any discrimination based on sex, racial or ethnic origin, religion or belief, disability, age or sexual orientation during the preparation and implementation of the project?</p> <p><u>Equality between men and women</u></p> <p>Does the application describe how equality between men and women and the integration of gender perspective will be taken into account and promoted throughout the project?</p>		
8. Additionality				
6.2	Does the proposal provide clear evidence of the added value of the project?	<p>Has the project proposed new or additional activity?</p> <p>Does the application make a strong case that this project would not have been able to go ahead without ERDF and Transport Scotland match funding? Or would not have been able to go ahead at the proposed scale or within the proposed timeframes without ERDF and Transport Scotland match funding?</p> <p>Has the applicant organisation described the anticipated additional outputs and outcomes as a result of the proposed project?</p> <p>Has the applicant provided evidence that all other funding sources have been explored?</p> <p>Has the applicant provided evidence that clear gap in provision exists?</p>	/5	
9. Deliverability				
6.3 Project plan	Can the project be delivered by September 2022?	<p><u>Planning permission and technical requirements</u></p> <p>Are planning consents, building consents, ownership and lease agreements in place?</p>	/5	

Scoring criteria				
Application Form Section	Key Question	What will assessors consider	Score	Comments and justification
<p>Organisation alchart / governance structure</p> <p>Risk register</p>		<p>Are there any site constraints or ownership issues?</p> <p>Is there evidence that other technical requirements impacting on project deliverability have been addressed (e.g. site surveys, grid connection, telecommunications etc)</p> <p><u>Organisational Capacity</u></p> <p>Does the organisation demonstrate it has the capacity required to deliver the project, and the on-going reporting commitments?</p> <p>Has the applicant organisation provided evidence of previous experience delivering and managing large capital projects?</p> <p><u>Project Management</u></p> <p>Does the project plan provide realistic targets and timeframes for delivery?</p> <p>Have appropriate milestones been identified?</p> <p>Are the use of appropriate management tools and techniques demonstrated?</p> <p>Have risks been identified and assessed? How will risks be addressed in relation to prevention, reduction, contingency and avoidance?</p> <p>Has the organisation put in place an appropriate governance structures for delivery?</p>		
10. Sustainability				
6.4	Has the application provided a clear strategy for ensuring that the project will be sustained for at least 5 years beyond the funding period?	<p>Does the project demonstrate appropriate strategies in place to sustain the project?</p> <p>What strategies are in place in terms of on-going resourcing, maintenance, future financing?</p> <p>Have long term partnership agreements been established?</p>	/5	

Scoring criteria

Application Form Section	Key Question	What will assessors consider	Score	Comments and justification
		How is the partner's role envisaged in the longer term? How will engagement with the local community continue after delivery? How will community feedback be collected and actioned? How will the project ensure that the original aims continue to be promoted and how will these be reviewed?		
Total score			/50	

ANNEXE 6: Example Case Paper

Case Paper: [Ref # – Project title]

Applicant	[Applicant name]	Region	H&I/LUPS
Type of organisation	[Local Authority/Social Enterprise/Charity etc.]	Active Travel	Yes/No
Local authority	[Local authority]	Low Carbon	Yes/No
Project overview	[From Project Summary section of application form]	Paths	Yes/No
		RAG rating	<i>Green</i>
		Score	/50

Assessor's Comments

[This is where the assessor provides an overall view of the project, including any particular issues or risks that the Assessment Panel should discuss. The comment will also provide a justification for the RAG rating.]

Proposed conditions

[This will capture and address any issues with eligibility (i.e. if an application received a 'partial' for any of the eligibility criteria). Conditions may include requests to provide further evidence that match funding is secured, or a new project plan that removes an ineligible element etc.]

Assessment

Eligibility	YES	PARTIAL	NO	Comment
Type of organisation				[If partial or no, provide explanation]
Project details				
Eligible costs				
Match funding				

Fund requirements	YES	NO
Has the applicant confirmed that they have read and understood the ESIF National Rules?		
Has the applicant confirmed that they have read the LCTT Challenge Fund Claims Process and Reporting Guidance?		
Has the applicant confirmed that the procurement process related to their project meets ESIF regulations?		
Has the applicant confirmed that they have read and understood the ESIF publicity requirements?		
Has the applicant confirmed that they have read and understood the ESIF document retention guidance?		
Does the application provide evidence of a monitoring and evaluation plan?		

State aid	YES	NO	Comment
Is State aid present?	✓		[If yes, comment will outline how this is to be addressed, e.g. has the appropriate GBER Article being selected and relevant aid intensity applied to total project costs.]

Scoring criteria	Score	Comment and justification
Financial viability	/5	
Match funding	/5	
Project rationale	/5	
Strategic fit	/5	
Partnership working	/5	
Community engagement	/5	
ERDF horizontal themes	/5	
Additionality	/5	
Deliverability	/5	
Sustainability	/5	
Total	/50	

For completeness, the Assessment Panel will be provided with the following details on ineligible projects. Below is an example of a Case Paper for a project determined to be ineligible.

Case Paper: [Ref # – Project title]

Applicant	[Applicant name]	Region	H&I/LUPS
Type of organisation	[Local Authority/Social Enterprise/Charity etc.]	Active Travel	Yes/No
Local authority	[Local authority]	Low Carbon	Yes/No
Project overview	[From Project Summary section of application form]	Paths	Yes/No

INELIGIBLE

Assessor's Comments
<i>This project was determined to be ineligible for funding from the LCTT Challenge Fund for the reasons outlined below. It did not undergo a full assessment.</i>

Eligibility	YES	PARTIAL	NO	Comment
Type of organisation			✓	<i>Applicant is ineligible as they are a private sector organisation.</i>
Project details	✓			
Eligible costs		✓		<i>Part of the listed project costs seeks funding for purchasing vehicles.</i>
Match funding	✓			

ANNEXE 7: Conflict of interest procedure

The following Conflict of Interest Procedure is to be used by members of the Assessment Panel. It also covers the process for identifying conflicts of interest and what will happen in the Assessment Panel meeting.

Members of the LCTT Challenge Fund Assessment Panel are expected to review any applications to the Fund in an objective manner. The applications may contain confidential information, which cannot be passed on outside of the Assessment Panel. Members must not make use of information that they have been given access to in order to further their organisations' activities unless this is agreed with EST, and this will only be under specific circumstances (e.g. beneficial stakeholder linking between two projects).

When members receive the list of LCTT Challenge Fund applications, they must first review the projects listed and identify if you have any potential conflicts of interest at the following three levels:

- 1 They are directly involved in an application, either as the project lead, or as a project partner.
- 2 Their organisation is involved in an application, either as the project lead, or as a project partner.
- 3 They have other links to the project (e.g. their organisation is a potential stakeholder, or were involved in a feasibility study).

Any potential conflict of interest must be reported back to EST prior to the Assessment Panel meeting [Date to be confirmed].

During the Assessment Panel meeting, when each project is discussed, EST will review the submitted conflict of interest statements from each Assessment Panel member. Any Assessment Panel member with a conflict of interest will be asked not to join the discussion of that particular project, and will not be able to make a contribution to the final funding decision for that project.

Assessment Panel members will be asked to complete and return the following conflict of interest statement when you have reviewed the list of applications to lctt@est.org.uk.

Name:

Organisation:

Please enter any projects where you have a potential conflict of interest in the table below:

Project ref #	Project Name	Lead Organisation	Description of Conflict of Interest



**TRANSPORT
SCOTLAND**
CÒMHDHAIL ALBA

For more information about the Low Carbon Travel & Transport Challenge Fund,
please contact the Energy Saving Trust LCTT Challenge Fund project team:

LCTT@est.org.uk
0131 555 8691

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